



DEPARTMENT OF CORRECTIONS
Information Systems



Title:	Information Technology Asset Management	DOC Policy: 60.1.3
Supersedes:	N/A	
Applicability:	All functional units	
Directives Cross-Reference:	DOC Policy 30.2.1 Inventory and Property Control DAS Statewide IT Asset Inventory/Management Policy (IRM 107-004-010)	

I. PURPOSE

The purpose of this policy is to define the information technology (IT) asset management program of the department. IT asset management provides for policies, procedures, and guidelines for lifecycle management of the DOC IT assets from standards and acquisition to installations, management, and surplus.

II. DEFINITIONS

- A. DAS/IRMD: Department of Administrative Services, Information Resource Management Division
- B. Desktop Computer: A computer designed to fit comfortably on the top of a desk -- two common types are the tower model and the table top model. Table top models are broad and low. Tower models are narrow and tall.
- C. Embedded Technology: Technology that contains microprocessors that are designed into other products and equipment that are not individual computers. They have a single purpose. (Also known as embedded computers)
- D. Excess IT Asset: Any IT asset no longer used or needed by the assigned position due to equipment replacement or position abolishment.
- E. Information Technology (IT): Information technology includes, but is not limited to, all present and future forms of hardware, software, and services for data processing, office automation, and telecommunications. IT does not include embedded technology.
- F. IT Assets: IT assets include, but are not limited to, all present and future forms of computer hardware, software, and related items used for business data processing and office automation. It does not include devices with embedded technology. This policy is specifically designed to apply to those IT assets that have the ability to connect, either directly or through a local area network (LAN), to the department's wide area network (WAN.)
- G. IT Asset Disposal: A process that ensures that assets are disposed of systematically, timely, and accurately to ensure proper accountability.

- H. IT Asset Inventory: The process of discovering and verifying information about the IT asset (e.g., hardware, software, applications, data, etc.) through manual and/or automated means.
- I. IT Asset Inventory/Management (ITAM) Coordinator: The manager responsible for the collection, management and reporting of IT asset inventory-related information. This is the central point of contact/coordinator with DAS/IRMD in matters relating to IT asset inventory and management.
- J. IT Asset Management Program: A system of integrated management processes, strategies and technologies that enables the department to manage its IT assets throughout the lifecycle of the asset.
- K. IT Asset Tracking: The process of recording all future installs, moves, adds, and changes to ensure the asset repository remains accurate and up to date once the IT asset data is obtained through auto-discovery and/or physical inventory.
- L. LapTop Computer: A small, portable computer sometimes referred to as a notebook computer, typically with a display unit built in – small enough that it can fit on an individual's lap.
- M. Lifecycle: The series of stages in form and functional activity through which an IT asset passes during its lifetime. Typically IT asset lifecycle involves at least four stages: acquisition, deployment, management/support, disposal/retirement, and includes budget development and fiscal tracking of these stages.
- N. Physical Inventory: The verification of existence and location of an asset by physical or electronic means.
- O. Standard: Minimum criteria established by authority, custom, or consensus, against which individual actions and decisions at all levels of an organization are measured.

III. POLICY

A. General

1. DOC uses information technology (IT) to assist the department in achieving its business objectives.
2. The Information Systems Unit (ISU) is responsible for developing and maintaining the department's IT asset management program. This program includes establishment of lifecycle processes, establishing information technology standards, developing cost-effective information technology acquisition strategies, developing efficient and cost-effective methods for supporting and managing the technology environment, and planning for upgrades, migrations, and future technology installations.
3. Long range planning for information technology shall include input from the business and technical units.
4. The department's Chief Information Officer (CIO) shall appoint an IT asset management (ITAM) coordinator responsible for developing procedures that ensure the department's IT assets are properly procured, accounted for,

classified, inventoried, reported and controlled. The ITAM coordinator is the department's central point of contact/coordinator with DAS/IRMD in matters relating to IT asset inventory and management.

5. IT asset inventory shall be in support of DOC Policy 30.2.1, **Inventory and Property Control**.
6. IT assets acquired for DOC with DOC funds shall be deemed DOC property.
7. Vendor purchased IT assets purchased with DOC funds with the sole purpose of supporting a DOC contract for services or goods shall be deemed DOC property.
8. IT assets will be used within DOC as long as practicable.
9. Employees are expected follow the provisions of this policy for the acquisition, management, and disposition of DOC IT assets. Employees who violate or otherwise abuse the provisions of this policy may be subject to disciplinary action, up to and including dismissal.

