

Memorandum

*Flex your power!
Be energy efficient!*

To: DOUG KEMPSTER
Acting Chief Information Officer

Date: February 25, 2013

File: P3020-069

From: WILLIAM E. LEWIS
Assistant Director
Audits and Investigations

Subject: **FINAL AUDIT REPORT ON SOFTWARE MANAGEMENT PROGRAM**

Attached is Audits and Investigations' final audit report on Software Management Program. Your response has been included as part of our final report. This report is intended for your information and Department Management.

Please provide our office with status reports on the implementation of your audit finding dispositions 60-, 180-, and 360-days subsequent to the report date. If all findings have not been corrected within 360-days, please continue to provide status reports every 180-days until the audit findings are fully resolved.

We thank you and your staff for their assistance provided during this audit. If you have any questions or need additional information, please contact Laurine Bohamera, Chief, Internal Audits, at (916) 323-7107, or me at (916) 323-7122.

Attachment

- c: Laurine Bohamera, Chief, Internal Audits, Audits and Investigations
- Steve Kawano, Acting Chief, Enterprise Technology Investment Division, Information Technology
- Anna Ching, Chief, IT Asset Management, Information Technology
- Kevin Yee, Internal Audit Manager, Internal Audits, Audits and Investigations
- David Wong, Internal Audits, Audits and Investigations
- Veronica Kaldani, Internal Audits, Audits and Investigations

P3020-069
Software Management Program
February 2013

William E. Lewis
Assistant Director
Audits & Investigations
California Department of Transportation

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Summary

Audits and Investigations completed an audit of the California Department of Transportation's (Caltrans) Software Management Program. The purpose of the audit was to ensure compliance with State policy involving software licensing.

Our audit disclosed that Caltrans is not in compliance with Software Management policy requirements in the State Administrative Manual (SAM) Sections 4846-4846.2 and the Statewide Information Management Manual (SIMM) Section 120. Specifically, we noted the following:

1. Caltrans' Software Management Policy Annual Statement of Compliance has not been Retained or Supported with a Hardcopy of the Software Inventory.
2. Caltrans' Software Management Plan has not been Fully Implemented.
3. Software Management Training is Inadequate.

Background

SAM Section 4846 requires that each agency establish and maintain appropriate computer software management practices and ensure that computer software has been purchased legally and is used in compliance with licenses, contract terms, and applicable copyright laws. In addition, it requires all state agencies to develop and implement policies and procedures to ensure that all staff understand and adhere to proper software management policies.

To prevent software piracy and promote good software management practices, SAM Section 4846.1 requires each agency to maintain a software management program, documented in a software management plan.

Additionally, SAM Section 4846.2 requires an annual certification declaring compliance with the California Software Management Policy. This certification must be accompanied by a summary of updated inventories and supported by a detailed inventory report. The certification, along with the supporting material, must be retained internally for three years. SIMM Section 120 contains guidelines to assist state agencies in developing and administering a software management program to prevent software piracy and promote good software management practices.

The Chief Information Officer (CIO) has overall responsibility for ensuring that Caltrans is in compliance with the California Software Management Policy. The IT Asset Management (ITAM) unit under the Infrastructure Division of Information Technology is responsible for the Software Management Program. ITAM is tasked with updating Caltrans' Software Management Plan, inventorying software through the ZenWork Asset Management (ZAM) software tool, and ensuring compliance with the Software Management Plan.

**Background
(Continued)**

The last audit of the Software Management Program dated March 2007 identified material weaknesses. Specifically, the audit identified that Caltrans' Software Management Plan was incomplete and had not been fully implemented. In addition, the Annual Statement of Compliance was not properly presented.

**Objectives, Scope
and Methodology**

The audit was performed in accordance with the International Standards for the Professional Practice of Internal Auditing. The overall objective of our audit was to determine if Caltrans' Software Management Program was in compliance with State policy. We included tests as we deemed necessary to achieve the following objectives:

1. Caltrans' Software Management Plan is in compliance with SIMM 120 requirements.
2. The Annual Certification along with the summary of updated inventories is completed on time per SAM 4846.2.
3. Caltrans' actual performance conforms with the Software Management Plan in the following major component parts:
 - Training
 - Inventory
 - Secure Repository
 - Purchasing of software (Purchased vs. Installed)
 - Removal / Disposal of Unlicensed / Unsupported Software
4. Headquarters Information Technology's (HQ-IT) has established a monitoring system to adequately track progress in compliance with the Software Management Plan.

