



IS PROCEDURE

LID #702

SUBJECT PC Replacement & Acquisition	NUMBER	Version Version 2.0
THIS PROCEDURE APPLIES TO PC Lifecycle Management Program and new PC acquisitions	EFFECTIVE DATE 10/7/2003	PAGE NUMBER Page 1 of 11
REFERENCE PC Lifecycle Management Program Strategy Drop-ship Procedures IT Asset Management Procedures Financial Services Standards Manual – Chapter 5, Assets ODOT Policy SUP 03-02, Acquisition of Computing Resources DAS IRMD Policy - Information Technology Investment Review/Approval	APPROVED SIGNATURE - Chief Information Officer	
FILE NAME PC Replacement and Acquisition Procedure	Procedure Owner IT Purchasing and Asset Management Manager	

Purpose

The purpose of this procedure is to define how replacement and new PCs will be procured and deployed within ODOT. This procedure is performed as part of the PC Lifecycle Management Program.

Definitions

Asset Site Coordinator -- Person designated by the Business Manager as the primary contact for all issues related to IT asset acquisition or asset management.

Business Manager – Person assigned by management to be responsible for activities related to business and asset practices for a unit or section.

Exception Requests – Additional acquisitions to meet unanticipated business needs. Examples include:

- New ODOT employee and contractor positions
- Unanticipated business initiatives
- Inoperable/broken, stolen, or lost PC's
- Units that will not be able to meet needs for the next 12 months

FSU Program Coordinator – Field Service Unit person designated to coordinate PC Lifecycle installation and redeployment.

FSU Technician – Field Service Unit Technician or contractor.

IS Payment Technician – IS administrative person responsible for vendor payments.

IT Purchaser – Person requesting the purchase of IT equipment. Typically someone from the business who has been given IT purchasing responsibilities.

IT Purchasing & Asset Management (ITPAM) - Produces PC Lifecycle Management Tool. Centrally processes purchases. Communicates and coordinates the asset management procedures.

IT Purchase Requisition – Forms used to request purchase of new or replacement PC’s, Laptops and other IT products. Includes general requisition form to collect required ordering, shipping, and cost information. Includes PC Replacement Plan form for business and installer use indicating deployment locations of new and old machines, and turn-in status.

Operations Plan – Documents used to guide decisions and logistics in planning and execution of orders, deployments, redeployments, and turn-ins. Includes replacement plan, workload estimates, and schedules.

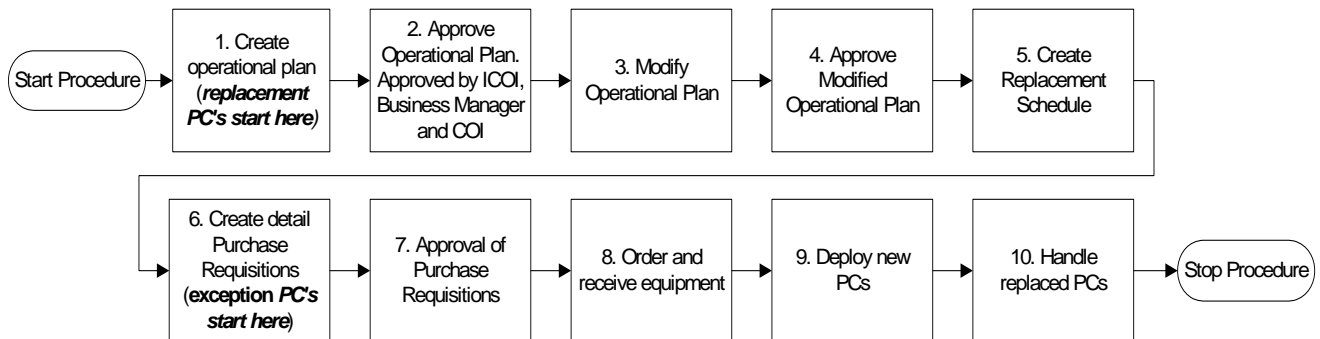
PC Exception Justification – Form used to justify Exception Request purchases outside the replacement plan. This form accompanies the IT Purchase Requisition.

PC Replacement Coordinator - Person in Applications Development Section (TAD, MCAD, DMVAD) who coordinates replacement planning with business (Communities of Interest) and IS participants. Coordinates all orders before submittal to purchase ensuring all requirements are met for Applications Development, FSU, Purchasing or others.

