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<b>POLICY AND ADMINISTRATIVE PROCEDURE</b> <b>Manual of Policies and Procedures</b>				

Title <b>TECHNOLOGY HARDWARE AND SOFTWARE MANAGEMENT</b>
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Legal References (includes but is not limited to)  11-8-5-2	Related Policies/Procedures (includes but is not limited to)  04-05-102 through 04-05-109	Other References (includes but is not limited to)  IOT-CS-SEC-001 IOT-CS-SEC-057
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I. PURPOSE:

The purpose of this policy and administrative procedure is to standardize hardware and software procedures to ensure consistency throughout the Indiana Department of Correction.

II. POLICY STATEMENT:

It is the policy of the Indiana Department of Correction (IDOC) to utilize only authorized copies of software and to comply with all applicable copyright licensing requirements between IDOC and the vendor. All non-standard software shall be approved by the Executive Director of Technology Services/designee, shall be purchased pursuant to all applicable IDOC purchasing policies and procedures, shall be installed only on IDOC system assets or any Indiana Office of Technology (IOT) provided asset at an IDOC site pursuant to the configuration standards established by Indiana Office of Technology and IDOC, and shall be used only in a manner that complies with copyright statues pertaining to purchased software that has been approved for IDOC business purposes. IDOC’s information system is an organized system of information storage, retrieval, and review. The information systems are a vital part of the IDOC’s overall research and decision-making capacity relating to both offender and operational needs of the Department. Its effectiveness as it relates to overall IDOC management shall be evaluated in writing annually by the Executive Director of Technology Services. This policy and administrative procedure shall be reviewed annually during budget processing, and updated as necessary.

III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are presented:

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- A. **AUTHORIZED COPIES:** Copies of software that have been approved for IDOC business purposes by the IOT software authorization process, purchased pursuant to all applicable IDOC purchasing guidelines to be used in a manner that complies with copyright statutes pertaining to purchased software and installed only on IDOC system assets pursuant to the configuration standards established by the Indiana Office of Technology.
- B. **AUTHORIZED USER:** An IDOC employee, contractor, intern, volunteer or other agent of the State who is authorized at a technical level to administer and support/maintain state computing information technology (IT) systems or is authorized at an end user level, to have access to and use State computing information technology systems and telecommunications technology systems for business purposes on behalf of the State of Indiana.
- C. **ENTERPRISE LICENSE:** A license agreement that permits the subscriber to use the software anywhere on the subscriber's enterprise network in lieu of purchasing individual licenses for each user.
- D. **FREWARE:** Non-enterprise and non-standard software that is typically downloaded from a website and available without a fee, to any users that want it. The software may be copyrighted, or it may be open sources, which is more publicly accessible for purposes of modification and sharing.
- E. **HARDWARE:** The tangible, material parts of any information technology device or system including desktop computers, laptops, tablet personal computers, keyboards, speakers, printers, central processing units (CPU), disk drives, servers, switches, routers, cable, fiber, etc.
- F. **INTELLECTUAL PROPERTY:** Intellectual property is an asset which can be bought, sold, licensed, exchanged or gratuitously given away like any other form of property. The intellectual property owner has the right to prevent the unauthorized use or sale of the property.
- G. **INTERMEDIATE DISTRIBUTION FRAME:** A cable rack that interconnects and manages telecommunications wiring between a main distribution frame (MDF) and workstation devices.
- H. **INDIANA OFFICE OF TECHNOLOGY (IOT):** The Indiana Office of Technology is the shared services agency in Indiana State Government which provides core IT services to all Executive Branch agencies.

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- I. MAIN DISTRIBUTION FRAME: A primary, centralized cable rack that interconnects and manages the telecommunications wiring between itself and any number of intermediate distribution frames (IDF) and connects private and public lines coming in to a building with the internal network.
- J. SHAREWARE: Copyrighted software, which may or may not be non-enterprise or non-standard, typically downloaded from a website, that is made available to individual users on a trial basis without a fee.
- K. SOFTWARE: The intangible computer programs, procedures, algorithms, related data, and associated documentation stored in an information technology device or system, that could be licensed intellectual property or open source, whose purpose is to provide the instructions for the operation of a data processing program or system. Examples of software include middleware, programming software, system software and operating systems, testware, firmware, freeware, retail software, device drivers, programming tools, and application software.
- L. TECHNOLOGY COORDINATOR: The person designated by the managing officer at their respective site responsible for maintaining accurate records and documentation pertaining to the purchase and inventory of hardware and software system assets utilized for IDOC business purposes.
- M. TICKET: - The term commonly used by authorized IDOC users to describe a report of an IT incident, problem or issue or a request for a specific IDOC IT product or service.

IV. PROCEDURES:

A. Purchases of Authorized Copies of Software

- 1. The Executive Director of Technology Services shall be responsible for:
  - a. Establishing software standards for all IDOC system assets;
  - b. Identifying and purchasing all enterprise license software necessary for IDOC system assets;
  - c. Overseeing the configuration and installation of all enterprise software;
  - d. Providing information and direction in matter pertaining to the licensing, purchase, configuration, and installation of software on IDOC systems; and,
  - e. Ensuring compliance with all IDOC and IOT policies, standards, bulletins, and directives pertaining to hardware and software management.

