City of Raleigh Public Utilities

Management of Technology Assets Policy

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Contents

Introduction

This policy will outline the governance of Public Utilities purchased and leased technology assets. Each policy will have a business process map illustrating each if applicable.

Objective

The Technology Application Group will utilize the following policies to ensure that throughout the assets life cycle it is accounted for and stewarded for the best interest of the department and ultimately the rate payer. Each policy is centered around an area(s) of the asset life cycle. Policies will also cover the anomalies within the life cycle such as missing and broken technology.

Technology Asset Life Cycle

a. Procurement
b. Deployment
c. Reassignment/Relocation
d. Disposal

Goals

The end result of the policies and procedures is that the asset is accounted for at all stages but in addition to that several goals have been established.

1. Establish a relationship where the business unit dictates the use of the technology to accomplish the objectives set for that division and have a defined set of transactions that necessitates TAG's involvement.
2. View assets as the property of the department and that the primary interest should be to ensure that they are allocated to where they can be used to maximum effect.
3. Utilize a Lean principle and to have enough technology to outfit the staff present with as little excess as possible. It is understood that certain business units will need spares to ensure business continuity and established levels should be in place.
4. Establish better assessment and justification for assigning technology, this should be done by three criteria:
    a. Work Location
       Percentage of work time in primary office, field, or satellite locations
    b. Software Requirements
       Required software demands an increased processor, memory, or storage
    c. Job Duties
       Impactful duties that would change from standard allocation of technology

Definitions

Technology Asset: Utilized to perform application tasks, access network resources, or connects to enhance the productivity and has a cost threshold over one hundred dollars.

Business Unit: One of the nine divisions reporting to a superintendent

1.0 Procurement

This policy covers how technology is requested, approved and purchased.

1. **Technology Request**
   a. The business unit will determine if there a need for new technology or a change in the lease equipment next time it is up for replacement.
   b. The business unit will submit a request to TAG via E-mail containing the following:
      i. Detailing the change or new technology needed
      ii. Include proof of Superintendent approval
         Superintendent approval is not approval to purchase but to indicate to TAG that this identified need is of high priority
   c. TAG will review the request, provide approximate cost and any concerns/ comments
   d. The business unit will not need provide requirements as TAG will have a technology catalog to select from. Any new catalog item requests will be processed on a case by case basis. The purpose of the catalog is to ensure quality, compatibility, and future or current initiatives
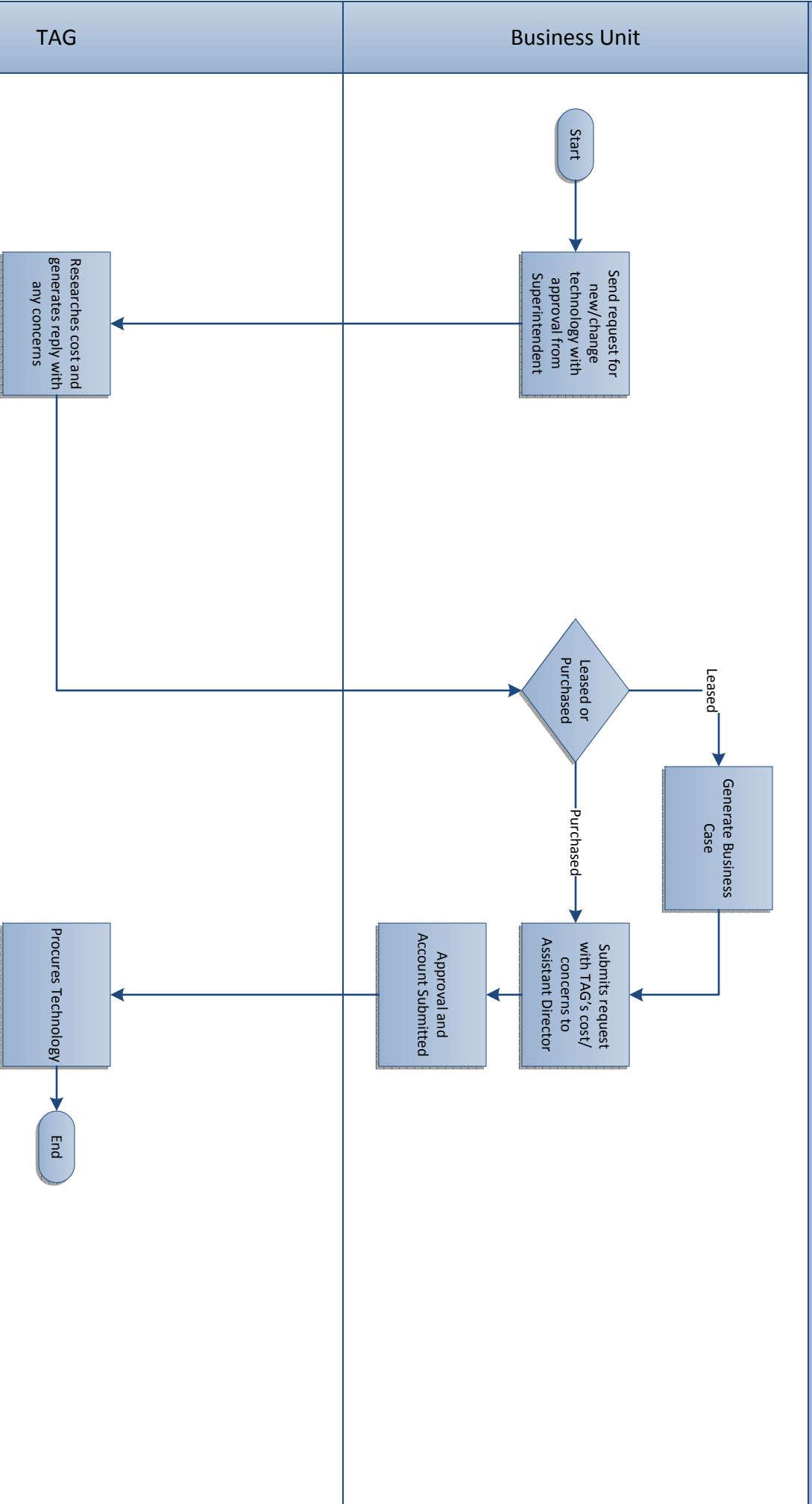
2. **Approval**
   a. The business unit will then submit the request, TAG's cost and comments, to their assistant director for approval
   b. In the case of a lease item, IT requires a business case, this would also need to be sent to the assistant director

