



McGill

Procurement Services | **Services de l'approvisionnement**

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McGill University IT Asset Management Regulation

OVERVIEW

McGill University seeks to provide its community with the necessary IT equipment, infrastructures and services to support the institution's education and research missions. Considering the financial investments and logistical complexity involved in providing such equipment and related services, McGill University now adopts a life cycle approach to the management of this category of assets.

This Regulation provides a framework for the sound management of McGill's IT Assets, from their initial purchase to their final disposal.

- The Regulation articulates the University's commitment to maximizing the utility of each piece of IT Equipment, in consideration of the social, economic and environmental impacts related to IT Equipment life cycles.
- The Regulation prescribes the maintenance of an IT Asset Management Inventory for valuable and/or data containing equipment.
- The Regulation establishes and explains the roles and responsibilities of the University's Staff and Faculty as they are involved in the management of IT Assets.
- The Regulation reflects the University's overall sustainability objectives and the institution's concern for the preservation of natural resources and safeguard of human health.
- The Regulation prescribes the University's reuse hierarchy as it applies to the redeployment of IT Equipment at McGill or its transfer to external organizations for downstream processing.
- The Regulation contains provisions regarding the management of data and software license agreements.

TABLE OF CONTENTS

OVERVIEW.....	1
TABLE OF CONTENTS.....	2
1. PURPOSE	3
1.1. Overarching Goals.....	3
2. SCOPE	4
2.1. Ownership.....	4
2.2. Designated IT Equipment.....	4
3. PURCHASING OF IT EQUIPMENT.....	5
4. ASSET TRACKING AND INVENTORY	6
5. MANAGING USED AND END-OF-LIFE IT EQUIPMENT	6
6. ROLES AND RESPONSIBILITES.....	7
6.1. Chief Information Officer (CIO).....	7
6.2. Procurement Services	8
6.3. IT Asset Stewards and IT Technical Stewards	8
6.4. End Users	10
6.5. Information Security	10
6.6. Hazardous Waste Management.....	10
6.7. Building Directors.....	11
6.8. McGill Bookstore.....	11
7. MCGILL'S VIRTUAL IT GATE.....	11
8. ENFORCEMENT.....	12
9. IT EQUIPMENT LIFE CYCLE MANAGEMENT PROCEDURE.....	12
10. SCHEMATIC REPRESENTATION OF MCGILL'S IT ASSET MANAGEMENT LIFE CYCLE	12
11. APPENDIX: RELATED RESOURCES.....	14

1. PURPOSE

This Regulation directs the University towards the sound management, longevity and optimization of its information technology (IT) assets, in compliance with Québec's *Act respecting the governance and management of the information resources of public bodies and government enterprises* (L.R.Q. c. G-1.103).

The development and adoption of this Regulation also rests upon the principles set forth in the following documents:

- *McGill University's Procurement Policy (effective April 2013)*
- *McGill University's Sustainability Policy (effective May 2010)*
- *McGill University's Policy on the Responsible Use of IT Resources (effective April 2010)*
- *McGill University's Environmental Policy (effective October 2002)*

1.1. Overarching Goals

This Regulation reconciles the management of McGill IT assets with the University's Procurement Policy; which includes provisions regarding the identification of procurement requirements, acquisition and disposal of the IT assets, as well as the maintenance of auditable records.

It also supports McGill University's ambition to become an institutional model of sustainability by:

- Optimizing the life cycle management of McGill's IT Assets while supporting the University's education and research missions;
- Ensuring the safeguard of data confidentiality for McGill's IT Equipment users;
- Raising the community's awareness about the sustainable production and consumption of IT Equipment;
- Minimizing the negative environmental, economic, and social impacts which may result from the mismanagement of the institution's IT Equipment;
- Incorporating, in its ongoing operations, the University's 4R hierarchy (Rethink, Reduce, Reuse, Recycle) and contributing to resource conservation;
- Reconciling economic, environmental and social objectives.

