

Software License and Audit Policy

1. Background/Purpose

Columbia Business School (CBS) Information Technology Group (ITG) supports administrative, academic, and research software acquisition, licensing, and distribution; contract management; and hardware and software vendor negotiations in a continual effort to provide quality customer service in a cost effective manner to CBS. To that end, ITG will:

- Serve as a focal point for CBS software licensing.
- Maximize the purchasing power of the CBS through agreements with software vendors.
- Assist with the full life cycle of software agreements by coordinating license acquisition, tracking, and records management.
- Evaluate software site-licensing and volume procurement options that meet specified criteria.
- Provide a full service approach to software acquisitions by simplifying the process for faculty.
- Ensure CBS is in compliance with all applicable state and federal laws regarding the installation and use of computer software
- Ensure that CBS computer users are aware that all proprietary computer software is protected by Federal copyright laws. If it is explicitly labeled as Freeware, Free Software, Open Source, Public Domain or Free for Educational Use, less stringent rules may apply.
- Prevent the installation of illegal or unlicensed copies of software on CBS owned or operated computer systems.

2. Policy

CBS licenses the use of computer software from a variety of third parties. The purpose of this policy is to ensure proper software asset management. All software installed or run on CBS equipment must be licensed with a proof of purchase available for audit verification. This policy applies to all CBS departments, faculty, and staff.

It is the policy of CBS to respect and adhere to all computer software copyrights and to adhere to the terms of all software licenses to which Columbia University is a party. It is also the policy of ITG to manage all software assets and to ensure that CBS installs and uses only legal software on its hardware (including laptops) and servers. Unauthorized duplication of software may subject users and/or CBS to both civil and criminal penalties under the United States Copyright Act. CBS must not permit any employee to use software in any manner inconsistent with its applicable license agreement, including giving or receiving software from contractors or other 3rd parties. It is the policy of ITG to acquire and distribute software in accordance with the software management policies of Columbia University Purchasing and the terms and conditions in any license agreement accompanying a particular software product.

3. Acquisition of Software

All requests for software, including upgrades, must be submitted to the respective ITG technical support specialist. Software requests must contain:

- the title and publisher of the software;
- the date and desired source of software acquisition (if available); and
- the existence and location of any software installed on campus as well as any product serial number(s) or node-locked software serial numbers.

4. Registration of Software

When any department purchases software, the respective technical support groups should receive the software in order to complete registration and inventory requirements. Original media, license keys or codes must be reported to ITG in order to be recorded in ITG's configuration management database. Please note that ITG endeavors to maintain the confidentiality of individual faculty who do not wish to disclose ownership to the campus community. All requests for software ownership will be coordinated through the ITG group.

5. User Installed Software

Software which is installed by an individual user must adhere to [Columbia University's "Acceptable Use of IT Resources \(Network & Computing\) Policy" July 1, 2007](#). This software is to be managed by the user. ITG will make every effort to troubleshoot issues arising. The user must be able to produce evidence of proper licensing should it be requested upon audit. Staff should not under any circumstance, install personally purchased software on their CBS computer.

6. Software Use

No faculty, staff, or student may use software unless an appropriate license for that software has been obtained. Before faculty, staff, and students are permitted to use a particular software program, ITG support staff shall instruct users on the proper usage of a particular software program, and inform users of any use restrictions included within a license agreement accompanying the program.

7. Compliance

License compliance auditing is done in real time using our Asset Management system. License compliance reports are used for compliance inspection at any time. Audits are performed periodically to identify any software CI's that are identified as not having licensing

8. Software Audits

ITG reserves the right to inspect a faculty or staff member's computer system for violations of this policy. Periodic, random audits shall also be conducted as appropriate. The full cooperation of all users is required during audits. Windows based computers are scanned using our Asset Management system as part of the deployment process. This allows us to get a baseline snapshot of all installed hardware and software. This information is stored in the configuration management database (CMDB) of our Asset Management system. Once deployed, Windows systems are automatically scanned daily as well as when any new hardware or software is installed. Mac, Unix/Linux assets are manually entered in our CMDB. Once deployed, Mac, Unix/Linux systems are automatically scanned daily.

9. Breaches

Any CBS member who believes that unlicensed software is installed on equipment that he or she uses is responsible for advising their Department Head of that circumstance. Each department head that has reason to believe that unlicensed software is installed on any equipment operated or managed by their department employees should either immediately purchase appropriate licenses, remove the software immediately, or consult with ITG support personnel to resolve the problem. ITG's Help Desk (ext. 43730) can provide assistance in removing unlicensed software from desktop computers or servers.

CBS ITG will perform an annual inventory of select software applications running on computers in the Business School. This inventory will be performed on an annual basis. Departments are responsible to assure that all software is appropriately licensed. To achieve compliance, departments will need to either purchase a license for, or discontinue using, each unlicensed application identified. ITG will perform software inventories on computers that are regularly connected to the network and meet University standards.

10. Resources

Any questions about this policy or whether you may copy or use a particular software program should be directed to the appropriate ITG Technical Representative.

11. Definitions

Freeware: software for which a license is provided without charge. Distribution is permitted but it cannot be modified and the source code is not available. Frequently the license is provided to select groups (home users, educational users, etc.) although some freeware is available to anyone. Free software, as compared with "freeware", is a matter of the user's freedom to run, copy, distribute, study, change and improve and not necessarily tied to the cost of the software.

Free Software: refers to software distributed in source form, which can be freely modified and redistributed. It does not refer to zero-cost software.

Open source: refers to the fact that the source code of "Free software" is open to and for the world to take, to modify and reuse. The distribution terms for "Open Source" are more stringent than for "Free Software".

Public Domain software: software that is not copyrighted.

Shareware: software for which a temporary license is provided without charge to use for evaluating the software. Virtually all such temporary licenses expire after a fixed period of time after which a standard license must be purchased.

Note: Freeware, Free Software, and Public Domain Software should not be used above a department level application. Generally this software does not provide for protection against developer participants coming back and suing for damages for the use of their software code with consent.