3. **Purchase**
   a. If approval is given, the business unit will E-mail TAG:
      i. Copy of the approval
      ii. Account code
      iii. Position number that technology will be assigned to
   b. TAG will procure the item via appropriate method or work with IT to update the lease schedule.

Deployment of procured assets will be covered by the deployment policy.

TAG	Business Unit

Start

Send request for new/change technology with approval from Superintendent

Researches cost and generates reply with any concerns

Leased or Purchased

Leased

Purchased

Generate Business Case

Submits request with TAG's cost/ concerns to Assistant Director

Approval and Account Submitted

Procures Technology

End

2.0 Deployment

This policy covers how procured technology is implemented to the business unit.

1. **Predeployment**
   a. Leased Technology-When the lease has been compiled and preparing for order this will be sent to TAG. TAG will divide it by business unit and ask for the following information:
      i. Software needed for the position, account codes and approvals may be necessary depending upon the request
      ii. Position number utilizing the technology.
      Each piece of technology should be associated with a position number or a group of position numbers identified by a job title. Doing this will provide stability and regardless of who holds that position that position will have the correct allocation of technology.
   b. Purchased Technology-The software information would need to be obtained if the purchased technology dictates. The position number is associated during the procurement process.
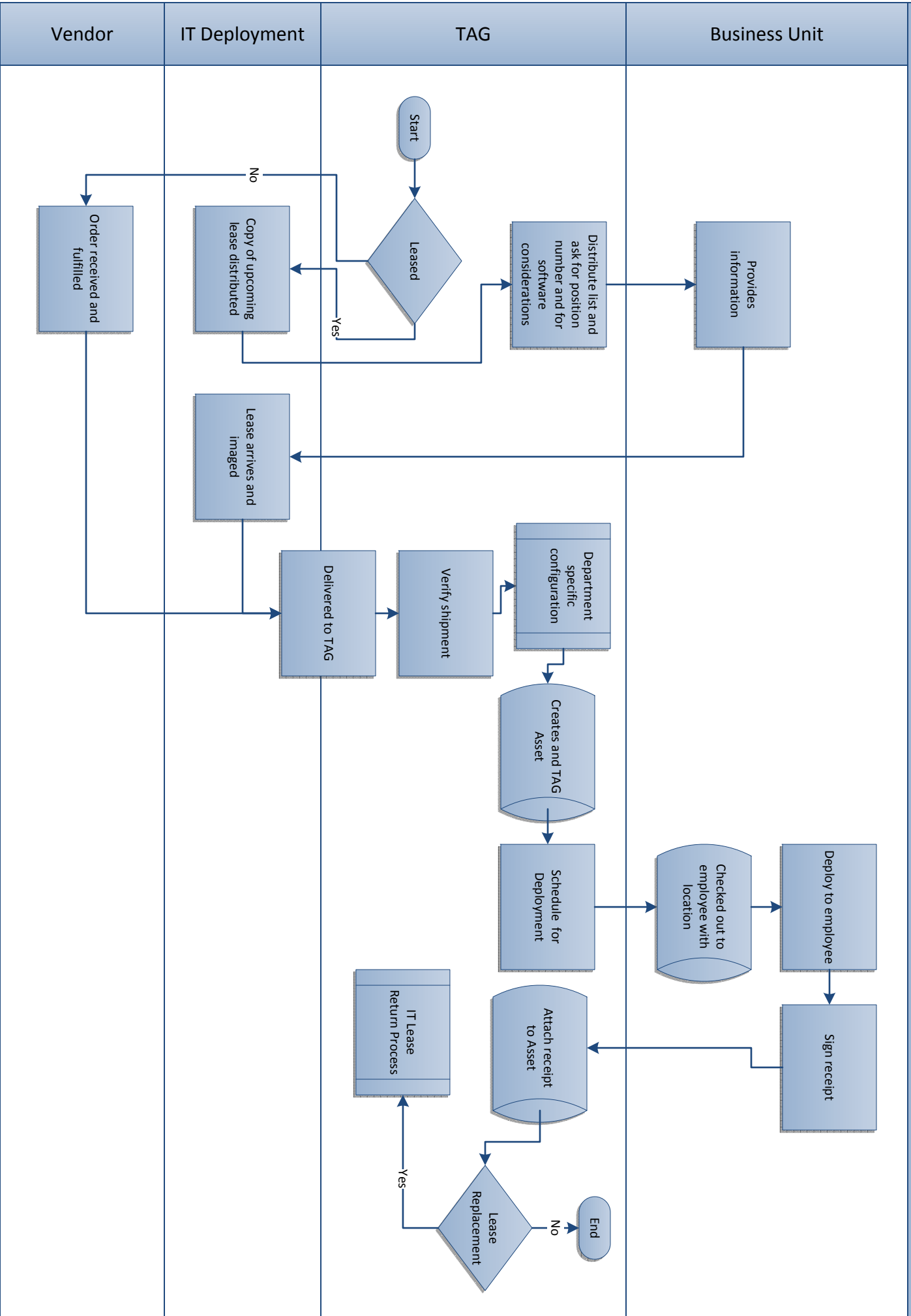
2. **Configuration**
   a. Leased Technology:
      i. IT will order the lease schedule and have it delivered to the deployment team
      ii. IT will provide the base image and any software identified in the procurement process
      iii. TAG will receive the leased technology and prepare for deployment
   b. Purchased Technology:
      i. TAG will receive the technology from the vendor
      ii. TAG will configure and if necessary work with IT and vendors.
      iii. TAG will prepare the technology for deployment

3. **Deployment for Leased and Purchase Technology**
   a. TAG will deliver the technology to the assigned employee
   b. The employee will sign a receipt acknowledging they have received the stated technology and that the location is correct. After the employee has assigned, he/she will be the assigned employee. If the technology should be moved or transferred to another employee, the assigned employee should be sure that the reassign/relocation policy is followed to ensure they are no longer assigned to technology not in their procession.
   c. Communal machines will be assigned to the supervisor, preferably of employees who share the machine.