2. SCOPE

This Regulation applies to all McGill faculty, departments/and units including self-financed units, covering all designated IT Equipment owned by McGill University (listed below), purchased in whole, or in part, with McGill funds. This includes IT Equipment located at McGill (all campuses) and/or regularly used off campus for McGill related activities.

The Regulation does not apply to IT Equipment purchased entirely with research funds or personal funds (and not reimbursed by McGill University). However, it is considered best practice to follow this regulation for the management of IT Equipment paid for by research funds.

2.1. Ownership

The Owner of all Designated IT Equipment (as defined in 2.2) is McGill University. As such:

- McGill IT Equipment shall not be given away or taken away for personal benefit under any condition.
- Taking McGill IT Equipment off premises is subject to approval from the department/unit's head and subject to the related guidelines issued by the Office of the Chief Information Officer (CIO). The allocation of a portable IT Equipment device implies that the equipment can be taken off premises.

2.2. Designated IT Equipment

This Regulation covers the following IT Equipment Categories:

I. Personal Workstation Components

- Administrative desktop and/or laptop computers
- Academic laptop computers
- Monitors

II. Printing and Scanning Devices

- Printers, scanners, fax machines, and photocopiers (including multi-functional devices and desktop devices)

III. Mobile Communication Devices

- Cellular and satellite telephones, including smartphones
- Electronic pads and tablets with data contracts

IV. Fixed Communication, Data-storage and Distribution Devices

- Routers, switches, servers, and hard drives

- Conventional telephones

V. Audio-visual Equipment

- Image and sound recording/storage devices, amplifiers, equalizers, digital receivers, and speakers designed for use with an audiovisual system (including televisions and smart boards)
- Sound generation devices
- Projectors designed for use with electronic equipment, readers, recorders, and burners
- Display devices including screens, televisions and smart boards

VI. Peripherals and Other Mobile Devices

- Keyboards, mice, cables, connectors, chargers, and remote controls
- Speakers, webcams, earphones, wireless devices, and other accessories such as spare parts, etc.
- Portable digital players, radio receivers, docking stations for portable digital players and other portable devices, walkie-talkies, digital cameras, digital photo frames, camcorders, and global positioning systems
- Memory cards and USB keys
- Computer docking stations
- E-book readers, tablets (such as iPads) without data contracts

3. PURCHASING OF IT EQUIPMENT

The proper life cycle management of McGill's IT Equipment starts with its initial purchase. McGill IT Equipment must be purchased in accordance with the University's Procurement Policy and IT Equipment Purchasing Procedures. Through sound procurement practices, we can ensure that:

- the University meets its legal obligations, as all IT Equipment purchases at McGill are subject to the Act C-65.1 - Act Respecting Contracting by Public Bodies;
- social, environmental and economic criteria are applied to the University's purchase of IT Equipment;
- the University's Minimum Standard Requirements for new IT Equipment are enforced (when applicable);
- valuable and/or data-containing IT Equipment is entered into a suitable inventory at the time of its acquisition which can subsequently be tracked throughout its life cycle at McGill.

Making the right choice at the time of purchasing has a significant and positive impact on the cost and process efficiency throughout the life cycle of the selected IT Equipment.

The McGill Bookstore is the University's primary IT Equipment reseller and a key partner in the life cycle management process of McGill's IT Equipment.

Procurement Services provides step-by-step IT Equipment Purchasing Procedures for faculty and staff who have authority to purchase IT Equipment on behalf of the University, for their respective areas of work. The IT Equipment Purchasing Procedures prescribe where, how, and by whom IT Equipment may be purchased for use at McGill.

4. ASSET TRACKING AND INVENTORY

This Regulation prescribes the asset tracking of all McGill IT Equipment (regardless of their Equipment Category) which meets either of the following criteria:

- The IT Equipment may contain University related data;
- The IT Equipment has an initial purchase cost of 250\$ CAD and above (before tax).

The IT Equipment which meet either of the above criteria must be tracked and recorded for inventory from the moment they are purchased for use by McGill faculty and/or staff. Inventory data must include the item's description/brand/value/serial number as well as the name and department of the staff or faculty member responsible for its use.