The audit covered the period of July 2007 through May 2011 and included the review of software management procedures in HQ-IT, Division of Engineering Services and District 3. In addition, a survey of district IT managers was performed to gain an understanding of their software inventory and remediation process. The audit was performed between January 21, 2011 and June 17, 2011. Changes after June 17, 2011 were not tested, and accordingly, our conclusion does not pertain to changes after June 17, 2011.

Conclusion

Our audit disclosed that Caltrans is still non compliant with the Software Management Policy requirements in SAM Sections 4846-4846.2 and the SIMM Section 120. Specifically, we noted the following:

1. Caltrans' Software Management Policy Annual Statement of Compliance has not been Retained or Supported with a Hardcopy of the Software Inventory.
2. Caltrans' Software Management Plan has not been Fully Implemented.
3. Software Management Training is Inadequate.

**View of Responsible
Official**

We requested and received a response to our findings from the Acting Chief Information Officer, Division of Information Technology. This official has concurred with the findings and recommendations. Please see attachment for the complete response.



William E. Lewis
Assistant Director
Audits and Investigations

February 22, 2013

FINDINGS AND RECOMMENDATIONS

**Finding 1 -
Caltrans' Software
Management Policy
Annual Statement of
Compliance has not
been Retained or
Supported with a
Hardcopy of the
Software Inventory**

The IT Asset Management Unit (ITAM) was not able to provide the Annual Statement of Compliance (Annual Certification) for two out of the three years requested. In addition, no detailed inventory report was provided to support the Annual Certification.

State Administrative Manual (SAM), section 4846.2, Software Management Policy Reporting Requirements, states "Beginning January 31, 2004, and ongoing, each agency shall retain internally for three years, by the agency Chief Information Officer, an annual certification along with the summary of updated inventories conducted by the agency as part of its ongoing software management practices. This certification must also identify the individual responsible for ensuring agency compliance with the California Software Management Policy, SAM Section 4846. In support of this certification, each agency must maintain a detailed inventory report that must be made available upon request to the Technology Agency and/or the Department of General Services."

ITAM was not aware that the Annual Certification needs to be retained for at least three years and be supported by a detailed inventory report. ITAM's understanding was that data on the ZAM servers constituted the inventory, and as a result, they did not generate a software inventory report as required by SAM.

Without the Annual Certification and detailed software inventory report, Caltrans could be out of compliance with the software reporting requirements identified in SAM 4846 and the SIMM 120 from the California Technology Agency.

Recommendation

We recommend that ITAM:

1. Prepare and retain the Annual Certification and inventory summaries for at least three years.
2. Prepare an annual software inventory report to support the Annual Certification.

**Division of
Information
Technology's
Response**

The Acting Chief Information Officer (CIO) concurred with this finding. Please see Attachment for the complete response.

**Finding 2 -
Caltrans' Software
Management Plan
has not been Fully
Implemented**

A comparison of procedures and processes in Caltrans' Software Management Plan to actual procedures and processes in place determined that some sections of the Software Management Plan had not been implemented. Specifically, we found that:

- An inventory of software licenses was not performed to match software installations to licenses, identify unlicensed and/or unauthorized software and either remove or purchase software in excess of licenses. This process is known as remediation.
- Remediation is not performed consistently by districts and divisions that procure the software. Therefore, ITAM is not aware of which software was remediated and by whom.
- ITAM has not performed an ongoing internal audit process to verify if remediation is being performed.
- A physical inventory of software on workstations is not performed as discussed in the Ongoing Inventory and Control Methodology section of the Software Management Plan. Instead, Caltrans relies on the ZAM software inventory tool for inventorying software, but there is no process in place to reconcile workstations, and software purchased to software installed. To illustrate, we found that ZAM and another software agent called E-Policy Orchestrator (EPO) report different totals for number of workstations. Although ZAM identified 18,164 workstations using a scan of 60 days and EPO identified 20,182 workstations using a scan of 45 days, ITAM was unable to reconcile the differences between the two.
- The Contractor's Certification section of the Software Management Plan states that Division of Procurement and Contracts (DPAC) is responsible for ensuring that all Caltrans contractors have appropriate systems and controls in place to ensure that State funds will not be used in the performance of a contract for the acquisition, operation, or maintenance of computer software in violation of copyright law. However, DPAC's understanding is that this requirement applies only to IT related contracts, and as a result, does not include it in non-IT contracts as required.

