Tivoli. *Software Usage Analysis*
Version 1.3

Implementation Guide

IBM

Note: Before using this information and the product it supports, read the information in Notices.

Contents

Part One
Laying the foundation

A well-implemented software asset management initiative can create significant cost savings across your enterprise – both on software and on process and infrastructure. It puts you in a stronger negotiating position with software vendors and, most importantly, provides you with powerful peace of mind when it comes to the legalities of license compliance. With a healthy software asset management implementation within your environment, you always know what software you have, where it is, and how it is being used.

This information is critical from an operational as well as strategic standpoint. A healthy software asset program allows your organization to directly manifest value from your IT investments. Ultimately, your three objectives in this context are to reduce cost, reduce risk and bring every IT asset into legal compliance.

The benefits of a software asset management tool include:

- Reduction in software Total Cost of Ownership
- Technology migrations supported with real information
- Alignment of software assets with legal licenses
- Removal of software liabilities
- Improved budgeting and planning processes
- Improved user productivity
- Reduced support calls
- Improved desktop and network security
- Reduced overall cost of asset management

Overview

With Tivoli Endpoint Manager for Software Usage Analysis (SUA), you have selected a powerful application for managing the software within your enterprise. However, this tool is only beneficial when implementation follows the necessary steps to ensure that it operates at full potential and that adequate time is allocated for setup procedures. This Guide provides a straightforward approach to using best practices building blocks to configure SUA to meet your financial and contractual compliance needs. Most of your setup process involves your Software Catalog.

Why all the preparation? Imagine that you just purchased a new music media device, and that you are preparing your new electronic media library. First, you locate the media you want to load onto the device. Then, as the device is pre-formatted with media categories (music, movies, photos, podcasts), you organize and categorize that media to decide which of each "type" to load onto the device. What about storage capacity? How much of your library can you fit onto the device? After you answer these initial questions, you are ready to start uploading media.

Setting aside adequate time for these early considerations will ultimately give you a comprehensive library of music and media available at your fingertips. This process is similar to how you begin thinking about your Software Catalog. To review specific details about the Software Usage Analysis Software Catalog, review the Catalog *Editor's Guide* that is also provided as part of this release.

Ascertaining these types of questions represents exactly the level of preparation you need to optimize SUA's many long-term benefits. A successful, well-planned implementation results in cost savings, streamlined IT productivity, and continuous compliance with software licensing regulations – all in a powerful tool that can reduce risk and save money across your enterprise.

Typical implementation structure

The figure below shows how a typical software asset management implementation plan might be structured using a company's available resources.
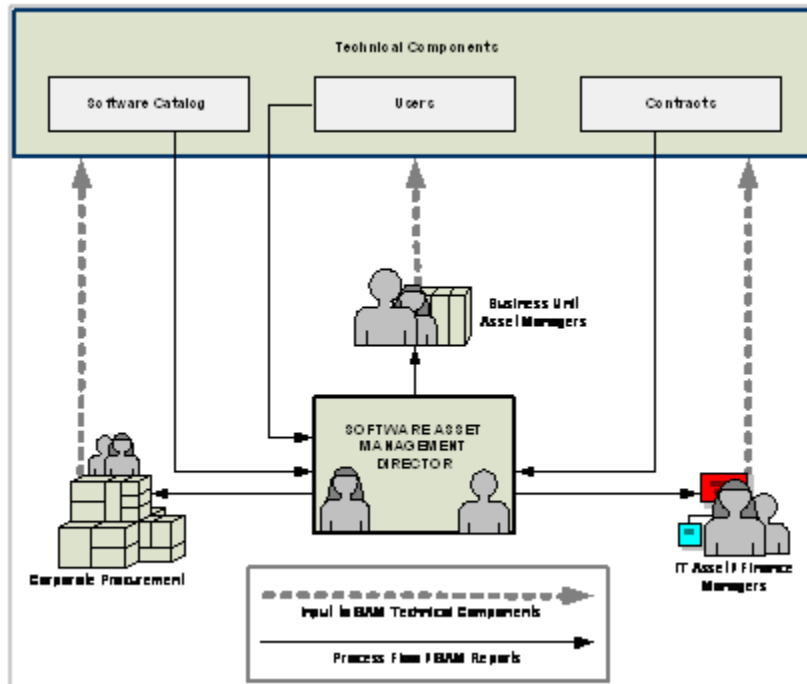
In a typical implementation, designated stakeholders have direct input to the software asset management database and receive reports generated by SUA.