Each faculty/department or unit is responsible for the collection and maintenance of its IT asset inventory, in accordance with the guidelines provided by the Office of the CIO.

An exception to tracking and inventory procedures may apply to very small and mobile devices such as USB keys and external drives. The purchase and end-of-life management (including proper data wiping and sanitization) of these devices must follow all other requirements set forth in this Regulation.

5. MANAGING USED AND END-OF-LIFE IT EQUIPMENT

Used and End-of-Life (U/EoL) IT Equipment contain many resources, including hazardous substances, precious metals and critical elements. Their sound management requires taking account of social, environmental, and economic parameters and the acknowledgement of the latest research pertaining to the sustainable management of IT Equipment life cycles.

McGill adheres to the 4R Hierarchy (Rethink, Reduce, Reuse, Recycle) in the management of its IT Equipment.

For the purposes of this Regulation, the 4R Hierarchy shall be applied as such:

- **Rethink:** Before purchasing any IT Equipment, McGill faculty and staff shall consider whether such a purchase can be avoided or delayed (i.e. by upgrading or replacing parts/keeping original peripherals/accessories, seeking options for reusing the IT Equipment).
- **Reduce:** McGill faculty and staff shall endeavour to minimize their purchase of IT Equipment in terms of quantity and variety. Purchases shall be carefully thought out, by

planning for future upgrades, considering the latest technologies, quality and multi-functionality.

- **Reuse:** Used IT Equipment shall be redeployed at McGill according to the following sequence defined by the Chief Information Officer (CIO) and Procurement Services:
 1. Internal reuse of whole IT Equipment within the original faculty, department/unit.
 2. Campus-wide or inter-departmental reuse of whole IT Equipment (within the University, but in another faculty, department/unit).
 3. Parts harvesting from IT Equipment for use within faculty, department/unit.
 4. External reuse of whole IT Equipment channelled through McGill's Hazardous Waste Management to the designated certified and non-profit refurbishing/reuse organisation(s) located in the Montreal Metropolitan area (the Refurbisher).
 5. External parts harvesting from IT Equipment for the purpose of reusing the parts, channelled through McGill's Hazardous Waste Management to the Refurbisher.
- **Recycle:** McGill's End-of-Life IT Equipment shall be recycled by the University's designated recycling organization(s) located in the Montreal Metropolitan region (the Recycler). The End-of-Life IT Equipment shall be dismantled for the purpose of material recovery and disposal in an environmentally and socially responsible manner.

Note: Related Definitions

- **Used IT Equipment:** is defined as any IT Equipment that is not new but is still functional. This equipment may or may not meet the CIO's Reuse Eligibility Criteria.
- **Reuse Eligibility Criteria:** The CIO issues annual guidelines of minimal criteria (age/performance) for the reuse of desktops and laptops at McGill. Used Desktops and laptops must be assessed based on the Reuse Eligibility Criteria before being considered for "reuse" at McGill.
- **End-of-Life IT Equipment:** refers to any IT Equipment that is too damaged, broken or old to be functional. This equipment should be identified as material for recycling.

6. ROLES AND RESPONSIBILITIES

6.1. Chief Information Officer (CIO)

The Office of the CIO periodically issues Minimum Standard Requirements (functionality, performance, configuration and warranty) for the purchase of IT Equipment at McGill. These requirements are necessary to ensure the longevity, upgradability and future reuse potential

of IT Equipment, and must be respected by all faculty and staff when making purchase decisions.

The Office of the CIO publishes Reuse Eligibility Criteria which are updated annually. These criteria serve as guidelines for faculty and staff to determine the appropriate life cycle progression for used desktops and laptops at McGill.

IT Services, under the direction of the CIO, provides guidelines regarding the collection and maintenance of the asset management data, which are required from the Stewards (see definition below) for inventory purposes. IT Services shall relay the Asset Management Reports to Procurement Services on a quarterly basis.

6.2. Procurement Services

Procurement Services adopts, communicates and enforces the necessary procedures and guidelines for the purchasing of IT Equipment at McGill (Purchasing Procedures for IT Equipment).