In addition, a survey of district IT managers revealed that roughly half were not aware of the 2010 Software Management Plan. In fact, when some of the managers were asked, they identified the IT intranet website as their reference tool which only contained a 2006 version of the Software Management Plan.

**Finding 2 -
(Continued)**

The SIMM 120 provides the following:

- Section 3.1, Baseline Inventory Methodology, states “It is essential that a baseline inventory be conducted in order to know what software exists within an agency so that it can be properly managed. An inventory consists of determining all software physically residing on an agency's computers and inventorying all original licenses for the software.”
- Section 3.2, Unlicensed/Unauthorized Software Identification Methodology, states “The identification of unlicensed and unauthorized software is accomplished by: 1) comparing the results of the physical inventory with the license agreements, and 2) comparing the results of the physical inventory to the list of software authorized by the organization.”
- Section 3.7, Contractor’s Certification, states “The Software Management Policy requires that state contractors certify they have appropriate systems and controls in place to ensure that state funds will not be used in the performance of a contract for the acquisition, operation or maintenance of computer software in violation of copyright laws. These requirements are to be incorporated as standard language in contracts awarded by the state.”

Caltrans’ policy is that software inventory and remediation is the responsibility of the districts and divisions that procure software. Our review found that adequate remediation did not occur in 4 of the 12 districts surveyed, and 2 of the 3 divisions/district tested. Without a fully remediated software inventory, Caltrans cannot ensure that computer software is legally procured and used in compliance with licenses, contract terms, and complies with applicable copyright laws. This places Caltrans at risk for fines and damages from software manufacturers.

Recommendation

We recommend that ITAM:

- Collaborate with DPAC to:
 - Track licenses of all procured software;
 - Identify the license terms and the unit, group, and individual responsible for remediation;
 - Document the remediation strategy; and
 - Ensure all Caltrans contractors have appropriate controls in place to ensure State funds are not used in violation of copyright law.
- Establish a reporting structure by which districts and divisions performing remediation certify compliance with SAM 4846 annually and retain these certifications for three years.
- Update the Software Management Plan to reflect actual procedures in the Ongoing Inventory and Control Methodology and the Contractor’s Certification section.

**Recommendation
(Continued)**

- Reconcile the differences between ZAM and EPO to determine the universe of workstations.
- Ensure IT's website is updated with the most recent approved version of Caltrans' Software Management Plan and inform district IT managers of procedural changes.

**Division of
Information
Technology's
Response**

The Acting CIO concurred with this finding. Please see Attachment for the complete response.

**Finding 3 -
Software
Management
Training is
Inadequate**

Caltrans is not in compliance with the software management education requirements contained in the SIMM 120. Specifically, the Information Security and Privacy Awareness Training (Core and Annual) lack the following required educational components:

- Legal use of software.
- Good software management practices, and
- Statewide and departmental policies and procedures relating to software management.

The SIMM 120 requires state departments to provide training in the areas noted above.

The ITAM unit is understaffed and has experienced high turnover of staff. Additionally, the Security and Privacy Awareness Training is developed and updated in the Security Division which is not under the supervision or direct control of the ITAM unit.

The lack of Department-wide training on the topic of software management greatly increases the instances of unauthorized and unlicensed use of software potentially resulting in monetary penalties to the Department.

Recommendation

Caltrans should include the following in the Information Security and Privacy Awareness Training (Core and Annual):

- Definition and examples of piracy.
- Federal Copyright Act (Annual Training).
- Statewide and departmental policies and procedures relating to software management.

**Division of
Information
Technology's
Response**

The Acting CIO concurred with this finding. Please see Attachment for the complete response.