PC Lifecycle Management Tool – A snapshot at one point of time of the PC inventory. Used as a project management and planning tool.

PC Lifecycle Program Manager – Infrastructure & Availability Manager - Develops the governance model. Works with the Customer Relationship Managers and the Communities of Interest (COIs) to define the replacement cycles. Communicates PC Replacement Operations Plan to Budget Office and puts into the IRM Plan. Develops the Communication Plan and ensures that proper communications occur at the appropriate times.

Summary Steps



#	PROCEDURE STEP SUMMARY	ACTORS
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#	PROCEDURE STEP SUMMARY	ACTORS
START	<p>Start Procedure</p> <p>The entry criteria for this procedure are (1) replacement cycles have been set by the Communities of Interest (COI); (2) budgeting for PC replacements has been established. (3) For Exception Request PCs go to step 6.</p>	
1.	<p>Create Operational Plan</p> <p>At beginning of budget prep for next legislative budget period all PCs needing to be replaced, redeployed, and turned-in are identified. Overall schedule is created.</p>	PC Lifecycle Program Manager, PC Replacement Coordinator
2.	<p>Approve Operational Plan</p> <p>Business Managers and Communities Of Interest review, approve and validate biennial Operational Plan for PC replacements.</p>	PC Replacement Coordinator, PC Lifecycle Program Manager, Business Manager
3.	<p>Modify Operational Plan</p> <p>Immediately prior to the beginning of the biennium budget period, adjust estimates based on technical and business changes since the original estimates. Estimate resource requirements for roll out.</p>	PC Lifecycle Program Manager, PC Replacement Coordinator, FSU Program Coordinator
4.	<p>Approve Modified Operational Plan</p> <p>Business Managers and Communities of Interest review, approve and validate modified plan and resource requirements. Biennial plan is submitted to DAS IRMD for IT Investment Policy approval.</p>	PC Replacement Coordinator, PC Lifecycle Program Manager
5.	<p>Create Replacement Schedule</p> <p>Identify replacement schedule and disposition of each unit to be replaced.</p>	PC Replacement Coordinator
6.	<p>Create detail Purchase Requisitions</p> <p>Create detail order requests and replacement plan, following the deployment schedule, or for new PC's.</p>	FSU Technician, IT Purchaser
7.	<p>Approval of Purchase Requisitions</p> <p>Determine if the PCs included on the Purchase Requisition, PC Replacement Plan, and PC Exception Justification (if Exception Request) are appropriate, consistent with the Operations Plan, are on the schedule, and funding is available.</p>	Business Manager

#	PROCEDURE STEP SUMMARY	ACTORS
8.	<p>Order and receive equipment</p> <p>Purchase Orders are created, orders placed with the vendor and communicated to participants. Equipment is received according to the drop-ship procedures. Asset Management procedures are followed. Payments are processed.</p>	IT Purchaser, PC Replacement Coordinator, ITPAM, Asset Site Coordinator, IS Payment Technician
9.	<p>Deploy new PCs</p> <p>New PCs are deployed according to deployment schedule. Computer Installation Maintenance Billing Report (CIMBR) forms are completed on-line.</p>	FSU Technician, ITPAM
10.	<p>Handle replaced PCs</p> <p>Replaced PCs are either redeployed according to replacement plan or sent to Surplus Property for disposal. Transfer of Property forms are submitted.</p>	FSU Technician, Asset Site Coordinator
STOP	<p>Stop Procedure</p> <p>The exit criteria for this procedure are (1) PCs have been deployed (2) Replaced PCs have been handled.</p>	

PROCEDURE STEP 1 – CREATE OPERATIONAL PLAN

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
<i>1.1</i>	<p>For Exception Request PCs go to step 6.</p> <p>Begin Operational Planning for biennial PC replacements during budget preparation period:</p> <ul style="list-style-type: none"> • Validate readiness of PC Lifecycle Tool. • Validate duration of replacement cycle and recommended minimum characteristics for PC retention with the Infrastructure Community of Interest. • Hold kick-off meeting to organize resources and schedule. 	<p>PC Lifecycle Program Manager</p> <p>(Coordinate with ITPAM, ICOI, Technology Management Service Delivery; Program Team)</p>
<i>1.2</i>	<p>Prepare initial estimates of replacements required by each section.</p> <ul style="list-style-type: none"> • Reference the areas budget planning for estimates going into the next biennium budget. 	PC Replacement Coordinator

