



Software Asset Management Policy

This document sets out Capita's Software Asset Management Policy and how it is supported by all Capita staff.

It details what can be expected from the IT Asset Management (ITAM) team and what is expected from all Capita staff to support and comply with the policy.

Software assets across all Capita businesses (including the software intended for installation on user devices & servers) must be managed by complying with the policy and supporting processes, ensuring that vendor licensing terms are fully adhered to and that Capita is protected from any unplanned liabilities whilst seeking to optimise the benefits of our investment in software.

It is the responsibility of every person who works for Capita to adhere to the policy when requesting, using, or managing Capita software assets.

The ITAM team is committed to:

- Providing a Capita-wide service to support all parts of the business in managing Capita-owned software assets, including identifying software assets that should not be present.
- Capture and maintain details of all relevant software assets owned by Capita.
- Maintaining an accurate repository of all licensing contract terms, and entitlements and record actual software usage.
- Providing asset management processes and aggregated licence compliance data to support decision-making by the business.
- Providing a licensing design authority service to safeguard against non-compliant or commercially sub-optimal software deployment.
- Proactively monitor installed software assets, thus enabling an effective response to any internal or publisher-led audits.
- Providing regular reports to show usage and licence compliance by the vendor.
- Refine practices over time to achieve a high level of asset management maturity in line with industry standards.

What you should expect from the ITAM team:

- Support and analysis for any non-standard software requests.
- Centralised software license management.
- Provide advice on license optimisation and cost minimisation when identifying, renewing, or purchasing software.
- Promote and advise on the continual improvement of the Software Asset Management (SAM) processes.
- Direction on what data the business is required to supply to enable license compliance monitoring.
- Monitoring of software entitlement and usage to facilitate business unit and Group level reporting.
- Periodic analysis of the 'Effective License Position' of specific licensable products to ensure compliance.
- Proactive reclamation of unused software and pooling of these assets for re-use.
- To work with vendors and suppliers to identify and secure a record of Capita's licence entitlement for any products in use and for which evidence of original purchase is unavailable.
- The leadership of internal and vendor-led software audits.

What we expect from every Capita employee:

- Ensure that software is both acquired and installed through the correct processes, that the necessary approvals have been acquired, and that it is for Capita business use only.
- No user may purchase software directly or by means such as credit cards, expense accounts, or petty cash, which is expressly forbidden.
- All software must be registered to Capita or the purchasing subsidiary and not to individual users.
- All software media, keys, contracts, proof of entitlement, licenses and supporting materials, etc., must be authorised, securely retained, and recorded centrally.
- All licenses must be available in advance of installation unless otherwise agreed in writing with the vendor.
- Only Capita IT may install, remove, retire, decommission, or dispose of software.
- The sourcing of software from the internet or media by individuals is not permitted.
- Installation or downloading of games, unauthorised screensavers, copyrighted video, or music is not permitted, nor is any software that has not been purchased through the appropriate process. The ITAM team will instigate the removal of such after reviewing with stakeholders.
- All proposed software deployments or any system or software changes to existing deployments must be reviewed in advance to ensure that software costs are optimised and to validate the 'right-of-use'.
- All staff movement, including leavers, must be controlled via Capita's Joiners, Movers Leavers (JML) process to ensure that appropriate software administration is undertaken, and asset registers are updated.
- Users must comply with any license terms and with all copyright laws. This includes when any remedial action is taken during disaster recovery activity. Backup (or any) copies shall only be made in accordance with these terms.
- Software identified as unused may be uninstalled by Capita IT, pooled centrally, and subsequently re-deployed or retired to avoid unnecessary purchase and support costs.
- When decommissioning redundant devices, all software must be removed and considered for reuse where applicable.

What we expect from every Capita employee (continued):

- Provide the ITAM team with all entitlement evidence for new (or existing) software and renewals.
- Ensure any contract restrictions on software use are understood & adhered to.
- Ensure that an impact assessment is undertaken in the event of any proposed change to an existing environment that may affect Capita's software licence liability position. *(Note: This includes when installing software on third-party devices or on behalf of third parties onto Capita devices.)*
- Follow the Security and Hardware Asset Management policies, Standards, and processes in managing the lifecycle of software assets.
- Notify the appropriate administrator when a user-based account is no longer required to ensure that the account/usage rights can be reallocated or terminated.
- Ensure that user licensing terms are adhered to, specifically to ensure that user accounts are not shared between users.
- Always ensure that a supported (ideally the latest) software version and any patches are installed as per security directives and ensure publisher support and maintenance are readily available.
- Report to the ITAM team any instance confirmed or suspected of licence non-compliance.
- Finally, request guidance from the ITAM team for any non-standard software requests, any licensing queries, and any SAM process queries to ensure all software installation and use is managed correctly.

How we will achieve this:

Every part of Capita's business must follow the Software Policy and defined processes and procedures along with any guidance received from the ITAM team. These are the baseline requirements and steps that must be followed in relation to:

- Software requests, purchase deployment, and renewals.
- Management of software assets for re-harvesting, pooling, decommissioning, etc.
- Identify licensing terms, compliance, and identify liabilities.
- Identify opportunities for spending reduction or avoidance.
- Identify software assets and their usage in the estate to support the generation of an Effective License Position (ELP) report.
- Management of internal and vendor initiated audits in a standard, repeatable way.

Capita takes policy non-compliance very seriously. Software Asset Management is reported and managed through our governance mechanisms, which ultimately include reporting to our Group Risk and Compliance function.