

## Approvals

Approver/Title	Business Unit	Signature	Date Signed

## Document History

The most recent document history/version, document owner, and list of modifications are documented in the table below.

Version	Author	Date	Reviewed By	Change Descriptions
1.0		06/04/2018		Original document.
1.1		07/20/2018		Roles and Responsibilities, Process Flows Fixed Formatting
1.2		07/25/2018		Fixed formatting and added approvals
1.3		11/28/2018		Updated Process flows 1.1, 1.2, 1.3
1.4		01/09/2019		Updated Process flows 1.1, 1.2, 1.3

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7.2 Software Asset Manager .....	<b>Error! Bookmark not defined.</b>
7.3 IT Software Analyst .....	<b>Error! Bookmark not defined.</b>
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7.6 Software Packaging and Deployment .....	<b>Error! Bookmark not defined.</b>
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8 References .....	<b>Error! Bookmark not defined.</b>

# Software Asset Management Process Guide

## 1 PREFACE

This process guide is produced for use by ABC Company's Information Technology (IT) organization and other organizations that use Software Asset Management.

Successful management of business processes is dependent upon clear definition and consistent execution. This Software Asset Management Process Guide is intended to reflect a management statement of direction. The guide bounds the Software Asset Management by its scope and coverage, describes the major functions within the process, and sets forth standards for applying the process.

The Software Asset Management Process described in this document has been developed using the Information Technology Infrastructure Library (ITIL) framework. The overall process flow, terminology, roles, etc. are based on ITIL guidelines for best practices.

While this guide serves as a road map for the existing process deployment, it is also a living document. A continuous improvement effort has been undertaken to capture lessons learned and to take advantage of opportunities to advance the process. This guide should be viewed as documentation of the accepted management approach in executing the Software Asset Management program.

This process has been designed to accommodate the various services offered by ABC Company corporate, as well as the services performed by other ABC business units. It encompasses both the components that have been deployed and the strategies that may be pursued as the process continues to mature.

## **2 MISSION STATEMENT**

IT Asset Management is a critical capability to manage software and hardware by leveraging technology and sound business practices to reduce cost, risk, and inefficiencies of the IT environment and improve delivery of services.

IT Asset Management (ITAM) is a set of capabilities that manage the lifecycle of IT Assets and track their value and ownership across the organization to enable strategic decision making based on meaningful and measurable financial, environmental and contractual considerations.

Software Assets are typically tracked via licenses and entitlements and are utilized to enhance efficiencies in the environment and provide services to the business across their lifecycle.

Software Asset Management (SAM) is the subset of IT Asset Management that focuses on Software Assets. The mission of the Software Asset Management Process is to maximize the benefits while minimizing the risks and costs of Software Assets.

## **3 OBJECTIVES**

Process objectives describe material outcomes that are produced or achieved by the process. The following is a list of objectives for this process:

- Maximize the value from Software Assets over their lifetime
- Provide Software Asset license information for financial audits and forecasts
- Provide information on Software Asset titles to support IT decision making, at both strategic and tactical levels
- Minimize exposure to risks relating to Software titles by coordinating with Configuration Management on patching and security
- Maintain IT Assets in Compliance with legal, industry and corporate standards and requirements
- Provide governance to drive the right trade-offs between investments in assets and usage of assets
- Reclaim and redeploy Software Asset licenses to reduce IT costs

## 4 TERMS, ACRONYMS, AND DEFINITIONS

The terms and acronyms listed in the table below are specific to the process, and definitions are included that describe how they apply.

Terms	Definitions
Information Technology Infrastructure Library (ITIL)	A set of concepts and policies used for managing IT infrastructure, development, and operations. ITIL describes many important IT practices with comprehensive check lists, tasks, and procedures that can be tailored to fit any organization.

