1. **Purpose.** This directive provides guidance regarding the request, approval, acquisition, inventory, and disposal of Information Technology (IT) Hardware and Software assets.

2. **Summary of Changes.** This is a new directive.

3. **Definitions.**
   
a. **Blanket Purchase Agreement (BPA).** BPAs are contract agreements for commonly used hardware and core software to secure volume purchase discounts and to promote standardization. A BPA may be established by the Department of the Interior (DOI) or one of the DOI bureaus.

   b. **Capital Planning Investment Control (CPIC).** CPIC is a systematic process for selection, control, and evaluation of IT investments. It is mandated by the Clinger Cohen Act of 1996, which requires agencies to use a disciplined process to acquire, use, maintain, and dispose of information technology assets.

   c. **Core Software.** Core software is IT software identified for common use across OSM. Core software includes operating systems and application software identified as commonly used and supported within OSM.

   d. **Consumables.** Consumables consist of materials or equipment that are expendable and need continuous replenishment, such as paper and toner.

   e. **DOI Technical Reference Model (TRM).** A TRM is a reference model of software recognized for use within DOI, which is commonly used, identified, categorized, supported, and approved for use by DOI. DOI’s Office of the Chief Information Officer (OCIO), working with the Chief Technology Officer Council, will maintain the DOI TRM for software. A waiver is required for software purchases of software other than the software categories listed in the TRM.

   f. **Disposal.** Disposal is any hardware that is removed from OSM’s ownership or control by selling, trading, donating, discarding, or in the case of software, uninstalling, deleting, or wiping the hard drive.
g. **Hardware.** Hardware is any equipment purchased for use by OSM for the IT network, electronic processing, electronic monitoring, and Geospatial Information System processing. This equipment includes, but is not limited to the following:

(1) Desktop Computers;
(2) Laptop Computers;
(3) Tablet Computers;
(4) Servers;
(5) Monitors;
(6) Printers;
(7) Scanners;
(8) Plotters;
(9) Blackberries and Network Aware Cell Phones;
(10) Digital Cameras;
(11) Personal Digital Assistants;
(12) Switches;
(13) Routers;
(14) Firewalls; and
(15) Other (any IT Equipment which may not fit the above categories).

h. **Hardware Maintenance.** Hardware maintenance is technical support supplied by a vendor either on site or remotely to repair broken, damaged, or malfunctioning hardware.

i. **Refresh.** Refresh is the annual replacement of IT equipment that has reached its useful life in accordance with the Office of Surface Mining Reclamation and Enforcement’s (OSM) Refresh Guidance on IT Hardware Replacement (Appendix A) developed for OSM IT equipment.

j. **SmartBuy.** SmartBuy is a strategic sourcing initiative of the Federal Government to support effective enterprise-level software management through the aggregate buying of
commercial software (i.e., antivirus software) Government-wide in an effort to achieve bulk savings.

k. **Software.** Software is any IT software license purchased with or without hardware, including all software loaded and used on OSM IT equipment. This includes, but is not limited to, the following categories:

1. Microsoft Licensed Software;
2. Core Software;
3. Application Software;
4. Technical/Scientific/Engineering Software;
5. Operating System Software;
6. Network Software; and
7. Security Software.

l. **Software Licenses.** A software license is usually issued by the software manufacturer to control the legal use of its software. The software license is usually identified in the licensing agreement that identifies software usage, installation, and restrictions.

m. **Software Maintenance.** Software maintenance is the long-term licensed use of software that may include system upgrades, training access, and limited support.

4. **Policy.** It is the policy of OSM to prudently manage its hardware and software assets in support of OSM’s mission objectives and goals while adhering to all applicable laws, regulations, and established DOI and Federal policy. Only authorized Government-owned hardware and licensed software will be permitted on the OSM network. This policy applies to all OSM employees and includes OSM contractors, unless they are specifically excluded under the terms of their contracts.

5. **Responsibilities.**

a. The Assistant Directors, Regional Directors, and Office Heads are responsible for ensuring all hardware and software procurements are entered into the designated inventory system and are reviewed at least annually to ensure compliance and completeness of information in the system.

b. The Chief Information Officer (CIO) is responsible for approval of all IT Software and Hardware procurements; compliance with the refresh of IT Hardware; and oversight of the IT Hardware and Software Inventories. The CIO is also responsible for ensuring
that only approved hardware and software are used by OSM and that appropriate procedures are issued to ensure compliance with this Directive.

c. The Chief Information Security Officer is responsible for annual review of this policy to identify and facilitate compliance. Compliance issues will be reported in conjunction with the quarterly Plan of Action and Milestones briefing to the Director.

d. The Regional and Other OSM IT Managers are responsible for collaborating with the CIO to support annual refresh efforts and ensuring close coordination of the annual refresh dates in support of the established refresh timeline.

