

# Making Your Job—and the Job of Compliance—Easier Than You Ever Imagined

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# Contents

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- Introduction..... 2
- The Challenges of Reducing Security and Compliance Risks ..... 3
- The Traditional Approach: Manual Configuration and Auditing ..... 4
- A Better Approach: Tools that Improve Both Efficiency and Compliance..... 5
- Two Jobs. One Budget. Problem Solved..... 6
- Driving Compliance Through Simplified Identity and Access Management ..... 7
- Ensure Secure and Compliant Document Management ..... 9
- Ensuring Secure and Compliant Communications Management ..... 10
- Ensuring Compliance with Proactive Application Change Control for Oracle E-Business Suite and PeopleSoft ..... 12
- Driving Compliance and Preventing Data Loss with Desktop Virtualization Management Technology ..... 13
- A Financially Strong, Proven Leader ..... 15
- Summary ..... 16
- About the Author..... 17

# Introduction

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Do you know how easy it is to expose your business to significant security and compliance risks? Do you know, for example, how easily a hospital can inadvertently disclose patient records, or a retailer or bank can inadvertently publish customers' credit card numbers or other financial records?

The answer is: *pretty darn easy*. Today's operating systems, database management systems, and enterprise applications are so complicated and flexible that clicking the wrong button or checking the wrong box in their interfaces can cause a security breach. In fact, it's so easy to improperly configure security, change key database schemas, or give access to the wrong mailbox that it *happens by accident* thousands of times *every single day* across the world.

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*Only one-third of the attendees felt their organizations were handling compliance well, and a quarter of the attendees considered compliance to be either "problematic" or "out of control".*

— The Experts Conference 2009 Attendee Survey

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In all likelihood, your environment has *many* improperly configured resource permissions right now. And of course, if any of these problems turns into a disaster, *you* will be held responsible—and blamed for your organization's compliance shortcomings.

This business brief first presents the challenges of securing your environment and ensuring compliance in today's economy. It then discusses why the traditional manual approach is ineffective and offers a better approach that allows you to achieve compliance and improve operational efficiency with the same budget dollar.

# The Challenges of Reducing Security and Compliance Risks

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Finding security holes presents significant challenges. Not only are the native tools included with your operating systems, databases and other platforms ill-equipped to do the job, you just don't have the time. Working in IT these days is exhausting. Operating systems like Windows and Oracle offer power and business value, but they also impose a lot of overhead. Whether you realize it or not, your organization is probably spending thousands of unnecessary staff hours performing routine, repetitive tasks that can be simply and effectively automated.

At the same time, you must comply with mandates driven by government regulations, industry groups, and your own organization. Indeed, most IT professionals face more requirements than there are weeks in a year to review them. But since failure to comply results in stiff fines and other penalties, you have no choice but to adhere to all the requirements, despite limited staff resources and fewer budget dollars at your disposal.

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*“Everything we do focuses on regulatory compliance—from the adds and changes we make to the servers, down to the network. It’s always in the back of our minds.”*

— Bill Grigonis, Operations Manager, American Bible Society

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Dealing with compliance issues and requirements, though, can distract you from making the real improvements you need to streamline your IT infrastructure and lower your administrative overhead. It's a Catch-22: if you could improve your operational efficiency, you would have more time to deal with compliance, and compliance itself would be easier to manage. But you can't take the time to do it because compliance just can't be ignored.

## The Traditional Approach: Manual Configuration and Auditing

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So what are you doing about it? Muddling through with old tools that are ill-equipped to address your needs? Sticking to tried-and-true manual methods that consume way more time than you have to spare?

Compliance checklists, manual audits, disparate reports, and manual configuration just aren't enough to achieve and prove compliance. Not in today's fast-changing, competitive and cost-sensitive business world.

## A Better Approach: Tools that Improve Both Efficiency and Compliance

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Wouldn't it be great if you could "kill two birds with one stone," using software that improves your operational efficiency *and* provides compliance support for both your physical and virtual environments? You would save time, money, and resources while doing both your job *and* the job of compliance.

It's possible with Quest's solutions for identity and access, Active Directory, Exchange, Unified Communications, SharePoint, and enterprise databases and applications. These solutions improve operations *and* drive compliance in both physical and virtual environments by controlling access, information and change, and by providing end-to-end auditing, archiving, and reporting capabilities.

