BY ORDER OF THE COMMANDER 36TH WING

36TH WING INSTRUCTION 33-111

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Communication and Information

SOFTWARE LICENSE MANAGEMENT

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Certified by: 36 CS/CC
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This instruction implements Executive Order (E.O.) 13103, Computer Software Piracy, September 30, 1999; Department of Defense Directive (DoDD) 5000.2-R, *Mandatory Procedures For Major Defense Acquisition Programs (MDAPS) and Major Automated Information System (MAIS) Acquisition Programs*, April 5, 2002, C5.2.3.5.6.1.9. It identifies responsibilities for management of commercial off-the-shelf (COTS) and Air Force-unique software acquired by the Air Force (other than software internal to a weapon system; see AFPD 63-1, 3.37, Capabilities-Based Acquisition System, 10 July 2003). This instruction applies to all organizations on Andersen Air Force Base using the Air Force Network including ANG and AFRC. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 33-363, Management of Records, and disposed of in accordance with Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS) located at **https://www.my.af.mil/afrims/afrims/afrims/rims.cfm**. Send recommended changes or comments to the designated Base Software License Manager (BSLM), 36th Communications Squadron, Andersen AFB, GU through appropriate channels, using AF Form 847, Recommendation for Change of Publication.

1. Andersen AFB Software Licensing Program Roles and Responsibilities.

1.1. The 36th Communications Squadron Commander (36 CS/CC) is responsible for the Base Software License Management Program. The 36 CS/CC will:

1.1.1. Appoint primary and alternate Base Software License Managers (BSLM).

1.1.2. Notify HQ PACAF/A6 Command Software License Manager (CSLM) and individuals of their appointment. This notification will include a signed copy of the appointment letter.

1.1.3. Ensure each organizational commander requiring COTS or Air Force-unique software designates primary and alternate Unit Software License Managers (USLMs).

1.1.4. As warranted by higher authority, review BSLM Program and provide the CSLM with program status.

1.1.5. Certify and submit an annual inventory of all unit computer software and licenses to the BSLM. Sign the annual inventory spreadsheet or memorandum to accomplish certification and to indicate accomplishment of the base's annual software license inventory.

1.2. The BSLM is responsible for the Base Software License Management Program and acts as representative for the 36 CS/CC. The BSLM reports directly to the 36 CS/CC and is liaison to HQ PACAF for the Andersen Air Force Base Software License Management Program. The BSLM will:

1.2.1. Track primary and alternate USLMs to manage the base software license program.

1.2.2. Perform an annual inventory of all 36 CS software licenses and cross check with installed software. The inventory must be completed prior to the anniversary date of the BSLM's official appointment. Ensure 36 CS/CC endorses the inventory.

1.2.3. Compile and verify all inventories from USLMs. Combine with the 36 CS inventory to create a master base inventory and endorse that master inventory.

1.2.4. When a new BSLM is appointed, conduct a joint inventory of all licensed software and endorse all inventories.

1.2.5. Validate software acquisition is coordinated through the respective USLM prior to purchase.

1.2.6. Validate deliveries of new software licenses and copies of licensing material are provided to the USLM. Validate software is added to the unit's software inventory.

1.2.7. Validate necessary training for users and maintainers is obtained for unique software purchased or developed by the unit.

1.2.8. Validate Air Force Enterprise license agreement contracts are used to procure common-user desktop/laptop software on new PC orders.

1.2.9. The BSLM will review licensing agreements to ensure that best value is used in acquiring software. Unused software licenses will be pooled within the license agreement and reassigned as required. The purchasing unit has priority in reassignment of licenses.

1.2.10. Properly destroy or redistribute excess software.

1.3. Unit Commanders are responsible for Software License Management activities within their unit. If any COTS or Air Force-unique software is used within the unit, Commanders will:

1.3.1. Appoint Primary and Alternate USLMs to manage their unit software license program and forward appointment memorandums to the BSLM. If no USLM appointment letter is accomplished, the unit CSA is required to perform software license management duties. If no CSA is assigned to the unit, then a USLM appointment letter must be accomplished.

