



Policy:	ISP-I11
Title:	Software License Regulations
Status:	Approved

1. Introduction

1.1. The Software Management Policy (ISP-S13) makes provision for the Director of IT on behalf of the University to regulate or prohibit use of particular software or types of software for the overall benefit of the University. This document sets out the regulations and controls that apply to the use of software in compliance with the above policy as determined by the Director of IT following consultation, and approved by the Information and Communications Technology Committee (ICTC).

2. Purpose

2.1. The purpose of the Software Regulations is to ensure that all software in use within the University of Leicester is licensed in order to prevent copyright infringement and to ensure proper software asset management. There is also a requirement to ensure value for money in relation to software purchasing.

3. Definition

3.1. Software can be defined as "A set of instructions that causes a computer to perform one or more tasks". Software types include Commercial, Freeware, Shareware and Public Domain Software. This is not an exhaustive list and not all these types are necessarily approved by the University of Leicester.

4. Security Risk

4.1. The University of Leicester licenses the use of computer software from a variety of third parties. The software developer normally copyrights such software and, unless expressly authorised to do so, the University of Leicester has no right to make copies of software except for backup or archival purposes. Copyright laws protect software against copying and distribution, even in the absence of a licence agreement.

4.2. Under the Copyright, Design & Patents Act 1988 the illegal reproduction of software can be subject to civil damages and to criminal penalties including fines and imprisonment.

4.3. If the use of illegal software were discovered, both the person who made the illegal copy and the University of Leicester could be liable to prosecution. Such action would damage the University's credibility and reputation as well as potentially resulting in significant legal costs.

5. Scope

5.1. The Software Regulations apply to all University employees and students and all those who are granted use of a University of Leicester IT account including but not limited to external collaborators, emeritus staff and sponsored departments such as the Students' Union.

5.2. They apply to Commercial software that is purchased by the University using funds from any source including research grants.

5.3. It should be noted that the Software Management Policy (ISP-S13) is still applicable to all software, including Freeware, Shareware and Public Domain Software, irrespective of whether it is included within the scope of the Software Regulations.

5.4. They cover software procured for use in all University environments, including home use. All software acquired on behalf of the University shall be deemed to be University property and governed by the Financial Regulations currently in force.

6. Exclusions

6.1. Software written by University of Leicester staff where the University owns the intellectual property rights.

6.2. Software purchased as part of equipment purchases

6.3. Freeware, Shareware and Public Domain Software

6.4. Mobile apps purchased for use on a particular tablet or smart phone device

7. Changes

7.1. Changes to the Software Regulations are subject to IT Services change control procedures and require the approval of the ICTC.

8. Particulars

8.1. The Software Regulations outline the required framework for acquisition, registration and installation of all software controlled and used by, or on behalf of, the University of Leicester and its departments.

9. Approval of Software Purchase

9.1. All software purchases must be approved by the IT Software Manager or a Software Approver prior to purchase. This enables software to be tested to ensure it is fit for use and compatible with other systems currently in use within the University. It also ensures that the software effectively supports the user needs within the constraints of University Policy, Licence conditions and total cost of ownership.

9.2. In granting approval to purchase specific consideration must also be given to compliance with the Software Management Policy (ISP-S13) and in particular:

- whether the software incorporates adequate security controls for its intended purpose;
- whether the proposed software is known to have any outstanding security vulnerabilities or issues;
- the need for assurances that suppliers will provide updates to correct any serious security vulnerabilities discovered in the future;
- the need to enter into a software escrow agreement for mission-critical applications.

9.3. IT Services and departmental IT Professionals will only provide support for software that has been acquired in accordance with the Software Regulations.

9.4. The support level for a specific piece of software will be agreed when approval for the software purchase is granted. This will be a sliding scale of support from full support including installation, supporting infrastructure and training.

9.5. Software purchased personally must not be installed on equipment purchased using University funds or research grants. Exceptions to this rule must be approved by a Software Approver.

9.6. Procurement of software should normally be undertaken by IT Services who will acquire the software and recharge departments (where appropriate) and arrange installation. This ensures that the University obtains value for money by purchasing groups of concurrent licences, where appropriate.

10. Registration of Software

10.1. All software installation media will be stored by IT Services or a designated departmental IT Professional. If staff are in possession of software they must ensure that it is passed to IT Services or their departmental IT Professional without delay.

10.2. IT Services, or the departmental IT Professional must complete the registration and inventory requirements for all software including completing registration details and returning these to the supplier. All software must be registered in the name of the University of Leicester. A copy of all licence agreements (electronic or hard copy) must be held by IT Services.