Acronym	Definitions

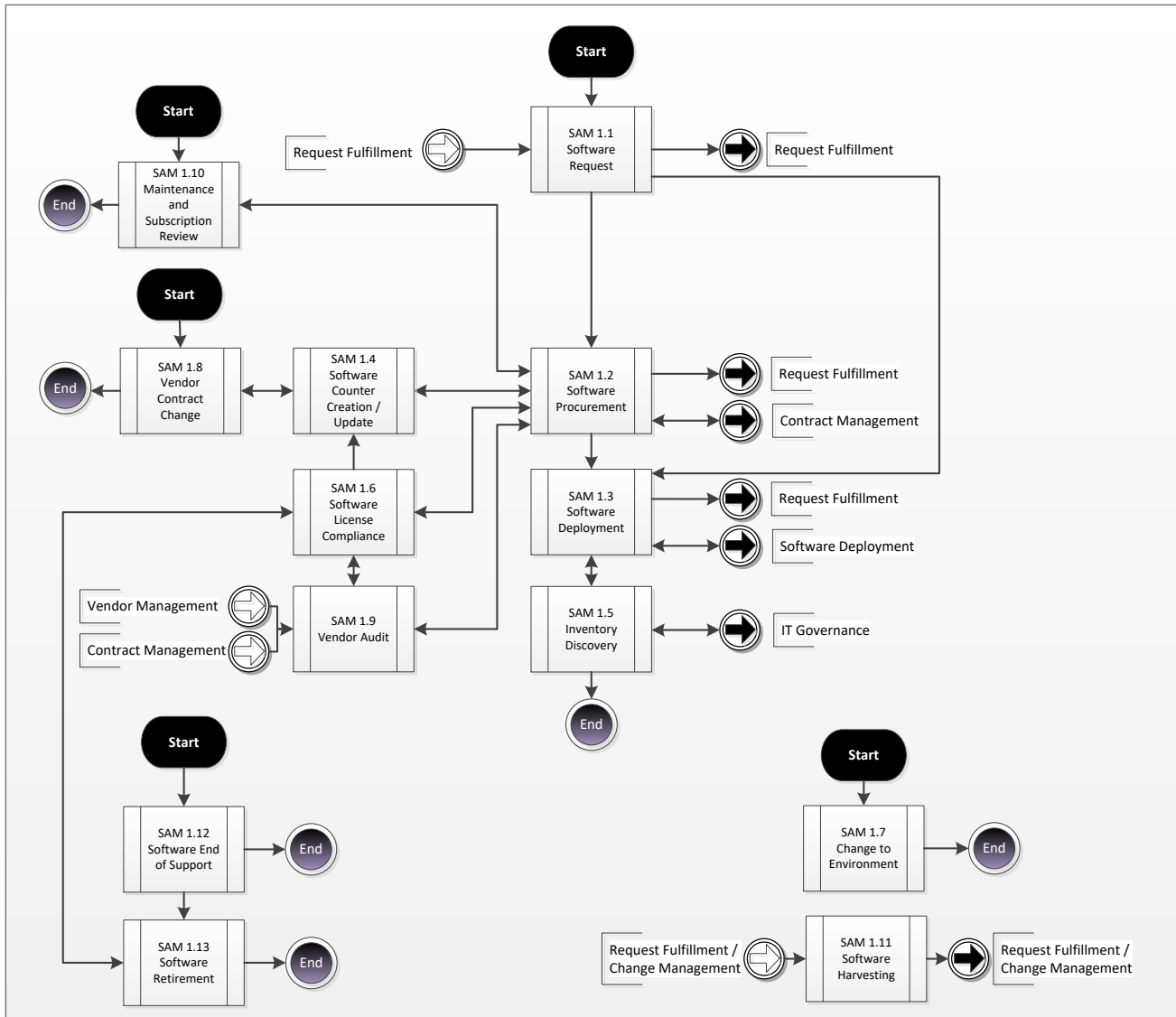
## 5 SOFTWARE ASSET MANAGEMENT PROCESS

The Software Asset Management process provides task level details on the procurement, deployment, verification and disposal of IT Software assets from the environment and associated governance activities. The Software Asset Management process has 13 sub-process areas that are broken out into detailed work instructions.

