

## Spring 2007 Breakfast Seminar Series Driving Down the Cost of Compliance

*Practical Advice for Implementing a Risk-based Framework, Approach and Technology to Achieve Continuous Compliance and Improve Business Performance*

Attend this seminar and learn practical ways for your IT organization to avoid unnecessary costs associated with documenting your security controls and meeting multiple compliance requirements. Find automated solutions for managing and validating enterprise-wide configuration changes, particularly those associated with financial systems. Learn to integrate business and IT initiatives and find value along the way. Discover how to establish and automate sustainable compliance best practices, without breaking your IT budget.

In addition, you'll benefit from the real world experiences of customers like you who've successfully faced the challenges of increasing compliance demands in their organizations. You'll hear how they leveraged industry-recognized best practices with automated technologies to significantly reduce their overall audit costs. Join technology experts from Ecora Software and nationally-recognized technology firms as they provide a practical action plan to ensure that your IT infrastructure is secure, compliant, and effective.

### ATTEND and LEARN how to:

- Address PCI DSS, SOX, HIPAA, and other compliance requirements
- Avoid common compliance challenges and shortfalls
- Understand the scope auditors will use for their assessment
- Anticipate the control validation auditors will expect to see
- Reduce audit preparation and compliance validation time by 95%
- Use automation to proactively identify authorized and unauthorized system changes
- Prepare for future IT compliance and governance demands

## Driving Down the Cost of Compliance

All event times are 8:30-11:30am

### May 15

Presenters: James Sayles, Chief Compliance Advisor  
Nick Garbidakis, CIO and VP of IT, American Bible Society  
Location: New York City, NY

### May 17

Presenter: James Sayles, Chief Compliance Advisor  
Location: Denver, CO

### May 22

Presenter: Alex Bakman, Founder, Chairman, & CTO, Ecora Software  
Location: St. Louis, MO

### May 22

Presenters: John Walsh, V.P., Engineering, Ecora Software  
Rick Hayes, IT Security Officer, Carter's, Inc.  
Location: Orlando, Florida

### May 24

Presenter: Alex Bakman, Founder, Chairman, & CTO, Ecora Software  
Location: Iselin, NJ

### May 24

Presenter: John Walsh, V.P., Engineering, Ecora Software  
Location: Phoenix, AZ

### May 31

Presenter: James Sayles, Chief Compliance Advisor  
Location: Indianapolis, IN

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## Ecora Unveils New Self-Service Support Portal

*Making it easier than ever to submit or review cases; search Ecora knowledgebase*

by Ed Bell, Director of Technical Services

Ecora has just launched a new Self-Service Support Portal, giving you an easy to use online tool to submit, track, and manage your Ecora technical support tickets.

With the Self-Service Support Portal, you can:

- Submit and track support tickets with Ecora Technical Support via the Web

- Post case comments and questions, and submit files directly to the support engineer working on your case
- Access Ecora's searchable Solutions Database to find recommended fixes to issues without having to open a technical support ticket

- Find current information about Ecora products and latest versions of Ecora software

The Ecora Self-Service Support Portal is available to customers with current maintenance and support contracts. To access the portal, [click here](#), and then click on the Support Portal link. To request access to the portal, [click here](#), or contact your Ecora sales representative for more information.

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## CTO Perspective

Using automation to drive down the cost of compliance

by Alex Bakman, Chairman, Founder, & CTO

I recently spoke at a seminar on “Driving Down the Cost of Compliance.” At the start of the discussion, participants expressed their concerns about many compliance-related issues, but most pointed to the number of compliance mandates in general and to the time required to meet them—both of which have a direct impact on the cost of ensuring compliance.

For many organizations today, a compliance audit is still treated as an event, where IT resources are redirected – at the expense of many other critical business initiatives – to respond to the requirements of the audit and auditor. In fact, Gartner released a survey on Sarbanes-Oxley compliance last September, that revealed that 82 percent of organizations spent at least 5,000 hours a year on compliance, and 46 percent invested between 5,000 and 20,000 hours annually. Consider what this says about the time and attention organizations are spending on compliance - and the cost to their bottom lines.

