



BMC Compliance Solutions

Control IT for compliance

Key IT control enablers

- > Adopt a process control mentality
- > Utilize systems-based IT controls
- > Drive value beyond compliance

In order to comply with an increasing number of government regulations, such as the Sarbanes-Oxley Act, organizations must establish and demonstrate control of critical business processes. And, because a wide range of business processes are supported by IT systems, they must also establish and demonstrate control of key IT processes. This is no small task.

Many approaches used to implement IT general controls require significant investment in consultants who both understand the complex regulatory requirements and can help manage the transformation of IT processes to a controlled and audit-ready state. In addition, some IT general control requirements are more difficult to achieve, as the controls are hard to apply consistently. Other controls get greater scrutiny from auditors and are more likely to be reported as material weaknesses.

What's needed?

To meet IT control requirements in a cost-effective manner, IT organizations need to:

- > Adopt a process control mentality with a focus on people, data, and infrastructure controls
- > Utilize systems-based IT controls to automate the most challenging control activities
- > Drive value beyond compliance to improve operational efficiency of automated IT processes

Adopt a process control mentality

IT compliance and control requires a new way of thinking about managing IT. IT general controls apply constancy to processes that affect people, data, and infrastructure. For example, COBIT control objective DS5 (Ensure Systems Security) will control:

- > People — segregating duties
- > Data — restricting database access rights
- > Infrastructure — preventing unauthorized system changes

Controls must be consistently applied in a way that can be proven to an auditor — and in a manner that encourages adoption by those required to follow procedures consistently.

Utilize systems-based IT controls

Systems-based controls utilize software to automate and manage processes in a controlled manner. They are especially effective when automating processes in a distributed and complex environment.

The best controls to automate are those that are the most difficult to apply consistently and those that have the highest risk of failure. Auditors are skeptical of manual controls because they are harder to enforce. Automated controls are preferred because they are typically easier to enforce, and because they more easily produce a verifiable audit trail. In addition, systems-based controls provide a superior cost/benefit equation in cases where significant manual process activity is the only alternative.

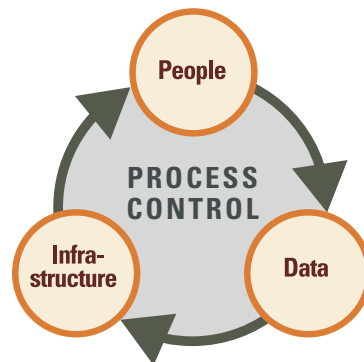


Figure 1. Process control

Drive value beyond compliance

Complying with regulations means IT must effectively control key processes. However, organizations should take their efforts one step further and leverage them to drive operational improvements that have positive return on investment beyond compliance activities. IT control projects provide excellent opportunities to improve resource efficiency and improve IT service levels.

COBIT IT general controls

For Sarbanes-Oxley efforts, many companies choose COBIT as their IT control framework and select the 12 IT general control objectives published by the IT Governance Institute (ITGI) in *IT Control Objectives for Sarbanes-Oxley* (2004):

- > AI2 — Acquire or Develop Application Software
- > AI3 — Acquire Technology Infrastructure
- > AI4 — Develop and Maintain Policies and Procedures
- > AI5 — Install and Test Application Software and Technology Infrastructure
- > AI6 — Manage Changes
- > DS1 — Define and Manage Service Levels
- > DS2 — Manage Third-Party Services
- > DS5 — Ensure Systems Security
- > DS9 — Manage the Configuration
- > DS10 — Manage Problems and Incidents
- > DS11 — Manage Data
- > DS13 — Manage Operations

BMC solutions for IT general controls

Achieving successful compliance requires aligning IT with the business and improving controls on the services IT provides to the business. Business Service Management (BSM) makes both possible. BSM is the most effective approach for managing IT from the perspective of the business. BMC provides all three dimensions of BSM: best practice IT processes, automated technology management, and a shared view of how IT services support business priorities.

Only BMC has the depth, breadth, and experience to ensure your success. Our BSM solutions optimize your IT processes, infrastructure, and compliance controls so you can make better decisions and take actions to satisfy business requirements.

BMC Solutions for Compliance automate:

- > Identity and access management controls
- > Data management and recovery controls
- > Change and configuration controls

Identity and access controls

BMC® Identity Management enables centralized and delegated management of identities and access privileges, and it includes a solution suite that delivers single-sign-on for Web and non-Web environments, self-service password management, auditing and reporting capabilities, and automatic notification and corrective actions in response to access policy violations. BMC Identity Management specifically addresses five of the COBIT IT general control objectives.

Data management and recovery controls

BMC® Database Management products support both mainframe and distributed environments. They include monitoring and performance tuning, data change management, database security management, backup and recovery, and database archiving. BMC Database Management specifically addresses seven of the COBIT IT general control objectives.

Change and configuration controls

BMC® Change and Configuration Management provides a comprehensive and flexible solution for controlling the infrastructure and application change process — from request and planning through implementation and verification. BMC Change and Configuration Management solutions specifically address six of the COBIT IT general control objectives.

About BMC Software

BMC Software helps IT organizations drive greater business value through better management of technology. Our industry-leading Business Service Management solutions ensure that everything IT does is prioritized according to business impact, so IT can proactively address business requirements to lower costs, drive revenue, and mitigate risk. BMC solutions share BMC® Atrium™ technologies to enable IT to manage across the complexity of diverse systems and processes — from mainframe to distributed, databases to applications, service to security. Founded in 1980, BMC Software has offices worldwide and fiscal 2005 revenues of more than \$1.46 billion. BMC Software. Activate your business with the power of IT. For more information, visit www.bmc.com.



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