Procurement Services applies the CIO's *Minimum Standard Requirements* to its calls for tender when selecting suppliers for the purchase of IT Equipment.

Procurement Services analyses the various reports made available from the Office of the CIO and Hazardous Waste Management, for the purpose of monitoring the input and output flows of McGill IT Equipment.

Procurement Services, in collaboration with Hazardous Waste Management, selects and contracts with downstream processors (the Refurbisher(s) and the Recycler(s)) according to sustainability criteria and best practices.

Procurement Services enters into Service Level Agreements with other McGill Units to ensure the cost efficient transportation of used IT Equipment across faculties/departments/units for reuse purposes.

6.3. IT Asset Stewards and IT Technical Stewards

Stewards are responsible for the sound and optimal management of the IT Equipment that is provided to their designated department/faculty/unit. Within faculties, departments/units, an IT Asset Steward and an IT Technical Steward can share stewardship responsibilities. In some cases, the same person may assume both responsibilities.

The responsibilities of the **IT Asset Steward** pertain to asset management and tracking:

- Assign/allocate IT Equipment to individual users;
- Adhere to CIO guidelines for the allocation of desktop and laptop computers;

- Ensure the proper use of the IT Equipment;
- In accordance with mechanisms and standards provided by the CIO and IT Services;
 - Track data containing and/or valuable IT Equipment (initial purchase cost of \$250 and more) and maintain appropriate inventory information;
 - Communicate inventory data to the CIO's Office;
 - Communicate the availability and/or need for IT Equipment to be reused within McGill;
- Authorize transfer of IT Equipment to and from other departments/units for reuse, and/or to Hazardous Waste Management for external reuse or recycling;
- Coordinate the transfer of IT Equipment in and out of the faculty, department or unit;
- Ensure that no McGill IT Equipment is given away or taken away for personal benefit , under any condition;
- Report immediately to the Office of the CIO if any IT Equipment is missing, is taken away without authorization, is stolen or damaged.

The responsibilities of the **IT Technical Steward** pertain to asset setup, maintenance, and the coordination of physical transfers:

- Provide recommendations for IT Equipment allocation;
- Install and set up IT Equipment;
- Maintain IT Equipment;
- Communicate the availability (and/or need) of IT Equipment for reuse within McGill;
- Physically transfer IT Equipment within their faculty, department/unit upon approval by the IT Asset Steward;
- Ensure proper data wiping (media sanitization) following Information Security Guidelines (before IT Equipment is reallocated at McGill or sent to Hazardous Waste Management);
- Confirm the data-wiping (media sanitization) status of IT Equipment to Hazardous Waste Management before it is picked up for reuse or recycling outside McGill;
- Report immediately to their Faculty/Department or Unit's IT Asset Steward, and/or the Office of the CIO if any IT Equipment goes missing, is taken away without authorization, is stolen or damaged.

Note: In the absence of a clearly designated IT Technical Steward, the redeployment of a used but functional IT Equipment (or its transfer to Hazardous Waste Management) should be

managed by the administrative unit usually responsible for the purchase of a given class of IT Equipment. For example:

- Used or end-of-life (U/EoL) IT Equipment from Category V (audio-visual equipment) shall be managed by Content and Collaboration Services (CCS) in collaboration with NCS;
- U/EoL IT Equipment from Category III (Mobile Communication and Displays) shall be managed by Procurement Services;
- U/EoL IT Equipment from Category II (Printing and Scanning Devices) shall be managed by IT Customer Services (ICS);
- U/EoL IT Equipment from Category I (Personal Workstation Components) shall be managed by ICS.

6.4. End Users

The responsibilities of the **End User** pertain to the purchase and the use of the IT Equipment:

- End users must adhere to the CIO's *Minimum Standard Requirements* when purchasing IT Equipment that will be used for work on the McGill network;
- End-Users must abide by Procurement Services' Purchasing Procedures for IT Equipment.
- They collaborate with their department/faculty/unit's IT Stewards for the proper tracking and inventory taking of McGill IT Equipment (when applicable);
- Use McGill's IT Equipment in accordance with the University's Policy on the Responsible Use of McGill Information Technology Resources.
- Ensure proper maintenance and upkeep of IT Equipment in collaboration with their IT Technical Steward;
- Return McGill's U/EoL IT Equipment to their department/unit's IT Technical Steward.