Compounding the challenge, of course, is that the number of compliance regulations is growing, and is expected to double by 2012. To respond, organizations must automate the process of managing and reporting on critical, enterprise-wide IT controls required by a variety of compliance initiatives; they must make meeting compliance regulations just another business process.

Join Alex at CSI NetSec 2007 on June 13th in Scottsdale, Arizona as he speaks on “Securing and Auditing VMware ESX Servers”.

Get Alex's insights on today's technology headlines by visiting his blog, [www.bakmansblog.com](http://www.bakmansblog.com).

## Ten Ways to Lower the Cost of Compliance

Learn how you can respond to increasing compliance demands—without adding to your bottom line

by James Sayles, Chief Compliance Advisor

Analysts estimate that over the next five years the number of compliance regulations affecting IT will double. At the same time, according to a recent Gartner survey, 82 percent of respondents reported that their organization invested at least 5,000 hours a year on compliance, with 46 percent indicating their investment was even greater: between 5,000 and 20,000 hours annually.

With organizations already expending significant IT resources on compliance, how can increasing compliance demands be addressed without seriously affecting their bottom line?

This article identifies ten things you can do right now to reduce the impact and expense of compliance on your organization.

**1. Automate, automate, automate.** Automation is the first step to driving down the cost of compliance. Meeting the requirements of compliance mandates manually redirects your IT staff away from revenue-generating activities. By automating routine compliance-related tasks, you reduce the workload and expense of manual identification, tracking, and reporting of IT controls, and you can have an opportunity to reallocate compliance resources back to key business-related IT initiatives. One recent study showed that the organizations with the fewest compliance problems spent nine percent more to automate audit functions but eleven percent less on contractors and outside services.

**2. Evaluate and adjust.** Compliance must be process driven—proactive rather than reactive. And, as with any business process, the effectiveness of IT controls and compliance initiatives must be evaluated regularly, so that you can

make adjustments to be confident that goals are being met. This will ensure the efficiency – and cost-effectiveness – of the compliance process.

**3. Self assess.** Once IT controls are established, regular, proactive self-assessment of change control processes (particularly when using an automated tool) allows you to stay on track, and to pinpoint problems as soon as they arise. This can reduce time to resolution, saving valuable resources. In addition, with regular self-assessment, you can validate compliance before an audit begins.

**4. View compliance as an opportunity.** Instead of panicking about compliance requirements or an upcoming audit, view it as both an opportunity to improve core IT and operational processes, as well as a way to effect positive change in your environment. Leverage compliance requirements to make IT controls and IT operations more efficient and effective. Look at an audit as an opportunity to validate security controls and to pinpoint vulnerabilities in your infrastructure—which, if unidentified, could have a significant financial impact on your organization.

*“Look at an audit as an opportunity to validate security controls and to pinpoint vulnerabilities in your infrastructure.”*

**5. Be practical.** While you should always remain focused on an optimum outcome to any compliance process or audit, it is more cost-effective to use a practical, methodical approach. While it is always exciting to get an “A+,” for example, sometimes a “B” or “C” is enough.

**6. Understand what interacts with regulated data and the business effect.** Today's IT organization is fully integrated within the business, and organizations are looking to IT to reduce compliance costs while improving business performance. To achieve this goal, you must be conscious of the relationship between IT and overall business requirements to ensure that IT closely aligns with business goals.

**7. Manage your controls.** Because IT is so closely integrated with the business, there is a direct relationship between IT controls and business processes. You should constantly evaluate which controls are material to business systems and anticipate change; as business requirements change, for example, systems change, controls change, and processes change.

**8. Leverage tools with other benefits.** To make the most of your IT investments, invest in automated solutions that address the requirements of multiple IT projects, and then combine automation with effective IT processes.

**9. Use metrics to test controls.** Find tools that provide visibility into your critical IT controls. It may sound cliché, but if you can't measure it, you can't manage it.

