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| Document ID  **ITAM102** | Title  **IT ASSET MANAGEMENT** | Print Date  **mm/dd/yyyy** |
| Revision  **0.0** | Prepared By  **Preparer’s Name/Title** | Date Prepared  **mm/dd/yyyy** |
| Effective Date  **mm/dd/yyyy** | Reviewed By  **Reviewer’s Name/Title** | Date Reviewed  **mm/dd/yyyy** |
|  | Approved By  **Final Approver’s Name/Title** | Date Approved  **mm/dd/yyyy** |

**Policy:** Information Technology assets shall be managed in a manner consistent with the Company’s business and technology requirements.

**Purpose:** Describe the actions taken for proper acquisition, installation, handling, tracking, and disposal of Information Technology assets to meet defined requirements for:

* Ensuring adherence to Company and industry standards;
* Ensuring consistency throughout the enterprise; and
* Conforming to or complying with customer, legal, and regulatory requirements.

**Scope:** This procedure applies to all Company Information Technology assets.

**Responsibilities:**

The Information Technology Asset Manager is responsible for tracking Information Technology assets through their acquisition, distribution, use, and disposal and for ensuring that all Information Technology assets conform to standards, in accordance with ITAM101 IT ASSET STANDARDS.

Information Technology Managers are responsible for approving acquisition or disposal of Information Technology assets and for reviewing this procedure with the Information Technology Asset Manager on a regular basis, to ensure its continued conformance to ITAD101-1 INFORMATION TECHNOLOGY PLAN.

The Tech Support Manager is responsible for logging, testing, accepting, installing, maintaining, and preparing for disposal of Information Technology assets. Tech Support is responsible for ordering and receiving software via the extranet. Tech Support is also responsible for updating the Information Technology Asset Inventory when any changes to Information Technology assets have been made.

The Purchasing Manager is responsible for ordering physical Information Technology assets.

Shipping/Receiving is responsible for receiving, distribution (to Tech Support), and final disposal of most physical Information Technology assets.

Financial Management is responsible for approving acquisition or disposal of Information Technology assets when their value is $5000 or greater. Finance is also responsible for ensuring corresponding updates to the appropriate financial documents.

**Definitions:** Information Technology Asset – Any computer hardware, software, Information Technology-based Company information, related documentation, licenses, contracts or other agreements, etc. In this context, “asset” and “Information Technology asset” are understood to be the same.

Nonconforming Information Technology asset - Any Information Technology asset that does not conform to Company requirements; Information Technology assets that don’t work at all or don’t work as expected are “nonconforming.”

**Procedure:**

### IT ASSET PLANNING

* 1. Certain activities/events may trigger acquisition and/or disposition of Information Technology assets, such as:
  + Scheduled asset acquisitions, conducted in accordance with ITAD101-1 INFORMATION TECHNOLOGY PLAN; or
  + Receiving an ITAM102-1 IT ASSET REQUISITION/ DISPOSAL FORM due to an unplanned event.

1.2 The Information Technology Asset Manager shall review each ITAM102-1 IT ASSET REQUISITION/ DISPOSAL FORM and from those prepare an ITAM102-2 IT ASSET ACQUISITION LIST, which shall be submitted to Information Technology Managers and Finance for budget approval.

### IT ASSET ACQUISITION

* 1. Company personnel shall use ITAM102-1 IT ASSET REQUISITION/ DISPOSAL FORM to request new or replacement Information Technology assets. This form shall be approved by the appropriate department manager before being submitted to the Information Technology Asset Manager.
  + The same form shall be used for assets being relocated within the Company or disposed of due to obsolescence.
  1. The Information Technology Asset Manager should review the ITAM102-1 for correctness and completeness and shall ensure the requested assets are within the Information Technology asset budget.
* If there are issues preventing acquisition (i.e., budget constraints), the Asset Manager shall return ITAM102-1 to the requestor, with explanation. The Asset Manager shall keep a copy of the returned ITAM102-1.
  1. If the value of the Information Technology asset being requested is less than $500, the Information Technology Asset Manager shall order the requested asset(s) without requiring further approval.
  + If the value of the asset is at least $500 and less than $5000, ITAM102-1 shall require the approval of Information Technology Managers.
  + If the value of the asset is $5000 or greater, ITAM102-1 shall require the approval of Finance.
  1. If a purchase or lease agreement exists for the kind of asset being requested, that asset shall be ordered from the existing vendor, pursuant to the terms of the agreement.
  + If such an agreement does not exist, the Information Technology Asset Manager may recommend entering into one, in accordance with procedure ITAM103 IT VENDOR SELECTION.