- **Software Request**
  - Review Requests for Software
  - Check Available Inventory
- **Software Procurement**
  - Procure Software
  - Coordinate with Contract Management
  - Create Software Asset Records
  - Verify Receipt of Software Assets
- **Software Deployment**
  - Configure Software for Deployment
  - Coordinate with Software Packaging (if required)
  - Deploy Software
- **Software Counter Creation / Update**
  - Configure Software Counters
- **Inventory Discovery**
  - Create / Update Discovery Procedures
  - Execute Discovery Scans
  - Assess Inventory Accuracy Reports
- **Software License Compliance**
  - Execute Compliance Counters
  - Reconcile Data
- **Change to Environment**
  - Determine Financial Impacts
  - Determine Contractual Impacts
- **Vendor Contract Change**
  - Review Terms and Conditions
- **Vendor Audit**
  - Execute Audit
  - Negotiate Findings with Vendor
  - Update IT Asset Management Repository

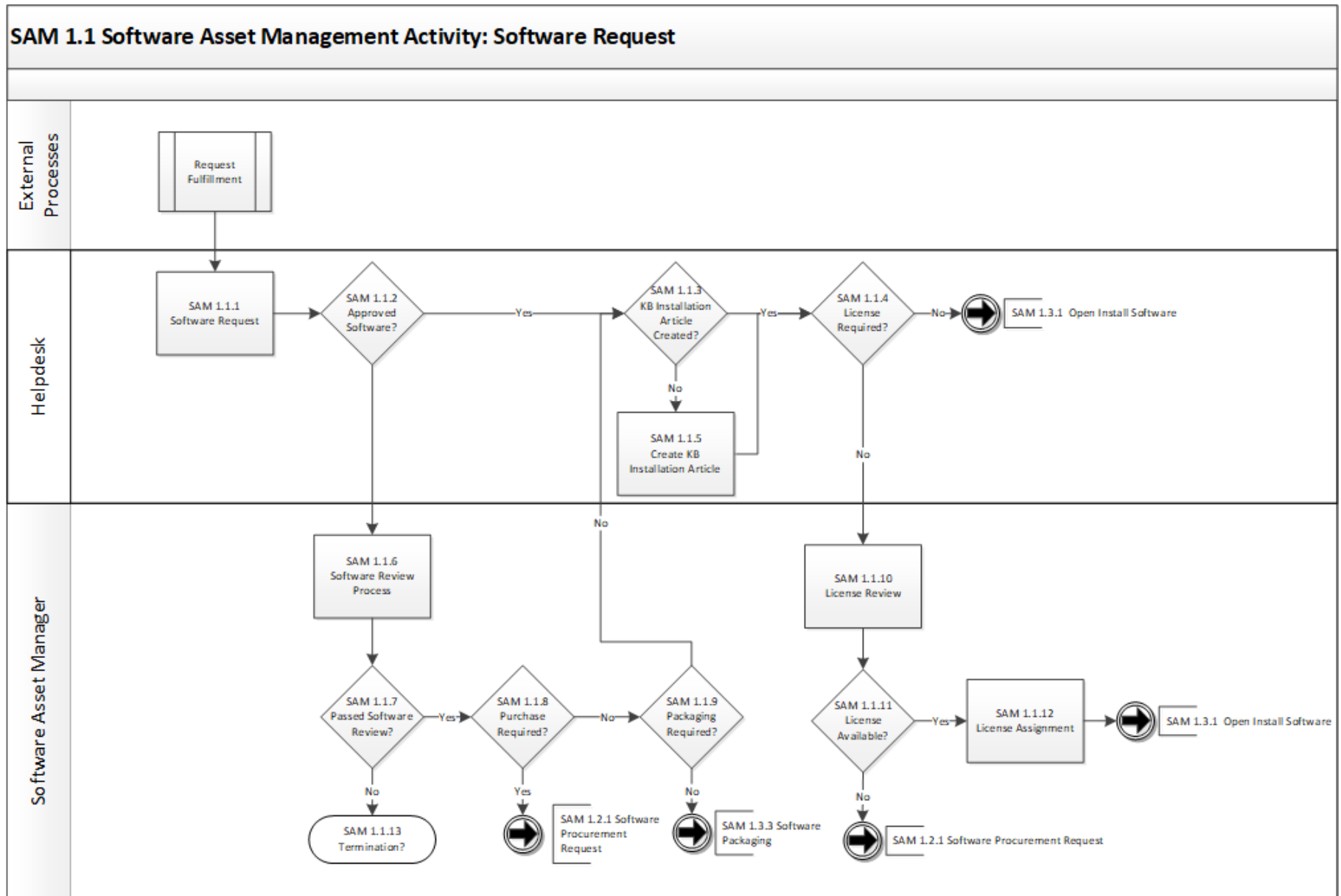
- **Maintenance & Subscription Agreements Review**
  - Monitor Subscription Expiration
  - Renew Subscriptions
- **Software Harvesting**
  - Return Software Licenses
  - Update Ownership / Entitlements
- **Software End of Support**
  - Determine Actions
- **Software Disposal**
  - Remove Software from Hardware Machines
  - Cancel Agreements
  - Update the IT Asset Repository

