

CITY OF WAUKESHA HUMAN RESOURCES POLICY/PROCEDURE

POLICY B-20 – SOFTWARE USAGE AND STANDARDIZATION

1.0 Purpose and Scope of Policy

It is the policy of the City of Waukesha (City) to respect all computer software copyrights and to adhere to the terms of all software licenses to which the City is a party. The Information Technology (IT) Department is designated as the City software manager, and is charged with the responsibility for enforcing this policy. **The purpose of this policy is to:**

- Establish standards and define boundaries for the “acceptable use” of software.
- Promote the safeguarding of all city technology assets from exposure to unauthorized software use or misuse.
- Protect the City from the use of flawed or incompatible software.
- Ensure software interoperability.
- Define user/department responsibility for software usage.
- Promote the safeguarding of all city IT resources in a cost effective manner.
- Ensure that users understand, and are expected to use software programs ethically, lawfully and appropriately at all times.
- Protect the City network and ALL departments connected to the network from malicious, illegal or disruptive software installations which can affect departments or technology equipment in a negative or cost prohibitive manner.

1.1 Underlying Principle of a Usage Policy and Software Standardization

Software standards have been established in order to ensure efficient and cost-effective use of City computing assets.

A Software Usage Policy and Software Standardization policy work synergistically to deliver effective and cohesive practices. Principles of software standardization are as follows:

- Ensures compatibility between applications and software releases.
- Provides for more cost effective system administration.
- Assists in the technology planning process by enabling the realization of long-term goals and future technology vision.
- Ensures cost-effective purchasing.
- Enables effective tracking of software licenses.
- Ensures effective end-user software training .enables cost-effective training efforts.
- Provides a means for efficient and effective technical support effort.
- Creates a more stable and secure network environment for all city departments.

1.2 What is “Standard Software”? (See section 9.0 also)

Standard software is software which is loaded on a majority of City owned computers. This software is core to everyday business needs and the city cannot operate without it. IT staff are

Policy B-20
Software Usage and Standardization

trained to install, operate, and support these applications. Users of standard software can expect Information Technology staff to troubleshoot and assist with these standard applications.

1.3 Policy Acknowledgment

After reading the policy, workers should sign the *Software Usage Policy Acknowledgment Form* (Attachment 1 of the Software Usage Policy) acknowledging that they fully understand the policy.

The City of Waukesha (City) sets forth the following software usage guidelines and policies:

2.0 Software

All software acquired for or on behalf of the City or developed by City employees or contract personnel on behalf of the City of Waukesha (City) is and shall be deemed City property. All such software must be used in compliance with applicable licenses, notices, contracts, and agreements.

3.0 Use of Personal Computer Software

A variety of software vendors license the City for use of copies of their computer software. The City does not own the copyright to this software or its related documentation and, except for a single copy for backup purposes or unless expressly authorized by the copyright owner(s), does not have the right to reproduce it for use on more than one computer.

With regard to software usage on local area networks, the City shall use the software only in accordance with the license agreement.

City employees are not permitted to install their own copies of any software onto City computers without prior authorization from their department manager or director and the IT Department. City employees are not permitted to copy software from City computers and install it on home or any other computers without prior authorization from their department manager or director and the IT Department and in compliance with software license laws.

City employees learning of any misuses of software or related documentation within the city shall notify the Director of the IT Department or their department director or other appropriate person. According to the U.S. and Canadian Copyright law, unauthorized reproduction of software is a federal offense. Under this law offenders can be subject to civil damages of as much as \$100,000 per title copied, and criminal penalties, including fines (up to US \$250,000, CN \$1,000,000 per work copied), and imprisonment (up to 5 years per title copied).

Any City employee who knowingly makes, acquires, or uses unauthorized copies of computer software licensed to the City or who places or uses unauthorized software on the City of Waukesha premises or equipment shall be subject to disciplinary action including possible termination of employment.

The City does not condone and specifically forbids the unauthorized duplication of software.

Policy B-20
Software Usage and Standardization

4.0 Software Duplication

Any licensed software or related documentation for use either on the City premises or elsewhere MAY NOT BE DUPLICATED unless the city is expressly authorized to do so by agreement with the licensor. Unauthorized duplication of software may be subject to city, civil and criminal penalties under the United States Copyright Act.

5.0 Software Distribution

Users may not give software to any third party, including any contractors or employees. City users may utilize the software on the City network or on any machines in accordance with applicable licensing agreements.

6.0 Approval to Purchase Software

Users must obtain approval from their respective supervisor or department director prior to any software purchases, and must follow the same procedures utilized for acquisition of City assets, in particular, those governing IT purchases. Purchases must receive final authorization from the City IT Department. This is to ensure the software is compatible with all City of Waukesha IT systems.

