Software Asset Management Policy

Software Asset Management Implementation Standard

1. Purpose
This Implementation Standard identifies the minimum requirements that evidence the implementation of the Software Asset Management policy. It also identifies the responsibilities of individual positions in relation to these requirements.

2. Scope
This Implementation Standard applies to all employees, contractors and consultants within the Department of Health divisions, agencies and commercialised business units.
This standard can be used by Hospital and Health Services either as is, by re-branding or as a base for a Hospital and Health Service specific standard.

3. Supporting documents
Authorising Policy
- Software Asset Management Policy

Protocols, Procedures, Guidelines
- Software Asset Lifecycle Procedure

Forms and templates
- Software Asset Register template

4. Related documents
- Queensland Procurement Policy, Department of Housing and Public Works
- Queensland Health Procurement Procedures
- Government Information Technology Conditions (GITC), Queensland Government Chief Information Office
Department of Health: Software Asset Management Implementation Standard

- Queensland Government Enterprise Architecture (QGEA), Department of Science, Information Technology, Innovation and the Arts (DSITIA):
  - ICT Resources Strategic Planning Policy (IS2)
  - Procurement and Disposal of ICT Products and Services Standard – IS13
  - Information Security Standard – IS18
  - Retention and Disposal of Public Records Standard – IS31
  - Recordkeeping Standard – IS40
  - Intellectual Property Guideline
  - Open Source Software Policy
  - Software Asset Management Policy
  - Software Currency Policy
  - Use of Copyright Materials Guideline
  - Use of ICT Facilities and Devices Policy (IS38)
- Queensland Health:
  - Intellectual Property Policy (QH-POL-009)
- Department of Health:
  - Health Service Directive – Enterprise ICT Services (QH-HSD-016)
  - Health Services Information Agency – Support Services Agreement with Hospital and Health Services
  - ICT Planning and Reporting Policy (QH-POL-380)
  - Information Security Policy
  - Records Management for Administrative and Functional Records (QH-POL-045)
- Code of Conduct for the Queensland Public Service
- Australian Governments Open Access and Licensing Framework (Ausgoal)
- Information Technology Infrastructure Library (ITIL)
5. **Requirements**

5.1 **Software asset management roles**

5.1.1 Industry Engagement, Contract and Procurement Management shall maintain a list of contact personnel who maintain Software Asset Registers and these contacts shall be considered to be Software Licence Managers for the purposes of this policy, standard and procedure.

5.2 **Requests for software (by an employee)**

5.2.1 Department of Health staff requesting software shall obtain approval from the relevant cost centre manager prior to initiating a formal request.

5.2.2 Department of Health staff seeking new software shall request the software from the Health Services Information Agency (HSIA) Service Desk using the online request form in the SelfService Centre.

5.2.3 Health Services Information Agency staff and Software Licence Managers shall process requests for software in accordance with the *Software Asset Lifecycle Procedure*.

5.3 **Approved and non-approved software**

5.3.1 Software shall only be approved if it has passed compatibility testing.

5.3.2 Non-approved software (e.g. retired software and software that does not pass technical approval) shall not be installed on any Department of Health system.

5.4 **Software technical approval**

5.4.1 Software Licence Managers shall ensure that requested non-approved software (see 5.2.2) is submitted for Technical Approval and compatibility testing, in accordance with the *Software Asset Lifecycle Procedure*.

5.4.2 Software Licence Managers shall ensure that certification records are stored in the Definitive Software Library (DSL) for all software that passes testing.

5.4.3 Software Licence Managers shall inform the requesting user if software does not pass compatibility testing and consider alternative solutions for the business requirement.

5.5 **Software licence procurement**

5.5.1 Software Licence Managers shall ensure that all software products purchased are registered on the Software Asset Register, particularly those to be used in the production environment and are correctly receipted.

5.5.2 All new and renegotiated software licences shall be procured and registered in the name of 'The State of Queensland acting through Queensland Health'.

5.5.3 Approval for testing activities shall be received prior to the procurement of licences for pre-production testing.
5.5.4 Industry Engagement, Contract and Procurement Management shall ensure that all software licences are sourced from a Government Information Technology Conditions (GITC) accredited supplier.