## 5.1 SAM 1.0 Software Asset Management Process Workflow Overview





## 5.1.1 SAM 1.1 – Software Request



### 5.1.1.1 SAM 1.1 – Software Request Process Activities

Role / Team
External - Request
Software Asset Manager
Requester
TAC Review Team
Security Team
Helpdesk

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
SAM 1.1.1	Software Request	<p>Software Request Initiated by User.</p> <p><b>Notes:</b>  <i>The requests for IT assets are submitted through the standard request procedures via the IT Service Catalog.</i></p> <p>Helpdesk reviews the request and the list of approved software.</p>	Requester	Requester	N/A	N/A
SAM 1.1.2	Approved Software? [No SAM Assistance Required]	<p>YES: The software is on the approved list.</p> <p>NO: Software is not on the approved list. Helpdesk agent routes the ticket to the Asset Management team for review the assistance needed.</p> <p>Note: Helpdesk agent can route tickets to AM team in cases where license management assistance is needed or if there are questions regarding the fulfillment of the request. The associated KB article should detail the process for deployment.</p>	Helpdesk Agent	Helpdesk Agent	N/A	N/A
SAM 1.1.3	KB Installation Article Created?	<p>YES: Move to SAM 1.1.4 – License Required</p> <p>NO: Move to SAM 1.1.5 - Create KB Installation Article</p>	Helpdesk Agent	Helpdesk Agent	N/A	N/A