6. **Procedures.**

   a. Hardware Acquisition.

      (1) The acquisition of hardware will be made using established BPAs with DOI, General Services Administration (GSA) Purchase Schedules, or SmartBuy. When hardware requirements fall outside the BPA or existing, pre-competited purchase schedules, hardware can be purchased from other sources with appropriate competition in accordance with established OSM and DOI policy and CIO approval.

      (2) All hardware acquisitions will be approved by the CIO, or designee, prior to procurement action and will follow established OSM, DOI, and Federal procurement policy.

      (3) All blackberry acquisitions and the determination of distribution within OSM are the responsibility of the CIO.

      (4) New and upgraded equipment, including leased equipment, will be procured using the Refresh Guidance on IT Hardware Replacement (Appendix A).

      (5) Newly purchased equipment will be:

         (a) In compliance with Electronic Procurement Environmental Assessment Tool standards; and

         (b) EnergyStar compliant.

**Exception:** Consumable/disposable low-volume hardware items under $1,000, such as keyboards, do not need to be approved by the CIO for purchase or entered into the property system (see Appendix B for a more complete list). However, items in Appendix A still need to be tracked through the property system regardless of single unit purchase price, for accountability and justification purposes.
b. Hardware requisitions will include maintenance to cover the expected life of the equipment.

c. All hardware that has been identified as OSM-managed personal property will be entered into the OSM-designated property management system, FBMS, which serves as OSM’s official property inventory. See Chapter 10 of Directive ADS-18, Personal Property Management Program. IT Equipment must be removed following appropriate Government property disposal or donation guidance. For security purposes, all computer processing units must be in compliance with OSM’s wiped disk policy. Only the original operating system that was supplied with the computer when it was purchased may be reinstalled prior to being surplused or donated at the option of the donating office.

d. Hardware will be secured consistent with the sensitivity of the information in the system while making some allowance for installation size, scope, physical layout, and other site-specific elements.

e. Managers and system owners will review the hardware inventory annually to determine hardware replacement requirements in order to strategically maintain the OSM IT Infrastructure and to meet the requirements of system users, OSM, DOI, and Government mandates.

f. **Software Acquisition.**

   (1) Software purchases must be approved by the CIO, or designee, prior to purchase and must follow established OSM, DOI, and Federal procurement policy.

   (2) The acquisition of all software will be made using established BPAs, with DOI, GSA Purchase Schedule, or SmartBuy.

   (3) If software is not on the DOI TRM, additional justification must be provided to obtain a waiver from the CIO and to support the approval of the software purchase.

   (4) Effort should be made to consolidate services and reduce the number of licenses required to run services OSM-wide.

   (5) Unused software purchases should be redistributed if the license agreement so provides.

   (6) Software shall be managed to avoid unlicensed use.

 g. **Software Installation.**

   (1) Only DOI and/or OSM authorized and licensed software may be installed or used on OSM-owned or leased hardware. The use of unlicensed software or personally-owned software is strictly prohibited.
(2) Software installed on OSM-owned hardware will be reviewed electronically to ensure software is licensed, updated, and secure, and that outdated versions and unauthorized software are removed from Government-owned or leased equipment.

(3) Each region, directorate, and office will conduct an annual review of installed software against the central software inventory to ensure OSM compliance with Federal copyright statutes. An annual report on software compliance will be provided to the OCIO by each region, directorate, and office.

h. Refresh.

(1) In addition to Appendix A, a more detailed Refresh procedure document will be established to provide procedural guidance for replacement and removal of IT equipment that has reached its replacement life cycle.

(2) The Regional and other OSM IT managers will review the Refresh procedure document annually and update life-cycle categories as established in this policy document, as appropriate.

(3) IT equipment life cycles will be reviewed to ensure the Refresh cycle is cost efficient and appropriate, taking into consideration factors such as the availability of funding and external environmental requirements, e.g., the need for more computing power to run software and office use to ensure the hardware holds up in its intended environment. This review will be conducted no less than every two years.

i. Capital Planning Investment Control (CPIC).

(1) All costs budgeted for the replacement of IT equipment and the purchase of new or leased equipment must be estimated and reported in a spending plan.