## Two Jobs. One Budget. Problem Solved.

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Quest provides a complete, powerful set of solutions for compliance and reduces your administrative overhead with the same incremental investment. These solutions solve real business problems—both operational and compliance-driven—in a number of key ways. They allow you to:

- **Drive compliance through simplified identity and access control** – Quest’s access control solutions for Microsoft Active Directory and identity include single sign-on, directory consolidation, auditing, strong authorization, password management, provisioning, and role-based management.
- **Ensure secure and compliant document management** – Quest’s solutions for SharePoint allow you to grant access to users on a granular level and search for all existing permissions to ensure the data and documents stored in SharePoint are secure and compliant.
- **Ensure secure, compliant management of messaging and document data** – Quest’s solutions for managing communications in Microsoft Exchange and Unified Communications include capabilities for auditing, monitoring, archiving, policy management and enforcement, and more—as well as privacy protection and information control.
- **Ensure compliance with proactive change control** – Quest’s change control solutions for Oracle E-Business Suite and PeopleSoft offer process management, change request management, version control, migration management, change rollback, auditing, and reporting capabilities.
- **Drive compliance and prevent data loss with desktop virtualization technology** – Quest’s virtual desktop management solutions offer the necessary control to provision, deploy and manage your virtual desktop environment. Further, the solutions are flexible across the virtual desktop infrastructure (VDI) on a wide range of hypervisors, remote desktop services/terminal services, physical and blade PCs.

Quest’s approach is simple: provide you with powerful, easy-to-use management capabilities that automate tedious and repetitive tasks, enabling you to focus on bigger and better projects that move your business forward. At the same time, these capabilities provide the auditing, reporting, and change controls you need to satisfy compliance requirements and even the most demanding auditors. You’ll realize more value from your existing IT investments and meet your compliance requirements more efficiently. Plus, you won’t have to acquire one set of tools to make your job easier and a separate set of tools to achieve compliance. Both jobs are accomplished by a single set of solutions, and a single budget.

# Driving Compliance Through Simplified Identity and Access Management

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At the heart of much of the complexity in today's IT environments is identity management. Controlling access to your directory and identities—and effectively auditing and reporting on them—are crucial.

## The Scenario:

Your enterprise contains a diverse collection of resources spread across dozens of servers and secured by multiple directories. New users must have accounts created in each directory and they must be granted access to only the resources needed to do their jobs. Auditors demand incontrovertible proof that only the correct permissions are currently assigned—and that only the correct permissions were ever assigned in the past as well. You can easily spend hundreds of hours a month simply managing user accounts, assigning permissions, and inventorying permissions—and still not be compliant.

## The Right Approach:

Native operating system tools require you to navigate through dozens of dialog boxes to manually provision users and their access permissions. Using those tools to prove compliance is even more difficult; it requires tremendous manual effort and a time machine.

But the right tools can enable you to manage identity more effectively and efficiently. Provisioning users and their access permissions is automatic: users receive the permissions they need to do their jobs, and accounts are created in every relevant directory and user database. And you can easily produce reports that demonstrate continuing compliance, satisfying auditors and letting you focus more attention on your job. Basically, you introduce greater efficiency and tighter security all at once.

## Quest: Problem Solved

With the right Quest solutions in your environment, you simply provision new users in a single location and select each user's job role. Quest's solutions go to work, adding the necessary user accounts to each directory and assigning the appropriate enterprise-wide resources. They continue to enforce those assigned permissions and audit the actual use of permissions. Auditors find that automatically generated compliance reports that featuring current and past inventory of permissions meet their requirements. Improved operational performance gives you more time to focus on projects that increase business agility and value.

## KEY QUEST PRODUCTS

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**ActiveRoles Server** inventories user entitlements, enforces top-level access policies, and controls change in identity management.

**ChangeAuditor for Active Directory** captures deep auditing information directly from Active Directory's internals, creating a tamper-proof audit trail with real-time alerting.