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2. When software is necessary for the operation of any IDOC system asset for IDOC business purposes, one copy of the software shall be purchased for each system asset requiring the software at a site except where a site license or enterprise license is in effect.
3. All non-enterprise or non-standard software must undergo the Software Authorization process as defined by the Indiana Office of Technology Control Standards Authorized Desktop Software IOT-CS-SEC-001 or Authorized Server Software IOT-CS-SEC-157 prior to purchase or installation on any IDOC system asset.
4. Purchases of all non-enterprise or non-standard hardware or software shall be reviewed and approved or disapproved by the Executive Director of Technology Services. The review of such purchases shall be requested by submitting a ticket pursuant to Policy and Administrative Procedure 04-05-108, “Standardized Procedures to Report IT Incidents, Problems, Issues or Request Service.”
5. All other purchase of approved IDOC system asset hardware and software shall proceed to all applicable IDOC purchasing policies.
6. Freeware and/or shareware shall be installed on an IDOC system asset only when the software is required for a specific IDOC business purpose and only when other software options are not available or do not otherwise meet the requirements of the IDOC business purpose. A managing officer or designee shall request that freeware or shareware be obtained and installed on an IDOC system asset:
  - a. Pursuant to IDOC Policy and Administrative Procedure 04-05-108, “Standardized Procedures to Report IT Incidents, Problems, Issues or Request Service,” the managing officer or designee shall submit the request by opening a ticket. At a minimum, the request shall contain the name of the freeware or shareware, a description of the software’s functionality, the IDOC business purpose for using the software, a summary of the efforts taken to identify other software options and the source of the software.
  - b. The ticket request shall be routed to the Executive Director of Technology Services / designee who shall review the request and assess the requested freeware or shareware to determine whether it is compatible with IDOC IT and IOT security requirements and whether other software options are available to meet the IDOC business purposes provided by the requestor. Upon completing the review and assessment, the Executive Director of Technology Services/designee shall notify the requestor of the decision.

**B. Installation / Removal of Hardware / Software by Approved IT Vendor or Contractor**

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1. When an IT vendor or contractor is approved by the Executive Director of Technology Services to provide an agency/enterprise service and/or product to IDOC, which involves the installation of software or hardware on IDOC system assets, the following must be present at the site of the installation:
  - a. A copy of the original software license;
  - b. A statement of software ownership for the purpose of the services or product being provided; and,
  - c. A statement from the owner of the software license that they are in full compliance with the appropriate copyright laws.
2. Installations of all IDOC system asset hardware and software components are to be completed by qualified authorized users at the technical level or IT vendors or contractors approved by the Executive Director of Technology Services. If the IT vendor or contractor is required to gain access to an IDOC facility or office room or cage containing an MDF, servers or IDF to complete the installation, the IT vendor or contractor shall adhere to all access procedures and escort policies.
3. When the engagement for services or products with an approved IT contractor or vendor is terminated, an IDOC authorized user at the technical level authorized by the Executive Director of Technology Services/designee shall ensure that the hardware or software attached to the IDOC system asset by the vendor or contractor is removed from the applicable IDOC system assets and that the appropriate IDOC Business Administrators at the facility or office and the technology coordinators are advised accordingly.
4. When an IDOC authorized user at the technical level discovers that non-standard hardware or software components have been attached to IDOC system assets and the installation of the non-standard hardware or software has not been approved pursuant to the procedures contained within this policy and administrative procedure, or that the software interferes with IDOC business operations or is not in compliance with IDOC IT or IDOC policies and procedures, the authorized user at the technical level shall notify the Executive Director of Technology Services/designee in writing who shall determine the appropriate course of action.

C. Copyrights of Software

Use of software in violation of copyright statutes is prohibited including copying or using existing software in violation of copyright statutes. Copyrighted regulations are included in the package with each copy of purchased software or, if downloaded from the internet, are otherwise available on the software provider's internet site. If a question arises, regarding copyright issues, the IDOC authorized user at the technical level tasked with installing the

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software on an IDOC system asset shall contact the Executive Director of Technology Services or Information Security Officer to determine the appropriate course of action.

D. Duties of Technology Coordinator

All IDOC sites shall have a technology coordinator designated by the managing officer. The technology coordinator shall:

1. Maintain an up-to-date inventory of all purchased computer hardware and software, which includes the asset number, serial number and/or registration number, purchase order, receiving report, location, and user(s) of the equipment
2. Maintain all copyrighted software licenses and media (e.g. CD-ROMS and disks) in a centralized, secure area.
3. Report any violations of this policy in writing to the Executive Director of Technology Services.

XIV. APPLICABILITY:

This policy and administrative procedure is applicable to all Department facilities, staff, and offenders, except those offenders on Parole, and to those facilities that are operating under a court order or consent decree that mandates different procedures.

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signature on file  
Robert E. Carter, Jr.  
Commissioner

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Date