B. Financial

1. Acquisition:
 - a. Approvals for acquisition of information technology are based on the requestor's availability of funds, conformance to IT standards, and solution match for business need.
 - b. Acquisition of all information technology for DOC must be reviewed for compliance with approved technology standards prior to issuing the purchase order or contract. Exceptions from the standard must be approved by the ISU manager (or designee). The ITAM coordinator shall coordinate the process for review.
 - c. All information technology acquired for DOC, and information technology purchased or developed in support of a DOC contract for services or goods shall be deemed DOC property. Any information technology developed by an ISU employee or information technology developed by contract employees on behalf of DOC shall be deemed DOC property.
2. Budget:
 - a. On a biennial basis and in conjunction with Planning and Budget, the ITAM coordinator shall develop a budget, for inclusion in the department budget requests, for the lifecycle replacement of all IT assets. The budget will exclude embedded technology including special purpose computers used in security, fire alarm, HVAC, etc., systems and their associated special purpose software.
 - b. All information technology needs other than lifecycle replacement must be budgeted by the requesting functional unit; e.g., new employee, additional computing resource, etc.

- c. The lifecycle for desktop and laptop computers shall be five years.
- d. The lifecycle IT asset replacement budget shall be a central budget managed by ISU.

C. Standards

1. Each site location will have a standard technical infrastructure. It will be defined and managed by ISU and will include the network infrastructure, servers, desktop computers, and all other computer equipment connected to the DOC networks or having the capability of connecting to the DOC networks. This excludes computers used in security, fire alarm, HVAC, etc., systems unless they are connected to the DOC information system.
2. New IT policy and standards shall have approved implementation plans prior to implementation. Changes to IT policy or standards must be approved by the CIO or designee.

D. Equipment Management

1. DOC will control its IT hardware assets to comply with state policies and regulations, as well as applicable licensing and copyright laws.
2. The ITAM coordinator is responsible for tracking DOC-owned IT hardware assets. A physical inventory of capital IT assets shall be conducted by ISU in accordance with DOC Policy 30.2.1, **Inventory and Property Control**. A physical inventory of non-capital IT assets shall be conducted by ISU prior to the end of each biennium.
3. The ITAM coordinator shall provide hardware inventory records and reports in accordance with DAS/IRMD policy.

E. Software Management

1. DOC will control its IT software assets to comply with state policies and regulations, as well as applicable licensing and copyright laws.
2. The ITAM coordinator is responsible for tracking DOC-owned software, including licenses. All software licenses or copies of the licenses, purchase orders, or copies of credit card statements, donations, or any other means DOC obtains software will be sent to ISU for central tracking and control.
3. The ITAM coordinator shall provide software inventory records and reports in accordance with DAS/IRMD policy.

F. Installations of Software and Hardware

1. DOC shall maintain an IT environment whereby installations and configurations are centrally managed.
2. Only DOC designated standard software, hardware, or approved exceptions shall be installed.

3. Software, hardware, or approved exceptions must be DOC owned or licensed. All software without required licenses will be removed from the desktop and laptop computers.
4. Only persons designated by ISU shall install approved hardware or software.
5. Installation of business-related, no cost software shall be coordinated through the ISU manager or designee. These types of software shall be evaluated through the standards and exception to standards procedures.
6. User-supplied software shall not be installed or executed on DOC-owned IT assets. Non-DOC hardware shall not be connected to any DOC network.
7. Unauthorized duplication of licensed software is a violation of this policy and a violation of copyright laws.
8. ISU shall be responsible for delivery of IT assets to the identified work sites.

G. Hardware and Software Exceptions

1. The ISU manager or designee is responsible for approving exceptions to IT policies.
2. Requests for exceptions must be made in writing to the ISU manager or designee stating the business need and unique circumstances requiring an exception. The ISU manager or designee will evaluate and determine if the requested exception can be reasonably accommodated through technology within the confines of the DOC technology environment.
3. For granted exceptions, the requester must establish with the ISU manager or designee a plan for technical support, training, and maintenance. The plan shall be developed prior to purchase or implementation of non-standard information technology.
4. Exceptions shall be considered provisional and can be superseded any time a DOC standard is defined. If a broader need is determined at the time of an exception request, a DOC standard will be established.
5. Upon granting an exception regarding access to or connection with the DOC local or wide area network, a written agreement between the requester and ISU must be developed stating the conditions of access, security, technical support, and maintenance.

H. Excess and Surplus of IT Assets

1. IT assets are assigned to a position, not the individual, and remain with the position. If the individual terminates employment, transfers to another position or the position is abolished, the excess IT assets will be returned to the IT asset inventory.

2. All excess IT assets within DOC shall be the responsibility of ISU to reuse or surplus. First priority for redeployment requests within DOC shall be with the business unit where the excess asset originated.
3. ISU shall store excess IT assets in designated reserve locations for use as needed.
4. ISU shall delete all data and applications, exclusive of the operating system, from all excess IT assets prior to re-deployment, placing in spare inventory, or declaring the asset to be surplus.
5. IT assets that have exceeded their lifecycle or cannot be economically repaired will be disposed in accordance with DOC policy and state guidelines regarding surplus property.

IV. IMPLEMENTATION

This policy will be adopted immediately without further modification.