

**BY ORDER OF THE COMMANDER
AIR EDUCATION AND TRAINING
COMMAND**

AF INSTRUCTION 33-114

AETC SUPPLEMENT 1



6 AUGUST 2003

Communications and Information

SOFTWARE MANAGEMENT

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

OPR: HQ AETC/SCMO (MSgt J. Rogers)
Supersedes AFI 33-114/AETC Sup 1,
31 October 1997

Certified by: HQ AETC/SCM (Col J. Buckalew)
Pages: 6
Distribution: F

AFI 33-114, 1 July 2000, is supplemented as follows:

This publication does not apply to the Air National Guard and the Air Force Reserve Command. **NOTE:** Air Force Recruiting Service units assigned to non-AETC bases will comply with the local host-base MAJCOM supplement.

Maintain and dispose of records created as a result of processes prescribed in this publication in accordance with AFMAN 37-139, *Records Disposition Schedule*.

SUMMARY OF REVISIONS

Clarifies commander involvement in the AETC Software Licensing Program (paragraph 19 [Added][AETC]). Updates enterprise license and personal computer-common operating environment (PC-COE) considerations (paragraph 19.2.9 [Added][AETC]), workgroup manager responsibilities (paragraph 19.5 [Added][AETC]), and specific requirements for placing software on PCs and computer network systems.

7.4. (Added)(AETC) Designates a primary and an alternate software license manager in HQ AETC/SCMO to develop and manage the command software license program. The primary software license manager will:

7.4.1. (Added)(AETC) Develop the guidelines that base software license managers (BSLM) will use to conduct their base programs.

7.4.2. (Added)(AETC) Incorporate the software licensing program into command inspector general reviews.

7.4.3. (Added)(AETC) Ensure requirements of Section 1(c) of Executive Order (EO) 13103, *Computer Software Piracy*, are met, as indicated below:

7.4.3.1. (Added)(AETC) The EO requires government contractors and recipients of Federal grants and loans to have "appropriate systems and controls in place to ensure that Federal funds are not used to acquire, operate, or maintain computer software in violation of applicable copyright laws." The EO further provides that if an agency becomes aware that contractors or recipients are using federal funds to acquire, operate, or maintain unlicensed software and determines that such actions may affect the integrity of the agency's contracting and financial assistance processes, the agency is required to "take

such measures, including the use of certifications or written assurances, as the agency head deems appropriate and consistent with the requirements of law.”

7.4.3.2. (Added)(AETC) Each agency must take appropriate measures to ensure government contractors and recipients of grants and other federal funding comply with applicable copyright laws, regulations, instructions, directives, EOs, and Air Force and AETC requirements and guidelines.

19. (Added)(AETC) AETC Software Licensing Program. Specific responsibilities under this program are contained in subparagraphs 19.1. through 19.6.6 (Added)(AETC), as follows:

19.1. (Added)(AETC) Communications Squadron Commander Responsibilities. Each communications squadron commander will:

19.1.1. (Added)(AETC) Designate primary and alternate BSLMs to manage the wing and base software license programs. **NOTE:** Consider appointing separate license managers for multiple-use, site-licensed, or other software maintained on network servers.

19.1.2. (Added)(AETC) Forward BSLM appointment memorandums to the command software license manager (HQ AETC/SCMO).

19.2. (Added)(AETC) Unit Commander Responsibilities. Each unit commander will:

19.2.1. (Added)(AETC) Appoint a primary and alternate unit software license manager (USLM) to administer the software license program for the unit. **NOTE:** Consider appointing separate license managers for multiple-use, site-licensed, or other software maintained on network servers.

19.2.2. (Added)(AETC) Forward USLM appointment memorandums to the BSLM.

19.2.3. (Added)(AETC) Ensure outgoing and incoming software license managers conduct a joint physical inventory of all software and endorse all inventories.

19.2.4. (Added)(AETC) Annually certify in writing to the BSLM that an annual inventory was accomplished for all unit computer software. Accomplish certification by signing the annual inventory list or memorandum and indicate the unit’s annual software license inventory has been accomplished. Complete this certification each year no later than the day the USLM was officially appointed.

19.2.5. (Added)(AETC) Ensure software acquisitions are coordinated through the respective software license manager and BSLM prior to purchase.

19.2.6. (Added)(AETC) Ensure delivered software is routed through the respective software license manager. Ensure the BSLM is informed so the software can be added to the inventory.

19.2.7. (Added)(AETC) Ensure necessary training for users and maintainers is obtained for unique software purchased or developed by the unit.

19.2.8. (Added)(AETC) Ensure unit personnel who buy new personal computers (PC) indicate on AF Form 3215, **IT/NSS Requirements Document**, that promotional software will not be sent with the order. **NOTE:** If such software is received from a vendor, the buyer will either return it to the vendor immediately or destroy it (AFI 33-112, *Computer Systems Management*).