The tables below outline the primary components of SUA and the various user roles.

SUA Components and Roles

SUA Components	Description
Tivoli Endpoint Manager SUA	This is your installed SUA application containing the primary elements that you need to customize: the Software Catalog, Users, Contracts, and Saved Reports. When the implementation is in place, SUA will generate reports based on your specific requirements.
Software Catalog	The SUA Software Catalog contains a vast database of software publishers, titles and versions that are recognized by the agents running on your endpoints. You must update the catalog any time a new software title not already in the default list of software is installed.
Users	SUA defines specific roles and permissions for different types of SUA users. The application allows you to create users and grant varying levels of access to support your enterprise's asset management needs. Typically, IT personnel are responsible for the initial setup and maintenance of this function to respond to user account changes within the company.
Contracts	Nearly all enterprise-level software applications requiring multiple licenses contain contractual information (licenses, expiration dates) that you enter, monitor, and maintain on a continuous basis.

Company Roles	Description
Software Asset Management Director	As owner of the overall implementation process, the Director of your software asset management implementation ensures that the primary components of the SUA application are current, accurate and primed for easy maintenance, and gets stakeholders involved to ensure a smooth transition to the new SUA system. The Director also keeps senior management apprised of the progress and status of the implementation plan.
Corporate Procurement	In many companies, the Corporate Procurement department is responsible for purchasing new software titles or upgrades and tracking the associated software licenses and contracts. This function is also responsible for updating and maintaining the SUA Contract database to ensure accurate and current reporting of assets.
IT Asset Managers	In some situations, IT personnel install and track new or upgraded software titles and maintain the SAM Contracts database. They also understand how the SUA application is deployed across the company's technology resources. IT Asset Managers typically work closely with the Director to ensure that the flow of information to and from SUA is efficient and reliable.
Finance Managers	Finance Managers play a pivotal role in utilizing SUA for its intended purpose – of fulfilling compliance obligations and managing the costs of software installed on your network. Finance Managers are the primary customer for SUA reports and use this information to document compliance for both internal and external auditors. By coordinating with the Director, they use these reports to send accurate data to management regarding the company's use of software, as well as recommendations for cost savings.
Business Unit Asset Managers	Business Unit Asset Managers oversee the software asset tracking for their own business units and are responsible for the day-to-day software asset management (criteria, reporting) within their organization. The Business Unit Asset Manager works closely with the Director to ensure that their business unit's needs do not conflict with SUA requirements, and facilitate smooth implementation to fulfill compliance obligations and cost savings.

In most cases, the implementation Director is the nucleus of a successful software asset management implementation. Correct preparation is vital to realizing the most expeditious ROI for your software assets.

Pre-implementation is an excellent time to begin thinking about Computer Groups, Computer Properties, and Saved Reports. These functions are integral to the initial setup of SUA in your organization to create an effective deployment with useful views and reports. The table below outlines the primary uses of these features:

SUA Features	Description
Computer Groups	This feature is useful in creating units of analysis based on computer properties that you can use to analyze your reports and to which you can assign contracts. It gives you the ability to hone your report views to a specific set of computers. For example, All Servers, All Windows Computers in North America, All Computers below a certain patch level,. Computer groups can also be hierarchal, allowing you to set up groups and subgroups. For example, All Servers>In North America.
Computer Properties	This feature gives you the ability to add attributes about your computers, which can be used for filtering, sorting, and grouping. For example, quantity of RAM, active directory group, hardware vendor, etc.
Saved Reports	Use this feature to create and share report settings for commonly-used views of the data. This gives you 1-click access to reports.

Assess needs and requirements

Why does your organization need a software asset management program? Part of your assessment process involves identifying the drivers to making this change. Are you being pressured by management to validate IT costs? Have you been notified of an upcoming external audit of your software licenses? The costs of managing assets and the risks of having noncompliant licenses are the two primary catalysts for implementing a software asset management program. But more than that, you need to determine what tools a software asset management product will give you that you do not already have. Also, what short and long term benefits do you envision will result from implementing a software asset management tool within your environment? And most importantly, how much money is your organization likely to commit to realizing these goals?

With a software asset management process in place, you can discover what IT assets you have, how they are being used, where they are located, and if they are legally licensed. And when this information is in place, you will be better positioned to relay the concept of ongoing compliance to the stakeholders involved.