Audit Team

Laurine Bohamera, Chief, Internal Audits
Kevin Yee, Audit Manager
David Wong, Auditor-in-Charge
Veronica Kaldani, Auditor

ATTACHMENT

**DIVISION OF INFORMATION TECHNOLOGY'S RESPONSE
TO THE DRAFT REPORT**

Memorandum

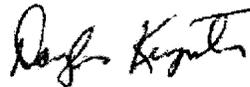
*Flex your power!
Be energy efficient!*

To: WILLIAM E. LEWIS
Assistant Director
Audits and Investigations

Date: February 15, 2013

File: P3020-069

From: DOUGLAS KEMPSTER
Chief Information Officer (Acting)
Information Technology



Subject: RESPONSE TO DRAFT AUDIT REPORT ON SOFTWARE MANAGEMENT PROGRAM

We have reviewed the draft audit report and found it to be fair and accurate. We agree with the findings and recommendations, and we shall take corrective action to address the identified deficiencies.

As required, we shall report on the progress of this resolution at 60-, 180-, and 360-day intervals from the date of the final audit report issuance.

Please contact Anna Ching at (916) 653-0811 or Dave Miles at (916) 654-5962 if you have any questions or need additional information.

Attachments

- (1) IT Response to January 2013 Audit Report on Caltrans Software Management Program
 - (2) 2012 SMP Annual Statement of Compliance (signed)
 - (3) 2013 SMP Annual Statement of Compliance (signed)
 - (4) 2012 SMP Baseline Inventory 12-9-2011 by District
 - (5) 2013 SMP Installation Counts of All Software - 20121203
- c: Francesca Negri, Chief, Division of Procurements and Contracts
Steve Kawano, Chief (Acting), Enterprise Technology Investment Division, Information Technology
Lori Knott, Chief (Acting), Security Division, Information Technology
Laurine Bohamera, Chief, Internal Audits, Audits and Investigations
Anna Ching, Chief, Office of IT Asset Management and IT Certification, Enterprise Technology Investment Division, Information Technology
Kevin Yee, Internal Audit Manager, Internal Audits, Audits and Investigations
David Wong, Auditor-in-Charge, Internal Audits, Audits and Investigations
Veronica Kaldani, Auditor, Internal Audits, Audits and Investigations

Attachment (1)

IT Response to January 2013 Audit Report on Caltrans Software Management Program

Finding 1

Caltrans' Software Management Policy Annual Statement of Compliance Has Not Been Retained or Supported with a Hardcopy of the Software Inventory

Recommendation 1.1

ITAM prepares and retains the Annual Certification and inventory summaries for at least three years.

Response 1.1

IT Asset Management (ITAM) prepares the SMP Annual Statement of Compliance after preparing the Software Management Plan (SMP) in December of every year. The SMP Annual Statement of Compliance is signed by the Director or Designee (CIO) at the end of January of the following year.

ACTION (Anna Ching): ITAM and the Office of the CIO will retain electronic and hard copies of both documents for at least three years. Projected completion date: January 31, 2014.

- There was no 2010 SMP Annual Statement of Compliance retained.
- Please find Attachment (2) – 2012 SMP Annual Statement of Compliance
- Please find Attachment (3) – 2013 SMP Annual Statement of Compliance

ACTION (Anna Ching): ITAM will retain electronic and hardcopy annual software installation inventory summary reports for at least three years. Projected completion date: December 31, 2013.

Recommendation 1.2

ITAM prepares an annual software inventory report to support the Annual Certification

Response 1.2

Caltrans IT is installing ZENworks Agents on Caltrans' Macintoshes, Windows servers, UNIX/LINUX servers, computers, workstations and laptops. Future inventory summary reports will add software installation counts for these devices to the installation counts of software on Windows PCs.

ACTION (Anna Ching): ITAM will prepare electronic and hardcopy annual inventory summary reports of all software installed on Caltrans computers and servers in December of every year and retain them for at least three years. Projected completion date: December 2013.

