



## Purpose

The Inventory Management job aid is intended to help the Asset Specialist tasked with creating, maintaining, and removing inventory records for Designated Non-Capital Assets (DNCAs). This document should help the Asset Specialist understand their role, responsibilities, and the process by which they should manage inventory records pertaining to DNCAs.

Questions about the responsibilities or procedures around DNCA inventory management should be directed to [dncacompliance@umd.edu](mailto:dncacompliance@umd.edu).

## Designated Non-Capital Assets Overview

Designated Non-Capital Assets (DNCAs) are defined as devices that store and process data with a purchase price under \$5,000. DNCAs are at a higher risk for theft, and therefore detailed guidelines are established for loss prevention and data security. Purchases of any DNCA must follow these guidelines, even if the acquisition cost is minimal.

DNCAs are defined as:

- Desktop computers
- Laptop computers
- Tablets
- Cell phones
- Servers

All DNCAs should be securely stored at all times. This includes physical security of the device as well as the security of the data. All UMD-owned devices should be password protected and utilize full disk encryption. Full disk encryption is currently mandatory for units designated Sensitive for Cybersecurity, it will become mandatory for all units on August 15, 2023.

## Roles and Responsibilities

In order to comply with [USM policy VIII-1.10](#) and the [USM IT Security Standards](#), each campus unit is responsible for maintaining appropriate documentation and records about DNCAs. The "Asset Specialist," as defined below, is responsible for maintaining appropriate documentation and records including the creation of new DNCA inventory records and removal of DNCAs from those records at the end of life. **The same person cannot be both a Unit Purchaser and an Asset Specialist. These roles must be fulfilled by at least two (2) different people.**

Further explanation of roles and responsibilities related to DNCAs are below.

Role	Responsibilities
Unit	College, Division who is responsible for the DNCA.



Unit Purchasers	The individual(s) buying the DNCA. <b>*The Unit Purchaser(s) cannot be the same person (people) as the Asset Specialist.</b>
Asset Specialist (Inventory Coordinator)	Individual who is creating and maintaining inventory records. <b>*The Asset Specialist cannot be the same person as the Unit Purchaser(s).</b>
Responsible Person (Asset Owner, Custodian)	Person who is responsible for the DNCA or the person that the DNCA is assigned to.
Asset Receiver	Individual who receives the DNCA.

*What the Asset Specialist does pertaining to DNCA inventory management:*

- Creates electronic inventory records for each DNCA in their unit (or area of responsibility).
- Maintains DNCA inventory records, including updating all required fields (per Table 1: Required Fields below) as necessary.
- Validates that all DNCAs have the appropriate asset tags. If the DNCA is not tagged, the Asset Specialist will tag the DNCA.
- Distribute, or coordinate the distribution of DNCA to the appropriate responsible person (asset owner/user).
- Coordinates the retirement of DNCAs at the end of their useful life and updates DNCA records appropriately.
- Performs at least one audit per year of unit's DNCAs and updates electronic inventory records to reflect the audit results.

*What the Asset Specialist may do pertaining to DNCA inventory management:*

- Perform multiple audits or partial inventory "checks" throughout the year.
- Keep additional electronic records that have information other than what is required in the DNCA required data element table.

*What the Asset Specialist cannot do:*

Procurement policies requiring segregation of duties apply to DNCAs. **The same person cannot be both a Unit Purchaser and an Asset Specialist. These roles must be fulfilled by at least two different people within the unit.**

- Asset Specialists **cannot** perform the following activities (including the duties of the Unit Purchaser):
  - Create DNCA purchase orders within appropriate purchase methods (discussed in a later section).



- Define receiving (shipping) locations for DNCA purchases.
- Define responsible party for receiving DNCAs.
- Maintain appropriate documentation regarding DNCA purchases.
- Facilitate appropriate approvals for DNCA purchases.

## Guidance for Managing DNCA Inventory

Electronic inventory records of DNCAs should be maintained by all unit Asset Specialists. These records must contain the data elements outlined below (*Table 1: Required Fields*), but may include additional fields as desired by the Asset Specialist (e.g., fields outlined in *Table 2: Optional Fields*). Fields should be updated to reflect any changes in DNCA inventory and updated on an annual basis during required DNCA unit audits.

Units may use any format for tracking DNCA inventory records up until the implementation of ServiceNow, with the expectation that inventory records must be kept up to date and managed/kept electronically. Here is a [template](#) that units may use if they do not have an existing electronic inventory system. UMD is in the process of implementing a single central system of record for tracking DNCA inventory. Once that system is deployed, it must be used as the system of record.

