

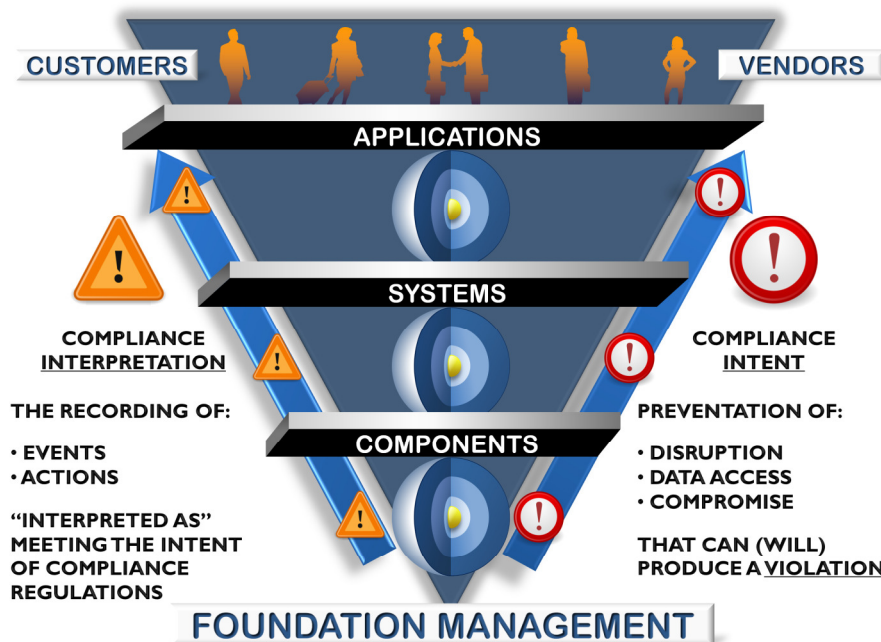


## What is Foundation Management for Compliance?

Foundation Management for Compliance reaches across the entire IT architecture in respect to the events, actions and access points applicable to the intent of a given compliance regulation.

This is a revolutionary concept in compliance management because by addressing the intent of compliance regulation, the subsequent interpretations (*n* variations and new interpretations) are already inherently covered by the compliance management approach.

In this way Foundation Management provides the most effective means to achieving – and maintaining – regulatory compliance.



Foundation Management for Compliance addresses both the Intent (what the regulation seeks to avoid) and the Interpretation (audit expectations) of Compliance Regulation.

By including the events, actions and access points across all of the layers of IT architecture in the compliance management approach the intent of the compliance can be addressed - *regardless* of the current or subsequent states of interpretation.

In Foundation Management, it is the preventing of these negative events and the collection of forensic evidence that provides a clear audit trail of what did – or did not – happen that defines the behavior of systems-management capabilities for compliance.

# FOUNDATION MANAGEMENT FOR COMPLIANCE

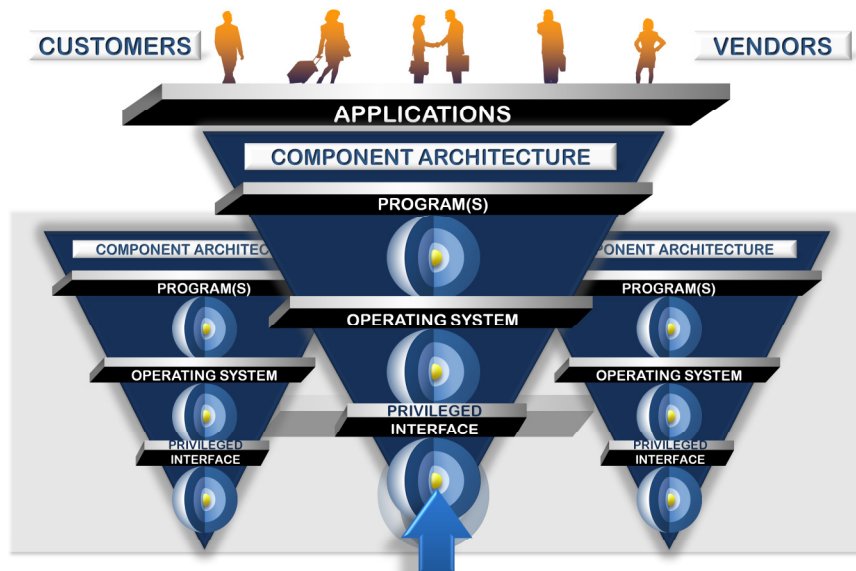
## What Problems does it Solve?

To be “in compliance,” organizations must prevent certain negative consequences from occurring (as defined by the regulation), conduct specific activities that are part of ensuring such events do not happen, and document what did (or did not) actually happen. These three components (prevent, conduct, document) must be included in the system-managed approach if organizations are to successfully meet compliance regulation and pass compliance audits.