1.3.2. Annually endorse a software inventory for all unit computer software. Accomplish by signing the annual inventory compiled by the USLM and ensure it is provided to the BSLM.

1.3.3. Ensure outgoing and incoming USLMs conduct a joint inventory of all licensed software and endorse that inventory.

1.3.4. Ensure software acquisitions are coordinated through the respective USLM and BSLM prior to purchase.

1.3.5. Ensure USLM is notified of all deliveries of new software licenses and copies of licensing material are provided to the USLM. Ensure software is added to the unit's software inventory.

1.3.6. Ensure necessary training for users and maintainers is obtained for unique software purchased or developed by the unit.

1.3.7. Ensure Air Force Enterprise license agreement contracts are used to procure common-user desktop/laptop software on new Personal Computer (PC) orders.

1.4. Unit Software License Manager Responsibilities:

1.4.1. Ensure properly trained Functional System Administrators (FSAs), Client Support Administrators (CSAs), and other approved personnel install, upgrade, manipulate settings, or assist others on software operations. A trouble ticket will be opened with the software product's Help Desk for any anomalies identified.

1.4.2. Be familiar with license number(s), user(s), and the type of software license agreement purchased for use in the USLM's organization.

1.4.3. Coordinate with the BSLM, FSAs, CSAs, users, and/or purchasers of software.

1.4.4. Monitor acquisition of all new software, update software inventory list, inform the BSLM in a timely manner, and become familiar with software license agreements prior to software installations. Validate only authorized personnel install software on computers or computer systems connected to or residing on the base network.

1.4.5. Store evidence of authorized back-up copies and license agreements or licenses (e.g. user manuals, purchase documentation, CD-ROMs, etc.) and physical software media in a secure centralized location (e.g., locked drawer, file cabinet, room, etc.).

1.4.6. Ensure the legal use of all software. Contact the Communications Focal Point for additional guidance when necessary and appropriate.

1.4.7. Ensure each COTS application has a valid license.

1.4.8. Ensure use of software corresponds to the applicable license agreement.

1.4.9. Identify software that does not have associated licenses, assemble proofs-of-purchase, and request replacement licenses from publishers, as needed. Develop plan of action to obtain compliance within 120 days.

1.4.10. Coordinate training with the BSLM, as needed.

1.4.11. Coordinate training of newly appointed Unit Software License Managers with the BSLM, as needed.

1.4.12. Circulate software licensing information, as needed/requested, throughout the organization.

1.4.13. Support and implement the Base Software License Program.

1.4.14. Maintain a copy of the software license inventory and Proof-of-License Ownership for all government-owned/COTS software in use within their unit. Proof may consist of a copy of documentation from the supplier such as manual, purchase documentation, email, or distribution media. Inventory must include: Purchase Data (Vendor Name, Purchase Order or Delivery Order Number), Description, Version, Cost, Quantity Purchased, License ID Number(s), Funding Data, Date Purchased, and Expiration/Renew by Date(s).

1.4.15. Perform an annual inventory of all software licenses and cross check with installed software. Complete each year no later than the anniversary date of the USLM's official appointment. Ensure the unit commander or director endorses the inventory and then provides it to the BSLM.

1.4.16. When a new USLM is appointed, perform a joint inventory of all software licenses and cross check with installed software before transferring responsibility. Ensure unit commander or director endorses the report.

1.4.17. Properly redistribute or destroy excess or superseded software in accordance with Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS).

1.4.18. Complete initial software license training within 30 days of arrival and annually thereafter.

1.4.19. Properly destroy or redistribute excess software.

1.5. CSAs Responsibilities:

1.5.1. Maintain a record or establish a database of non-enterprise licensed software installed, uninstalled, upgraded, or when any action is performed that will change the amount of license software products installed. As required, notify the USLM of actions taken.

1.5.2. Ensure software covered by an enterprise license agreement is not transferred with hardware when performing automated data processing equipment (ADPE) transactions.