*The DNCA inventory record [template](#) is provided via Google Sheets with “view only” permissions. If a unit would like to utilize Google Sheets as the electronic inventory system, they may make a copy of the template and save it within their Google Drive. For further instruction on how to do so watch this [video](#). This template can also be downloaded onto a computer as an Excel spreadsheet, however units may lose the validation rules within the original spreadsheet. If a unit would like to download the template to an Excel spreadsheet, they can go to File → Download → Microsoft Excel (.xlsx).*

**Table 1: Required Fields (these fields will be included and tracked in the future ServiceNow roll out)**

Data Category	Data Element	Notes
Identifier	Asset Tag Number	New DNCAs: 7-character alphanumeric on the yellow DNCA tag  Existing DNCAs: Numeric sequence of whichever university asset tag is affixed to the DNCA (ex., 6-digit sequence on blue asset tag)  These asset tags can be obtained by sending an email to <a href="mailto:controller@umd.edu">controller@umd.edu</a> .
	Asset Tag Type	University-provided tag, Unit-provided tag



**Designated Non-Capital Asset Guidance**  
**DNCA Inventory Management Job Aid**  
**February 2023**

Asset Information	Asset Status	<ul style="list-style-type: none"> <li>• <b>Purchased</b> - DNCA has been purchased and is in transit to the receiving location</li> <li>• <b>Available</b> - DNCA is in possession of the IT Asset Specialist, but has not reached designated responsible person</li> <li>• <b>Assigned</b> - DNCA is assigned to and in possession of the responsible person or designated lab/room (if DNCA does not belong to an individual)</li> <li>• <b>Transferred</b> - DNCA has been moved to a different unit/department and is no longer the responsibility of the unit</li> <li>• <b>Loaned</b> - DNCA is in a loaner pool or currently loaned out to an individual</li> <li>• <b>Lost/Stolen</b> - DNCA is unaccounted for and/or not in possession of the responsible person</li> <li>• <b>Damaged</b> - DNCA is in possession of the unit, but unassigned and/or unused due to damages</li> <li>• <b>Retired</b> - DNCA is no longer in possession of the unit and is in the retirement process</li> </ul>
	Category	<ul style="list-style-type: none"> <li>• <b>Desktop</b></li> <li>• <b>Laptop</b></li> <li>• <b>Tablet</b></li> <li>• <b>Phone</b></li> <li>• <b>Server</b></li> <li>• <b>Other</b></li> </ul>
	Make	Manufacturer of DNCA (e.g., Apple, Dell, Microsoft)
	Model & Year	(e.g., 2018 Macbook Pro, 2020 Dell Latitude 5280, iPhone 14, 2015 Dell Inspiron Desktop)
	Serial Number	The manufacturer serial number of the DNCA
	Encrypted Hard Drive (Y/N)	<b>Yes</b> - DNCA has an encrypted hard drive <b>No</b> - DNCA does not have an encrypted hard drive
	Leased (Y/N)	<b>Yes</b> - DNCA is leased for university use by a vendor <b>No</b> - DNCA is not leased by the university or is no longer being leased by the university
	Research Funded (Y/N)	<b>Yes</b> - DNCA was purchased (partially or fully) with funds from a research grant <b>No</b> - DNCA was not purchased with any research funds
	Last Inventory Date	Date of last audit or inventory verification
Assignment	Responsible person	Person who is responsible for the DNCA. This can be the person the DNCA is assigned to or the person that is responsible for where the DNCA is located.