5.5.5 The GITC contractual framework shall be used for the purchase of all third party or developed software.

5.5.6 Software licences and media shall be receipted in accordance with the *Software Asset Lifecycle Procedure*.

### 5.6 Definitive Software Library (DSL)

5.6.1 All Definitive Software Libraries (DSLs) shall contain both a physical and a logical store.

5.6.2 DSL physical stores shall contain the master copies of software, including diskettes, CD’s, and DVD’s, manuals and other associated documentation.

5.6.3 DSL logical stores (Definitive Software Media Catalogue) shall house the index of software and releases, version details; and highlight where the physical media is located.

5.6.4 Software Licence Managers shall ensure DSL’s are accurate and current at all times.

5.6.5 Software Licence Managers shall ensure DSLs are regularly reviewed to identify overdue loan items.

5.6.6 Software Licence Managers shall assign a unique identifier to each item in the DSLs.

5.6.7 Software Licence Managers shall develop processes and procedures to ensure consistency of the physical and logical DSL system.

### 5.7 Software licence registration

5.7.1 In addition to storage in the DSL, details of all software licences shall be entered into a Software Asset Register (SAR) and a configuration item shall be created in the configuration management database (CMDB). Registration shall occur in accordance with the *Software Asset Lifecycle Procedure*.

5.7.2 All software shall be registered in the name of ‘The State of Queensland acting through Queensland Health’.

### 5.8 Software Installation

5.8.1 Software shall only be installed or deployed if it is appropriately licensed and approved or, in the case of software developed by the Department of Health, has formal approval from Executive Management for its development and deployment.

5.8.2 Once software has been registered, installation shall occur in accordance with the *Software Asset Lifecycle Procedure*. 
5.9 De-installation of software

5.9.1 Software Asset Management staff shall request and assure the de-installation of software that is:
- under-utilised
- illegal
- installed without authorisation
- not approved
- a transfer of single user licences
- no longer commercially supported or marked as retired or not currently in active use. An upgraded version of the same software or different software package with similar functionality shall be deployed before this can apply.

5.9.2 Software de-installation shall occur in accordance with the Software Asset Lifecycle Procedure.

5.9.3 A copy of all retired software along with its licence details shall be stored in the Definitive Software Library (DSL) for a minimum of seven years.

5.9.4 Software Licence Managers shall ensure the immediate update of the Definitive Software Media Catalogue and Software Asset Register upon de-installation of software.

5.9.5 Software Asset Management shall develop a process for the pooling and re-use of software in circumstances where licences have not expired.

5.10 Auditing and metering

5.10.1 Software Asset Management staff shall ensure that software audits and metering activities are conducted on at least a six-monthly basis according to Queensland Government requirements to ensure that software is compliant with all licensing agreements and that the use of the software is optimised.

6. Review

This Standard is due for review on: 01/01/2017

Date of Last Review: Not applicable

Supersedes: New Standard

7. Business Area Contact

Industry Engagement, Contract and Procurement Management, Service Co-ordination and Integration Directorate, Health Services Information Agency
## 8. Responsibilities