- Assess scope

Your company is unique and has its own built-in methodologies that distinguish it from other companies. At the same time, any implementation process requires planning and forethought to ensure its success. Your compliance with regulatory agencies and your relationships with software vendors are critical to your success. Ultimately, your scope assessment must consider exactly what you need from a software asset management process and how your enterprise is expected to change as a result. These changes include legal compliance to software license contracts as well as significant cost savings in asset management.

IBM® Tivoli.

- Identify compliance gaps

If your organization has already undergone a compliance audit, you were likely given a list of gaps and deficiencies that you will address during the remediation phase. If not, consider conducting an in-depth internal audit of your technology resources to anticipate and eliminate possible compliance issues before they arise. Either way, you need solid data on your regulatory standing and a plan for how to address any gaps. Software asset management will play an important role in helping you meet your compliance expectations and obligations.

- Test your implementation

An extremely effective method for discovering potential problems with your software asset management implementation is to test it with real data in a test bed network *before* turning it on in your company's network. Such testing can quickly identify missed steps, weaknesses or pitfalls that might have occurred during the preparation or customization stages. Discovering these issues in a non-volatile environment can save time and valuable resources.

Management support and approval

Before implementing a software asset management program, you will need not only management buy-in but a financial commitment to sponsor the entire scope of the implementation. How do you make a compelling case to management about the benefits of software asset management technology in your enterprise? The overall question management will consider is if they can afford this change. Ultimately, in light of what we now know about software asset legal compliance standards, they cannot afford *not* to implement a software asset management program.

Start by ascertaining what management will specifically want to know:

- What are the upfront costs?
- How much IT training will be required?
- How much IT productivity will be lost during implementation?
- What are the ongoing costs for maintaining SAM long term?
- Who are the organizational stakeholders and what will you require from them?

Establishing ROI

Ultimately, management will be interested in realistic ROI figures. You can create these by establishing metrics early on in the process by mapping the cost of your current deployment with your post-implementation costs. This optimization of software asset management-based ROI can be calculated in several specific areas, using the following formulas:

Calculating ROI

Reduced System Support Costs

The number of computers x the average number of annual support tickets per computer x the cost per ticket x % reduction in average call length

Example:
1,000 computers x 4 support tickets per computer per year x $40 per ticket x a 25% reduction in average call length = **Annual Savings of $40,000**

Reduce Unused Software Licenses

The number of unused or underutilized software installs x licensing costs

Example:
1000 copies of unused but installed desktop publishing product x $1200 per license = **a potential savings of $120,000**.

Minimized Internal IT Audit Expenses

Number of computers x the time required to audit each computer x the hourly cost of an IT staff member x the number of audits performed each year

Example:
A company with 1,000 computers x 15 minutes to audit each computer x $35 per hour for IT staff member x 2 audits performed each year = **Annual savings of $17,500**

Improved Employee Productivity

Total number of employees x Estimated hours spent using unauthorized software each year x % of employees who experience downtime x Average hourly salary

Example:
A company with 500 employees x 156 hours using unauthorized software each year x 10% of employees experiencing downtime x Average salary of $18 per hour = **Annual savings of $140,400**

Enhanced Software Compliance

Probability of audit x Number of computers x % of computers with unlicensed apps x Fine per unlicensed app

Example:
Assume a 15% probability of an audit x 1,000 computers x 5% of computers running unlicensed software x Average $30,000 fine per unlicensed app = **Annual savings of $225,000**

To establish a prospective before and after picture of software asset management in your organization, create a comparative baseline. You can also use this information as a starting point for establishing metrics in the next section.

Ask yourself a series of simple, high-level questions, which can later be drilled down for more detail and granularity. Although you can customize baseline questions to your individual organization, you might select three primary categories for assessment – *management, costs*, and *compliance.*

Management
- How do you currently track your software assets and usage?
- What do you project is the accuracy percentage of that data at any given time?

Costs
- How much do you spend annually on IT labor and software assets and licenses?
- If you need to decrease spending, what is your target budget?
- How much money is wasted annually on unused or under-utilized software, redundant licenses, true-up costs for unlicensed software, or legal penalties for non-compliance?

Compliance
- By what method and how often do you conduct internal software audits?
- What percentage of your current IT assets includes legally licensed software? If you do not know, do you have an effective and accurate way to find out?
- Where are the gaps?
- Have you undergone external audits and, if so, what were the results?

Develop metrics and processes

An internal system of metrics allows you to track and monitor how a software asset management implementation impacts your organization. Metrics can be a useful tool both before *and* after SAM is implemented.