### IT ASSET INSPECTION, ACCEPTANCE, & DISTRIBUTION

* 1. Physical assets shall be received by Shipping/Receiving and forwarded to Tech Support.
  + Tech Support may receive non-physical assets, such as application software, directly from the vendor.
  1. Tech Support shall log Information Technology assets in the “Received” section of ITAM102-3 TECH SUPPORT RECEIVING LOG as they are received.
  2. Tech Support shall inspect and test assets for performance and capability prior to acceptance, if possible.
     + When a nonconforming asset is identified, Tech Support shall report the nonconformity on ITAM102-4 NONCONFORMING IT ASSET FORM and forward a copy of the form to the Information Technology Asset Manager and to the Purchasing Manager.
     + The Purchasing Manager shall contact the vendor for replacement of the nonconforming asset and dispose of the nonconforming asset in accordance with any purchase/lease agreement in place.
  3. Tech Support shall indicate acceptance of Information Technology assets by:
  + Signing and dating the TECH SUPPORT RECEIVING LOG on the “Accepted” line (Tech Support shall retain Receiving Logs on Information Technology assets for as long as those assets are in service);
  + Placing a control tag, or asset ID tag, on larger assets (PC’s, monitors, keyboards, etc.); and
  + Forwarding the packing slip or invoice to the Purchasing Manager for payment.
  1. Only Tech Support shall distribute and install Information Technology assets.
     + In the case of assets designed for use by **individuals**, installation shall be scheduled primarily for the user’s convenience.
     + In the case of assets used by **multiple individuals** (network hardware/software, operating systems, common application software, etc.):
     1. Installations shall be scheduled at a date and time that will affect the least number of users;
     2. Ample advance notice shall be given to all affected users; and
     3. Tech Support shall mitigate risk by ensuring backup and/or redundancy of the affected systems/applications, in accordance with procedure ITSD102 IT SECURITY PLANNING.
* On installing hardware, Tech Support shall give each item a unique network identifier, in accordance with procedure ITAD104 IT DEVICE NAMING CONVENTIONS.

3.6 Tech Support shall update ITAM102-5 IT ASSET INVENTORY DATABASE and ITAM102-6 IT NETWORK MAP after installing assets.

### IT ASSET DISPOSAL

* 1. Personnel shall request disposal of Information Technology assets by completing the bottom half of ITAM102-1 IT ASSET REQUISITION/DISPOSAL FORM and forwarding the form to the Information Technology Asset Manager.
  2. The Information Technology Asset Manager shall direct Tech Support to dispose of Information Technology assets in accordance with procedure ITSD102 IT SECURITY AND DISASTER PLANNING.
  3. All Information Technology assets shall be disposed of only through approved waste handlers or recyclers, in accordance with procedure ITAM103 IT VENDOR SELECTION, and in a manner that complies with applicable Federal, state, and local statutes and guidelines (See References “A” and “B”). Possible destinations for disposable Information Technology assets include:
* Reuse or reclamation by Tech Support;
* Returning to the vendor for failure of the asset to perform as expected or to conform to business requirements;
* Returning leased assets to the vendor at the time of lease expiration;
* Disposal of obsolete software versions in a manner approved by the vendor;
* Sending the purchased asset to a sanitary landfill; and
* Sending the purchased asset to an approved recycler.

4.4 Upon disposal of said assets, Asset Management shall update ITAM102-5 – IT ASSET INVENTORY DATABASE and ITAM102-6 IT NETWORK MAP.

### 5.0 IT ASSET VERIFICATION

5.1 The Information Technology Asset Manager shall conduct a periodic assessment of Information Technology assets to verify their status (i.e., in use/not in use), in accordance with procedure ITAM104 IT ASSET ASSESSMENT.

5.2 If an asset is not being used or is not being used as specified (for example, ITAM102-5 IT ASSET INVENTORY DATABASE and ITAM102-6 IT NETWORK MAP are not in agreement), the Information Technology Asset Manager shall take corrective action, which may include:

* Taking the asset out of service;
* Initiating an incident report, in accordance with ITSD109 IT INCIDENT HANDLING; and
* Updating ITAM102-5 and ITAM102-6.

**Forms:**

* ITAM102-1 IT ASSET REQUISITION/DISPOSAL FORM
* ITAM102-2 IT ASSET ACQUISITION LIST
* ITAM102-3 TECH SUPPORT RECEIVING LOG
* ITAM102-4 NONCONFORMING IT ASSET FORM
* ITAM102-5 IT ASSET INVENTORY DATABASE
* ITAM102-6 IT NETWORK MAP

**References:**

1. **RESOURCE CONSERVATION & RECOVERY ACT (RCRA)**

The RCRA, which amended the Solid Waste Disposal Act, established a regulatory structure for the management of solid and hazardous wastes. Disposal of physical Information Technology assets not only involves solid waste but often involves hazardous waste, too.

Subtitle C of the RCRA addresses ***cradle-to-grave requirements for hazardous waste*** and applies to any computer equipment (monitors, PC’s, etc.) that contains a type and minimum (threshold) amount of hazardous material. The objective of Subtitle C is to ensure that hazardous waste is handled in a manner that protects human health and the environment.