**Designated Non-Capital Asset Guidance  
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	Responsible unit/department	The unit or department the DNCA is managed/owned by
	Asset Specialist	Individual who is creating and maintaining inventory records  <b><i>*The Asset Specialist cannot be the same person as the Unit Purchaser(s).</i></b>
	Location	The location of the DNCA (e.g., the building, the room number, remote)
	Date in service	The date the DNCA was put in use
Transfer & Re-Assignment	DNCA Transfer Agreement ( <i>if DNCA status is Transferred</i> )	Memo by which agreement of DNCA transfer is established for inter-department transfers only. This must be kept by the unit from which the DNCA originated for three years and by the unit receiving the DNCA for the remainder of the asset's life.
	Sanitization Method Used	Method in which the hard drive was wiped (this record must be maintained for three years after the retirement of the DNCA)*  <i>*DNCA transfers between units: The unit from which the DNCA originated must retain a record of sanitization for three years after the DNCA has been transferred.</i>
	Date of Sanitization	Date on which the sanitization was performed (this record must be maintained for three years after the retirement of the DNCA)*  <i>*DNCA transfers between units: The unit from which the DNCA originated must retain a record of sanitization for three years after the DNCA has been transferred.</i>
	Performer of Sanitization	Name of individual who performed the sanitization (this record must be maintained for three years after the retirement of the DNCA)*  <i>*DNCA transfers between units: The unit from which the DNCA originated must retain a record of sanitization for three years after the DNCA has been transferred.</i>
Retirement	Terrapin Trader Number	Identifier provided by Terrapin Trader
	Retirement Reason	Reason for retirement
	DIT Drop-Off Date	Date the DNCA (or hard drive) was dropped off to DIT facility for data and OS destruction
	Destruction	Date on certificate that records the DNCA's destruction



	Certificate Date	
	UMPD Case Number (if DNCA status is lost/stolen)	Police report case number for a missing or stolen DNCA

**Table 2: Optional Fields (these fields may or may not be included in the future ServiceNow roll out)**

Data Category	Data Element	Notes
Asset Information	Operating System	DNCA current operating system
	Processor	Processor of DNCA
	Memory	Memory available on device out of box
	Device Age	The age of the DNCA
	Project-Funded (Y/N)	<b>Yes</b> - DNCA was purchased (partially or fully) with funds from a project <b>No</b> - DNCA was not purchased with any project funds
	Description	(e.g., Color, Size, Features, etc.)
Assignment	MAC Address(es)	MAC address(es) of DNCA
	Network	Name of network DNCA is on
	IP Address	IP address of DNCA
Financial	Purchase Date	The date the DNCA was purchased
	Purchaser	The individual in the unit who is buying the DNCA
	Purchase Method	The vehicle through which the purchase was made (ex., Shell Shop, Terrapin Tech, Delegated PO)
	PO Number	The purchase order number
	Date of Receipt	The date the DNCA was received by the university
	Vendor	Vendor from which the DNCA was purchased.
	Vendor	Vendor warranty information for DNCA



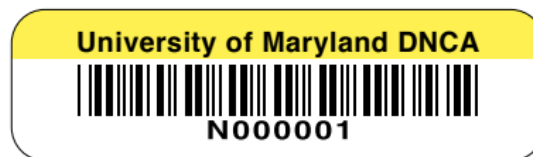
	Warranty	
	Extended Warranty	Extended warranty information for DNCA

## DNCA Asset Tagging

All Designated Non-Capital Assets (DNCAs), including cell phones, must have the appropriate asset tag affixed. This applies to all DNCAs regardless of acquisition method (i.e., leased equipment, government funded, “gifted” DNCAs). All DNCAs should be tagged upon receiving the DNCA. DNCA tags can be obtained by sending an email to [controller@umd.edu](mailto:controller@umd.edu).

### New DNCAs and Untagged DNCAs

As of January 17, 2022, all new Designated Non-Capital Assets (DNCAs) purchased/acquired/managed/leased by the university must be tagged with the new DNCA tag (pictured below).



All existing DNCAs that are not currently tagged with any type of asset tag should be tagged using the new DNCA tag by December 31, 2023.

In the event the untagged DNCAs are at a remote location, an asset tag can be mailed and affixed to the DNCA. The responsible owner of the remote DNCA must show evidence of the affixation of the tag to the Asset Specialist and provide any other relevant information requested so that the Asset Specialist can fulfill their duties.

### Previously Tagged DNCAs

Existing Designated Non-Capital Assets (DNCAs) that already have some form of university asset tag affixed do not need to be retagged with the new DNCA tag. These DNCAs can maintain their existing tag until their end of life. However, units are encouraged to retag these DNCAs with a new DNCA tag if practical.

### Tagging of Government-Owned DNCAs

Designated Non-Capital Assets (DNCAs) in possession of the University of Maryland and owned by the government should have a DNCA tag. Government-owned assets that do not strictly adhere to the definition of a DNCA should continue previous tagging procedures.



## DNCA Annual Audits

Each unit is expected to perform periodic inventory audits of all Designated Non-Capital Assets (DNCAs), at least once per year, to ensure records are accurate and complete. These audits are to be documented and are subject to review by state and University System of Maryland auditors, as well as UMD's Management Advisory Services.