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<th>Position</th>
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<th>Audit criteria</th>
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| Department of Health Director-General                  | Ensuring that there is adequate capacity within the organisation to enable it to effectively manage:  
  - software developed for the Department of Health  
  - purchased software licences and related software media and documentation  
  - Ultimately ensuring compliance, determining whether a breach of the Department of Health Software Asset Management Policy has occurred and making the final determination as to the penalty arising from departmental disciplinary proceedings. | Software is managed to ensure business value and compliance with all legal, regulatory and administrative obligations |
| Department of Health Executive Management Team         | Ensuring that the Department of Health’s overall Software Asset Management strategies and investments position the Department to meet its software licence obligations now and in the future.  
  - Approving software developed for the Department of Health for deployment. | Software is managed to ensure business value and compliance with all legal, regulatory and administrative obligations |
| Chief Information Officer                              | Approving the Department of Health *Software Asset Management Policy* and supporting documents  
  - Ensuring that the management of intellectual property relating to software produced within the Department of Health is in accordance with the Queensland Health Intellectual Property Policy and the Australian Governments Open Access and Licensing Framework (Ausgoal)  
  - Ensuring adequate funding and resources for implementing and maintaining systems suitable for maintaining, auditing and metering of all software, software licences and related media and documentation  
  - Ensuring that Software Asset Management is designated to a specific area and/or role  
  - Ensuring compliance by determining whether a breach of the Department of Health Software Asset Management Policy has occurred and referring the matter to Human Resources to determine the penalty arising from departmental disciplinary proceedings. | Software is managed to ensure business value and compliance with all legal, regulatory and administrative obligations |
| Director, ICT Industry Engagement Contract and Procurement Management | Identifying roles and assigning appropriate resources to manage and maintain software licences and associated media according to:  
  - the Department of Health’s *Software Asset Management Policy*, and  
  - the QGEA Policy for *Software Asset Management*  
  - Ensuring Software Asset Management processes are implemented including registers, storage, auditing, metering and optimised licence use  
  - Ensuring compliance with the Department of Health’s Software Asset Management Policy, Standard and Procedure; and the QGEA Policy – *Software Asset Management*  
  - Reviewing and evaluating the Software Asset Policy and | Compliance with Department of Health, and QGEA Software Asset Management policies and with the Queensland Procurement Policy |
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<tr>
<td>Department of Health: Software Asset Management Implementation Standard</td>
<td>Implementation Standard in line with changes to the Department of Health business and risks; and changes to the QGEA Policy – <em>Software Asset Management</em>&lt;br&gt;- Regularly reporting the Department’s Software Asset Management risk profile and recommended actions to the Health Services Information Agency Leadership Team&lt;br&gt;- Ensuring appropriate change management and training/education programs to ensure correct and cost-effective management of software licences.&lt;br&gt;- Approving additional Software Asset Management procedures.&lt;br&gt;- Ensuring appropriate software compatibility testing processes&lt;br&gt;- Ensuring that all new and renegotiated software licences are procured and registered in the name of ‘The State of Queensland acting through Queensland Health’.</td>
<td>Self-Audits&lt;br&gt;External Audits</td>
</tr>
<tr>
<td>Software Asset Management Staff</td>
<td>- Ensuring regular audits and metering of software licences and tracking of software media are conducted for software rationalisation and where necessary implementing controls to enforce licence agreements prescribed by software licence vendors&lt;br&gt;- Ensuring compliance with all licensing or purchasing terms and conditions required by software licence vendors&lt;br&gt;- Ensuring that training is provided to Software Asset Management staff in the management of all software, software licences and related software media&lt;br&gt;- Ensuring that any software that is found to be unlicensed or deemed inappropriate is de-installed, and relevant line managers are informed&lt;br&gt;- Liaising with ICT configuration, change and security functions to ensure that Software Asset Management is considered within change, configuration and security processes, policies and procedures.</td>
<td>Self-Audits&lt;br&gt;External Audits</td>
</tr>
<tr>
<td>Software Licence Managers</td>
<td>- Establishing and maintaining a Software Asset Register in consultation with ICT Industry Engagement Contract and Procurement Management&lt;br&gt;- Ensuring the establishment and maintenance of a Definitive Software Library (DSL) with a Definitive Software Media Catalogue&lt;br&gt;- Ensuring that technical and management approvals are obtained for procurement, deployment and control of software assets&lt;br&gt;- Ensuring that only approved software is installed&lt;br&gt;- Ensuring that a review to identify spare licences is conducted prior to the purchase of additional licences or software&lt;br&gt;- Liaising with ICT configuration, change and security functions to ensure that Software Asset Management is considered within change, configuration and security processes, policies and procedures.&lt;br&gt;- Cataloguing and secure storage of all software media and related documentation purchased and produced by the Department of Health&lt;br&gt;- Ensuring that destroyed or retired software media is removed from the DSL according to retention and disposal specifications</td>
<td>Self-Audits&lt;br&gt;External Audits</td>
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### Department of Health: Software Asset Management Implementation Standard