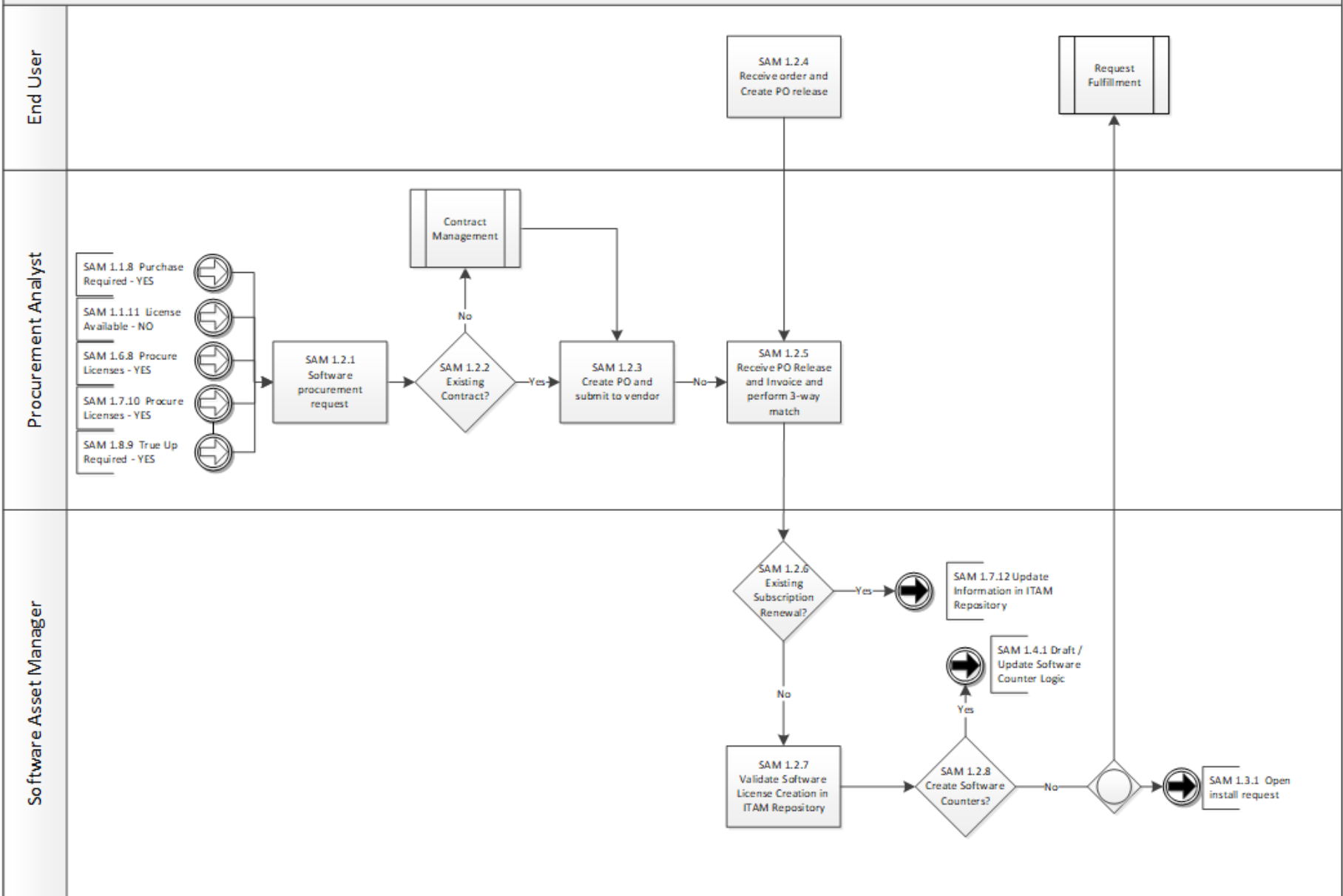
Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
SAM 1.1.4	License Required?	<p>YES: The software is on the approved list and the SAM team administers the license. Move to License Review.</p> <p>NO: Output to SAM 1.3.8 - Install Software</p>	Helpdesk Agent	Helpdesk Agent	N/A	N/A
SAM 1.1.5	Create KB Installation Article	<p>If the installation instructions are not created for the software, the helpdesk will document the installation process and post in a Knowledgebase article. Various groups can be consulted as needed including the SAM team, Security, Application Management, etc.</p> <p>Once the installation article has been created, the helpdesk should communicate the KB article number to the SAM team to update the software record in the SAM repository.</p>	Helpdesk Agent	Helpdesk Agent	N/A	Software Asset Management Team
1.1.6	Software Review Process	<p>Input from Request Fulfillment: <i>The request can be from (but not limited to) an end-user requesting new non-standard software that is not on the approved list, existing unapproved software, installation assistance as described in the associated KB article, from a Project Manager requesting Software for a project, or it can be a request for bulk licenses.</i></p> <p><b>Software Request Categorization:</b>  <u>Non-Approved Existing Software</u>  The SAM Team will review the software request and work with TAC/Security Team to determine authorization of Software and subsequent routing accordingly.</p> <p><u>Non-Standard Software Request (Non-Existing) (Risk Analysis)</u>  The SAM team will review the non-standard software request based upon (but not limited to) the following criteria: Functionality, Security Concerns, Supportability, Consolidation, Existing Alternatives. A business case, additional approvals, and supporting documentation will be needed from the user to determine authorization. The SAM Team will review the software request and work with TAC/Security Team to determine authorization of Software.</p> <p><u>Approved Existing Software – Help Needed</u></p>	Software Asset Manager	Software Asset Manager	TAC/Security	N/A