Ultimately, you will be tracking how much money your organization currently spends on software asset management processes, and if those expenditures are well utilized in maintaining the legal compliance of your software licenses. Use the categories in the above section to enter actual amounts for management costs, labor costs, license expenses, and projected costs. These numbers will allow you to see gaps between where you are now and where you want to be in terms of managing cost and risk.

You can then use this valuable information to either update or set forth new enforcement policies for software usage and desktop standards.

Expectations and schedule

Most commercial SAM applications require an extensive upstart process. Tivoli Endpoint Manager's SUA tool can, in most cases, be installed and implemented within hours or days, rather than months. Set aside adequate time with IT personnel for the initial installation and configuration of your product. This allows staff to become familiar with the new system. Then allocate resources for the ongoing maintenance of your SAM application tool.

Select the best tool

The most common reasons for failure of a software asset management program include lack of management sponsorship and poor tool selection. Selecting the right tool can be a daunting task. By far, the most successful users of software asset management tools are enterprises that maintain a holistic view of how it can work in the short and long term. That means focusing on a tool that will help you with *all* aspects of software asset management, not just the legal compliance aspect.

Successful software asset management programs begin with a vision. And when this vision is clearly defined from the beginning, you can easily translate that vision into a salable concept to management and a workable model for IT.

Tips for tool selection

1. Develop a vision for software asset management. Include where you are now and where you want to be, to help you determine what you need from a software asset management tool or product.
2. Assess the needs of stakeholders and affected departments to build a functional requirement specification.
3. Create a short list of software asset management applications and arrange demonstrations with stakeholders.
4. Once you've narrowed down the best software asset management tool for the specific needs of your enterprise, arrange for an evaluation of the product to demo how it would behave in your environment.

IBM ® **Tivoli.**

Part Two

Implementation

A Best Practices approach

In general, about 30% of large enterprises experience one on-site software audit per year. Whether or not you are in this percentage group, you need a rigorous software tracking tool to ensure audit-readiness throughout your enterprise.

Employing a Best Practices approach to managing your software assets can elevate audit-readiness up a few levels, improving things like purchasing arrangements and negotiating power with software vendors, risk management posture, and a competitive advantage. This methodology is critical to your compliance with laws and regulations governing the legal use of software on your company's IT resources. This approach can also help lower the total cost of ownership (TCO) by reducing maintenance costs associated with manual tracking and reporting methods, redeploying an existing license by an employee who is replaced or has moved to another position within the company.

According to ECP Media, a best practice is defined as "a set of tools and processes designed to maximize efficiency and productivity of a given task or outcome. It falls somewhere between a framework – a high-level description of a task or process – and a standard that describes specific and measurable outcomes."

What's the Difference Between a Standard and a Framework?

ITIL®, the Information Technology Infrastructure Library, is a framework — not a standard — outlining a set of assumptions guiding the design of underlying processes. Organizations can use ITIL as a guide for developing processes and procedures.

Standards, derived from numerous implementations of a framework, are viewed across the industry as a crucial step in turning best practices into reality. They set out requirements for management systems, service planning and delivery, process relationships and process control and release.

The U.K.'s Office of Government Commerce (OGC) developed the ITIL framework. The British Standards Institute (BSI www.bsi-global.com) and Standards Australia (AS 8018 www.standards.org.au) and the International Standards Organization (www.iso.org) have codified service-management standards based on ITIL. The existence of a standard set of processes and procedures offers both tool providers and end users the opportunity to be evaluated and certified compliant with the standard.

The OGC published (September 2003) a volume on software asset management as part of its ITIL series and the BSI, along with the U.K.'s Federation Against Software Theft (www.fast.org.uk), collaborated on an unpublished standard for software compliance (unpublished manuscript FSSC-2:2004). ISO 19770-1 (to be released May 2006) is the first software asset management processes standard. These are the only guides we've seen covering these subjects in some depth.

Best Practices in IT Asset and Software Management, ECPweb.com, September 2006. Used by permission.

A comprehensive, industry-wide standard for software asset management is available in the International Standard ISO/IEC 19770-1:2006. This Standard was developed to facilitate enterprises in auditing their software asset management performance to a level sufficient to meet corporate governance obligations and manage costs associated with effectively monitoring use of installed software across your enterprise. For the purpose of this Guide, it is assumed that best practices will be used to manage the implementation of software asset management within your enterprise.

Service Level Agreements (SLAs)

Your software asset management implementation should be directly related to all internal and external service level agreements (SLAs) that contain regulatory, compliance and customer protection requirements. Best practices dictate the need to implement software asset management in a way that reinforces the intent of your SLAs. Conversely, SLAs must be written so that they do not hinder your software asset management implementation.