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| Department of Health: Software Asset Management Implementation Standard | - Ensuring that each item in the DSL is assigned a unique identifier  
- Updating the Definitive Software Media Catalogue on all items that are borrowed and returned and ensuring that the information on the Catalogue is complete, accurate and current  
- Conducting reviews on at least a monthly basis to ensure that overdue loan items are returned.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Self-Audits  
External Audits                                                                                   |
| Software Asset Procurement Management   | - Liaising to establish software Standing Offer Arrangements to procure from whole of government Standing Offer Arrangements  
- Establishing relationships with resellers and vendors to promote support and advice in relation to Software Asset Management  
- Managing Standing Offer Arrangements in relation to software procurement  
- Contribute to the development of the ICT Strategic Procurement Plan.                                                                                                                                                                                                                                                                                                                                                                                                                                              | Ensuring that staff are aware of the Department of Health Software Asset Management Policy, the legislative requirements pertaining to the use of software and the penalties for the misuse or in appropriate distribution of software. |
| Line Managers                           | - Ensuring that software license misuse/incidents are managed and reported to the relevant Local Executive  
- Managing disciplinary actions on becoming aware that staff have breached the Department of Health Software Asset Management Policy.                                                                                                                                                                                                                                                                                                                                                                                                  | Reports of unauthorised installations of software                                                   |
| All employees, contractors and consultants within the Department of Health divisions, agencies and commercialised business units | - Complying with the Department of Health Software Asset Management Policy and supporting Standards as a condition of employment.  
- Reading, understanding and accepting the Department of Health Software Asset Management Policy and the Intellectual Property Policy as part of the induction process conducted on commencing employment.  
- Not installing any software without obtaining prior approval from the Software Asset Management staff  
- Not knowingly de-installing or tampering with any software auditing or metering agent or application that has been installed onto any computing device  
- Not making or using unauthorised software copies  
- Notifying their supervisor of any illegal copying of software or related documentation of which they become aware  
- Initiating a request for software by seeking approval from their line manager and logging a call with the HSIA service centre.                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                       |
<p>| Legal Unit, System Support Services Division | - Reviewing and managing the legal aspects of software contracts and licence agreements on request.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                       |</p>
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<td>Internal Audit Unit, Office of the Director-General</td>
<td>- Reviewing and auditing software asset management processes when required as outlined in the approved annual audit program - Providing advice to the Director-General and Executive Management Team on audit and audit related matters regarding Software Asset Management concerning the Department of Health or any specific statewide audit reviews concerning Queensland Health as a whole.</td>
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### 9. Definitions of terms used in the policy and supporting documents