10.3. Manuals, tutorials and other user materials should be made available to the users.

10.4. IT Services will provide a software asset register where all IT Professionals can record the software assets the University holds. This will be a register of all software assets, including application software, system software, development tools and utilities.

10.5. The minimum detail that must be documented within the register is:

- Detailed description of the software
- Date and source of software acquisition
- Asset number of each hardware item on to which each copy is installed
- Reference to install location within Definitive Software Library (DSL)
- Software product serial or licence number(s)
- Details of any upgrades or modifications applied to the software
- Where the software is applied to third parties as part of a contract, the contract details and if appropriate the validity period
- Record of media storage location
- The party responsible for maintaining the software: IT Services; a departmental IT Professional; or an end User who has accepted the responsibility of an IT Professional in relation to the software by being granted enhanced privileges.

11. Installation of Software

11.1. Software installation will be carried out by IT Services or departmental IT Professionals unless an end User has been granted enhanced privileges. In this case the User takes on the responsibilities of the departmental IT Professional.

11.2. A User may request enhanced privileges by submitting a case to the IT Software Manager or a Software Approver. Where such requests are granted, the User will sign that they accept the responsibilities of the IT Professional in relation to software installation, registration and maintenance.

11.3. Where Software is installed for evaluation purposes this must be carried out in line with any licence restrictions, with IT evaluation carried out by the IT Professional and functional evaluation by the User. Once the evaluation is passed the software should then be approved for purchase by the IT Software Manager or a Software Approver and registered.

11.4. Once evaluated no software will be installed for use without it having first been recorded on the University software asset register and without clear proof of licence. Installation will then be authorised and the software deployed using the most efficient method. Following installation, the designated installer will ensure that the Software Asset Register is updated to reflect the usage of the software.

12. Software Maintenance

12.1. Software must be actively maintained to ensure that all fixes and patches, needed to avoid significant emerging security risks, are applied as promptly as possible.

12.2. Systems running software, including the operating system, which are clearly not being maintained adequately and which may be presenting a wider risk to security are liable to have their University network connectivity withdrawn. This decision may be made by the Network Authority for the department responsible for the system; however, it may also be made by the Manager, Data and Voice Network Services within IT Services. Related information may be found in:

[Network Management Policy \(ISP-S12\)](#)

13. Removal or Transfer of Software

13.1. The Software Asset Register must be updated should software be removed or transferred, thus all removals or transfers must be undertaken either by IT Services or a departmental IT Professional unless an end User has been granted enhanced privileges. In this case the User takes on the responsibilities of the departmental IT Professional in this respect.

13.2. For centrally funded software, if the allocated software has not been used within a 12 month period it can be recovered and reallocated to avoid the purchase of additional licences.

13.3. Software must only be transferred between different computers in line with the software licence agreement and these Regulations.

13.4. Software must be removed from any information processing equipment that is earmarked for disposal according to the University's disposal policy. In most cases this will be via the University's disposal vendor.

14. Roles and Responsibilities

Role	Responsibility
ICTC committee	Approval of Software Regulations Acts as customer for the software service from IT Services on behalf of the University as a whole. Approves the IT Services software service and the supporting process. Nominates those who will act as Software Approvers

Director of IT	Ensure IT Services provides services in line with the Software Regulations. Drafts policy for authorisation
IT Software Manager	Operational management of the IT Services Software service <u>Grant requests</u> to purchase software <u>Grant requests</u> by end Users for enhanced privileges Explain the responsibilities of the IT Professional as outlined in these regulations to those seeking enhanced privileges <u>Make recommendations</u> to a Software Approver that a request to purchase software or grant enhanced privileges be refused.
Software Approver	Consider recommendations from the IT Software Manager that a request be refused <u>Grant or refuse requests</u> to purchase software <u>Grant or refuse requests</u> by end Users for enhanced privileges Explain the responsibilities of the IT Professional as outlines in these regulations to those seeking enhanced privileges Approve the purchase of SW using a credit card in exceptional circumstances.
Heads of Departments & Colleges	Monitor and ensure that staff actions are in line with this policy.
University of Leicester staff	Act in accordance with this policy
IT Professionals	Act in accordance with this policy
Users with enhanced privileges	Fulfil the responsibilities of the IT Professional in relation to the registration, installation and maintenance of the additional software that they have installed on their personal devices

15. Monitoring

15.1. To monitor compliance with the Software Regulations, random audits will be carried out.

16. Enforcement

16.1. Any individual members of staff found contravening the Software Regulations or jeopardising the security of information that is the property of the University of Leicester may be investigated under the University's disciplinary procedure.

Failure to comply with University Policy may lead to disciplinary action

The official version of this document will be maintained on-line. Before referring to any printed copies please ensure that they are up-to-date.