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
	<ul style="list-style-type: none"> • Reference the PC Lifecycle Management Tool using replacement cycle and minimum retention characteristics to determine target replacements. • Factor in the effect of redeployed existing PC's: <ol style="list-style-type: none"> 1. Who will receive new PC's (or will they be sent to ODOT Surplus). 2. Cost to refurbish, upgrade and reinstall existing PC's (hardware, software, contract or state labor – including installer and administrative time to perform direct work and coordinate indirect activities). 3. How long will redeployed machine actually be in active use before being replaced (reinstallation may take many months) – where do existing PC's fall on next Lifecycle replacement schedule. • Reconcile differences between target and planned replacement counts with Business Manager. • Determine replacement cost estimates: <ol style="list-style-type: none"> 1. Use ODOT Standards list for current hardware pricing. 2. Include warranty upgrade (Service Pak) requirements and costs if increased service levels and additional years of coverage are required to meet business needs. <ul style="list-style-type: none"> • If only purchasing PC, determine if existing monitors require maintenance coverage by reviewing local or program business needs. • See Maintenance Vendor pricing schedule in Standards list, or on ITPAM web site. Contact ITPAM if any questions. • Prepare report of organization-level count estimates for replacement. 	(Coordinate with Business Manager or Asset Site Coordinator)
1.3	<p>Compile organization-level reports into high-level plan for presentation to ICOI and ESC. Factor in FSU resource and requirements for use of contractors.</p>	<p>PC Lifecycle Program Manager (Coordinate with FSU Program Coordinator and PC Replacement Coordinator)</p>

PROCEDURE STEP 2 – APPROVE OPERATIONAL PLAN

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
2.1	Obtain Business Manager and/or COI approval of biennial Operations Plan.	PC Replacement Coordinator
2.2	Obtain Infrastructure COI validation that the effort can be supported in compiled biennial Operations Plan.	PC Lifecycle Program Manager
2.3	Include PC replacement costs in Agency biennial budget request.	Business Managers
2.4	Input replacement information into PC Lifecycle Management Tool.	PC Replacement Coordinator (Coordinate with FSU Program Manager)

PROCEDURE STEP 3 – MODIFY OPERATIONAL PLAN

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
3.1	<p>Review and revise plan at least 4 months prior to start of Biennium.</p> <ul style="list-style-type: none"> Identify any changes to replacement cycle or configuration minimums due to technology changes expected during the biennium. Identify configuration characteristics of machines that will be re-deployed when replaced with newer equipment. 	<p>PC Lifecycle Program Manager</p> <p>(Coordinate with ICOI, Technology FSU; System Management, Program Team; ITPAM)</p>
3.2	<p>Review and revise plans for individual organizational units:</p> <ul style="list-style-type: none"> Prepare detail list of target PCs to be replaced, refreshing what was done in step 1.2. Perform impact review of equipment replacement, considering: <ol style="list-style-type: none"> Application impacts because of infrastructure changes; timing of application change schedules; availability of application install instructions, etc. Plan to resolve application issues before PC's are ordered. Infrastructure impacts due to infrastructure installation schedules, server strategy, PC build issues, configuration changes, etc. Impacts because of business busy times, planned moves, funding strategies, physical storage availability, local business unit needs, etc. 	<p>PC Replacement Coordinator</p> <p>(Coordinate with all affected parties, e.g.: Business Managers, COI's, PC Application Coordinators, FSU Technicians, FSU Program Coordinator, Enterprise IS managers, etc.)</p>

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
	<ul style="list-style-type: none"> Input revised replacement information into PC Lifecycle Management Tool. <p>Create organizational summary reports identifying counts of PCs replaced by COI, by month to use in schedule development, using PC Lifecycle Management Tool. Use to develop deployment resource estimates.</p>	
3.3	<p>Verify financial information.</p> <ul style="list-style-type: none"> Determine replacement cost estimates using ODOT Standards list for current pricing. Verify budget availability and sources. 	PC Replacement Coordinator
3.4	<p>Prepare Deployment Resource Plan to identify FSU and contract resources needed to accommodate desired replacement plans.</p> <ul style="list-style-type: none"> Using the summary list from step 3.2, develop the roll out plan showing resource count needed by month to accommodate requests. Work to come up with lowest cost/least impact delivery. 	<p>FSU Program Coordinator</p> <p>(PC Replacement Coordinators, PC Lifecycle Program team, PC Lifecycle Program Manager)</p>