Software inventory review

At this stage of your research, you will be taking an inventory of your existing software assets. This can be done manually, but you have already most likely selected a tool to automate this process for you.

Consider how often you want to take inventory and set preliminary parameters for the inventory process. What, specifically, are you going to look for? An inventory of software can reveal your level of legal compliance, computers that are running unauthorized software, and computers that are out of date with patches and service packs. It can also allow you a bird's eye view into how particular departments use applications – this can enable you to set up computer groups and set software use standardization practices company-wide.

Software license review

When you have taken an inventory of the software assets in your system, you can sync up your inventory with your list of current, active software licenses. To do this, first research where in your enterprise these licenses are maintained, how they are they categorized, and who maintains them. Then begin reviewing the specifications of each license. What does it require? Then locate each software asset to match usage against license requirements.

Best practices to keep in mind:

- Designate specific personnel for software purchasing and contract maintenance.
- Contact each publishing vendor to determine their individual criteria for "proof of ownership" in the event of an audit – ensure that you have and maintain those records and can access them quickly.
- Establish a documentation system for the storage, review, and maintenance of software license documentation, whether hard copy or electronic.

Software catalog preparation

Note: *To install and use your catalog, see the SUA Installation and Configuration Guide and Catalog Editor's Guide, available on the support website.*

It is vital to your SUA implementation that your Software Catalog contains all of the software publishers, titles and software versions that are integral to your daily business. SUA automates software identification by using its extensive software database to locate evidence of installed applications and compare that evidence to the catalog.

SUA version 1.3 comes with an Ambiguous Software tool, which takes the guesswork out of software redundancies. A redundant or "ambiguous" software product could be a standalone version of Microsoft Word that's also included in a Microsoft Office Professional product. It is common for there to be similar, or even identical, executables relating to the same software application. This duplication can occur for a number of reasons. The primary job of the Ambiguous Software tool is to search for the "package data" that relates to that executable – this may be found data from a Tivoli Endpoint Manager analysis property (for example, one that returns the contents of the Windows Registry). These package "strings" are the key to differentiating ambiguous software entries in your catalog.

SUA analyzes how various software titles are packaged to generate reports that are relevant to your specific needs. Once you understand SUA's capabilities, you can customize your catalog to satisfy your compliance needs and control costs associated with unused or unnecessary software in your network.

The Software Catalog Workflow figure shows the process required to prepare, verify, test and maintain your Software Catalog.

Your Software Catalog is a fundamental element of your software asset management solution. It allows you to manage your assets more effectively and control costs by identifying redundant, unused, or under-utilized software. It is your primary data source for generating the relevant reports needed for meeting compliance obligations and satisfying auditors.
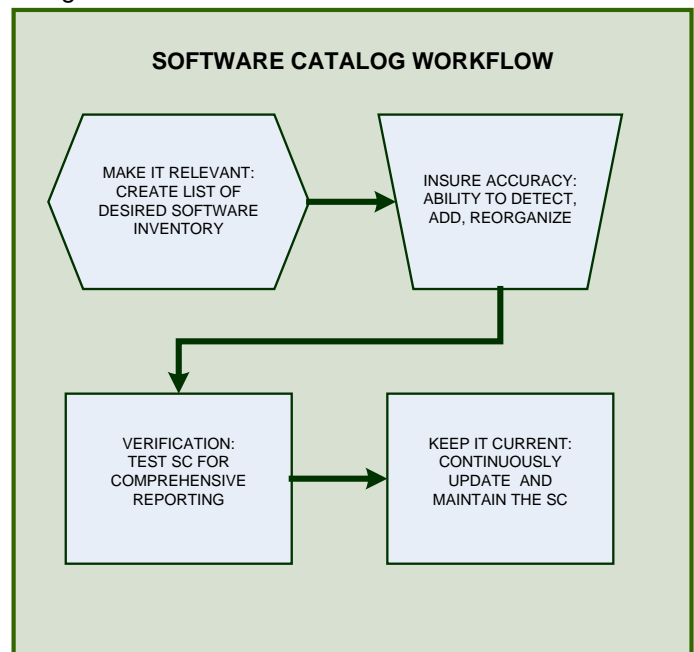
There are four primary and distinct steps you must take to maintain an accurate, up-to-date Software Catalog:

- Make It Relevant
- Ensure Accuracy
- Verify
- Keep it Current

These four steps require some thought and planning at the beginning to tailor the catalog for your company, and are described in more detail in the following section.