1.5.3. Do not purchase or obtain software before coordinating with the USLM.

1.5.4. Monitor computers to ensure computer users do not install or remove any software application. Monitoring may be periodically accomplished by using an automated software tool.

1.5.5. Complete initial software license training within 30 days of arrival and annually thereafter.

1.6. Computer User Responsibilities:

1.6.1. Assist USLMs with software inventories on PCs as required.

1.6.2. Do not install or remove any software application without specific authorization of the CSA in coordination with the USLM.

1.6.3. Do not make illegal copies of copyrighted software.

2. Andersen AFB Software Licensing Program. The Andersen AFB Software Licensing Program establishes policy for managing COTS and Air Force-unique software applications. The program ensures Andersen Air Force Base educates and trains appropriate personnel regarding software management and use. The process includes performing software inventory, matching software with licenses, reviewing policies and procedures and a plan for acquisition of new software.

2.1. The new software acquisition plan is as follows:

2.1.1. Software requestor checks the Approved Software Listings with support from his/her USLM as needed. Listings include the AF E/APL, Transitional AFKM-APL, AFWay, and i-TRM.

2.1.2. If software is contained in an Approved Products Listing, the requestor will refer to their Squadron Commander/Director Level (or above) for approval for squadron usage.

2.1.3. Once approved by the Squadron Commander/Director Level (or above), the USLM provides the approval memorandum to the Communications Focal Point and request a ticket be opened for Network Enclave.

2.1.4. If software is not contained on an Approved Products Listing, USLM provides user with documented Software Request Worksheet and guidance on how to proceed. USLM provides user documented instructions (copies & links are provided during training) of all user-required actions from the initial software request through its final disposition.

2.1.5. Functional organizations perform/review checks and complete testing for net worthiness, security, compatibility, compliance, etc. Make a determination based on available information at the time of submission. After determination is made, annotate the ticket and notify the USLM whether the software is approved or disapproved.

2.1.6. Unit procures approved software and installs newly acquired software.

2.1.7. FSA/CSA provides software license number, total number of licenses, user(s), and type of software license agreement purchased to the USLM.

2.1.8. USLM updates inventory and reports as directed to the BSLM.

2.2. Software Management.

2.2.1. The USLM will conduct an annual software inventory to ensure compliance with all licensing agreements. The USLM and unit CC will be notified of all software found to be incompliant. Discrepancies will be corrected prior to BSLM forwarding the report to

the 36 CS/CC for certification. BSLM will compile the reports and forward to the 36 CS/CC for certification. The 36 CS/CC will provide CSLM with an annual compliance report including the database information for all of the licensed software at Andersen Air Force Base. Random audits will be performed to ensure compliance with all licensing agreements and regulations. A list of all non-compliant software will be sent to the USLM and Unit/CC.

2.2.2. Software Identification is the process of selection, creation and specification of the software products that will be added to the Air Force Evaluated/Approved Products List (AF E/APL). A standard software naming convention will be used in order to easily identify the software commonality. The AF E/APL is a listing of all allowed software and the implementation status of each package. The BSLM office will compile and validate the list as the approved Andersen AFB Software Standard Products List. The List will be located in a shared file location to which all software requestors will have access. All software used must be identified on the List. If software is needed but does not appear on this list, an RFC must be submitted to the Air Force level. Software requestors will initiate the Software Request Process for any required but unapproved software loaded to a government computer through the BSLM who will forward the package to the 36 WG Information Assurance Office (36 CS/SCXS).

2.2.3. Computers for disposal are coordinated with the USLM. The USLM will remove non-standard software (especially software eligible for reuse) from the computer and will update the database and notify the BSLM of the software changes. Software media disposal will be processed according to the license agreement of the software vendor. All computers are to have the disk drive either removed or erased of all data prior to disposing of the computer. The USLM will maintain a log of software media (including manuals and license information) not in use and will log this information into the database and provide to the BSLM as part of their annual inventory.

2.2.4. No employee shall install, reproduce, distribute, transmit or otherwise use software without an appropriate license, unless such software is properly licensed to the employee and used in accordance with policy and software usage terms. If an employee becomes aware of the reproduction, distribution or use of unauthorized software, he/she should promptly notify the BSLM.