6.5. Information Security

Information Security adopts and communicates guidelines regarding digital media sanitization, which shall be adhered to by all IT Technical Stewards, and other McGill Community members involved in the management of McGill IT Equipment.

6.6. Hazardous Waste Management

Hazardous Waste Management is mandated to collect the U/EoL IT Equipment from Technical Stewards and handle the equipment before it is picked up by the external Refurbisher or Recycler.

Hazardous Waste Management is also responsible for documenting the quantities and the location (faculties, departments/units) where U/EoL IT Equipment is collected. Hazardous Waste Management records must be reconciled or integrated with the pertinent asset management information and reporting as provided by the Asset Stewards and IT Services.

6.7. Building Directors

McGill building directors shall ensure that no U/EoL IT Equipment be left in hallways or discarded in containers. They may remind McGill community members about the sound management of U/EoL IT Equipment at McGill and encourage people to contact their departmental IT Stewards for the management of their U/EoL IT Equipment.

6.8. McGill Bookstore

The McGill Bookstore is the University's primary IT Equipment reseller and plays a role in facilitating the initial inventory taking of McGill IT Equipment, in collaboration with IT Services.

7. MCGILL'S VIRTUAL IT GATE

The sound management of McGill's U/EoL IT Equipment requires that data containing and/or valuable equipment (initial purchase price of CAN \$250 or more) be tracked from the moment it is purchased and installed to the moment it is finally sent to Hazardous Waste Management.

A Virtual IT Gate can be imagined whereby no McGill IT Equipment leaves the University permanently without:

- being accounted for by IT Asset Stewards and Hazardous Waste Management (with information being maintained and shared with the Office of the CIO and Procurement Services as described above);
- being assessed for proper software licencing management (by IT Technical Stewards);
- being assessed for potential reuse (by IT Technical Stewards, using CIO's Reuse Eligibility Criteria, where applicable); and
- having its data properly sanitized according to Information Security guidelines.

The loss of IT Equipment, the improper disposal of IT Equipment, and the absence of proper data and software management constitute various forms of system leakage. Faculties (by virtue of their IT Asset and Technical Stewards) and the administrative units mentioned under

the “Roles and Responsibilities” section of this document must help maintain McGill’s Virtual IT Gate. By doing so, these partners:

- Protect the University’s assets;
- Ensure data security and confidentiality
- Reduce the financial risks associated with faulty licence management; and
- Minimize the health and security hazards that may result from the unauthorized collection of U/EoL IT Equipment by unsolicited scrap dealers.

8. ENFORCEMENT

The respect of this Regulation (or portions thereof) will be audited on a regular basis by the University’s Internal Audit Office.

Any violation of this Regulation may result in sanctions applied in a manner consistent with the University’s applicable Human Resources policies, up to and including termination of employment.