PROCEDURE STEP 4 – APPROVE MODIFIED OPERATIONAL PLAN

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
4.1	Obtain Business Manager and/or COI approval of modified biennial Operations Plan.	PC Replacement Coordinator
4.2	Obtain Infrastructure COI validation that the effort can be supported in compiled biennial modified Operations Plan, including acquisition of additional deployment resources and funding options if necessary.	<p>PC Lifecycle Program Manager</p> <p>(FSU Program Coordinator, PC Replacement Coordinators)</p>
4.3	Obtain DAS IRMD IT Investment Policy approval of modified Operations Plan, summarized at the agency enterprise level. Submitted to DAS IRMD under signature of Deputy Director for Central Services.	PC Lifecycle Program Manager

PROCEDURE STEP 5 – CREATE REPLACEMENT SCHEDULE

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
5.1	<p>Create detailed Schedule listing each PC to be replaced for each business or organization level.</p> <ul style="list-style-type: none"> • Estimate when the unit is to be replaced. • Determine disposition of each replaced PC. <ul style="list-style-type: none"> • Does it qualify for redeployment using configuration characteristics determined in step 1.2, or will it be sent to surplus. • If redeployed, determine new user name and full cascading effect if further redeployments are planned, and final PC going to Surplus. • One-for-one replacements are expected, except in justifiable situations. • Verify budget availability and sources. • Modify information in PC Lifecycle Tool as necessary. 	<p>PC Replacement Coordinator (Coordinate with FSU Program Coordinator, Business Mangers, FSU Technicians)</p>

PROCEDURE STEP 6 – CREATE DETAIL PURCHASE REQUISITION

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
6.1	<p>Start Exception PC purchase here.</p> <p>Conduct technical review of purchase consistent with approved plan, by individual PC and end-user.</p> <p>Include review of COTS software on PC and plan purchase of any upgrades or new products needed.</p> <p>Assure application issues have been resolved (see step 3.2).</p> <p>Provide support to IT Purchaser for preparation of IT Purchase Requisition.</p>	<p>FSU Technician (Coordinate with Business Manager, IT Purchaser)</p>
6.2	<p>Follows approved plan and schedule, assuring staged preparation and submittal of IT Purchase Requisition with appropriate lead-time for processing, delivery, receiving, and installation.</p>	<p>IT Purchaser (Coordinate with FSU Program Coordinator)</p>
6.3	<p>Completes IT Purchase Requisition order forms:</p> <ol style="list-style-type: none"> 1. IT Purchase Requisition – detailed hardware configuration of PC’s and components, software, shipping location, EA/Subjob, etc. 	

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
	<p>2. PC Replacement Plan - includes PC asset tag numbers of the PC to be replaced and an indication of whether they will be redeployed, surplus, or justification for retention. This plan is used by installing technicians, Asset Site Coordinators and others to coordinate deployment, and turn-ins including advance preparation of Transfer Of Property forms per Finance Standard 5.3.1 (http://intranet.odot.state.or.us/fsb/fasm.htm#chp5).</p> <p>3. PC Exception Justification - explanation of circumstances requiring acquisition outside of Replacement Program.</p> <p>Determine Warranty Upgrade (Service Pak) requirements if increased service levels and additional years of coverage are required to meet business needs.</p> <ul style="list-style-type: none"> • If only purchasing PC, determine if existing monitors require maintenance coverage by reviewing local or program business needs. • See Maintenance Vendor pricing schedule in Standards list, or on ITPAM web site. Contact ITPAM if any questions. • Vendor notification occurs at step 8.8. 	<p>IT Purchaser (Coordinate with Business Manager and FSU Technician)</p>
6.4	Send the IT Purchase Requisition, PC Replacement Plan, PC Exception Justification (if Exception Request), and Warranty Upgrade request via email to Business Manager for review and approval.	IT Purchaser

PROCEDURE STEP 7 – BUSINESS MANAGER APPROVES REQUISITIONS

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
7.1	<p>Ensures order request is: consistent with the Operations Plan, itemized PC replacement and turn-in list, funding sources, is a PC Exception Request, etc.</p> <p>Approve the IT Purchase Requisition, PC Replacement Plan, PC Exception Justification (if Exception Request), and Warranty Upgrade in body of email, and forwards to IT Purchaser for further processing.</p>	Business Manager