19.2.9. (Added)(AETC) Ensure enterprise license agreement contracts (that is, personal computer-common operating environment [PC-COE]) are used to procure common-user desktop software on new PC orders.

19.3. (Added)(AETC) BSLM Responsibilities. Each BSLM will:

19.3.1. (Added)(AETC) Ensure a host-tenant support agreement directs all base units to participate in the host-base software license program if they use Air Force command, control, communications, and

computer (C4) systems or are connected to Air Force local area networks.

19.3.2. (Added)(AETC) Place semiannual reminders of the need for proper software license management in base bulletins and other media to increase and reinforce the legal requirement of maintaining software licenses according to their stated conditions.

19.3.3. (Added)(AETC) Provide software license training for newly appointed BSLMs and USLMs and crossfeed locally developed material between unit managers, functional system administrators, workgroup managers, and HQ AETC/SCMO. This training will include, but is not limited to:

19.3.3.1. (Added)(AETC) Ensuring USLMs are familiar with AFI 33-114/AETC Sup 1 and paragraph 9 of the basic AFI.

19.3.3.2. (Added)(AETC) Ensuring USLMs complete the US Air Force Software License Management and Anti-Piracy computer-based training.

19.3.3.3. (Added)(AETC) Explaining how to maintain accurate records of installed software.

19.3.3.4. (Added)(AETC) Learning the basics of software licenses and The Copyright Act.

19.3.3.5. (Added)(AETC) Ensuring each commercial-off-the-shelf (COTS) application has a license.

19.3.3.6. (Added)(AETC) Verifying that the use of software corresponds to the applicable license agreement.

19.3.3.7. (Added)(AETC) Identifying software that does not have associated licenses, coordinating with USLMs for assembling proofs of purchase, and requesting replacement licenses from publishers, as needed.

19.3.4. (Added)(AETC) Perform periodic compliance visits to base units and AETC tenant organizations. Inspect at least 50 percent of unit accounts annually and inspect each unit at least once every 2 years.

19.3.5. (Added)(AETC) Conduct annual software licensing meetings for USLMs.

19.3.6. (Added)(AETC) Maintain a current list of all USLMs.

19.3.7. (Added)(AETC) Ensure automated tools are used to the maximum extent possible for tracking software installed on the base network.

19.3.8. (Added)(AETC) Ensure a certification of networkiness (CoN) has been issued by the Air Force Communications Agency (AFCA) and a certificate to operate (CtO) has been issued by AETC for all software programs that involve transmitting and receiving information from other computers, computer systems, or networks that reside outside of the base network perimeter. **NOTE:** See the following Web site: <https://www.aetc.af.mil/cio/netassess/index.html> for information concerning the Networkiness Assessment Process.

19.3.9. (Added)(AETC) Ensure approval is obtained from the designated approval authority (DAA) for any software placed on computers or computer systems on the base network.

19.4. (Added)(AETC) USLM Responsibilities. Each USLM will:

19.4.1. (Added)(AETC) Become familiar with license agreements of software used in his or her organization.

19.4.2. (Added)(AETC) Coordinate with the BSLM, functional system administrators, workgroup managers, users, and/or purchasers on all software acquisitions. **NOTE:** The information systems flight commander (SCB) of the base communications squadron will resolve any appeals regarding denial of a software request by the BSLM.