Vendor	IT Deployment	TAG	Business Unit

Start

Leased

No

Yes

Order received and fulfilled

Copy of upcoming lease distributed

Distribute list and ask for position number and for software considerations

Provides information

Lease arrives and imaged

Delivered to TAG

Verify shipment

Department specific configuration

Creates and TAG Asset

Schedule for Deployment

Checked out to employee with location

Deploy to employee

Sign receipt

Attach receipt to Asset

IT Lease Return Process

Lease Replacement

Yes

No

End

3.0 Reassignment and Relocation

This covers post deployment technology that is required to be in a different location or assigned employee

1. **Notification**
   a. Technology, regardless of size or perceived importance should not be moved or transferred to another employee
   b. The assigned employee should always be aware of what is assigned to them and prevent any movement or transfer
   c. To move or transfer, the business unit should send an email to TAG containing:
      i. Asset Tag Numbers of all assets involved
      ii. If reassigning without relocation, then former and future assigned employee
      iii. If relocating without reassigning, then former and future location
      iv. If relocation and reassigning, then former and future of both location and assigned employee
2. **Asset Information Updated**
   a. TAG will receive the request and verify that the sender is authorized to request this transaction
   b. TAG will update the asset information by moving the asset, transferring the checkout or both.
   c. TAG will send an updated receipt electronically.
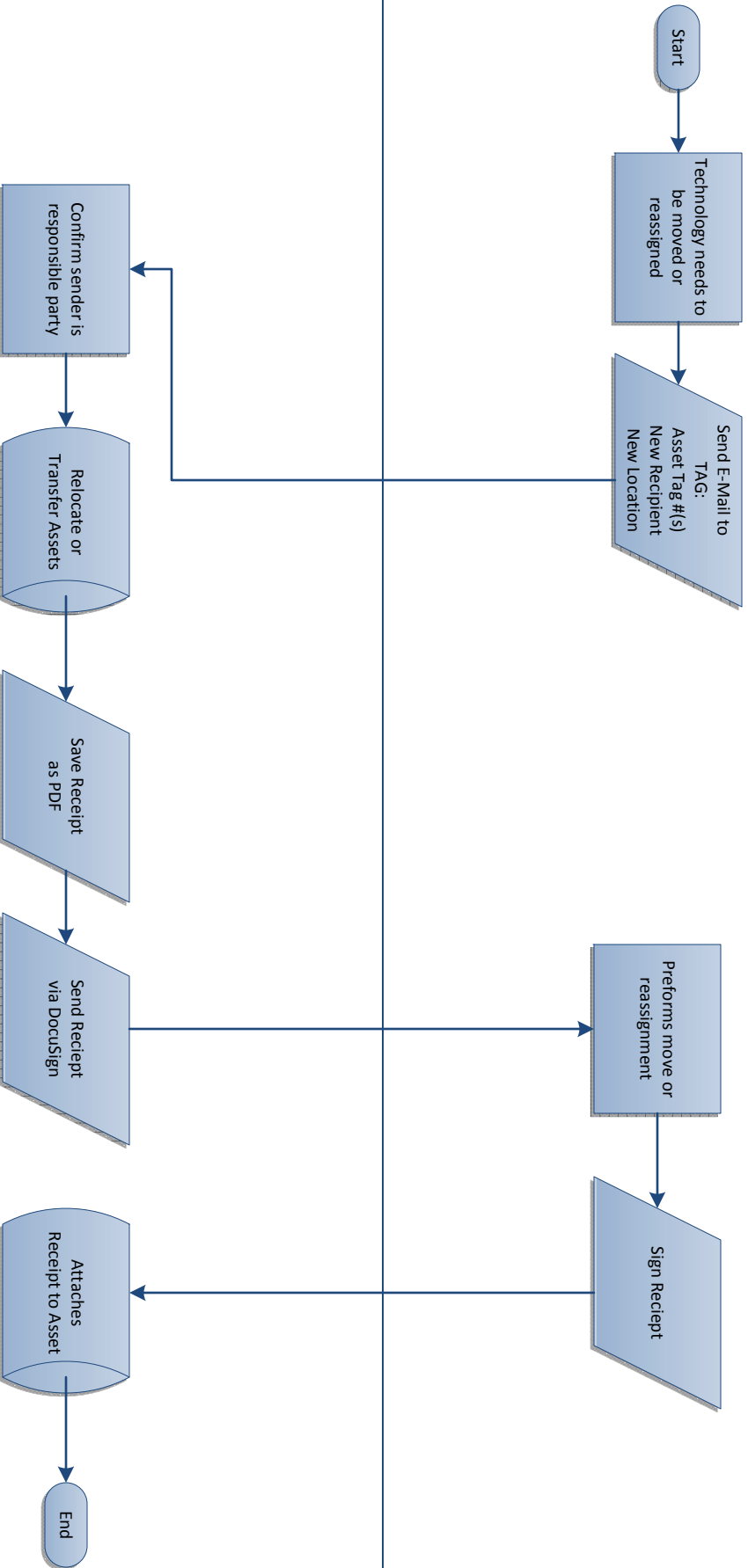3. **Reassignment/Relocation**
   a. The assigned employee will electronically sign indicating that they have moved it to that location, have taken procession, or both.
   b. The business unit should not move or reassign until TAG has finished updating the asset information and sent the receipt