**10. Don't reinvent the wheel.** There are dozens of compliance requirements, and the number of requirements is increasing. Use existing standards like ITIL and COBIT as benchmarks, then leverage processes and controls across all compliance mandates to satisfy multiple requirements. Building a solid framework to solve different requirements across business “silos” will help you drive down the cost of compliance.

## Auditor Pro 4.1 SP1 Now Available

Newest release expands enterprise-wide reporting capabilities

by Bryan Cote, Product Manager

Designed to reduce the high cost of meeting compliance mandates, increase security, and improve operational efficiency, Ecora's Auditor Professional 4.1 SP1 helps you ensure that your IT infrastructure is secure, compliant and effective.

Service Pack 1 (SP1) expands Ecora's ability to collect and report on key configuration changes to include leading firewalls from Check Point and Cisco, IBM's DB2, and the Novell SUSE operating system. In addition, Windows, MS SQL and VMware platform coverage has been extended to include Vista, MS SQL 2005, and VMware ESX 3.0, respectively.

The release also includes significant additions to the PCI (Payment Card Industry) report pack and related policies and rules based on PCI Data Security Standard 1.1 for Ecora's Executive Dashboard. This greatly reduces the time and effort merchants and service providers face in complying with PCI DSS and VISA's upcoming compliance deadlines in September and December 2007.



[Click here](#) to learn more.

## Ecora Compliance Meetings Attract Users Across the Country

Participants learn how to drive down the cost of compliance

by Mike Cotta, Marketing Programs Manager

On March 15th, Ecora hosted the first of a series of compliance meetings at Gillette Stadium -home of the New England Patriots- in Foxboro, Massachusetts. The event and presentations focused on "Driving Down the Cost of Compliance" and featured technology and standards experts Alex Bakman, Chairman, Founder, and CTO at Ecora Software, as well as Chris Patterson, Senior Security Consultant at MTM Technologies. The reception also featured a tour of Gillette Stadium. Attendees were granted access to the field and the visitors' locker room.

Addressing participants' concerns about Sarbanes-Oxley, Gramm-Leach-Bliley and the PCI Data

Security Standard, Ecora Software demonstrated how to save time and money preparing for upcoming audits and ensure that the IT infrastructure is secure and compliant by automating the collection and reporting of key security configurations. Bakman and Patterson shared a practical action plan that can enable organizations to demonstrate to auditors they are taking the necessary steps to ensure IT compliance and protect data security.

### PCI Seminar Tour

Ecora recently held a seven-city seminar tour focused on the Payment Card Industry (PCI) Data Security Standard. The series began in December in Boston and includ-

ed stops in New York City, Seattle, Dallas, Atlanta, Chicago, and Houston. The tour featured key industry experts such as Alex Bakman, Chairman, Founder, and CTO of Ecora Software; James Sayles, Chief Compliance Advisor at Ecora Software; Ken Smith of Akibia; Steve Dolnick and Chris Patterson of MTM Technologies; and Jeremy Simon of Remington Associates.

The goal of the seminar tour was to help organizations understand the new PCI Data Security Standard. Released in September of 2006, these requirements identify specific controls, that organizations which accept and/or handle payment card transactions must follow to protect cardholder data. Each event featured a real-world view of what auditors are demanding IT executives provide to satisfy compliance requirements. In addition, a demonstration of Ecora's automated software solution that reduces the cost and staff effort needed to sustain compliance was featured.



## Driving Down the Cost of Compliance

All event times are 8:30-11:30am

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### June 5

Presenter: Bryan Cote, Product Manager, Ecora Software  
Location: Malvern, PA

### June 5

Presenter: Joe Fiorentino, CEO, Ecora Software  
Location: Reston, VA

### June 5

Presenters: Alex Bakman, Founder, Chairman, & CTO, Ecora Software  
Bill Gallagher, Chief Financial Officer, Johnny's Selected Seeds  
Location: Waltham, MA