Make it relevant

The majority of the software you need is already in the SUA Software Catalog. However, you might encounter new software titles needed for your enterprise. In this case, your primary job is to make this software "relevant" and ensure that all of the software assets owned by your enterprise are legally compliant and up to date.

Studies have shown that fully half of companies based in the United States are at least 10% noncompliant with software licensing. Auditors are trained to look for these gaps, and remediation can be costly and time consuming. The need for a comprehensive list of your installed software is crucial to being audit ready.

To start creating a list of the software you need, consider the following:

- What do you want to track?
- How do you want to track it? By installation, by location, or by license?
- Do you know exactly what your compliance obligations are? Are you aware of the relevant legal standards?

When beginning to monitor specific software applications, consider the following factors:

- When, where, and how the software is used
- The way different groups use a particular application
- If the manner and frequency of use of this application matches the cost
- If overall that application is helping or hindering the evolution of your business

SUA will help you compare your list against the evidence imported from your network endpoints using the Software Catalog. It does this by identifying unmapped packages or executables, or software that is not integrated in your Software Catalog.

Ensure accuracy

Your initial inventory reports might not always tell you what you need to see. Certain software titles present in your environment might be included in the Software Catalog but are not yet properly identified. They are made visible when you have endorsed their relevance to your environment. SUA allows you to view all of the raw data from the scan, including any unmapped executables.

From this list, you can:

- Find the titles and versions you own and compare them to the Catalog contents
- Copy any unmapped publisher/title/version strings
- Add them to the Catalog if they don't already appear
- Verify that they were properly added

For detailed procedures on how to customize your Software Catalog, see the SUA *Catalog Editor's Guide.*

Verify data

When your Software Catalog is updated and concurrent with the installed software base, it is important to check its content against fresh scans to verify that nothing has been left out. Design your processes to ensure that SUA reports exactly the information you need to fit your business requirements.

You might consider testing your data by configuring one or more designated end points in your network. Check the accuracy of your Software Catalog against a known list of software titles and versions installed on those end points. You should also consider verifying your ability to generate reports based on the test data. The above diagram illustrates how a test might be set up to verify that each part of your software asset management implementation, including your Software Catalog, is fully functional. In performing such tests, it is important to think about the various facets of how SUA operates and ensure that each one is operating as expected.

Keep it current

Updating is the way you customize the Software Catalog to fit your environment. This is absolutely necessary to leverage all of SUA's compliance and cost saving benefits and get the maximum ROI as early as possible.

Things to consider:

- Frequency of updates – how often will you check the Software Catalog against the installed software base? Weekly? Monthly? Or only when new software is installed? Do your internal compliance policies specify how often you check for software compliance?

- Software can be installed by the end user, by the IT department or by automatic updates that download and install newer versions when available. Temporary employees may also be a risk for non-compliant software installations. These need to be monitored to ensure that you remediate these issues prior to an audit.

- Your Software Catalog is the heart of your compliance goals, and a healthy "heart" is essential for the health of your enterprise.

Set long term policies and procedures

To maximize the usefulness of your SUA application, you must set specific policies throughout your organization for software usage and desktop practices. This is important to maintain SUA as a living system within your enterprise – and to use this dynamic tool the way it is designed. Create a strategic program around your SUA tool to continuously evaluate, monitor, and respond to your organization's use of its software assets. Create flexible policies that allow for changes in your organization – such as personnel, technology, and industry changes in usage and applications.

Summary

Establishing a software asset management program within your organization is a comprehensive process. Start small. Begin with a vision of how you want your software assets to look and how you'd like them to be maintained. Then take an inventory of your assets and licenses – you may be closer to compliance than you originally thought. When it comes to legal compliance, it is ultimately better to know than to wonder.

Your software asset management product will serve as the lens through which you will display and magnify the software products installed in your organization, which will allow you to make decisions about what to do with them. And SUA will be the tool that helps *bring* and *keep* you in compliance.

Benefits of Applying Best Practices to your SUA implementation:

- Helps you fulfill your company's compliance obligations
- Allows you to analyze your software and licensing contracts by providing you with detailed, accurate reports
- Affords you the best possible ROI for managing your software assets

Correct implementation of SUA allows you to:

- Manage your software life cycles
- Track IT contracts
- Reconcile your software deployment and usage
- Manage costs associated with your software
- Get control of your inventory to pass audits quickly with the least amount of remediation

Summary of SUA Benefits:

- An accurate software inventory
- Knowledge of your software usage
- Easy identification of unused or under-used software
- Greater bargaining power with software vendors
- Ability to create software budget requests based on up-to-date information and analysis
- Effective future planning with clear understanding of legal license requirements
- Upgrades that are more targeted and cost-effective
- Greater control over software for reduced cost and enhanced productivity
- Reduced chances of viruses and defective software by running only authorized software on systems

IBM® **Tivoli.**

Part Three

Resources

Tips and tricks

- Read the System Requirements in the SUA *Installation and Configuration Guide.*

- Make sure you have a definitive software library.