The business unit should feel free to move and assign things as they see fit to best meet objectives however if the above process if followed then the accounting can be assured. Failure to follow the above will constitute in longer audits and potential missing equipment when leased equipment is to be collected.

TAG | **Business Unit**

Start

Technology needs to be moved or reassigned

Send E-Mail to TAG:
Asset Tag #(s)
New Recipient
New Location

Confirm sender is responsible party

Relocate or Transfer Assets

Save Receipt as PDF

Send Reciept via DocuSign

Preforms move or reassignment

Sign Reciept

Attaches Receipt to Asset

End

4.0 Disposal

This policy covers how technology will be disposed.

1. **Leased Technology**
   a. Planning
      i. TAG will receive a list of leased technology that is due to come off lease
      ii. TAG will communicate with the business units regarding which machines are to be collected
      iii. TAG will schedule a time with the assigned employee to collect the leased technology
   b. Collection
      i. TAG will remove the technology and check it in, removing a assigned employee
      ii. TAG will stage the technology to be returned to IT deployment
   c. Disposal
      i. TAG will move the equipment to IT deployment
      ii. TAG will have deployment sign that they have received the stated technology
      iii. TAG will dispose of the asset in the asset management software

2. **Purchased Technology**
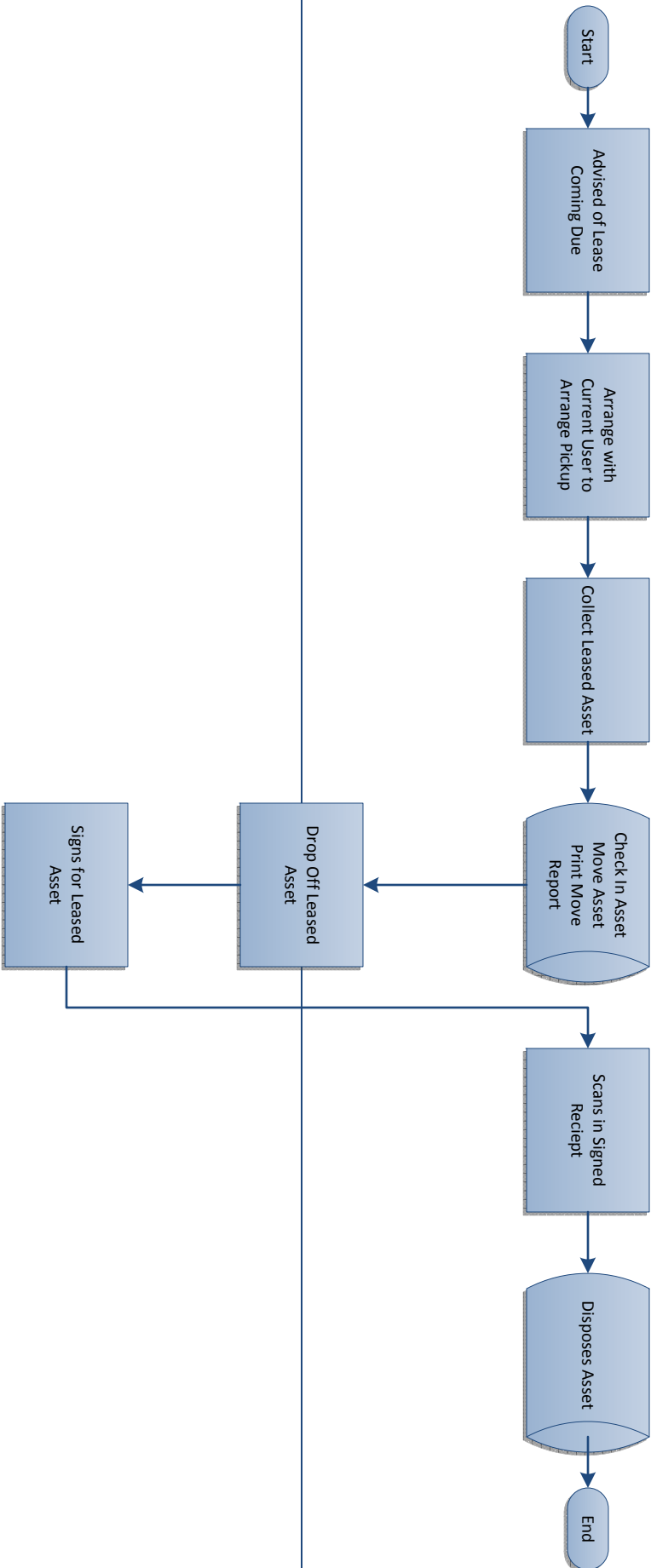   a. Specific types of technology will be replaced on a schedule; those assigned employees will be notified of collection. All others will remain in service for perpetuity until a malfunction occurs.
   b. TAG will remove the technology and check it in, removing the assigned employee.
   c. TAG will follow environmental and financial practices for properly disposing
   d. TAG will dispose of the asset in the asset management software

IT Lease Asset Return

Phase

TAG

Start

Advised of Lease Coming Due

Arrange with Current User to Arrange Pickup

Collect Leased Asset

Check In Asset Move Asset Print Move Report

Drop Off Leased Asset

Signs for Leased Asset

Scans in Signed Reciept

Disposes Asset

End

Deployment

5.0 Broken or Missing Assets