### June 7

Presenter: Joe Fiorentino, CEO, Ecora Software  
Location: Charlotte, NC

### June 7

Presenter: James Sayles, Chief Compliance Advisor  
Location: Austin, TX

### June 13

Presenter: James Sayles, Chief Compliance Advisor  
Location: San Diego, CA

### June 14

Presenters: Mike Booth, V.P., Business Development, John Walsh, V.P., Engineering, Ecora Software and Pete Keenan, IT Manager, Central Garden & Pet  
Location: San Francisco, CA

### June 14

Presenter: Joe Fiorentino, CEO, Ecora Software  
Location: Farmington, CT

### June 19

Presenter: Bryan Cote, Product Manager, Ecora Software  
Location: New York City, NY

### June 19

Presenter: James Sayles, Chief Compliance Advisor  
Location: Washington DC

### June 20

Presenter: James Sayles, Chief Compliance Advisor  
Location: Mason, OH

### June 21

Presenter: Bryan Cote, Product Manager, Ecora Software  
Location: Waukesha, WI

### June 21

Presenter: James Sayles, Chief Compliance Advisor  
Location: Mississauga, ON

## Tech Tip: Downloading the Latest Release of Auditor Pro

### Just follow these simple steps

It's easy to upgrade your current version of Auditor Professional.

1. Go to [www.ecora.com](http://www.ecora.com).
2. In the "Services" menu, click "Manage Your Account."
3. Log in using your account login and password.
4. At the top of the page, click "Download."
5. Once you have downloaded the software, just run setup.exe to begin installation.

You can find the answers to hundreds of questions like this by searching the [Ecora Knowledgebase](#) in our customer portal.

Don't have access to the portal? [Click here](#), or contact your Ecora sales representative for more information.



## American Bible Society

### *Eliminating Manual Processes Key for Improving Services and Reducing Compliance Efforts*

Founded in New York City in 1816, the American Bible Society is a donor-supported nonprofit ministry focused on the translation, publication, and distribution of the Bible.

The American Bible Society has a Windows-based infrastructure running approximately 25 servers across multiple locations. In addition to its headquarters in New York City, the organization has a disaster-recovery location in Virginia, a data center in Wisconsin, and additional peripheral locations and remote staff located throughout the country. While technically not required to comply with Sarbanes-Oxley, the influence of their board members, many of whom represent publicly-traded companies, and their interaction with peers from many New York City financial firms have led them to adopt a similar audit process.

### **Closing Gaps in the Change Management Process**

With its high number of servers and disparate locations, the American Bible Society was confronted by two significant challenges: closing gaps in the change management process to eliminate vulnerabilities and

demonstrating compliance with government regulations such as Sarbanes Oxley. According to Bill Grigonis, operations manager at the American Bible Society, the organization felt confident that the best way to address these challenges was through an automated change and compliance management solution. "We recognized that we needed a tool that could automate our change management process to ensure that our Windows servers and workstations were current with all security patches. Without automated change and configuration management in place, for example, we were concerned about our security exposure," Grigonis said.

### **Proven Technology in a Comprehensive, Easy-to-Use Solution**

After evaluating many of the solutions on the market, the American Bible Society chose Ecora Auditor Professional. "We chose Ecora Auditor Professional for a number of reasons," explained Grigonis. "In a single, comprehensive solution, Auditor Pro gave us everything we needed; the custom reporting and scripting functionality in particular are excellent. Plus, the technology is proven, which was very important to us."



On a day-to-day basis, Ecora Auditor Pro allows the American Bible Society to address problems that had previously been tracked manually. "With manual change management processes, if a technician forgot to update the Excel spreadsheet that we used to track changes or didn't remember to notify key personnel about a change, there was always a risk of problems," said Grigonis. "With Auditor Pro, we have automated data collection that enables us to validate changes. This gives us complete visibility into the change process so that we can make sure everything is handled properly and fix problems before escalation."

[Click here](#) to see full Case Study

*"In a single, comprehensive solution, Auditor Pro gave us everything we needed; the custom reporting and scripting functionality in particular are excellent. Plus, the technology is proven, which was very important to us."*

— Bill Grigonis Operations Manager American Bible Society