**InTrust** securely consolidates, stores, and creates reports for native Active Directory event logs.

You can ensure identity compliance *and* efficient operations with Quest by:

- Auditing your environment constantly to monitor for anomalies and address them proactively
- Inventorying current *and past* user and group permissions across the entire enterprise
- Protecting key directory objects and resources from unwanted changes
- Applying permissions automatically based on users' job roles, and *enforcing* them automatically from a single, centralized security policy
- Preserving historical auditing and permissions information for reporting purposes

# Ensure Secure and Compliant Document Management

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SharePoint enables collaboration within the enterprise, but managing permissions to sites and ensuring compliance can be a daunting task, especially when SharePoint usage grows organically without the knowledge of the IT organization.

## The Scenario:

SharePoint makes it easy to share documents and information -- sometimes too easy. A user posts a confidential document to a site without knowing who has access to that site. It turns out the entire company has access and the document must be removed to ensure compliance. In addition, compliance officers will need to know who posted the document and when, who accessed it, and who ultimately removed it. Gathering this information using SharePoint's native functionality can be time-consuming and difficult.

## The Right Approach:

Managing SharePoint permissions and restricting access to certain sites, documents and information are critically important capabilities you need to maintain compliance. If a document is mistakenly posted to a site, compliance officers must be able to prove that the document was not accessed by unauthorized users. They also need to prove that the document is secure again by either pulling it from the site altogether or by moving it to a site with restricted access.

## Quest: Problem Solved

Quest helps you manage permissions for all sites in your SharePoint environment through a single intuitive console. This tool makes it easy to ensure that sites and documents are accessed only by authorized users. Quest also logs all changes to SharePoint permissions and documents and provides easy-to-read auditing reports to simplify requests for proof of compliance.

## KEY QUEST PRODUCTS

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**Site Administrator for SharePoint** provides robust and granular permissions management for the entire SharePoint environment. It also captures and extends native SharePoint event logs and provides detailed audit reports.

**Recovery Manager for SharePoint** enables quick recovery of SharePoint documents if needed to prove compliance. All restorations are included in the audit log.

# Ensuring Secure and Compliant Communications Management

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The tremendous productivity achieved through e-mail and instant messaging (IM) collaboration cannot be denied. Unfortunately, the free flow of information also creates compliance and operational headaches. From retention and auditing to permissions and prevention, proactive Exchange and Unified Communications compliance management is a tall order.

## The Scenario:

It's one of the most common ways for sensitive information to leave the organization: one person accesses another's mailbox or a group's SharePoint site, retrieves something important, and forwards it outside the organization. Companies that allow non-owner mailbox access by administrative assistants and other staffers must manually deal with incredibly complicated permissions, while at the same time trying to figure out a way to categorize and retain sensitive outgoing messages for security audits. Simply put, it's *impossible* to get messaging systems in compliance via purely manual effort.

## The Right Approach:

Auditors want to see messaging systems that are *secure*. They want full auditing of all non-owner mailbox access, and they want detailed inventories of mailbox access permissions. In many organizations, you'll also be required to categorize and retain messages containing certain types of information, and the auditors won't care if someone has to manually pore through thousands of messages every day to do it. You need to be able to locate selected messages quickly, identifying who has seen them and where they were subsequently sent.

Ever get a request to dig up messages that contain a certain key word or phrase? You could be scanning through backup tapes for weeks and may never find everything! Imagine how much better it would be if you could make messaging administration easier, from provisioning mailboxes and system access to automatically categorizing message content and tracking message flow for troubleshooting purposes.

## Quest: Problem Solved

Quest helps lock down messaging systems using centralized policies that are enforced automatically. Quest can also help automate the seemingly impossible task of categorizing messages based on their content, indexing those messages, and retaining them in a secure, auditable repository that can be searched instantly for compliance purposes. Permissions—and changes to permissions—are automated and tracked for auditing purposes. With Quest solutions, bringing messaging into compliance is easy.

## KEY QUEST PRODUCTS

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**ChangeAuditor for Exchange** captures detailed auditing information directly from Exchange Servers, creating a tamper-proof audit log that contains incredibly detailed information.

**Policy Authority for Unified** enables IT to demonstrate compliance related to real-time communications such as Instant Messaging.

Quest places streamlined Exchange and Unified Communications operations and compliance within your reach.

You can:

- Enforce policies and controls to regulate user activity and protect against data loss
- Capture and retain e-mail, IM, and even mobile messaging with flexible retention policies and storage management
- Search for and retrieve relevant messaging data to satisfy compliance requests
- Track, audit, report, and alert on configuration and permission changes

# Ensuring Compliance with Proactive Application Change Control for Oracle E-Business Suite and PeopleSoft

Sometimes when change happens, havoc follows. The best way to prevent problems and maintain compliance with internal and industry regulations is to control change within your business-critical applications.