- There was no electronic or hardcopy 2010 annual software installation inventory summary report retained.
- Please find Attachment (3) – 2012 SMP Baseline Inventory 12-9-2011 by District (sample for this Response - first and last pages only)

- Please find Attachment (4) – 2013 SMP Installation Counts of All Software - 20121203 (sample for this Response - first and last pages only)

Finding 2

Caltrans' Software Management Plan Has Not Been Fully Implemented

Recommendation 2.1

ITAM & IT Cert Office collaborates with DPAC to:

1. Track licenses of all procured software;
2. Identify the license terms and the unit, group, and individual responsibility for remediation;
3. Document the remediation strategy; and
4. Ensure all Caltrans contractors have appropriate controls in place to ensure State funds are not used in violation of copyright law.

Response 2.1

1. Caltrans' policy is that software license assignment, tracking, and compliance is the responsibility of the districts and divisions that procure software. ITAM buys and tracks the licenses for the Department's enterprise volume license agreements. Caltrans' policy is that all computer users have power user rights by default. Employees must submit an Administrative Rights Exception Request Form with a Legitimate Business Need Statement that explains why administrator rights are needed and why IT cannot provide the needed support. The Form must receive signed approval from their supervisor, the IT Support Manager, the IT Infrastructure Division Chief, and the CIO. IT Customer Support will then create a second computer account with administrator rights for the employee. With the Department's migration to Windows 7, Information Technology expects the need for administrator rights to decrease.
2. ITAM has created a License Information Decision Guide spreadsheet to summarize software license terms for products on the Caltrans Approved Software List. This "living" document guides ITAM staff decisions during the software installation approval process.
ACTION (Anna Ching): ITAM and Tom Dolce of ETID are working with the districts and business programs to identify the Software License Information Coordinator (SLIC) for each location and to develop a plan to educate and collaborate with the SLIC on the inventory and remediation effort. Projected completion date: December 31, 2014.
3. **ACTION (Anna Ching):** ITAM is in the process of sharing and communicating the standardized software remediation procedure with all the districts and business programs. Projected completion date: April 30, 2013.
4. The Division of Procurement and Contracts (DPAC) is the delegated procurement authority for Caltrans. DPAC has indicated that language has been added to IT Contracts to certify that contractors have the appropriate controls in place to ensure State funds are not used in violation of software copyright law. In addition, DPAC management is

reviewing SIMM 120 in order to determine the requirement for contractor certification in non-IT agreements.

ACTION (Anna Ching): Contractor's Certification – ITAM and IT Cert are working with DPAC to incorporate the appropriate language in both IT and non-IT contracts to ensure that State funds are not used in the performance of a contract for the acquisition, operation, or maintenance of computer software in violation of copyright law. Projected completion date: April 30, 2013.

Recommendation 2.2

ITAM establishes a reporting structure by which districts and divisions performing remediation certify compliance with SAM 4846 annually and retain these certifications for three years.

Response 2.2

ACTION (Anna Ching): ITAM will create and distribute remediation compliance instructions to districts and divisions. Projected completion date: September 30, 2013.

ACTION (Anna Ching): ITAM will create and distribute a remediation compliance certification document, which district and division chiefs will sign. Projected completion date: September 30, 2013.

Recommendation 2.3

ITAM updates the Software Management Plan to reflect actual procedures in the Ongoing Inventory and Control Methodology and the Contractor's Certification section.

Response 2.3

ITAM has established a standard software approval/denial procedure to verify the assignment of an available license to the customer prior to software installation.

ACTION (Anna Ching): ITAM is in the process of sharing and communicating the standardized software license approval/denial procedure with all the districts and business programs. Projected completion date: April 30, 2013.

ACTION (Anna Ching): ITAM will review all the Department's actual inventory control procedures and processes and update them. ITAM will update Caltrans' 2014 Software Management Plan's Ongoing Inventory and Control Methodology section. Projected completion date: December 31, 2013.

ACTION (Anna Ching): ITAM and IT Cert are working with DPAC to incorporate the appropriate language in both IT and non-IT contracts to ensure that State funds are not used in the performance of a contract for the acquisition, operation, or maintenance of computer software in violation of copyright law. When completed, ITAM will update Caltrans' 2014 Software Management Plan's Contractor's Certification section. Projected completion date: December 31, 2013.

Recommendation 2.4

ITAM reconciles the differences between ZAM and EPO to determine the universe of workstations.