2.2.5. Authorization to Use Agency Software on Home Computers. The licenses for some software permit employees to make a copy of the software for home use. In such event, employees may make a copy for home use only if they demonstrate a need to conduct business from their homes and receive express authorization from the BSLM. Under no circumstances, may an employee use such software for purposes other than official business

2.2.6. Downloading of Software from the Internet or Other Sources on to Agency Computers. A variety of software is available on the Internet. Some of this software, called "freeware" or "shareware," is available free of charge for limited uses and may be downloaded by an employee with the prior approval of his/her supervisor. Other software available on the Internet and from other electronic sources, requires the user to obtain a license for its use, sometimes for a fee. No employee shall download licensed software to

his/her work station without the prior approval of the BSLM. All software must be approved for use before it is installed on a government computer.

2.3. Database. An initial inventory of all software will be gathered as part of a baseline software inventory. A database will be provided and updated to track the name of the software applications, the number of software applications installed, and the number of software licenses purchased. The USLM will be responsible for maintenance of the database. The database will use a metering mechanism to prevent exceeding the authorized number of copies and users. It will record network manager or system administrator inventory of licensed client and network software as part of the annual installation licensed software inventory.

2.4. Training and Awareness. A training program will be established to promote user awareness of the on-going software license program and their responsibilities. The USLM will ensure that training and reminders are properly provided to all software requestors using the base intranet, SharePoint, bulletin boards, and e-mails. The training and awareness program will include but not be limited to:

2.4.1. Software license basics.

2.4.2. Copyright Act.

2.4.3. Policies and processes developed for the program.

2.4.4. Information Assurance Awareness.

2.4.5. Roles and responsibilities.

2.4.6. On-line Training. Air Education and Training Command has training available on-line for Software License Management and Anti-piracy which includes information dealing with copyright laws, regulations, and users' responsibilities. All personnel with elevated network and/or PC access permissions will complete this training as a prerequisite to receiving their .adm account. All personnel with duties connected with this process will complete this training as soon as possible.

JOHN W. DOUCETTE
Brigadier General, USAF
Commander, 36th Wing

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

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AFI 33-119, *Air Force Messaging (IC through 4)*, 2 September 2008

AFI 33-129, *Web Management and Internet Use (IC-2),* 30 Oct 2008

AFDIR 33-121, *Compendium of Communications and Information Terminology* (will convert to AFDIR 33-303)

Air Force Evaluated/Approved Products List (E/APL),

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14-2&Filter=OO-SC-IA-01

Adopted Forms

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AAFBI—Andersen Air Force Base Instruction

AFI—Air Force Instruction

AFPD—Air Force Policy Directive

C4—Command, Control, Communications, and Computers

C4I—Command, Control, Communications, Computers and Intelligence

CJCSI—Chairman Joint Chiefs of Staff Instruction

COMPUSEC—Computer Security

COTS—Commercial Off-The-Shelf

CSA—Client Support Administrator

CSLM—Command Software License Manager

CSO—Communications and Information Systems Officer

DFAR—Defense Federal Acquisition Regulation

DoDD—Department of Defense Directive

DoD—Department of Defense

DoDI—Department of Defense Instruction

E.O——Executive Order

ESA—Enterprise Software Agreement

ESI—Enterprise Software Initiative

FSA—Functional System Administrator

MAJCOM—Major Command

OPR—Office of Primary Responsibility

PC—Personal Computer

RFC—Request For Change

SAF—Secretary of the Air Force

USLM—Unit Software License Manager

Terms

Certification—For purposes of this instruction, the act of determining that software performs without defects and viruses, and does what the supporting documentation says it will do in accordance with any specified acceptance criteria.

Command, Control, Communications, and Computer (C4)—Systems--Integrated systems of doctrine, procedures, organizational structures, personnel, equipment, facilities, and communications designed to support a commander's exercise of command and control, across the range of military operations. Also called communications and information systems.