Any smart IT professional knows that most problems stem from change, and auditors know it, too. When something breaks, smart troubleshooters immediately ask, “What’s changed?” And when there’s an audit, auditors often want to see a *list* of what’s changed, since that usually points the way to compliance gaps. Reporting on and controlling change can be incredibly difficult, if not impossible,

## The Scenario:

With the complexity of today’s business applications, IT teams are constantly dealing with a high volume of changes in the form of patches, customizations, configurations and major upgrades. Manually controlling change is not only time consuming, but it also introduces potential security risks. Moreover, compliance requirements mandate that certain levels of process and internal controls be in place to protect the integrity of the application and the business

## The Right Approach:

Quest automates change management processes and provides the complete visibility required to reduce the risks associated with change, whether malicious or mistaken, and ensures end-to-end compliance you can prove. Quest solutions can:

- Control and track changes to application and system configurations through the entire change lifecycle using sophisticated workflow and process control capabilities
- Automate the deployment of approved changes to production systems
- Provide a complete audit trail of all changes to an application environment
- Roll systems back to a previous, “known good” state, ensuring quick and effective recovery from problematic changes

## Quest: Problem Solved

Quest products bring change under control, without creating red tape for you and your IT team. Changes can be proposed, developed, reviewed, and approved in a powerful workflow-driven environment, and approved changes can be deployed automatically. With Quest, you’ll not only bring change under control, you’ll also keep an audit trail that reports on each and every change that occurs. Plus, improper changes can be rolled back automatically, keeping applications running smoothly and keeping auditors appeased.

## KEY QUEST PRODUCTS

**Stat for Oracle E-Business Suite** and **Stat for PeopleSoft** are end-to-end change management and version control systems that add visibility, reduce complexity, and automate much of your work.

# Driving Compliance and Preventing Data Loss with Desktop Virtualization Management Technology

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It's the IT department's worst nightmare: vital customer data is accessed and exploited, all because an employee accidentally left a laptop on the train, or a busy user failed to install system patches, leaving the organization open to dangerous vulnerabilities. It happens more than it should. Sometimes it's accidental, and sometimes not. Through virtualization, however, it's always preventable.

## The Scenario:

You've read the headlines. Even major U.S. government agencies have allowed data to be compromised simply by failing to manage their desktop and laptop computers properly. Whether they simply fail to secure all of their data, or they fail to keep the system properly patched to avoid vulnerabilities, the public is left wondering what happened. You know what happened. Because you're bogged down deploying and supporting all your machines, you don't have the time to manually keep them updated and under control.

## The Right Approach:

Virtualization can solve the problems. When we stop worrying about hardware, and instead focus on software—operating systems and applications, and their data—the solution becomes clear. Simply virtualize everything that users actually see and touch on their computers. Virtualize the operating system they use, containing applications and data in a secure, centrally managed datacenter. Then it doesn't matter as much if someone steals the hardware or if the hardware crashes; the virtual service can be deployed to another piece of hardware quickly and securely.

Quest gives you the power to drive compliance by managing your virtualized desktop environments. Quest solutions for virtualization diminish the risk of data loss and business continuity failures inherent in physical desktops.

## Quest: Problem Solved

Forget about the hardware, and focus instead on the desktop as *services* provided in the form of virtual machines containing operating systems, applications, and data. Those services are deployed from a central location to whatever hardware is convenient at the time, and they're deployed in a way that ensures only authorized users can access their contents. New hardware can be usable in minutes, and a central management capability ensures that virtual services always have the latest patches and updates.

## KEY QUEST PRODUCTS

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**vWorkspace** provisions, deploys, and manages your virtual desktop environment, reducing costs and security concerns, as well as increasing control.

Quest can:

- Manage the transformation of physical computers into virtual services, protecting against data loss from stolen or lost physical machines
- Provision and deploy virtual desktops in minutes, not hours, while securely and centrally managing the desktop infrastructure
- Enforce strong, two-factor authentication for secure data access
- Drive business continuity with the ability to recover, re-provision, and re-establish user access to virtual desktops in minutes
- Keep operating systems and applications patched as well as anti-malware tools updated, uniformly across the virtual desktop landscape

## A Financially Strong, Proven Leader

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Since 1987, more than 100,000 customers worldwide have partnered with Quest to improve IT efficiency. You don't have to worry about its long-term viability: the company has grown steadily for more than 10 years. In 2008, revenues exceeded \$735 million and cash reserves are currently \$331 million.

