

Solution Brief

IT Compliance and Governance with the Interwoven Composite Application Provisioning Solution

The IT compliance challenge

IT groups are struggling to meet an increasing number of regulatory compliance requirements—including SEC, SOX (ITIL, COSO, CobiT), Basel II, and ISO—that now apply to code and content reflected in Web applications. It is not enough to track e-mails and documents. IT must also track and retain applications' states, Web assets and IT change processes. Moreover, IT is responsible for making sure that information communicated on the Web is consistent across all sites. To meet these requirements, organizations need a solution that can automatically track and retain all code and content activity, while distributing that information to all servers in unison.

Achieving IT compliance and governance

The Interwoven Composite Application Provisioning (CAP) Solution helps companies achieve IT compliance and governance by offering built-in auditing, reporting, workflows and automated snapshots, or versions, of code- and content-change activity. The reporting capability gives IT a complete view of who initiated a change, who approved it, and whether it deployed correctly. Snapshots create a legally defensible, historical record of the whole composite application, removing the risk of being out of compliance in the event of an audit or investigation. The workflow engine provides an audit trail of the changes, as well as meeting the segregation of duties requirement by separating the application development and operations organizations.

SOX regulations

The Sarbanes-Oxley (SOX) Act and other recent regulations pose an urgent compliance challenge for many IT organizations. Among other things, SOX

requires companies to implement more effective control, monitoring, and reporting capabilities around the change provisioning by authorized users to application code, content and configurations. Compliance with this requirement presents special difficulties for composite, or Web, applications because they are managed in a complex and dynamic browser environment spanning multiple systems, servers and workgroups. Frequently deployed in healthcare, finance, telecommunications, and government sectors, such applications are becoming increasingly complex, giving added importance to the search for an effective technology solution. Without a compliance solution, companies may find their risk for non-compliance reaching into the millions of dollars.

SOX requirements addressed

The Interwoven CAP Solution enables enterprises to address key mandates specified by the Sarbanes-Oxley Act for securing, controlling and documenting the flow of application code, content and configuration changes to composite or Web applications.

- **Segregation of Duties**—The Interwoven CAP Solution provides proof of the required “ethical wall” between development and production.
- **Standardized, Repeatable Process**—The Interwoven CAP Solution comes with out-of-the-box workflows specifically designed for change and release management to composite or Web applications. These workflows ensure a standardized and repeatable process while capturing a complete audit trail of all code and content activity

SOX frameworks (ITIL, COSO, CobiT, and more)

SOX regulation recommends that publicly traded companies select and follow a control framework to reduce risk and ensure quality and repeatability. Popular frameworks—such as CobiT, ITIL, or COSO—each detail specific rules, guidelines, and best practices for ensuring that businesses run efficiently. Each framework outlines a wide range of practices throughout the business and IT.

The Interwoven CAP Solution addresses the change and release management functions for composite applications within IT and satisfies the SOX guidelines set forth by CobiT, COSO, and ITIL.

SEC regulations

Compliance rules and regulations became popular (again) in the 21st century after the latest round of corporate and accounting scandals highlighted the need for corporate accountability. These rules are intended to keep tighter control of all business activity. In the Financial Services vertical, one of the marquee regulations is SEC rule 17a, relating to record retention. Briefly, Rules 17a-3 and 17a-4 require companies to create—and preserve in an easily accessible manner—a comprehensive record of all communication between a broker and a client. Once the record is captured, the application state and data can be stored on WORM (Write Once Read Many) media for long-term electronic record retention.

To comply, most Financial Services companies are currently retaining all e-mail and documents that flow between the broker/dealers and customers. However, few companies have policies to address communications that take place via customer Websites or composite applications. Because the SEC legislations apply to ALL forms of

Compliance—with the Interwoven CAP Solution

- Adopt a repeatable process to ensure all changes are managed and released in the same way
- Ensure changes and deployments are tracked with an auditable trail and an ethical wall between development and production is maintained
- Guarantee data integrity through synchronous transactional deployment to all servers worldwide
- Standardize on a single solution to pull code, content and configuration and deploy to any server, worldwide

communications between broker/dealers and customers, Web record retention is a serious area of exposure, one that most financial customers are not addressing today. Financial Services companies also need to make sure all their Web properties communicate the same information at the same time, so that customers viewing one Web property don't have an information advantage. For example, a brokerage application in New York cannot be communicating different (privileged) information than an application in London.

Addressing SEC requirements with Interwoven

The Interwoven CAP Solution enables enterprises to address key mandates specified by SEC regulations for application integrity and Web record retention, specifically:

- **Web record retention**—The Interwoven CAP Solution is a master deployment and state management system for Web applications. By aggregating all code, content and configurations from application development systems, synchronizing the changes, and deploying those changes to production servers, it “versions”—captures snapshots, or versions—all sites and applications that pass through the solution, creating a legally defensible audit trail. Simultaneously, Interwoven can deploy the version to a WORM storage device from IBM, Sun, EMC or Network Appliance, in order to retain the edition. Storage devices record the versions with the “publish” date appended to the snapshot, making it easy to fulfill audit requests.

- **Data integrity**—Interwoven is the only vendor that provides synchronized transactional deployment across the entire organization globally with automatic rollback, if needed. The Interwoven CAP Solution ensures application accuracy across multiple targets and locations; updates go live in unison, ensuring all customers—no matter the location—can access the same information at the same time.

Interwoven meets the IT compliance challenge

The Interwoven CAP Solution ensures IT compliance for change and release management of composite, or Web, applications by aggregating, synchronizing and deploying changes through a standard solution. The solution satisfies SOX and SEC regulations for change and release management by providing a repeatable process, an audit trail of all code and content activity, synchronization of updates across a distributed environment, automated rollback, and segregation of duties between development and IT operations. The solution enables companies to comply with the strictest IT compliance regulations currently enforced and provides a foundation for streamlined compliance with future regulations.

Components of the IT-compliant Interwoven CAP Solution

- **Workflow**—provides audit trails to capture all site content activity, demonstrating who did what and at what time—to ensure full accountability

- **Versioning**—captures and maintains an accurate whole-application snapshot of every production instance, including code, content and configurations
- **Deployment logs and change reporting**—provide a detailed, fully searchable log of deployment events and application changes
- **Transactional Deployment**—ensures application accuracy across multiple targets and locations; updates go live in unison to a live environment instance, including code, content and configurations

Interwoven is a global leader in content management solutions

Interwoven's software and services enable organizations to effectively leverage content to drive business growth by improving the customer experience, increasing collaboration, and streamlining business processes in dynamic environments.

Our unique approach combines user-friendly simplicity with robust IT performance and scalability to unlock the value of content.

Today, nearly 3,800 enterprise and professional services organizations worldwide have chosen Interwoven, including: adidas, Airbus, Avaya, Cisco, DLA Piper, the Federal Reserve Bank, FedEx, HSBC, LexisNexis, Microsoft, Samsung, Shell, Samsonite, White & Case, and Yamaha. Over 18,000 developers and over 300 partners enrich and extend Interwoven's offerings. To learn more about Interwoven, please visit www.interwoven.com.

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