A broken asset is defined as anything that cannot be resolved by working over the phone or remote support by IT or a vendor.

1. **Broken Assets**
   a. Leased
      i. The assigned employee or business unit should notify TAG of the broken asset with an explanation and drop it off to TAG
      ii. TAG will assign loaner technology
      iii. TAG will coordinate with CSC for resolution
      iv. TAG will return leased technology and collect loaner
   b. Purchased
      i. The assigned employee or business unit should notify TAG of the broken asset with an explanation and drop it off to TAG
      ii. TAG will assign loaner technology
      iii. TAG will research warranty information and coordinate with vendor
      iv. TAG will return or provide new technology and collect loaner

A missing asset is any asset that when to be collected or audited is not found in the location assigned.

2. Missing Assets
   a. Assigned employee will be given one business week to research and locate the missing asset.
   b. TAG will send an email to the assigned employee's supervisor advising of the missing asset and instructions given to the assigned employee.
   c. At the conclusion of the week and the asset has not been located, TAG will employee the superintendent of the business unit asking them to get approval from their Assistant Director to buy out if under lease or to repurchase the missing technology.
   d. At the conclusion of the week if the asset has been located, TAG will ensure that the proper transactions have been completed to properly account for the asset.

Broken Assets

Tech Policy v1

TAG	Business Unit

Start

Technology malfunctions or breaks

Submits notification with explanation

Secures loaner

Drop off or collect technology

Asset

Deliver and work with CSC for resolution

Leased or Purchased

Leased

Purchased

Research waranty and work with vendor for resolution

Return technology and collect loaner

End

TAG

Business Unit

Start

Audit or Technology Collection Reveals Missing Asset

Notify Assigned Employee of 1 Week

Assigned Employee begins researching

E-Mail assigned employee supervisor

Asset Found

Yes

No

Facilitate transaction to rectify situation

E-Mail superintendent to gain approval from AD for buy out or repurchase