You can find Quest's 3,400+ employees in more than 60 offices in 25 countries throughout North America, Latin America, Asia Pacific, Europe and the Middle East. And besides product development activities in the U.S. and Canada, Quest has significant operations in Australia, Russia, Israel and China.

Quest's customers are a who's-who list of well-known names from around the world. In fact, 75% of them are among the Fortune 500. They include ADT, Bank of America, Cisco Systems, Fiat, HBO, Johns Hopkins University, PacifiCare, Shell, Siemens, Verizon and Vodafone, and the U.S. Marine Corps, to name a few.

Quest supports its customers with world-class teams located in every time zone. In a recent survey, a remarkable 97% of Quest customers reported that they were satisfied with their support engineer, and 92% were satisfied with their support experience overall.

And Quest's customers aren't its only fans. Quest is a respected partner of Microsoft, Oracle, SAP, Sun, Dell, VMware and other major vendors, with dozens of major achievements that include:

- Two-time winner of Microsoft's Global ISV Partner of the Year Award
- Microsoft Partner of the Year for 2009 in Advanced Infrastructure Solutions, Active Directory
- Fifth-highest ranked company by Forrester for 2009 in IT Management Software Market, behind only BMC, CA, HP and IBM
- Second-highest ranked company by Gartner for 2009 in Application Management, North America, and fourth-highest ranked in the world in this category
- Number-one ranked company by Gartner for 2009 in Database Management Software Market, North America, and fourth-highest ranked in Worldwide Database Management Software Market

Plus, Quest continually earns honors for its product excellence. The company has been a repeat winner of *SQL Server Magazine's* Editors Choice awards, Best of TechEd awards, *Redmond Magazine's* Reader's Choice awards, and TechTarget Product of the Year awards.

Quest has the stability, resources, expertise, partnerships, and customer focus to deliver reliable, innovative and respected solutions that make your job — and the job of compliance — easier than ever before.

## Summary

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If you're struggling to manage an increasingly complex IT environment while simultaneously working to achieve and maintain compliance with industry regulations and internal requirements, look no further than Quest. Our proven solutions will improve your operational efficiency and provide compliance support for both your physical and virtual environments. With Quest, you save time, money, and resources while doing both your job — and the job of compliance.

## About the Author

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For more than a decade, Don Jones has been a sought-after information technology analyst, consultant, author, and lecturer. He's unique in his ability to communicate both to technical and business professionals, helping to make a deeper and more valuable connection between business needs and technology deliverables. With a strong focus in the financial, telecommunications, and the public sector, Don's experience encompasses both day-to-day operations as well as corporate-level security and legislative compliance concerns. Don is a popular speaker at key industry events for compliance and security officers and auditors. He has worked with numerous Fortune 1000 companies to help them understand and deliver on new compliance and security goals and requirements.

## About Quest Software, Inc.

Now more than ever, organizations need to work smart and improve efficiency. Quest Software creates and supports smart systems management products—helping our customers solve everyday IT challenges faster and easier. Visit [www.quest.com](http://www.quest.com) for more information.

## Contacting Quest Software

PHONE	800.306.9329 (United States and Canada) If you are located outside North America, you can find your local office information on our Web site.
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MAIL	Quest Software, Inc. World Headquarters 5 Polaris Way Aliso Viejo, CA 92656 USA
WEB SITE	<a href="http://www.quest.com">www.quest.com</a>

## Contacting Quest Support

Quest Support is available to customers who have a trial version of a Quest product or who have purchased a commercial version and have a valid maintenance contract.

Quest Support provides around-the-clock coverage with SupportLink, our Web self-service. Visit SupportLink at <https://support.quest.com>.

SupportLink gives users of Quest Software products the ability to:

- Search Quest's online Knowledgebase
- Download the latest releases, documentation, and patches for Quest products
- Log support cases
- Manage existing support cases

View the Global Support Guide for a detailed explanation of support programs, online services, contact information, and policies and procedures.



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