Commercial Off-The-Shelf (COTS) Software—Software developed, tested, and sold by commercial companies to the general public. Examples include word processors, databases, application generation, drawing, compiler, graphics, communications, and training software.

Communications and Information Systems Officer (CSO)—Identifies the supporting CSO at all levels. At base level, this is the commander of the communications unit responsible for carrying out base communications and information systems responsibilities, the base CSO.

Tenant organizations may also have CSOs. At MAJCOM, and other activities responsible for large quantities of communications and information assets, it is the person designated by the commander as responsible for overall management of communications and information assets budgeted and funded by the MAJCOM or activity. The CSO function, when under the base communications unit, uses the office symbol SC that expands to three and four digits to identify specific functional areas.

Computer Security (COMPUSEC)—l. The protection resulting from all measures to deny unauthorized access and exploitation of friendly computer systems. See also communications security. 2. Measures and controls that ensure confidentiality, integrity, and availability of information systems assets including hardware, software, firmware, and information being processed, stored, and communicated.

Copyright—Without a license that specifies otherwise, the purchaser's use of software is restricted to making an archival copy and installing the computer program onto a single computer, in accordance: with the 1976. Do not reproduce or use copyrighted software in any other manner.

Documentation—Records required to plan, develop, operate, maintain, and use electronic records and software. Included are systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications.

DoD Enterprise Software Initiative (ESI)—A DoD Chief Information Officer-led joint DoD project to develop and implement a DoD enterprise process to save money and improve information sharing on COTS products. The objective is to reduce problems identified with procuring software for DoD (including price, acquisition cost, distribution, training, maintenance, and support) for common-use, standards-compliant software.

Enterprise License—Allows the purchasing organization to use a specific COTS software program across the organization for a set price. This is usually a more cost effective acquisition strategy than purchase of individual copies for widely used software. The user should refer to the contract terms and conditions to determine if the enterprise license is limited or unlimited. Either the Air Force Enterprise Software License Program or DoD ESI should be considered for commonly used software.

Enterprise Software Agreement (ESA)—Agreements, such as contracts or blanket purchase agreements, by which organizations acquire software or software maintenance under specified terms and conditions.

Hardware—The physical equipment and devices forming a computer and peripheral components.

Interoperability—The ability of systems, units, or forces to provide services to and accept services from other systems, units, or forces and to use the services so exchanged to enable them to operate effectively together. The condition achieved among communications-electronics systems or items of communications-electronics equipment when exchanging information or services directly and satisfactorily between them and/or their users.

License Agreements—Contracts between the software publisher and the user that instruct and limit the software use. When purchasing software, the buyer only acquires a license to use it. The publisher retains the full rights to the software and has the sole right to its further distribution and reproduction. The user should refer to the contract terms and conditions to determine if, and under what conditions, the user is authorized to copy and distribute software.

Maintenance—Any job described as one that eliminates faults or keeps hardware or software running in satisfactory working condition falls into the maintenance category. (See AFI 21-116.)

Network—Two or more computers connected to each other through a multi-user system or by other electronic means to exchange information or share computer hardware or software.

Requirement—A need for a new or improved information processing capability that, when satisfied, increases the probability of operational mission success or decreases the cost of mission support.

Reuse—The process of developing or supporting a software intensive system using existing software assets.

Sensitive Information—The loss, misuse, unauthorized access to, or modification of information that could adversely affect the national interest or the conduct of federal programs, or the privacy to which individuals are entitled under Title 5 U.S.C. Section 522a, but that has not been specifically authorized under criteria established by an E.O. or an Act of Congress to be kept SECRET in the interest of the national defense or foreign policy. (See Air Force Directory [AFDIR] 33-303.)

Shareware—Privately or commercially developed software that users receive free of charge but pay a fee for continued or extended use. Normally, implied or promised support by the author is minimal or nonexistent. (See AFDIR 33-303.)

Software—A set of computer programs, procedures, and associated documentation concerned with the operation of a data processing system (for example, compilers, library routines, and manuals).

User—The individual who operates the computer or uses application software.