

University of Florida

Department of Chemistry

Software Management & Compliance Guidelines

Overview

This document offers “best practice” guidelines for software management and outlines the compliance process followed by the Department of Chemistry’s IT Shop. Adoption and use of these guidelines are strongly encouraged throughout the Department in order to manage software assets efficiently and avoid consequences associated with illegal software use. Proper software management includes establishing responsibility, maintaining an accurate inventory, ensuring license compliance, and effectively allocating the use of software applications.

The Chemistry IT Shop provides many department-wide IT services but historically has had limited influence in the day-to-day management of the computers used throughout the department and in each of the research groups. In recognition of that fact, the IT Shop has formed an IT Contacts group of designated faculty, staff, and students to help coordinate system management efforts in all areas of the department. Software management and compliance is one of those coordinated efforts and is a shared responsibility between the IT Shop staff and designated IT Contacts.

Reasons for Following the Terms of Software Licenses

Computer software is a form of intellectual property and is covered under the same provisions of copyright law that protect music, books and film from unauthorized distribution. Like the more traditional media, infringement of copyright law involving computer software carries stiff penalties.

All software comes with a license that specifically states the terms and conditions under which the software may be legally used. Licenses vary from program to program, and may authorize as few as one computer or user to use the software, or as many as several hundred network users to share the application through the system. It is important to read and understand the license agreement accompanying the software program to ensure that you have sufficient legal copies for your departmental unit or research group’s needs.

Steps to Ensure Software Compliance

Our Department is responsible for implementing software management procedures that ensure software compliance and are in keeping with the University’s Software Copyright Policy. The Chemistry IT Shop has identified the following six steps necessary to ensuring software compliance in our Department.

Step 1 – Designate Software Managers

Each Department of Chemistry administrative unit and research group should assign one (or more) individuals as the Software Manager for their group. In most cases, the Software Manager will also be that group’s designated IT Contact person and will coordinate their work with the efforts of the Department’s IT Shop.

The role of the Software Manager includes the following activities:

- serve as a focal point for software activities within their departmental unit or research group;
- distribute the University’s Software Copyright Policy among group members;
- assist individuals in their area in ensuring software compliance on their computers;
- educate individuals about software compliance issues;
- conducting self-audits to ensure software compliance;
- coordinate software acquisitions and consolidating purchases with IT Shop personnel;
- report any problems or known violations to the unit or group’s supervisor and IT Shop staff; and
- maintain summary documentation for software installed on computers within their group.

The Software Manager should be a responsible, detail-oriented individual who serves as the focal point for software activities within the departmental unit or research group that they represent. Group users should have easy access to the group's designated Software Manager.

Please note: *The Software Manager is NOT responsible for software copyright violations found on his/her colleagues computers. The Software Manager is strictly a resource for computer users to refer to with software acquisition related inquiries and a point of contact for IT Shop staff in matters related to software management.*

Step 2 – Take Inventory

It is important to establish what software programs are installed on each computer in your group in order to determine the existence of illegal, unauthorized, or unlicensed programs. To do that Software Managers should create a software inventory log for each computer. The inventory log can take the form of an electronic spreadsheet and should include the following information:

- Computer's Property Decal # or Serial Number
- Computer's Primary User
- Software Product's Name
- Software Product's Version number
- Software Product's Serial number
- Proof of Purchase Information

A sample blank software audit worksheet is provided as Appendix A.

To request assistance in conducting an inventory of your group's computer system(s), please contact the IT Shop staff by sending e-mail to support@chem.ufl.edu.

Step 3 – Gather Proof of Purchase and Ownership Documentation

The Software Manager should attempt to gather all purchasing and licensing information for software that is installed on each of the computers in his/her group. These records can include:

- Sales order/invoice receipts, packing slips denoting the product(s) and quantity purchased
- Letter from the manufacturer and/or publisher denoting what comes with the computer
- Purchase Orders that the Purchasing Department has approved and processed
- Software Site License Agreement and/or Software Site License Program Summary of Order that shows the customer number assigned
- Unexpired License Agreement for shareware or freeware

Ideally, the Software Manager should maintain a Software Documentation Library that would contain all the information and documentation necessary to prove ownership of software installed on computers under their management.

Please note that a number of these various types of documentation will routinely be received for each software license. To avoid unauthorized copying, care must be taken to specifically match the particular items of documentation with installation of the subject software on one, and only one computer.