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
		<p>The SAM team will review the request and provide assistance and/or guidance as needed.</p> <p><i>Details behind approvals and non-standard requests should be documented in the Request Fulfillment process.</i></p>				
SAM 1.1.7	Passed Approval/Risk Analysis?	<p>YES: The software has been reviewed and approved by the SAM team, TAC, Security to be used in the environment.</p> <p>NO: The software has not been approved to be used in the environment. The findings/explanations will be provided to the requester. Move to SAM 1.1.13 – Request Termination.</p>	Software Asset Manager	Software Asset Manager	N/A	Requester
SAM 1.1.8	Purchase Required?	<p>YES: Output to SAM 1.2.1: Software Procurement Request</p> <p>NO: Proceed to SAM 1.1.9: Packaging Required?</p>	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.1.9	Packaging Required?	<p>YES: The software will be packaged. Output to SAM 1.3.3 Software Packaging</p> <p>NO: The software will not be packaged.</p>	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.1.10	License Review	Check inventory status in the IT Asset Repository to determine if a software license is available	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.1.11	License Available?	<p>YES: Move to SAM 1.1.12 License Assignment</p> <p>NO: Output to SAM 1.2.1: Software Procurement Request</p>	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.1.12	License Assignment	<p>Assign the requested software license to the new owner in the IT Asset Repository.</p> <p>Update the Request Fulfillment ticket.</p> <p>Output to SAM 1.3.8 - Install Software</p>	Software Asset Manager	Software Asset Manager	N/A	Requester

**5.1.2 SAM 1.2 – Software Procurement**

[ADD] SAM 1.1.11 – License Available: NO

# Software Asset Management 1.2 – Software Procurement



### 5.1.2.1 SAM 1.2 – Software Procurement Process Activities

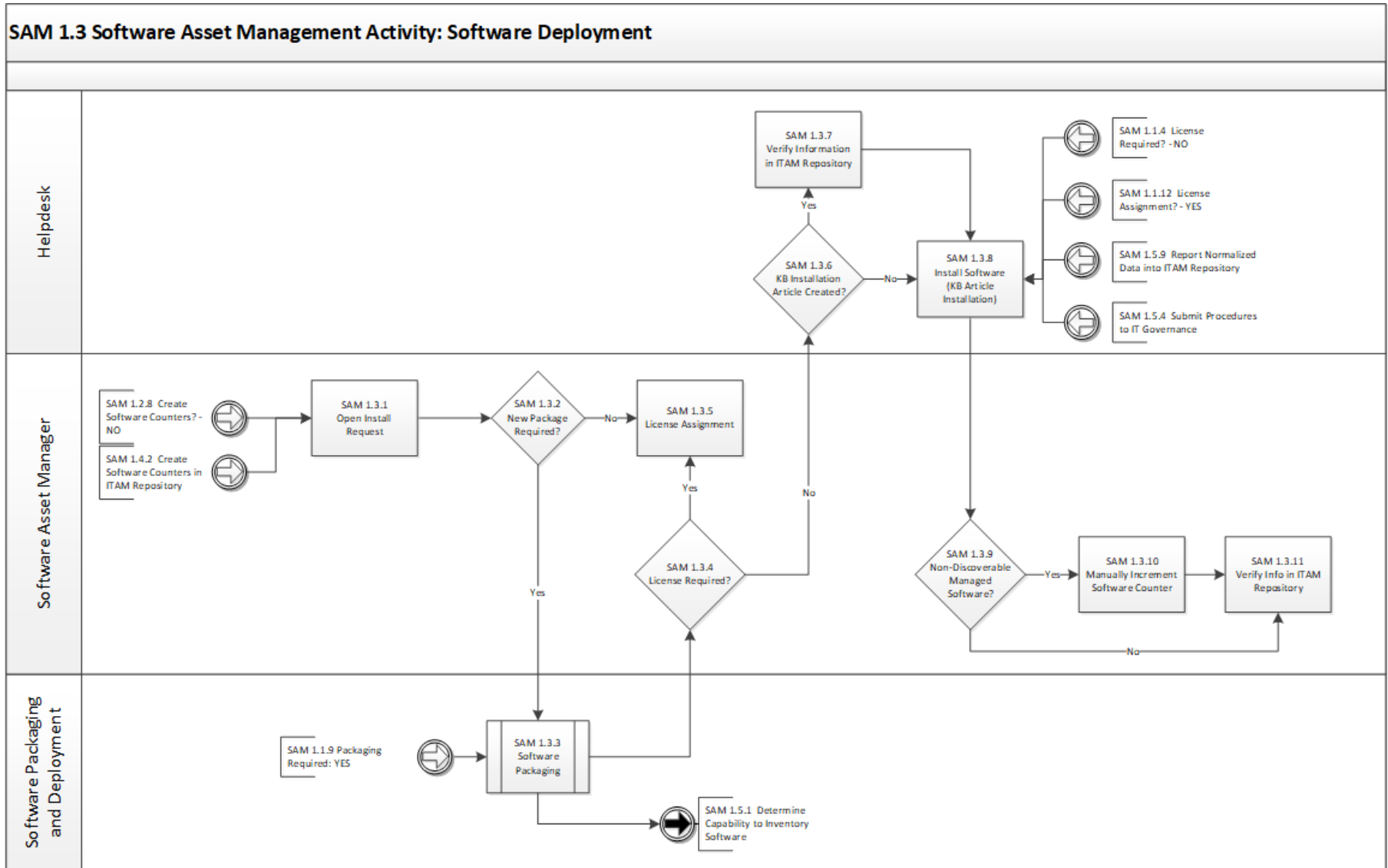
Role / Team
Request Fulfillment
IT Procurement Analyst
Software Asset Manager
Additional Approvers