Response 2.4

No reconciliation is possible. The counts differ and vary over time because of many factors. New PCs connect to the network. Old PCs are surveyed out. Surveyed PCs are not deleted from the databases. Laptops may not connect to the network for months. ZENworks Asset Management (ZAM) is Caltrans' official IT asset management tool. Its counts and inventory reports determine the official "universe of workstations".

Recommendation 2.5

ITAM ensures Information Technology's website is updated with the most recent approved version of the Caltrans' Software Management Plan and informs district IT managers of procedural changes.

Response 2.5

ACTION (Anna Ching): ITAM will post the signed 2013 Software Management Plan on the ITAM website. Projected completion date: February 28, 2013.

ACTION (Anna Ching): ITAM will communicate the web link of the 2013 Software Management Plan to all District IT Managers and to HQ IT Managers and will inform them of procedural changes. Projected completion date: February 28, 2013.

Finding 3

Software Management Training is Inadequate

Recommendation 3.1

Caltrans should include the following in the Information Security and Privacy Awareness Training (Core and Annual):

- Definition and examples of piracy.
- Federal Copyright Act (Annual Training)
- Statewide and departmental policies and procedures relating to software management.

Response 3.1

The Information Security Office included the required educational components in the Information Security and Privacy Awareness Training (Core and Annual). David Wong of the Division of Audits and Investigations verifies that ISO training has been strengthened since the 2011 audit. David confirms that there is no training issue now.

Attachment (2)

**SOFTWARE MANAGEMENT POLICY
ANNUAL STATEMENT OF COMPLIANCE**

DATE: May 8, 2012
TO: State Chief Information Officer
FROM: Department of Transportation
SUBJECT: ANNUAL STATEMENT OF COMPLIANCE WITH THE CALIFORNIA
SOFTWARE MANAGEMENT POLICY

The Department of Transportation is in the process of modifying its software management processes and implementing an automated tool in order to achieve compliance with State policy governing software management practices as defined in the California Software Management Policy, SAM Section 4646.

During the past year, the Department of Transportation initiated two projects to

1. Review and recommend improvements to the Department's software management program using existing tools. Recommend a long-term enterprise-wide solution.
Completion Date: June 30, 2012
2. Implement Zenworks Asset Management 11 for managing IT software assets
Completion Date: August 30, 2012

Finally, in compliance with the requirements of SAM Section 4646, I have appointed the following individual as the representative responsible for ensuring our agency compliance with the California Software Management Policy

Name: Michael Liang
Title: Department IT Asset Manager
Business Address: 1120 N Street
City and Zip Code: Sacramento, CA 95814
Telephone: 916-654-2143
Email: Michael.X.Liang@dot.ca.gov

Please contact Tom Dolcs at 916-654-5817 for additional information.

(Date)

(Signature of Director or Designee)

Attachment (3)

**SOFTWARE MANAGEMENT POLICY
ANNUAL STATEMENT OF COMPLIANCE**

DATE: January 31, 2013
TO: Chief Information Officer
FROM: California Department of Transportation (Caltrans)
SUBJECT: ANNUAL STATEMENT OF COMPLIANCE WITH THE CALIFORNIA
SOFTWARE MANAGEMENT POLICY

The California Department of Transportation (Caltrans) is in the process of modifying its software management processes and implementing an automated asset management tool in order to achieve compliance with State policy governing software management practices as defined in the California Software Management Policy, SAM section 4846.

During the past year, the California Department of Transportation has further implemented our Software Management Program that includes the following update of key elements:

- As of December 24, 2012, deployment of Novell ZENworks 11 Agent was at 91 percent of all Windows PCs. Deployment to servers is in progress. Deployment to Macintoshes is pending. Lacks of staffing and of availability of critical skills have contributed to the delay. Required resources are currently engaged on the Active Directory project.
- Implementation of the Novell ZENworks Asset Management 11 tool also requires skills not currently available within Caltrans. Assistance is needed to design the asset management database and for consultation in the development of IT Asset Management policies and procedures to support ongoing software management. Once designed, a significant amount of resources will be necessary to input software license information.
- Implementation will follow a phased approach. Phase I pilot project is currently planned for 2013 and is dependent upon getting the expertise required to design and populate the asset management database. Complete department-wide implementation is planned for 2014.

