



Information Technology Services

SOFTWARE ASSET MANAGEMENT GUIDELINES

Date approved:	1 November 2005	Date Policy will take effect:	1 November 2005	Date of Next Review:	December 2010
Approved by:	Director, Information Technology Services				
Custodian title & e-mail address:	Senior Manager, Desktop Deployments and Software Services donname@uow.edu.au				
Author:	Senior Manager, Desktop Deployments and Software Services				
Responsible Faculty/ Division & Unit:	Information Technology Services Division				
Supporting documents, procedures & forms of this policy:					
References & Legislation:	Crimes Act, 1914 (Commonwealth) Student Conduct Rules IT Acceptable Use Policy (including the Requirements Governing the Use of IT Facilities) Music, Video and Software Piracy Policy				
Audience:	Public – accessible to anyone				
Expiry Date of Policy:	Not applicable				



Contents

1 Introduction / Background.....	3
2 Scope / Purpose.....	3
3 Definitions.....	3
4 General Principles.....	3
5 Acquisition of Software.....	4
6 Software Register.....	4
7 Installation of Software.....	4
8 Home Use.....	4
9 Software Removal.....	5
10 Shareware, Freeware and Trial Software.....	5
11 Internal Audit.....	5
12 Administration and implementation.....	5
13 Roles & Responsibilities.....	6
14 Version Control Table.....	6



1 Introduction / Background

1. This document outlines the University's guidelines relating to Software Asset Management.
2. The University of Wollongong is committed to the appropriate use of Information Technology and Services in support of its teaching, research, administrative and service functions. The University's IT Acceptable Use Policy defines the acceptable behaviour expected of users and intending users of the facilities, including the web facilities and systems. The University requires users to accept the IT policies and associated Requirements Governing the Use of IT Facilities as a condition of their use. These are accessible on the University Policy Directory.

2 Scope / Purpose

1. These guidelines apply to all users of the Universities IT Facilities. All users should be aware of these guidelines, their responsibilities and legal obligations. All users are required to comply with these guidelines and associated IT policies and are bound by law to observe applicable statutory legislation.
2. These guidelines represent the University's institutional position and takes precedence over other policies and guidelines which may be developed at a local level.

3 Definitions

Word/Term	Definition (with examples if required)
University	University of Wollongong
ITS	Information Technology Services at the University of Wollongong.
Chief Technology Officer	The Chief Technology Officer, Information Technology Services
User	University staff and other authorised users of a University telephone
IT facilities	Information Technology facilities operated by the University, whether owned or leased.

4 General Principles

1. The following general principles apply to Software Asset Management:
 - 1.1. It is the policy of the University of Wollongong to respect all software copyrights and license agreement terms/conditions that apply to University owned software installed on University and non-University owned IT facilities, or when used directly in support of its business operations.
 - 1.2. IT facilities purchased with research and/or consultancy funds remain the property of the University of Wollongong and are treated as University owned IT facilities. Users may not duplicate any licensed software or related documentation for use either on University premises or elsewhere unless expressly authorised to do so under the prevailing software agreement.
 - 1.3. Users may not give licensed or copyrighted software to any external parties (including, but not limited to clients, contractors, customers), unless expressly authorised to do so under the prevailing software agreement.
 - 1.4. Users may use software on local area networks, licensing servers, or on multiple machines only in accordance with the prevailing software agreement.
 - 1.5. Assistance with software copyright or license arrangements can be obtained from the ITS Desktop Deployment Manager, the ITS Desktop Support Manager or the Software Asset Manager located in Faculties or Units.



5 Acquisition of Software

1. To purchase software, users should obtain approval from their Head of Department/Unit and one of the following three people: the ITS Desktop Deployment Manager, the ITS Desktop Support Manager, or the Software Asset Manager within their Faculty or Unit.
2. Software should only be purchased using corporate credit cards or petty cash if the purchaser is able to ensure that a complete record of the software purchase is maintained for future reference.
3. Once the software has been received and installed, the ITS Desktop Deployment Manager, the ITS Desktop Support Manager, and the Software Asset Managers are responsible for ensuring that the original media, license documents, manuals and other associated material are securely and appropriately stored as University managed assets.

6 Software Register

1. The ITS Desktop Deployment Manager, the ITS Desktop Support Manager and the Software Asset Managers should maintain a register of all purchased software installed on University and non-University IT Facilities.
2. The software register should include the following information (as a minimum):
 - a. name of the software.
 - b. software vendor's name.
 - c. date software was ordered.
 - d. serial number/asset no. of the hardware on which each copy of the software is installed.
 - e. name of the authorised user(s).
 - f. a list of the associated documents/manuals and their location. In particular, this item should reference the location of the original software media and the license agreement document.
 - g. serial number (software key) of the software (where applicable).
 - h. software agreement expiry date (if applicable)
 - i. software renewal date (if applicable)
 - j. Purchase Order Number

7 Installation of Software

1. The ITS Desktop Deployment Manager, the ITS Desktop Support Manager, the Software Asset Managers or their nominated representatives are responsible for ensuring only authorised and trained staff install software on University IT facilities.
2. The ITS Desktop Deployment Manager, the ITS Desktop Support Manager and the Software Asset Managers should be able to produce the original media, license documents, manuals and other associated material as required, for formal audits or license checks.