Understanding the special needs of protective service departments, and that their special needs may need to be taken into consideration, exceptions can be made but must be justified. Any consequences and related costs, or security issues, must be identified by the requesting protective services department, IT department, and the City Attorney's office. The exception must then be approved by the Mayor and City Administrator in writing and may possibly need City Council approval. Any exception that is in direct violation of current State or Federal law will not be allowed regardless of the request.

Should exceptions be made and approved as stated above, the requesting protective services department must also provide a detailed list to the IT department of all employees who will have access to this software. This is to ensure only those approved on the list receive the software and are the only authorized users to use it. This will allow the City to enforce proper licensing (if applicable) usage of the software.

6.1 City of Waukesha Public Library Consortium

The City of Waukesha Public Library participates in a county wide consortium in which the Waukesha Public Library purchases and installs software which is not necessarily city "centric". This software is used by libraries county wide and requires the city to operate systems not necessarily specific to general city use. This contractual obligation is an exception within the City of Waukesha. Software purchased through this contractual obligation for consortium usage is allowed. The Waukesha Public Library will inform City IT of any software purchases while in the planning stage, well ahead of the purchase, and discuss implications and requirements for the network (if applicable) prior to any purchase. Any software installed shall comply with all security

Policy B-20
Software Usage and Standardization

requirements of this policy. Software purchased for the consortium may be registered in the name of the Library for consortium use.

7.0 Acquisition of Software

All software acquired by the City must be purchased through the IT Department and applicable City purchasing policies (Exception case paragraph 6.1). Software may not be purchased through department credit cards, cash and travel or expense budgets unless authorized prior to the purchase by the Finance Department or respective supervisor or department head. Purchases must be reviewed by the IT Department, ensuring they will work with the city network and all applicable applications and hardware. Software acquisition is managed to ensure the City has a complete record of all software that has been purchased for use on all City computers and server equipment. This ensures proper registration, support, and upgrade of such software according to its specific policies and procedures. Users should request software by completing the *Software Request Form* (Attachment 2 of the Software Usage Policy).

8.0 Registration of Software and Licensing

Upon delivery, software must first be properly registered with the software publisher via procedures appropriate to the publisher. Software is to be registered in the name of "City of Waukesha – IT" (Exception case paragraph 6.1), with the department name in which it will be used (if applicable). Due to personnel turnover, software is never to be registered in the name of the individual user.

Each employee is individually responsible for reading, understanding, and following all applicable licenses, notices, contracts, and agreements for software that he or she uses or seeks to use on City computers. Unless otherwise provided in the applicable license, notice, contract, or agreement, any duplication of copyrighted software, except for backup and archival purposes, may be a violation of federal and state law. In addition to violating such laws, unauthorized duplication of software is a violation of the City's Software Usage Policy. It is the goal of the IT department to keep licensing accurate and up to date.

Software Standards

"Standard" software can best be defined as software which is loaded on a majority of City owned computers/machines. IT staff are trained to install, to operate and to support these software applications. Users of standard software can expect IT staff to troubleshoot and assist with training of these standard applications.

Software standards have been established in order to ensure efficient and cost effective use of City computing assets. The goals for standardizing software are as follows:

- Ensure compatibility between applications and release updates
- Provide for more efficient system administration
- Assist in the computer planning process and enable the realization of long-term goals and future computing vision
- Ensure cost-effective purchasing
- Enable effective tracking of software licensing

Policy B-20
Software Usage and Standardization

- Provide end-user software training and enable cost-effective training efforts
- Allow efficient and effective technical support effort
- Creates a more stable and secure network environment for all departments

Standard and Ancillary Applications / Utilities Installed on All Computers:

A “Standard” and “Ancillary” applications / Utilities list (physical copy) is available upon request from the IT department. This list will also be available on the City intranet site for review by departments. Since applications can change rapidly, and the list is a “snapshot” in time of what the City currently has, always check with IT, as described in this policy, to ensure you have the most current snap shot in time.

9.0 Non-Standard Software

IT staff does not provide support for personally purchased software, illegal copies of software, screen savers, shareware, free-ware or any software that is not “core” to City business usage, unless an exception is specifically approved and justified on a case by case basis. Those that do not cause compatibility issues with the City network or its computers will be considered, as long as they do not violate copyright law and are not outside State or Federal law.

10.0 Installation of Software

After registration requirements (above) have been met, authorized software may be installed in accordance with the policies and procedures of the City IT Department. Applicable license agreement copies must be retained by IT. Once installed on the network server or local hard disk, original media should be returned to the IT secure software storage area. The only exception to this shall be software procured and used for the library consortium (As described in Paragraph 6.1), which can be stored on-site at the City of Waukesha Library due to contractual obligations and usage requirements with the consortium.