Finally, in compliance with the requirements of SAM section 4846, I have appointed the following individual as the representative responsible for ensuring our agency compliance with the California Software Management Policy:

Name: Steve Kawano
Title: Department IT Asset Manager
Business Address: 1120 N Street, mailstop 20

William E. Lewis
February 15, 2013
Page 8 of 12

City and Zip Code: Sacramento, CA 95814
Telephone: (916) 654-7255
Email: Steve.Kilman@caltrans.ca.gov

Please contact Dave Miles at (916) 654-5962 or Dave.Miles@dot.ca.gov for additional information.

2/5/2013
(Date)

(Signature of Director or Designee)

Attachment (4)

Software by Department - Summary Counts

Run Date: 12/9/2011

Software Applications, focusing on General Software

Scope:

27747 Records with:

All Domains

Workstation Is Deleted = No and

Product Is Deleted = No and

Last Scan Date within three months before Report Date

Department	Product Manufacturer	Product Name	Product Version	Instances (Summary)
D01	Acro Software	CutePDF Writer	2.7	264
D01	Adobe	Acrobat Distiller	Unknown	67
D01	Adobe	Acrobat Reader	5.1	122
D01	Adobe	Acrobat.com	-	50
D01	Adobe	Adobe Flash Player Plugin	10.3	71
D01	Adobe	Adobe Gamma	3.3	131
D01	Adobe	Adobe Gamma Loader	1	128
D01	Adobe	Adobe Reader	Unknown	331
D01	Adobe	Adobe Shockwave Player	11.6	193
D01	Adobe	Adobe Shockwave Player	Unknown	72
D01	Adobe	FormFlow	2.2	170
D01	Altiris	Altiris Local Recovery Agent	6.1	129
D01	Apple	Apple Software Update	2.1	56
D01	Apple	OPENSTEP Enterprise for WinNT	Unknown	336
D01	Apple	QuickTime	7.7 (135
D01	Apple	QuickTime	7.7.1	176
D01	Autodesk	CAiCE Visual Transportation	10.5	177
D01	Autodesk	CAiCE Visual Transportation	10.6	62
D01	Autodesk	CAiCE Visual Transportation	10.8	69
D01	AvantGo	AvantGo Client	3.3	111
D01	AvantGo	AvantGo Connect	3.3	111
D01	Avery Dennison	Avery Wizard for Word 2000	2.1	119
D01	Bentley Systems	FlowMaster	8.1	109
D01	Bentley Systems	MicroStation	8	233
D01	Borland	Borland Database Engine Administrator	5	117
D01	Cinematronics	3D Pinball	5.1	86
D01	Citrix	GoToMeeting	4.5	54

Novell	Novell Client for Windows 2000/XP	4.91 SP5	426
Novell	ZDM Application Management Agent	7	414
Novell	ZDM Inventory Agent	7	414
Novell	ZDM Workstation Manager Agent	7	414
Novell	ZEN works Patch Management Agent	6.4.2.405	56
Novell	ZEN works Patch Management Agent	6.4.2.420	354
Novell	ZENworks Asset Mgmt Client Apps.	7.5	424
Novell	ZENworks Desktop Management Agent	7.0.160.70924	415
Novell	ZENworks Remote Management Agent	7.0.0.1	414
Oracle	Oracle JInitiator	1.3.1.13	409
Oracle	Oracle JInitiator	1.3.1.18	410
Oracle	Oracle JInitiator	1.3.1.22	396
Oracle	Oracle JInitiator	1.3.1.26	404
Primavera	SureTrak Project Manager	3	397
SafeNet	Sentinel System Driver	5.3	395
Sun Microsystems	Java HotSpot Client VM	1.3	1,675
Sun Microsystems	Java HotSpot Client VM	1.4	788
Sun Microsystems	Java HotSpot Client VM	1.5	54
Sun Microsystems	Java HotSpot Client VM	1.6	420
Sun Microsystems	Java HotSpot Server VM	1.4	391
Sun Microsystems	Java SE Runtime Environment	Unknown	419
Sun Microsystems	Java Web Start	1.5	56
Sun Microsystems	Java Web Start	1.6	1,655
The hsqldb Development Group	HSQldb	Unknown	391
Tim Kosse	FileZilla	3.2	391
Tripod Data Systems	Survey Link	7.1	406
Verdiem Corporation	Surveyor	5.2.3.377	370
VideoLAN	VLC media player	1.1.11	97
WexTech	AnswerWorks	4	392
WexTech	Doc-To-Help	4	405
WinZip Computing	WinZip	9	419