8 Home Use

1. If a user needs access to software at home to carry out University work and such use is agreed by the appropriate Dean, Head of Department or Unit Head, the University may acquire a separate license for that purpose. The requirements set out in this document will apply to software acquired under such circumstances.
2. Where a user wishes to install University owned software on their home computer and the software license allows for this action to take place, the user should read and agree to abide by the requirements set out in the specific software license agreement. Installation of software on home computers should have the approval of one of the following three people: ITS Desktop Deployment Manager, ITS Desktop Support Manager, Software Asset Managers or their nominated representatives.



3. Appropriate records should be kept of the installation of University owned software on home machines or on any other non-University-owned IT asset.
4. At the termination of employment with the University, all University owned software should be removed from the staff member's home machine. Verification that this process has taken place should be documented.

9 Software Removal

1. The ITS Desktop Deployment Manager, the ITS Desktop Support Manager, the Software Asset Managers or their nominated representatives are responsible for ensuring that licensed software is removed from University IT facilities when the software license expires. They are also responsible for ensuring that the original media, license documents, manuals and other associated material are disposed of in accordance with the relevant license terms and conditions.
2. University owned software installed on non-University owned computers should be removed if it is no longer required, if the license has expired, or if the person who owns the machine terminates employment with the University.

10 Shareware, Freeware and Trial Software

1. Shareware, freeware and trial software is copyrighted software that is distributed freely. It is the policy of the University to pay shareware authors the fee they specify for the use of their software.
2. All installations of shareware, freeware or trial software should be reported to either ITS Desktop Deployment Manager, ITS Desktop Support Manager, Software Asset Managers or their nominated representatives, and records are to be kept in the software asset database.
3. It is the responsibility of the end user to ensure any freeware, shareware or trial software installed on any device they use which connects to the University's computer network is installed and maintained in accordance with the software licensing agreement.

11 Internal Audit

1. The ITS Desktop Deployment Manager, the ITS Desktop Support Manager, and the Software Asset Manager should conduct half-yearly audits for software assets under their control. This activity will be completed on a random basis and will affect desktops, laptops and servers. The audit will identify all software assets installed on randomly selected IT facilities and will test to ensure compliance with all relevant software licensing terms and conditions.
2. ITS will conduct random software audits of the University's IT infrastructure. All staff should cooperate with ITS when conducting these audits.

12 Administration and implementation

Compliance

1. The University treats misuse of its IT facilities seriously. Violations of the conditions of use of IT facilities may result in temporary or indefinite withdrawal of access, disciplinary action under the University's, or relevant entities, discipline procedures, and/or reimbursement to the University.
2. IT misconduct by students will be dealt with under the Student Conduct Rules. The Chief Technology Officer or their nominee will be the Primary Investigation Officer of allegations of IT misconduct by students. Detailed investigation procedures and the penalties that may be awarded to students engaging in IT misconduct can be found in the Student Conduct Rules.
3. A user's access will be withdrawn given a written request from an appropriate staff member of the sponsoring organisation. Access may also be withdrawn by ITS in response to a suspected policy violation.
4. A student whose IT access has been withdrawn as a result of an investigation under the Student Conduct Rules can appeal the decision or the penalty as provided in those rules. Otherwise, a user whose access has been withdrawn may request reconsideration of the decision by the Chief



Technology Officer who shall consider the withdrawal with the relevant Senior Executive, Dean or Director or the University Librarian. Following this the Chief Technology Officer shall confirm the withdrawal or reinstate access.

5. Misuse or unauthorised use of University IT facilities may constitute an offence under the Crimes Act, 1914 (Commonwealth), as amended and/or other pieces of State or Commonwealth legislation. Nothing in these guidelines or the associated Requirements Governing the Use of IT Facilities may be taken as in any way diminishing or removing a person's obligations to comply with the law, or their liability to prosecution and punishment under law.
6. Users are encouraged to report any misuse of software to the ITS Desktop Deployment Manager, ITS Desktop Support Manager, Software Asset Managers or their nominated representatives.

Penalties

7. Under the Copyright Act, 1968 (Commonwealth), unauthorised commercial dealings in, or possession of, infringing copies of software may result in criminal penalties, including fines of as much as \$250,000 for a company and \$50,000 and/or 6 months imprisonment for a natural person.

13 Roles & Responsibilities

1. The following responsibilities apply:
 - 1.1. The Chief Technology Officer is responsible for ensuring that the University uses only appropriately licensed software and that each software item is used in accordance with its prevailing license agreement.
 - 1.2. The ITS Desktop Deployment Manager, the ITS Desktop Support Manager or their nominated representatives are responsible for ensuring that all site licensed software is used and managed in accordance with these guidelines.
 - 1.3. Each Faculty and Unit should nominate a Software Asset Manager who is responsible for ensuring that software installed at the Faculty/Unit level is used and managed in accordance with these guidelines and the prevailing software agreement.
 - 1.4. Staff with the capability to install software on the University's IT infrastructure are responsible for ensuring that software is installed and managed in accordance with these guidelines and the prevailing software agreement.
 - 1.5. All users of University IT facilities are responsible for ensuring that their use of software is in accordance with these guidelines.

14 Version Control Table

Version Control	Date Effective	Approved By	Amendment
1	November 2005	Director, ITS	First Version
2	6 May 2009	Vice Principal (Administration)	Migrated to UOW Procedure Template as per Policy Directory Refresh



3	9 March 2010	Senior Manager, Desktop Deployments and Software Services	Future review date identified in accordance with Standard on UOW Policy.
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