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
SAM 1.2.1	Receive Request to Procure Software	<p>Input from SAM 1.1.3: Purchase Required – YES                      Input from SAM 1.6.9: Procure Licenses – YES                      Input from SAM 1.9.10: True Up Required – YES                      Input from SAM 1.10.7: Procure Licenses - YES</p> <p>Verify that the Requester has provided the required order approval documentation and placement information.</p> <p>Obtain additional approvals (if necessary) from the appropriate entities. There may be different levels and types of approval depending on the request.</p> <p><b>Notes:</b></p> <p><i>If the request is not approved, the Requester should be informed and the request either modified or closed.</i></p> <p><i>Additionally, if the request is for non-standard Software, an evaluation should take place by Subject Matter Experts to determine if standard Software is sufficient.</i></p>	Procurement Analyst	Procurement Analyst	Additional Approvers	N/A
SAM 1.2.2	New Contract Necessary?	<p>If there is no contract on file with the vendor for this specific Software asset, a new contract must be created to establish an agreement.                      If Yes, coordinate with End User / Client to negotiate and create a new Contract agreement.</p> <p>Once the Contract is completed, proceed to SAM 1.2.3: Create PO and submit to vendor</p>	Procurement Analyst	Procurement Analyst	End user / Client	N/A

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
		If No, proceed to SAM 1.2.3: Create PO and submit to vendor				
SAM 1.2.3	Create PO and submit to vendor	Identify a vendor from a list of approved vendors and create an order for the request.  Submit order.	Procurement Analyst	Procurement Analyst	N/A	N/A
SAM 1.2.4	Receive Order and create PO Release	Typically, once an order is made the licenses are made available either immediately or shortly thereafter. The End user will then create the PO Release	End user / Client	End user / Client	N/A	Procurement Analyst
SAM 1.2.5	Receive PO Release and Invoice and perform 3-way match	Receive PO Release and Invoice. Match the order confirmation against the PO and the invoice.  Update the IT Asset Repository with the order information.	Procurement Analyst	Procurement Analyst	N/A	N/A
SAM 1.2.6	Existing Subscription Renewal?	If the procurement of Software licenses is a renewal or update to an existing subscription, output to SAM 1.10.9: Update Information in ITAM Repository  If No, proceed to SAM 1.2.6: Validate Software License Creation in ITAM Repository	Software Asset Manager	Software Asset Manager	Procurement Analyst	N/A
SAM 1.2.7	Validate Software License Creation in ITAM Repository	Create Software asset title record in the IT Asset Repository and ensure it is related to the PO used for procurement.	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.2.8	Create Software Counters?	If the Software procured is new, output to SAM 1.4.1: Draft / Update Software Counter Logic  If Software Counters already exist, update the Request Fulfillment task and output to SAM 1.3.1: Open Install Request	Software Asset Manager	Software Asset Manager	N/A	Requester