Attachment (5)

Installation Counts of All Software at Caltrans

Run Date: 12/03/2012

Software Applications, focusing on General Software

9099 Records with:

Device Is Retired = No and

Product Is Deleted = No and

Last Scan Date within three months before Report Date

Product Manufacturer	Product Name	Product Version	Instances (Summary)
@Last Software	SketchUp	Unknown	2
01 Communique Laboratory	COMMUNICATE! (32bit)	8	1
1099 Pro	1099 Pro Enterprise	2005	1
2BrightSparks	SyncBack	3.2	5
2nd Story Software	TaxACT 2001	1	1
2nd Story Software	TaxACT 2002	1	1
2nd Story Software	TaxACT 2007	1	1
3Com	3CDaemon	2	4
3Com	Network HotSync	3	17
3Com	Palm Desktop	3	22
3Com	Palm OS Emulator	3	2
3M	Post-it Digital Notes	4.3	1
3M	Post-it Digital Notes	5	1
3M	Post-it Digital Notes	5.3	1
3M	Post-it Software Notes Lite	2.1	3
3M	Post-it Software Notes Lite	3	4
3M	Post-it Software Notes Lite	3.1	1
4D, Inc.	4D Client	Unknown	5
4Developers	COM Explorer	2	1
4Developers	Net Snippets	2	1
4Developers	Registry Crawler	4	1
4Developers	SimpleRegistry Control	3	2
65 Systems	SpaceMonger	1.4	22
A1Tech Software	AdsGone	4	1
ABB Inc	Composer	5.0.0.49	1
ABBYY	ABBYY FineReader for ScanSnap	8	9
ABBYY	ABBYY PDF Transformer	1	3
ABBYY	ABBYY PDF Transformer	2	6

Xfire	Xfire	-	1
Xi	FTP Transport	Unknown	1
XMIND	xmind	1	1
XnView	XnView	1.9	76
XnView	XnView	2.1	1
Xteq Systems	Xteq X-Setup	5.7	1
XTree	XTreeGold	3	1
XTree	XTreeGold	Unknown	1
XTree	XTreePro	1.1 (FR)	1
xTremSoft	xPodClone	-	1
Yahoo!	Yahoo! Browser Services	-	17
Yahoo!	Yahoo! Companion	2	3
Yahoo!	Yahoo! Companion Toolbar	-	480
Yahoo!	Yahoo! Internet Mail	1	3
Yahoo!	Yahoo! Messenger	3.5	1
Yahoo!	Yahoo! Messenger	5	1
Yahoo!	Yahoo! Messenger	5.5	1
Yahoo!	Yahoo! Messenger	5.6	1
Yahoo!	Yahoo! Messenger	8	4
Yahoo!	Yahoo! Messenger	8.1	5
Yahoo!	Yahoo! Messenger	9	3
Yahoo!	Yahoo! Messenger	10	2
Yahoo!	Yahoo! Messenger	11.5	3
Yahoo!	Yahoo! Messenger	7.0.	6
Yahoo!	Yahoo! Messenger	Unknown	2
Yahoo!	Yahoo! Widgets	4	3
yoda	AspackDie	1	4
yoda	AspackDie	Unknown	1
YourWare Solutions	FreeRAM XP Pro	1.4	2
YourWare Solutions	FreeRAM XP Pro	1.5	4
Zhorn Software	Caffeine	1.5	8
Zhorn Software	Stickies	6	1
Zhorn Software	Stickies	6.7	2
Zhorn Software	Stickies	Unknown	20
Ziff-Davis	InCtrl4	1.1	3
Zinio Systems	Zinio Reader	1.6	1
Zinious Software	ZHider	2	20691
Zinious Software	ZHider	Unknown	15938
ZJ Computing	Easy DVD Player	2	1