PROCEDURE STEP 8 – ORDER AND RECEIVE EQUIPMENT

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
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#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
8.1	<p>Submit the IT Purchase Requisition, PC Replacement Plan, and PC Exception Justification (if Exception Request) according to deployment schedule to PC Replacement Coordinator.</p> <p>Sends copies to FSU Technician, FSU Program Coordinator, Asset Site Coordinator, and Business Manager.</p>	IT Purchaser
8.2	<p>Review IT Purchase Requisition, PC Replacement Plan, and PC Exception Justification (if Exception Request) for consistency with Operations Plan, reconciling discrepancies with IT Purchaser, Business Manager, or FSU Program Coordinator.</p> <p>Establishes preferred Order Date to coincide with installation schedule.</p> <p>Expedites Exception Requests based on urgency of business need.</p>	PC Replacement Coordinator (Coordinate with IT Purchaser, Business Manager, FSU Program Coordinator)
8.3	<p>Within 2 days of receipt, forwards to ODOT IS Purchasing to begin procurement, notating preferred Order Date.</p> <p>Sends copies to IT Purchaser, FSU Technician, FSU Program Coordinator, Asset Site Coordinator, Business Manager, and others in original email.</p>	PC Replacement Coordinator
8.4	<p>Review order for completeness and reconcile discrepancies with PC Replacement Coordinator.</p> <p>Obtains approval of Exception Requests from ITPAM Manager.</p> <p>Submits order to vendor on preferred Order Date.</p>	ITPAM (Coordinate with PC Replacement Coordinator)
8.5	<p>Sends copies of executed Purchase Order to IT Purchaser, FSU Technician, FSU Program Coordinator, Asset Site Coordinator, Business Manager, and others in original email.</p> <p>Provides Drop-ship procedures, asset tags (if required) and CIMBR form to Asset Site Coordinator.</p>	ITPAM
8.6	<p>Receive equipment following drop-ship procedures. Remove packing slips, sign, date and forward to ITPAM.</p> <p>Damaged products or shipping errors are coordinated first with FSU Technician, and then with ITPAM should returns or claims be required.</p> <p>Notify FSU Technician immediately of equipment arrival.</p>	Asset Site Coordinator
8.7	<p>If required, enter serial number into CIMBR online system and attach asset tags to equipment at time of receiving.</p>	Asset Site Coordinator
8.8	<p>Notify the maintenance vendor if maintenance on existing monitors or Service Pack (Extended Warranty) for new equipment is required. Obtain decision information from steps 6 & 7.</p> <p>Uses ITPAM web site for notification form.</p>	Asset Site Coordinator (IT Purchaser)

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
8.9	Process payment for equipment using packing slip provided by ITPAM.	IS Payment Technician

PROCEDURE STEP 9 – DEPLOY NEW PCs

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
9.1	Deploy new PCs following the deployment schedule.	FSU Technician
9.2	Complete and enter installation data into CIMBR online system when performing end-user installation.	FSU Technician
9.3	Tracks CIMBR form in IT Asset Management System. Provide asset information to Financial Services.	ITPAM
9.4	Provides status reports on Lifecycle Replacement Plan orders, receiving and installation to PC Lifecycle Program Manager.	ITPAM

PROCEDURE STEP 10 – HANDLE REPLACED PCs

#	PROCEDURE STEP DETAIL	RESPONSIBILITY (COORDINATED WITH)
10.1	Deploy used PCs following the Redeployment schedule and PC Replacement Plan.	FSU Technician
10.2	In advance of new PC deployment, prepare TOP form for each replaced PC according to Financial Standard 5.3.1 (http://intranet.odot.state.or.us/fsb/fasm.htm#chp5). Arrange transportation to redeployment location, or Surplus Property. Arrange and oversee secure storage requirements.	Asset Site Coordinator
10.3	At time of deployment of new PC, attach red or green tag as appropriate to the replaced PCs following all requirements of Financial Standard 5.3.1 (see link in step 5.1). Follow instructions of Asset Site Coordinator to either: <ul style="list-style-type: none"> ➤ immediately send the PC to Surplus Property, or; ➤ redeploy according to project schedule. Only PCs with completed Transfer of Property (TOP) forms will be moved.	FSU Technician