- Whenever you procure new software, check that it is recognized correctly in the SUA Software Catalog. Check the SUA *Catalog Editor's Guide* for more details.

- Use the Tivoli Endpoint Manager platform for software deployment when you deploy software. Create a contract in SUA when you allocate software to computers.

- Computer Groups can be used for asset management *and* contract management. For contract management, be sure to scope your computer groups so that they correspond to the specific business units you want to analyze – for example, analyzing the software license properties for software grouped to a particular department at a university.

- Set up User Accounts carefully. Ideally you will have one domain user account with the following permissions:

  o Permission to install the application on your SUA server
  o Permission to connect to your database server and create databases
  o Permission to connect to Tivoli Endpoint Manager database and read data
  o Permission to read data from Tivoli Endpoint Manager server upload manager directory

Frequently asked questions

- **Is SUA designed to be used in lieu of an audit?**
  No. SUA processes and applications are designed as a tool to protect your enterprise in the event of an audit, and to ensure your ongoing compliance.

- **In what ways can my company save money by implementing SUA?**
  Reduce legal risks due to software license non-compliance, take control of unauthorized software usage or unused software applications for reduced waste, reduce software licensing costs by purchasing/renewing only what you need, and reduce IT costs by streamlining SUA practices.

- **How can I track these savings?**
  Perform an internal audit on how much your organization currently spends on the ongoing maintenance of software asset management and software publisher license compliance. Create before/after metrics to track how much the automation of your SUA application is saving you overall – in direct costs, labor costs, and maintenance.

- **Is SUA *only* about regulatory compliance?**
  SUA allows you to not only identify but also control and mitigate software risks by keeping your software licenses up to date. But it also gives you the added security of seeing and knowing exactly what assets you have in your environment.

- **How do software license trade associations and regulatory agencies decide who and when to audit? Are agencies contacted by software publishers?**
  Very often, license regulators initiate software license investigations based on consumer leads. Each association and agency has their own criteria. To learn about these and how to keep your enterprise protected, check their individual websites.

- **Is my company *really* at risk of being targeted for illegal use of software?**
  Now, more than ever, corporations are under the microscope of the license compliance regulatory agencies. Your losses relating to a non-compliance audit can range from $35k-$250k… *per* copyright.

- **If my company is audited, who are the most likely auditors for software licensing?**
  BSA – Business Software Alliance and SIIA – Software & Information Industry Association (formerly Software Publishers Association) are the two most likely trade associations to initiate a software license investigation.

- **If I am audited and pay all required fines, what happens next?**
  Enforcement groups generally require you to set in place *and maintain* an approved software asset management program. In the event of follow-ups, prepare to proactively protect your assets for the long haul and SUA is an excellent place to start.

- **What is the difference between ITAM and software asset management?**
  ITAM stands for information technology asset management, which includes an accounting of all IT assets, such as hardware, software, network facilities, telecommunications, and digital assets. SAM, on the other hand, stands for software asset management, a practice that primarily focuses on the "software" asset area of ITAM.

Additional documentation

SUA Version 1.3 is provided with a list of additional user documents, including:

- **Installation and Configuration Guide** – A detailed guide on the installation and configuration of the SUA application.

- **User's Guide** – A detailed guide focused on how to use the primary components, including Tips and FAQs.

- **Quick Start Guide** – A brief overview to help you quickly get started using SUA Version 1.3.

- **Catalog Editor's Guide** – Detailed information about how to use and customize your Catalog, and how to make it match the software in your deployment.

- **Release Notes** – A listing of the current Known Issues including descriptions and workarounds, along with Resolved Issues, Software Catalog Content Updates, System Requirements and Support information.