One of the most important aspects of compliance is based on access points where components, systems and applications in the IT infrastructure can be controlled, changed,

damaged or destroyed by people. For each access point there is a concept of authority that describes the level of restriction for the access point as well as the level of dependency.

For example, a general use business interface to an application is a tightly restricted access point (the interface only allows functions to be performed that have been purposely built into it) which limits its authority. This same access point is also likely to be a very dependent access point because what it “can do” will be limited by underlying server code (functions), database configuration and permissions, and other technology it depends on to operate.



**PRIVILEGED INTERFACES (BMC, SERIAL PORT, CONSOLE) IN THE COMPONENT LAYER HAVE THE HIGHEST AUTHORITY, GREATEST VULNERABILITY AND MOST RISK**

ited by underlying server code (functions), database configuration and permissions, and other technology it depends on to operate.

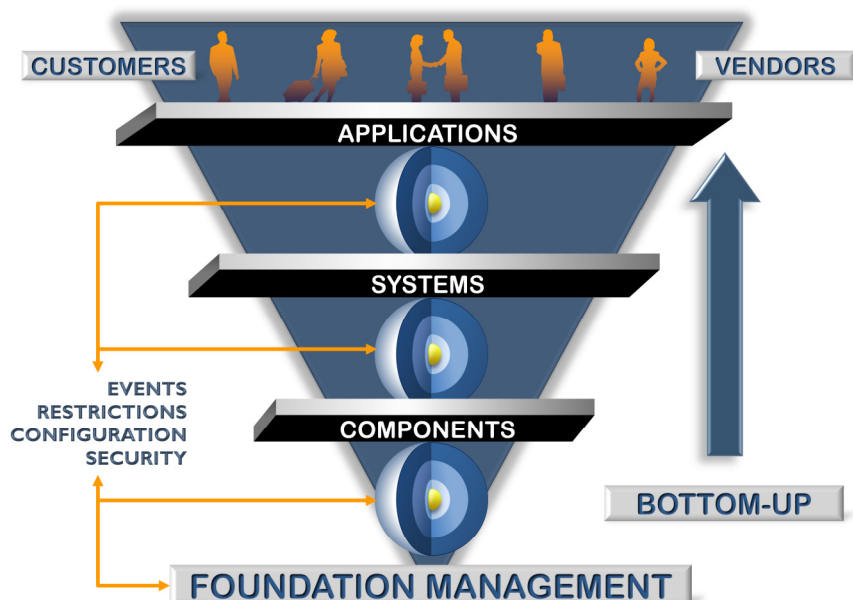
At the component level of IT architecture, privileged interfaces have few restrictions other than physical access or manual procedure just as they have no underlying dependencies – they are already at the very foundation of the IT architecture. Component access points have the highest level of authority that exists in the IT architecture. Foundation Management extends the compliance practice to these privileged access points in the IT infrastructure – the access points with the highest level of authority and greatest opportunity to violate the intent of compliance regulation (i.e. produce an out-of-compliance condition such as disrupting a Bulk Energy System; gaining access to healthcare patient records or financial records).

# FOUNDATION MANAGEMENT FOR COMPLIANCE

## How is it Different?

Compliance Foundation Management builds from the bottom-up by establishing persistent connections to privileged access points at the component level of the IT architecture. In this way, Compliance Foundation Management is able to extend systems-based security, role-based access, and authentication to the access points in the IT architecture that have the highest authority level.

Further, Compliance Foundation Management produces forensic evidence of all events and actions that are taken over these access points, enabling organizations to document and audit their conformance to compliance practices and regulations.



The bottom-up approach of Foundation Management enables control and evidence recording of events and actions across the entire IT architecture.

With Foundation Management, the compliance practice:

- Is extended to privileged access points, the highest authority level access points in the IT infrastructure, bringing them under the systems-managed compliance practice
- Reaches across the IT architecture to capture compliance related events
- Monitors with sub-second event detection to alert against compliance threats immediately when they occur
- Creates forensic evidence of both events and actions across the IT architecture
- Secures the organization against the Insider Threat

## FOUNDATION MANAGEMENT FOR COMPLIANCE

### How do I Act on This?

The Compliance Foundation from TDi Technologies® directly addresses the challenge of meeting both the Intent and the Interpretation of compliance regulations. The Compliance Foundation secures privileged interfaces – placing them under secure, role-based systems management and authentication to secure the organization against compliance violations while providing forensic recording of every action taken over a privileged interface down to the keystroke for each action.

The next step is to talk with us, so that we can get to know your situation and help you determine the best steps to take in order to leverage the capabilities of the Compliance Foundation for your organization.

#### CONTACT:

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You can also read more on Foundation Management and TDi Technologies® on the web at [www.TDiTechnologies.com](http://www.TDiTechnologies.com) and review additional information on the Compliance Foundation on the web at [www.TDiTechnologies.com/compliance-foundation](http://www.TDiTechnologies.com/compliance-foundation).

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