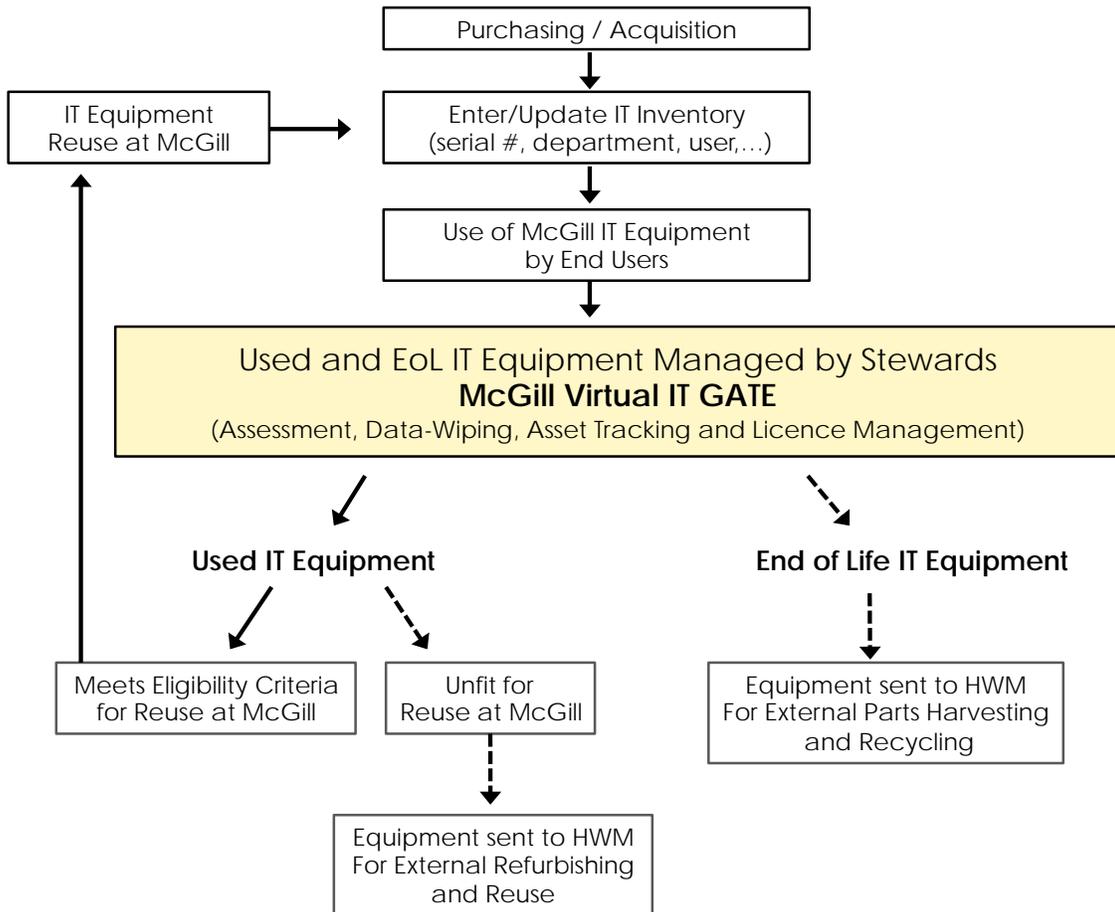
9. IT EQUIPMENT LIFE CYCLE MANAGEMENT PROCEDURE

The IT Equipment Life Cycle Management Procedure provides the step-by-step technical details for the management of IT Equipment at McGill University from the moment any IT Equipment is identified as no longer needed, obsolete or too damaged.

10. SCHEMATIC REPRESENTATION OF MCGILL’S IT ASSET MANAGEMENT LIFE CYCLE

The following simplified flowchart serves as a visual tool highlighting the material and information flows for the management of IT Equipment at McGill in accordance with this Regulation.

Schematic Representation of IT Equipment Life-Cycle at McGill



11. APPENDIX: RELATED RESOURCES

- **Policy on the Responsible Use of McGill's Information Technology Resources**
(<http://www.mcgill.ca/secretariat/policies/informationtechnology/>)
- **IT Equipment Lifecycle Management - Procedures for IT Technical Stewards**
(<http://kb.mcgill.ca/it/equipment-lifecycle-procedures>)
- **Minimum Standard Requirements for the purchase and reuse of IT Equipment at McGill** (<http://kb.mcgill.ca/it/min-standard-req>)
- **Reuse Eligibility Criteria for McGill-owned computers and IT equipment**
(<http://kb.mcgill.ca/it/reuse-eligibility-criteria>)
- **Guidelines for the use of McGill-owned IT Equipment off premises**
(<http://kb.mcgill.ca/it/equipment-off-premises>)
- **IT Asset Management Training**
(<http://kb.mcgill.ca/it/asset-management>)
- **Media Sanitization / Data Wiping Guidelines**
(<https://www.mcgill.ca/it/information-security/data-wiping>)
- **McGill Purchasing Procedures for IT Equipment**
(<http://www.mcgill.ca/procurement/regulation/policies/purchasingpolicy>)