Units are expected to establish an electronic record of all DNCAs that contains information listed in the required fields table (*Table 1*) by December 31, 2023. Units shall annually audit their electronic list of records between July and December of the following year, 2024, and each year thereafter.

## DNCA Transfers

Designated Non-Capital Assets (DNCAs) may be reassigned to another person within a unit or transferred between units. All DNCAs that are to be transferred either within a unit or between units must be wiped using one of the below methods prior to transfer and then follow guidance specific to the type of transfer.

### Wiping Method

- For all Dell DNCAs with non-removable drives, units should do the following to remove UMD data: Utilize [Dell's knowledge base](#) on performing a secure wipe of a drive. Dell recommends either an ATA Secure Erase, which overwrites each bit of data as zero, or Cryptographic Erasure, which requires the sysadmin to delete or reset the encryption key to a self-encrypting drive.
- For all Apple DNCAs with non-removable drives, units should do the following to remove UMD data: Utilize [Apple's support page](#) on performing a secure wipe of a drive. On older Apple devices, Secure Erase is available, which overwrites each bit of data. For newer models, Apple recommends enabling [FileVault](#) from the start. With FileVault enabled, a Cryptographic Erasure can occur.
- Both Secure Erase and Cryptographic Erasure are NIST SP800-88 compliant methods of wiping data from a drive.
- Depending on the manner in which UMD data is wiped, the audit trail may differ. Running Secure Erase may generate a summary report. If that occurs, save and store that report in a secure location such as UMD Box. However, in the event that a wipe is performed and a report or document is not generated, as is the case with Cryptographic Erasure, a sysadmin may have to self-attest that a wipe successfully ran. NIST includes instructions on what to capture and a sample Certificate of Sanitization form at the bottom of their [Guidelines for Media Sanitization](#).
- For other DNCAs with non-removable drives, not specified above, sysadmins should do the following if there is a question: Contact [ITSEC-Consulting@umd.edu](mailto:ITSEC-Consulting@umd.edu) for instructions on how to securely wipe the device in accordance with NIST 800-88 standards.





## DNCA Intra-Department (within a department/unit) Transfer

Designated Non-Capital Assets (DNCAs) may be transferred intra-department (between two people within the same department/unit). Prior to the transfer of the DNCA, the units are responsible for wiping the asset using an approved university method. Units must maintain this record of the cleansing for intra-department transfers for three years after the DNCA is retired. The Asset Specialist may then reassign the DNCA within the unit and update the inventory record accordingly.

## DNCA Inter-Department (between units/departments) Transfer/Relocation

Designated Non-Capital Assets (DNCAs) may be transferred inter-department (between departments/units) at the University of Maryland. Units may transfer a DNCA to another unit with vice president or department head approval. This approval/Transfer Agreement must be documented along with the following DNCA information: serial number, category, make, and model & year. Descriptions of these fields can be found in *Table 1: Required Fields*. This agreement must be documented along with sanitization records.

Standards for record keeping of DNCA Inter-Department transfer/relocation are as follows:

Unit/Department from Which the DNCA Originated	Receiving Unit/Department of the DNCA
<ul style="list-style-type: none"><li>• Transfer Agreement (retain 3 years)</li><li>• Sanitization Records <i>including</i><ul style="list-style-type: none"><li>○ Method of Sanitization (retain 3 years)</li><li>○ Date of Sanitization (retain 3 years)</li><li>○ Performer of Sanitization (retain 3 years)</li></ul></li></ul>	<ul style="list-style-type: none"><li>• Transfer Agreement (retain until end of DNCA life)</li></ul>

## DNCA Replacement

DNCAs that are replaced for any reason (leased, damaged, upgraded, warranty, etc.) should be treated as retired. New assets acquired to replace the old asset will be treated as a brand new asset with a new asset record and new asset tags.

All records and documentation pertaining to a replaced DNCA (leased, damaged, upgraded, warranty, etc.) shall be retained and kept for a period of at least 3 years.

Any exceptions to this procedure must follow the Exceptions process below.



## Exceptions

Any requests for exceptions to this policy should be sent to [dncacompliance@umd.edu](mailto:dncacompliance@umd.edu).

## Violation of Policy/Procedures

Any violations of any UMD policy are subject to disciplinary actions up to and including termination. The university may seek restitution. Criminal charges will be enforced as applicable.

## Questions

Contact [dncacompliance@umd.edu](mailto:dncacompliance@umd.edu) with questions.