The EPA may issue an administrative order to any person or company violating the RCRA; this order may impose a civil penalty and require compliance. Furthermore, the EPA may bring a civil action against persons failing to comply with any order issued under the Act. Visit [http://www2.epa.gov/enforcement](http://www.epa.gov/compliance/civil/rcra/rcraenfstatreq.html) and <http://www2.epa.gov/enforcement/criminal-enforcement> for more detailed information on civil and criminal enforcement or visit the RCRA Online site at <http://www.epa.gov/epawaste/infosources/online/index.htm>.

1. **CODE OF FEDERAL REGULATIONS, TITLE 40 – PROTECTION OF ENVIRONMENT, Rev July 1 2000 (40 CFR 260-299)**

Title 40 of the CFR addresses enforcement of the RCRA (Reference A, above). Hazardous material is defined in Title 40 and disposal restrictions are spelled out; parts 260 through 299 pertain to generation and disposal of ***hazardous*** materials, sometimes found in computer equipment.

Hazardous waste generators are classified by generated amounts and requirements for each class are specified. There are requirements covering every step of the hazardous waste handling process, from generation to transport to treatment, storage, and disposal.

Enforcement of Title 40 is the responsibility of the EPA.

See <http://www.gpo.gov/fdsys/pkg/CFR-2000-title40-vol1/content-detail.html> for specific information.

**Additional Resources:**

1. “Software Asset Management”, Microsoft Corp. (see <http://www.microsoft.com/sam/en/ca/overview.aspx>)
2. Economic Input-Output Life Cycle Assessment, Carnegie Mellon University (see <http://www.eiolca.net/index.html>)
3. IBM Global Asset Recovery Services (see <http://www-03.ibm.com/financing/us/recovery/>)
4. Carnegie-Mellon University, School of Engineering - “Green Design” web site (see <http://www.cmu.edu/gdi/index.html>)

**Revision History:**

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| **Revision** | **Date** | **Description of Changes** | **Requested By** |
| 0 | mm/dd/yyyy | Initial Release |  |
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# ITAM102-1 IT ASSET REQUISITION/DISPOSAL FORM

Requested by: Date:

For department/employee: Charge to:

Job Name: Job No.:

Purpose / Use:

Standards exception granted: Y N (If “Y”, form ITAM101-3 must be attached.)

**ASSET REQUEST**

Urgency: 1 – High 2 – Moderate 3 – Low Date Needed:

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| --- | --- | --- | --- | --- | --- |
|  | | **Pchg. Dept. Use Only** | | | |
| **Asset Description** | | **Qty.** | **Unit**  **Price** | **Extension** | |
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For Purchasing Department Use Only:

Asset Lease / Purchase (circle one) Supplier Name / ID:

**ASSET DISPOSAL**

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| --- | --- | --- | --- | --- |
| **Asset ID**  **Number** | **Asset Description** | **Location** | **Owner** | **Phone** |
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Disposal Date: Method:

**Approved:**

Dept. Manager: Date:

IT Asset Manager: Date:

IT Manager: Date:

Finance Manager: Date:

**Disapproved (with explanation):**

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# ITAM102-2 IT ASSET ACQUISITION LIST

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Asset Description** | **Qty.** | **Unit**  **Price** | **Extension** | **Pchg-Lease**  **Contract #** |
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IT Asset Manager: Date:

Requested by (date):

**Budget Approval:**

IT Manager: Date:

Finance Manager: Date:

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**ITAM102-3 TECH SUPPORT RECEIVING LOG**

**Received:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Asset Description** | **Asset Type** | **Serial Number** | **Vendor ID** | **Date Rec’d.** |
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**Accepted:**

Name Date

**Approved:**

Name Date

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| **ITAM102-4 NONCONFORMING IT ASSET FORM** | | | | | | | | | |
|  | |  | |  | |  | |  | |
| **Asset Description** | | **Serial Number** | | **Date Received** | | **Vendor** | | **Asset Class** | |
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| **Reasons For Rejection (detail defects):** | | | | | |  | |  | |
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| **Approved:** | | | |  | |  | |  | |
| IT Asset Manager | |  | | Date | |  | |
| IT Manager | |  | | Date | |  | |
| Finance Manager | |  | | Date | |  | |
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**ITAM102-5 IT ASSET INVENTORY DATABASE**

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| **Asset**  **ID** | **Asset**  **Class** | **Asset**  **Desc** | **Model**  **Number** | **Serial**  **Number** | **License**  **Number** | **Copy \_**  **Of \_** | **Install**  **Date** | **Expected**  **Service**  **Life (mos.)** | **Expiration**  **Date** | **IP**  **Address** | **Used By**  **Dept.** |
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**ITAM102-6 IT NETWORK MAP**



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