11.0 Specific Considerations and Responsibilities

The City IT department is exclusively responsible for installing and supporting all software on City computers unless express permission is given under specifically detailed circumstances by the IT Department. These responsibilities include:

- Office desktop computers
- City laptop computers
- Computer lab/public desktop computers
- Telecommuter home computers that are provided by the City of Waukesha

The City IT department relies on installation and support to provide software in good operating condition to City employees so that they can best accomplish their tasks.

The current software can exist in any one of the following scenarios:

- An IT-created “image” or OEM installation on the hardware

Policy B-20
Software Usage and Standardization

- An IT department installation procedure that provides for the following:
 - Installation options
 - Upgrade considerations (if applicable)
 - Data conversion (if applicable)
- A shortcut to a network application (not truly an installation)
- An automated installation through an IT-developed solution that may be used in a rapid-deployment scenario or silent-install situation
- A terminal application, Citrix application, or other thin-client type of application accessible via the City's intranet page
- Web based

Software **cannot** be present on City computers in the following scenarios:

- An installation not by a IT procedure
- A piece of software purchased for one's personal home computer
- A downloaded title from the Internet
- A pirated copy of any title
- A different title from the current software list of this policy
- Any means not covered by the ways that software can exist on City computers

12.0 Home Computers

City computers are owned assets and must be kept both software legal and virus free. Only authorized software, purchased through the procedures outlined in this policy may be used on City computers/machines. Users are not to bring software from home to load onto City of Waukesha computers/machines. Users are not to download onto City computers/machines "free-ware", "weather-bots" or other potentially dangerous software without justification and prior approval of the IT Department and the respective department's Supervisor, Manager or Director. The IT Department reserves the right to remove these software programs.

Generally, City owned software cannot be taken home and loaded on a personal home computer. Should the need arise that software needs to be taken home and loaded onto a personal home computer, justification should be given, along with prior Supervisor, Manager or Director approval. The user will be required to bring the computer to the IT Department, who will then load the application onto the home computer in compliance with all licensing agreements. The IT Department will then record and track the software usage to ensure it stays within compliance and licensing laws. Employees should also reference Human Resources Policy B-19 (Telecommuting). The City is not responsible for any damages incurred with the loading of any software on a personal computer as IT cannot possibly guarantee there will be no conflicts with other programs on the personal computer.

13.0 Software Configuration

City of Waukesha users are expected to use software only in accordance with its original purpose and in its original configuration. Changes to the configuration of installed software by end users in order to gain enhanced functionality or access to local, network or Internet resources must be approved by the IT Department.

Policy B-20 Software Usage and Standardization

This is not targeting cosmetic changes an individual may make (set a different home page or use a full screen or windowed view, etc.) but is meant to prohibit the changing of the settings/configuration of the software to permit additional functions to bypass established controls. This would involve a manipulation of settings in the Tools/Options sheet in a browser (Firefox) or the Tools/Internet Options in IE, as examples, to eliminate history files, bypass proxies, alter proxy settings to permit access to blocked sites, change/lower security settings, enable private browsing, etc.

This may also involve similar setting changes in Office and other applications that would change file save/load locations, etc. that could lead to compromises of system security and/or remove accountability, audit trails generated by the software, or prevent permanent record files from being backed up.

The goal is not to restrict the ability of an individual to personalize their experience through some changes to display settings, colors, fonts, etc.; the purpose is aimed at preventing an individual from making changes that compromise security, diminish accountability, or enhance their ability to perform malicious, unauthorized actions.

Changes to the configuration of installed software must be performed by IT staff.

- Changes may be made by end users only if permission is expressly given by the IT Department.
- Unauthorized changes or manipulation of software settings by end users to permit access to previously unauthorized local, network or Internet resources is not permitted.
- Unauthorized changes or manipulation of Internet browser settings or configurations by end users that would result in the bypassing of proxy servers and/or filtering software or the untimely removal (or concealment) of usage auditing logs is not permitted.
- Changes ARE allowed by designated system administrators or their designee(s).
- Unauthorized changes or intentional manipulation of software settings or configurations may result in disciplinary action up to and including termination.

14.0 Shareware

Shareware software is copyrighted software that is distributed freely through bulletin boards, on-line services, and the Internet. It is the policy of the City of Waukesha that all shareware authors be paid the fee they specify for use of their products if the software is to be used by the City. Registration of shareware products will be handled the same as commercial software products and must move through the IT Department for proper licensing and tracking.