### 5.1.3 SAM 1.3 – Software Deployment



### 5.1.3.1 SAM 1.3 – Software Deployment Process Activities

Role / Team
Software Asset Manager
Software Packaging and Deployment
Software Discovery Specialist
Helpdesk
Requester

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
SAM 1.3.1	Open Install Request	Input from SAM 1.1.12: License Assignment Input from SAM 1.2.8: Create Software Counters? – NO Input from SAM 1.4.2: Create Software Counters in ITAM Repository  Review the request ticket and open/update the install task and verify validity.	Software Asset Manager	Software Asset Manager	Helpdesk	N/A
SAM 1.3.2	New Package Required?	Determine whether the software should be packaged prior to deployment.  YES: Output to SAM 1.3.3 Software Packaging  NO: Proceed to SAM 1.3.5 License Assignment	Software Asset Manager	Software Asset Manager	Software Packaging and Deployment	Helpdesk
SAM 1.3.3	Software Packing	Packaging of the software will be performed by the Software Packaging team.	Software Packaging and Deployment	Software Packaging and Deployment	Software Asset Manager	N/A
SAM 1.3.4	License Required?	YES: The software requires a license. Move to SAM 1.3.5 License Assignment  NO: The software does not require a license. Move to SAM 1.3.6 KB Installation Article Created?	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.3.5	License Assignment	Assign the requested software license to the new owner in the IT Asset Repository.	Software Asset Manager	Software Asset Manager	N/A	N/A

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
		Move to SAM 1.3.6 KB Installation Article Created?				
SAM 1.3.6	KB Installation Article Created?	YES: Move to SAM 1.3.8 Install Software NO: Move to SAM 1.3.7 Create KB Installation Article	Helpdesk Agent	Helpdesk Agent	N/A	Software Asset Management Team
SAM 1.3.7	Create KB Installation Article	If the installation instructions are not created for the software, the helpdesk will document the installation process and post in a Knowledgebase article. Various groups can be consulted as needed including the SAM team, Security, Application Management, etc.  Once the installation article has been created, the helpdesk should communicate the KB article number to the SAM team to update the software record in the SAM repository.	Helpdesk Agent	Helpdesk Agent	N/A	Software Asset Management Team
SAM 1.3.8	Install Software	Input from SAM 1.5.4: Submit Procedures to IT Governance Input from SAM 1.5.9: Report Normalized Data into ITAM Repository  Deploy the Software asset by scheduling an install time with the Requester.	Helpdesk	Software Asset Manager	Requester	N/A
SAM 1.3.9	Non-discoverable Managed Software?	Determine whether the software being deployed can be tracked and software counters updated by discovery sources.  If Yes, proceed to SAM 1.3.10: Manually Increment Software Counter  If No, proceed to SAM 1.3.11: Verify Information in ITAM Repository	Software Asset Manager	Software Asset Manager	Software Discovery Specialist	N/A
SAM 1.3.10	Manually Increment Software Counter	Adjust the software counter for the software that has been deployed to reflect a software license and entitlement in use.	Software Asset Manager	Software Asset Manager	N/A	N/A
SAM 1.3.11	Update information in the IT Asset Repository	Verify the discovery source has updated the software counter and the software is associated with a hardware machine.  Close the Request Fulfillment task.	Software Asset Manager	Software Asset Manager	N/A	N/A

Process ID	Procedure or Decision	Description	Responsible	Accountable	Consulted	Informed
		End Process				