Technical support

The Tivoli technical support site offers a number of specialized support options to help you learn, understand, and optimize your use of this product:

- Support Site
- Documentation
- Knowledge Base
- Forums and Communities

IBM ® **Tivoli.**

Part Four

Notices

IBM may not offer the products, services, or features discussed in this document in other countries. Consult your local IBM representative for information on the products and services currently available in your area. Any reference to an IBM product, program, or service is not intended to state or imply that only that IBM product, program, or service may be used. Any functionally equivalent product, program, or service that does not infringe any IBM intellectual property right may be used instead. However, it is the user's responsibility to evaluate and verify the operation of any non-IBM product, program, or service.

IBM may have patents or pending patent applications covering subject matter described in this document. The furnishing of this document does not grant you any license to these patents. You can send license inquiries, in writing, to:

IBM Director of Licensing
IBM Corporation
North Castle Drive
Armonk, NY 10504-1785
U.S.A.

For license inquiries regarding double-byte (DBCS) information, contact the IBM Intellectual Property Department in your country or send inquiries, in writing, to:

Intellectual Property Licensing
Legal and Intellectual Property Law
IBM Japan Ltd.
1623-14, Shimotsuruma, Yamato-shi
Kanagawa 242-8502 Japan

The following paragraph does not apply to the United Kingdom or any other country where such provisions are inconsistent with local law: INTERNATIONAL BUSINESS MACHINES CORPORATION PROVIDES THIS PUBLICATION "AS IS" WITHOUT WARRANTY OF ANY KIND, EITHER EXPRESS OR IMPLIED, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF NON-INFRINGEMENT, MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE. Some states do not allow disclaimer of express or implied warranties in certain transactions, therefore, this statement may not apply to you.

This information could include technical inaccuracies or typographical errors. Changes are periodically made to the information herein; these changes will be incorporated in new editions of the publication. IBM may make improvements and/or changes in the product(s) and/or the program(s) described in this publication at any time without notice.

Any references in this information to non-IBM Web sites are provided for convenience only and do not in any manner serve as an endorsement of those Web sites. The materials at those Web sites are not part of the materials for this IBM product and use of those Web sites is at your own risk.

IBM may use or distribute any of the information you supply in any way it believes appropriate without incurring any obligation to you

Implementation Guide *19*

Licensees of this program who wish to have information about it for the purpose of enabling: (i) the exchange of information between independently created programs and other programs (including this one) and (ii) the mutual use of the information which has been exchanged, should contact:

IBM Corporation
2Z4A/101
11400 Burnet Road
Austin, TX 78758 U.S.A.

Such information may be available, subject to appropriate terms and conditions, including in some cases payment of a fee.

The licensed program described in this document and all licensed material available for it are provided by IBM under terms of the IBM Customer Agreement, IBM International Program License Agreement or any equivalent agreement between us.

Information concerning non-IBM products was obtained from the suppliers of those products, their published announcements or other publicly available sources. IBM has not tested those products and cannot confirm the accuracy of performance, compatibility or any other claims related to non-IBM products. Questions on the capabilities of non-IBM products should be addressed to the suppliers of those products.

COPYRIGHT LICENSE:

This information contains sample application programs in source language, which illustrate programming techniques on various operating platforms. You may copy, modify, and distribute these sample programs in any form without payment to IBM, for the purposes of developing, using, marketing or distributing application programs conforming to the application programming interface for the operating platform for which the sample programs are written. These examples have not been thoroughly tested under all conditions. IBM, therefore, cannot guarantee or imply reliability, serviceability, or function of these programs. The sample programs are provided "AS IS", without warranty of any kind. IBM shall not be liable for any damages arising out of your use of the sample programs.

TRADEMARKS:

IBM, the IBM logo, and ibm.com are trademarks or registered trademarks of International Business Machines Corporation in the United States, other countries, or both.

If these and other IBM trademarked terms are marked on their first occurrence in this information with a trademark symbol (® or ™), these symbols indicate U.S. registered or common law trademarks owned by IBM at the time this information was published. Such trademarks may also be registered or common law trademarks in other countries. A current list of IBM trademarks is available on the Web at "Copyright and trademark information" at http://www.ibm.com/legal/copytrade.shtml.

Adobe, the Adobe logo, PostScript, and the PostScript logo are either registered trademarks or trademarks of Adobe Systems Incorporated in the United States, and/or other countries.

Java and all Java-based trademarks and logos are trademarks or registered trademarks of Oracle and/or its affiliates.

Microsoft, Windows, Windows NT, and the Windows logo are trademarks of Microsoft Corporation in the United States, other countries, or both.

Linux is a registered trademark of Linus Torvalds in the United States, other countries, or both.

UNIX is a registered trademark of The Open Group in the United States and other countries.

Other company, product, and service names may be trademarks or service marks of others.