- 19.4.3. (Added)(AETC) Combine software acquisitions, as applicable.
- 19.4.4. (Added)(AETC) Receive all new software, inform the BSLM of new software, and become familiar with license agreements prior to releasing software to workgroup managers.
- 19.4.5. (Added)(AETC) Store evidence of license agreements or licenses (user manuals, purchase documentation, CD-ROMs, etc.) and physical software media in a secure location (locked drawer, file cabinet, room, etc.).
- 19.4.6. (Added)(AETC) Ensure the legal acquisition and use of all software.
- 19.4.7. (Added)(AETC) Identify software that does not have associated licenses, assemble proofs of purchase, and request replacement licenses from publishers, as needed.
- 19.4.8. (Added)(AETC) Act as liaison between PC users and the BSLM.
- 19.4.9. (Added)(AETC) Respond to the BSLM as necessary.
- 19.4.10. (Added)(AETC) Coordinate training with the BSLM, as needed.
- 19.4.11. (Added)(AETC) Ensure newly assigned personnel receive software license training within 30 days of their arrival and annually thereafter. This training will include, but is not limited to:
- 19.4.11.1. (Added)(AETC) Promoting user awareness of unauthorized or illegal use of computer software.
- 19.4.11.2. (Added)(AETC) Providing how and to what extent the user may be held liable for unauthorized or illegal use of computer software.
- 19.4.11.3. (Added)(AETC) Training users on procedures for acquiring new software.
- 19.4.11.4. (Added)(AETC) Making users aware of the importance of identifying unauthorized or illegal software on their systems.
- 19.4.12. (Added)(AETC) Circulate software licensing information throughout the organization.
- 19.4.13. (Added)(AETC) Support and implement the base software license program.
- 19.4.14. (Added)(AETC) Perform an annual inventory of all software, licenses, and corresponding documentation of unit software. Ensure the unit commander endorses the hard-copy report.
- 19.4.15. (Added)(AETC) Perform a joint inventory of software before transferring responsibility to another software license manager. Ensure the unit commander endorses the hard-copy report.
- 19.5. (Added)(AETC) Workgroup Manager Responsibilities.** Each workgroup manager will:
- 19.5.1. (Added)(AETC) Notify USLMs when installing software from shared folders or using installation CD-ROMs. Also notify USLMs when uninstalling, upgrading, or performing any actions that change the amount or number of licensed software products installed on the base network. Ensure software covered by an enterprise license agreement (for example, PC-COE) is not transferred with hardware when performing automated data processing equipment (ADPE) transactions.
- 19.5.2. (Added)(AETC) Not purchase or obtain software without prior coordination of the USLM.
- 19.6. (Added)(AETC) PC User Responsibilities.** Each PC user will:
- 19.6.1. (Added)(AETC) Assist USLMs with software inventories on PCs as required.
- 19.6.2. (Added)(AETC) Not install or remove any software application without first coordinating with the USLM.

19.6.3. (Added)(AETC) Not make any illegal copies of copyrighted software.

19.6.4. (Added)(AETC) Not install personally owned software on his or her government system unless DAA approval is obtained and documented in the certification and accreditation (C&A) package or the DoD Information and Technology Security Certification Process (DITSCAP). (See DoDI 5200.40.)

19.6.5. (Added)(AETC) Report all unauthorized or illegal software on his or her system to the USLM for resolution.

19.6.6. (Added)(AETC) Complete initial software license training within 30 days of arrival and annually thereafter.

20. (Added)(AETC) Form Adopted. AF Form 3215.

NOTE: The following are added to Attachment 1:

References (Added)(AETC)

DoDI 5200.40, *DoD Information and Technology Security Certification Process (DITSCAP)*

Abbreviations and Acronyms (Added)(AETC)

BSLM—base software license manager

PC—personal computer

PC-COE—personal computer-common operating environment

USLM—unit software license manager

Terms (Added)(AETC)

Accreditation—Formal declaration by the DAA that an information system is approved to operate in a particular security mode using a prescribed set of safeguards and controls.

Certificate of Networthiness (CoN)—Issued by the Air Force Chief Information Officer (CIO) or designee as a result of favorable network risk assessment (NetRA) and security policy compliance assessment (SPCA).

Certificate to Operate (CtO)—Issued by the AETC CIO or designee as a result of a favorable assessment that has verified the system is information technology (IT) ready.

Designated Approval Authority (DAA)—An official with the authority to formally assume responsibility for operating an information system or network within a specified environment.

DoD Information Technology Security Certification and Accreditation Process (DITSCAP)—The DoD standard for certifying and accrediting IT systems that collect, store, transmit, or process unclassified or classified information. The standard applies to any IT life cycle, including the development of new IT systems, incorporation of IT systems outside the infrastructure, development of prototype IT systems, and reconfiguration or upgrade of existing systems and legacy systems.

License Agreement—A contract between the software publisher and the user which instructs and limits how the software is to be used. When software is purchased, the purchaser acquires a license to use it, but the publisher retains full rights to the software and can further distribute and reproduce it. License agreements generally fall into the following categories:

Concurrent License (requires metering)—A license that allows a limited number of users to connect simultaneously to a software application. Because this license is only used in the network environment, it is becoming quite popular due to proliferation of networks.

Enterprise License—The DoD Enterprise Software Initiative (ESI) and the Enterprise software agreements (ESA) entered into by DoD components who manage the acquisition of commercially

available software at the DoD Enterprise level to reduce the cost of acquiring and maintaining software products. By aggregating requirements and leveraging DoD's buying power together with the buying power of related communities of interest such as the Intelligence community, the DoD is able to achieve the most favorable terms and pricing for commercially available software and software maintenance.

Individual License—A license for use on a single machine only.

Network License—A license that allows every member of the network to access the software.

Site License—A license defined by a geographic restriction, such as a building, unit, wing, or base.

RODNEY C. POHLMANN, Colonel, USAF
Deputy Director of Communications and Information