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition / Explanation / Details</th>
<th>Source</th>
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<tbody>
<tr>
<td>Approved software</td>
<td>Approved software has undergone extensive testing in order to determine its suitability, robustness and functional fit within the agency.</td>
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<tr>
<td>CNR (CeNtral Repository)</td>
<td>Electronic repository of application installation files (configured for the department), used as a source for populating local repositories around the state with application files installed as needed, accessed by the software distribution application.</td>
<td></td>
</tr>
<tr>
<td>Definitive Software Library (DSL)</td>
<td>A Definitive Software Library consists of both a secure physical store and a logical store to manage and track all software media within the agency. The physical store is the secure storage where master copies of approved software media are stored with copies of other physical assets such as proof of licence and manuals. Only authorised software media should be accepted into the DSL. The logical store is the Software Media Catalogue which houses the index of software and releases, version detail, and highlights where the physical media can be located.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
<tr>
<td>Definitive Software Media Catalogue</td>
<td>The logical store of the Definitive Software Library that houses the index of software and releases, version detail, and highlights where the physical media can be located.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
<tr>
<td>Dormant Licence</td>
<td>A licence allocated to a user where the user is not making use of the software allocated to them under the licence.</td>
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<tr>
<td>FAMMIS/SAP</td>
<td>Financial and asset management application utilised by Department of Health.</td>
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<tr>
<td>Freeware</td>
<td>All software is protected by copyright. Freeware usually applies to software which is distributed or made available free of charge. While free, there may be terms and conditions applying in relation to the number of copies that can be made, passing on to others, etc. For example, it is illegal to distribute freeware for profit.</td>
<td>Business Software Alliance, Software Association of Australia</td>
</tr>
<tr>
<td>HP Open View Service Desk</td>
<td>HP OpenView Service Desk is the Incident Management, Change Management and Configuration Management program used by the InfoService Centre to log service calls (Incidents, Service Requests, Advice Requests, Complaints and Compliments), and for HP Account holders to log requests.</td>
<td>HP Open View Service Desk</td>
</tr>
<tr>
<td>Lifecycle</td>
<td>Good business practice requires that assets be appropriately secured</td>
<td>Queensland</td>
</tr>
</tbody>
</table>
### Term | Definition / Explanation / Details | Source
--- | --- | ---
MSI | Microsoft Windows installation information in a file with a .msi extension | Government Chief Information Office – ICT and information asset lifecycle guideline
Non-approved software | Non-approved software is software that has been retired or that does not pass technical approval. | 
Open Source | Open source software is often developed in a public, collaborative manner. The source code may be included in in-house developed and third party software, or used in its own right. | Open Source™
Reseller | Large software publishers often do not sell direct to end user companies, but instead distribute their wares through resellers. Resellers purchase software from the publishers on behalf of the end-user. | 
Resolver Group | When an incident is logged with the InfoService Centre it is allocated to one or more resolver groups in the HP OpenView Service Desk (HPOVSD) system. | Information Technology Infrastructure Library
Retired Software Licence | A licence that has been determined to be obsolete, and is no longer to be maintained or utilised. | 
Shareware | Shareware is software that is copyright protected. It is marketed free of charge by the software publisher, usually through the internet. It usually allows the user to use the software for a specific period of time. At the conclusion of this time, the user is required to pay for the licence. | Business Software Association of Australia
Software | The programs, routines, and symbolic languages that control the functioning of the hardware and direct its operation. In the context of this policy, software refers to:  
- An original Diskette, CD or DVD containing computer files which can be either installed or executed.  
- Computer program files residing on any computing device, which can be executed and operated. | www.thefreedictionary.com
Software Asset Management | The process responsible for tracking and reporting the use and ownership of software assets throughout their lifecycle. Software asset management is part of an overall service asset and configuration management process. | 
Software Asset Management Staff | The staff who are responsible for software asset management within the ICT Industry Engagement Contract and Procurement Management group. | 
Software Asset Register (SAR) | A definitive register of software licensing details. The information collected on the register is used to cost effectively manage the use of software licenses and manage compliance with this policy on an ongoing basis. The Register must comply with the requirements of this policy and the Queensland Government Enterprise Architecture– Software Asset Management Policy and Guideline. | Queensland Government Enterprise Architecture Software Asset Management Guideline
<table>
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<tr>
<td>Software Audit</td>
<td>Software audit is the investigation of the software installed on computer networks and devices within an agency with the purpose of determining what software is installed, whether the software is appropriately licensed and whether the use of the software that is installed is being optimised.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
<tr>
<td>Software Licence Agreement</td>
<td>The licence agreement is a contract between the software supplier and the user. It sets out the terms, and establishes limits of usage, for specific software applications. When software is purchased, the publisher retains the full rights to the software in addition to the sole rights for further distribution and reproduction.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
<tr>
<td>Software Licence Manager</td>
<td>The Software Licence Manager maintains a software licence database and manages software licence compliance within the designated business area(s) in consultation with ICT Industry Engagement Contract and Procurement Management.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
<tr>
<td>Software Licence Metering</td>
<td>Metering measures active usage of a software application, so that usage of available licences can be optimised. An auditing package with software metering capabilities will assist an agency in locating software deployed but not currently being used.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
<tr>
<td>Software Licence Owner</td>
<td>The State Government of Queensland is responsible for all Department of Health assets on behalf of the public of Queensland and, as its representative; the Director-General assumes ultimate responsibilities for Department of Health Software Assets.</td>
<td>Queensland Government Enterprise Architecture Software Asset Management Guideline</td>
</tr>
</tbody>
</table>
| Software Media                | The means by which software is stored in an electronic format. It is generally removable from a computer storage device and includes but is not limited to:  
  - Read-Write CDs and DVDs  
  - Data tape cassettes  
  - Data Sticks/USB keys  
  - Zip Drives  
| Software Misuse               | Includes but not limited to any act that:  
  - does not comply with the requirements of the Software Asset Management Policy or Implementation Standard  
  - exposes Department of Health to actual or potential monetary loss through inappropriate use of software licences  
  - involves the use of software for unauthorised or illicit purposes, which may include violation of any law, regulation or reporting requirements of any law enforcement or Government body. | Queensland Government Enterprise Architecture Software Asset Management Guideline |
| Software Product Edition      | Defines which feature-set of the product name is purchased (Standard, Enterprise, Professional, Developer etc.) | Queensland Government Enterprise Architecture Software Asset Management Guideline |
| Software                      | The date the software vendor officially released their product for sale | Queensland Government Enterprise Architecture Software Asset Management Guideline |
### 10. Approval and Implementation

**Policy Custodian**
Executive Director, Service Coordination and Integration Directorate

**Responsible Executive Team Member:**
Department of Health Chief Information Officer

**Approving Officer:**
Department of Health Chief Information Officer

**Approval date:** 09 December 2013  
**Effective from:** 01 January 2014

### Version Control

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<th>Version</th>
<th>Date</th>
<th>Prepared by</th>
<th>Comments</th>
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<tr>
<td>1.0</td>
<td>10/12/2013</td>
<td>ICT Policy</td>
<td>Finalised for publication</td>
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