No shareware is allowed on any City computer or network unless properly registered and paid for as described above. Justification should be given for any shareware software to be used on the City network or any of its computers or machines. Prior approval with justification is to be forwarded to the IT Department. The IT Department reserves the right to deny requests should the software pose a security, performance or other negative effect to other departments, IT or City budget, or the City network infrastructure, including peripheral equipment. All software required to be installed on City equipment should be requested as per this usage policy, and

Policy B-20
Software Usage and Standardization

accompanied by a completed *Software Request Form* (Attachment 2 of the Software Usage Policy).

15.0 Audits

The City IT Department conducts periodic audits of all PC's, including portables, to ensure that the city is in compliance with all software licenses and that all other aspects of this policy are being enforced. Audits typically are conducted using a software product, but may also be done manually. Software for which there is no supporting registration, license, and/or original installation media will be removed from the end user's computer/ machine. Full cooperation of all users is asked during audits.

16.0 Penalties and Reprimands

According to the US Copyright Act, illegal reproduction of software is subject to civil damages of as much as \$100,000 (US) per title infringed, and criminal penalties, including fines of as much as \$250,000 (US) per title infringed, and imprisonment of up to five (5) years.

A City user who makes, acquires, or uses unauthorized copies of software may be disciplined. Such disciplinary action may include termination of employment.

17.0 Acknowledgement of Software Usage Policy

The Acknowledgment of Software Usage Policy (Attachment 1 of the Software Usage Policy) is used to acknowledge receipt of and compliance with the City Software Usage Policy.

18.0 Employee Guidelines

City users are expected to use software only in accordance with its respective licensing agreement. Unless otherwise stated in the licensing agreement, any duplication of copyrighted software (except for archival/backup purposes) is a violation of copyright law. Violation of any copyright law or unauthorized duplication of software is against City standards of conduct, and may result in disciplinary action up to and including termination.

The following compliance points govern the City's approach with respect to software license agreements:

- Software is used in accordance with its licensing agreement.
- Legitimate software is to be provided to City users who need it, Unauthorized copies should not be made by City end users under any circumstances. Anyone found duplicating software, unauthorized, other than for backup purposes, could be subject to disciplinary action up to and including termination.
- Unauthorized copies are not acceptable unless properly justified and authorized. illegal reproduction of software can be subject to civil and criminal penalties, including fines and imprisonment.
- No software is to be given to any third party.

Policy B-20
Software Usage and Standardization

- Users with knowledge of illegal usage or misuse of software in the City will notify their respective supervisor, manager or director, including the IT Department.
- All software utilized by the City shall be purchased through the appropriate procedures and policy.

19.0 End User Questions

Additional questions regarding this policy should be directed to the IT Department Help Desk.

Passed this 2nd day of February, 2010.
Approved this 2nd day of February, 2010.

Mayor

Clerk/Treasurer

**Policy B-20
Software Usage and Standardization**

Acknowledgment of Software Usage Policy

This form is used to acknowledge receipt of, and compliance with, the City's Software Usage Policy.

Complete the following steps:

1. Read the Software Usage Policy.
2. Sign and date in the spaces provided below.
3. Return [this page only](#) to the [Information Technology Help Desk](#).

By signing below, I agree to the following terms:

- (i) I have received and read a copy of the Software Usage Policy and understand and agree to the same.
- (ii) I understand and agree that any software provided to me by the City remains the property of the City.
- (iii) I understand and agree that I am not to modify, alter, or upgrade any software programs provided to me by the City without the permission of the IT Department.
- (iv) I understand and agree that I shall not copy, duplicate (except for backup purposes as part of my job), or allow anyone else to copy or duplicate any software.
- (v) I understand and agree that if I leave the City of Waukesha for any reason, I shall immediately return to the City the original and copies of any and all software that I may have received from the City that is either in my possession or otherwise directly or indirectly under my control.
- (vi) I understand and agree I must make reasonable efforts to protect all City-provided software from theft and physical damage.
- (vii) I understand that violations of the Software Usage and Standardization Policy will subject me to disciplinary action up to and including termination of my employment.

Employee Signature

Employee Title

Employee Name (Please Print)

Date

Department

Return this form to the Information Technology Help Desk

**Policy B-20
Software Usage and Standardization**

SOFTWARE REQUEST FORM

REQUESTER INFORMATION:

Name: _____

Telephone: _____

Department: _____

PC Software Will Be Installed On: _____

Date Needed: _____

Who will pay for this software: _____

Account Number: _____

Approved by: _____
Department Director (*mandatory*)

Date Signed: _____

SOFTWARE INFORMATION:

Software Name & Version: _____

Software Platform: _____

Software Manufacturer: _____

Add any other pertinent information: _____

Note: Filling out this form does not give permission to load any software on a city computer. Information Technology staff will contact you regarding installation status. [Return this form to the Information Technology Help Desk.](#)