Step 4 – Reconcile Software Inventory with Ownership Documentation

Once the inventory of software installations is completed, the Software Manager should compare the number of installations with the Ownership Documentation gathered for each computer in their unit or group. If illegal copies of software are identified, the Software Manager should either have them deleted from the end user's computer or recommend that the appropriate license(s) are purchased immediately.

Step 5 – Media Storage and Software Library

After installing a software program on the hard disk, the original software should be kept in a separate, secured storage area. By ensuring secure storage, the risk of software theft and unauthorized duplication of software is minimized.

It is recommended that each Software Manager maintain a Software Library of all original media in their possession. The Software Library can be a file folder or notebook for each software title and should include the following items:

- The original installation media
- All original documentation included with the installation media
- Ownership documentation that includes the number of licenses purchased
- An archival copy of the installation media, if permitted in the End User Licensing agreement
- A printed copy of the Software License Agreement or End User License Agreement

Step 6 – Information to Users

Each computer user in the Department is ultimately responsible for any software copyright violations found on his/her computer. Most software copyright violations occur unwittingly because users either overlook or do not understand software license agreements. Software Managers should provide guidance to users in their area defining their responsibilities for appropriate use and helping them to understand specific restrictions for software they utilize. If computer users are unclear on the terms of particular software agreement the Software Manager should notify the IT Shop Manager for clarification.

Other Considerations

Home Computers

It is not unusual for faculty and staff to take work home. Employees should assume that unless otherwise specifically provided for in the software licensing agreement, all software purchased with University funds should reside only on University owned computing devices.

Student Computers

In many cases, software purchased with University funds are licensed only to the University and **may not** be installed on student's personal computers or laptops. There are several exceptions to this and it is the responsibility of each student to understand the terms of agreement of each software product before they obtain and install a software product on their on PC or laptop.

Purchasing

It is essential that the purchasing of software be a standardized procedure just like the acquisition of other critical assets. All software purchases should proceed through the department's normal purchasing channel, which require the use of a purchase requisition or University purchasing credit card. Even though many software packages may be inexpensive, software **should not** be purchased as a personal employee expense because it is then difficult to track purchases for budgeting and compliance purposes.

Limiting who can install software

Each departmental unit and research group should consider limiting software installations on their computers to that group's designated IT Contact and/or Software Manager in order to maintain greater control over software compliance. Besides defining a specific policy to address software installations, there are several technical solutions that can be utilized to achieve this level of control. Please contact the IT Shop staff (support@chem.ufl.edu) for more information about possible technical solutions.

Appendix B – Letter from the Chair

September 28th, 2004

MEMORANDUM

TO: Department of Chemistry Faculty, Staff, and Students
FROM: David E. Richardson, Professor and Chair
SUBJECT: Software Policy Compliance

This memorandum is issued in an effort to remind the Department's faculty, staff, and students of the importance of complying with the University's *Software Copyright Policy*¹ and to reiterate the seriousness of failing to do so. Simply put, the unlicensed duplication or use of any software program is illegal and can expose both you and the University to civil and criminal penalties under copyright law.

In summary, the University's *Software Copyright Policy* states:

All faculty, staff, and students of the University of Florida are required and expected to obey the laws and legal agreements governing software use. Failure to do so can lead to monetary damages and/or criminal penalties for the individual violator. Because such violations are also against University policies and rules, disciplinary action will be taken as appropriate.

This policy applies to all software acquired by or on behalf of the University of Florida and all software used on University resources.

Each user is individually responsible for reading, understanding, and adhering to the University's *Acceptable Use Policy*², *Software Copyright Policy*, and all licenses, notices, and agreements in connection with software, which he or she acquires, copies, transmits, or uses.

Any individual who violates the *Software Copyright Policy* is subject to any combination of the following:

- Immediate system "lock-down" to prevent installation of future software;
- Suspension or revocation of departmental computer accounts; and
- Disciplinary action as detailed by the relevant policies and rules for faculty, staff, and students. These actions may include suspension, expulsion or termination of employment.

The Department's IT Shop staff will be working with the designated IT Contact in each of the departmental units and research groups to ensure proper management of software assets and compliance with University policies. I encourage all users to fully cooperate with their efforts in this area.

Please contact Derrius Marlin, IT Shop Manager at support@chem.ufl.edu should you have any questions or require assistance. Thank you for your cooperation.

¹ ***Software Copyright Policy*** -- <http://www.it.ufl.edu/resources/copyright>

² ***Acceptable Use Policy*** -- <http://www.it.ufl.edu/policies/aupolicy.html>