(2) Refresh infrastructure and desktop refresh are acceptable investments beginning with the 2011 CPIC Portfolio development cycle.

j. Waivers. Waivers are required to be signed by the CIO for all hardware and/or software purchases which are made from any source other than from an approved DOI BPA. Waivers are required for all procurements of software not identified as core software or approved by DOI in the TRM.


8. Effect on Other Documents. None
9. **References.**
   
   a. Executive Order 13423 – Strengthening Federal Environmental, Energy, and Transportation Management Implementing Instructions
   
   b. OMB Circular A-130, Appendix III, dated November 28, 2000
   
   c. Public Law 104-106; Clinger-Cohen Act of 1996
   
   d. Public Law 107-347; E-Government Act of 2002
   
   e. Title 44 U.S.C. 3506; Federal Agencies Responsibilities
   
   f. Federal Acquisition Regulations Part 39, Acquisition of Information Technology
   
   g. DOI Secretarial Order 3244, dated November 12, 2002
   
   h. DOI Electronic Stewardship Implementation Plan, dated June 20, 2008
   
   i. OSM Property Directive ADS-18

10. **Effective Date.** Upon Issuance

11. **Distribution.** By electronic format

12. **Appendices.**
   
   a. Appendix A: Guidance on IT Hardware Replacement
   
   b. Appendix B: Items Not Requiring CIO Approval

**Contact:** Chief Information Officer
APPENDIX A

REFRESH GUIDANCE ON IT HARDWARE REPLACEMENT

This guidance is provided to OSM managers to establish and communicate a replacement timeline for IT equipment. This guidance should also be used to develop budget estimates to determine the replacement of IT hardware. Managers may from time to time be required by exigent circumstance to deviate from the actual replacement cycle. IT hardware shall be replaced in accordance with the following:

**Standard Desktop Workstations - Four Years.** Those workstations are identified by the Departmental blanket purchase agreement that meet the needs of the most OSM employees. This configuration should be ordered for employees unless a business case requires that additional features be added to this workstation.

**Advanced Desktop Workstation - Four Years.** These are workstations ordered with advanced computing or storage features needed to meet the employee’s special documented needs for such features. Examples include Technical Innovation and Professional Services (TIPS) workstations and Administrator Workstations.

**Portables (Standard Usage) – Four Years.** This category includes laptops and tablets used in the normal course of business. This includes laptops and tablets used in the office and on occasional travel, and systems loaned from a central office pool.

**Portables (Ruggedized/Field Usage) – Three Years.** Laptops and tablets used primarily in the field. These systems include those used by field inspectors and TIPS systems primarily outside the office environment.

**Servers – Five Years.** Servers should be replaced on a five-year cycle. An additional two-year maintenance agreement should be purchased in addition to the standard three-year hardware maintenance agreement that comes with the purchase of the server.

**Printers – Five Years or until no longer serviceable.** Printers, network and personal, should be replaced on a five-year cycle. Managers should ensure that the number of printers is kept to a minimum.

**Monitors – Five Years, Not to exceed Eight Years.** Monitors should be replaced on a five-year cycle.

**Plotters – Five Years or until no longer serviceable.** Plotters should be replaced on a five-year cycle.

**Scanners – Five Years or until no longer serviceable.** Scanners should be replaced on a five-year cycle.
Switches – Five Years. Switches should be replaced on a five-year cycle.

Routers – Five Years. Routers should be replaced on a five-year cycle.

Other IT Equipment. All other categories of IT equipment should have a plan to replace the equipment based on the expected system useful life as determined by the equipment owner.

Additional Notes:

- Managers should attempt to reduce the number of workstations assigned to employees.

- Contractor-supplied Government workstations must be included in the refresh inventory.
APPENDIX B

ITEMS NOT REQUIRING CIO APPROVAL

a. The following items are excluded from the requirement for CIO approval provided the single unit price for the items is less than **$1,000**:

1. Keyboards;
2. Mice;
3. Storage Devices (CDs, DVDs, thumb drives, memory cards, etc.);
4. Speakers;
5. Computer cables;
6. Batteries;
7. Headphones;
8. CD/DVD burners (mass production CD/DVD burners do need to be approved);
9. GPS units and ancillary equipment;
10. Bore hole cameras;
11. Televisions (provided they were not purchased for use as monitors);
12. Stand alone copiers;
13. Uninterrupted power supplies (UPS); and
14. Consumables – small price replacement parts, supplies such as print cartridges, and ancillary equipment such as mouse pads, USB ports, and laptop bags.

b. The following items are excluded from the requirement for CIO approval provided the single unit price for the items is less than **$3,000**:

1. License renewals for maintenance purposes; and
2. Video Cards