



2007 AICPA Top Technology Initiatives

Presented by:

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Agenda

- Top Technology Initiatives Background
- Review the List
- Explore the Top Techs in Depth

Background

- The list has been produced for over 18 years
- Origin of the list
 - Key deliverable of the AICPA IT Section
 - Working Group prepares survey
 - AICPA ITMS, ITA and ISACA members vote
- What's an "initiative?"
- Time frame – 12-18 months

2007 Top Technology Initiatives

1. Information Security Management
2. Identity and Access Management
3. Conforming to Assurance and Compliance Standards
4. Privacy Management
5. Disaster Recovery Planning & Business Continuity Management
6. IT Governance
7. Securing and Controlling Information Distribution
8. Mobile & Remote Computing
9. Electronic Archiving and Data Retention
10. Document, Content and Knowledge Management

2007 Top Tech Initiatives “Themes”

- Security
- Privacy/Identity
- Risk Management
- Empowerment

#1 Information Security Management

- People, process and systems that safeguard critical systems and data from internal and external threats
- Three pillars:
 - Confidentiality
 - Integrity
 - Availability

Information Security Management “Short List”

- ✓ Router/IP addressing
- ✓ Firewall
- ✓ Patches
- ✓ Anti-
 - Virus
 - Spam
 - Spyware
- ✓ Passwords / Passphrases
- ✓ Unprotected Shares
- ✓ Personal Firewall
- ✓ Web-based e-mail/
file sharing
- ✓ Wireless
- ✓ Physical Access
- ✓ Backups

#2 Identity and Access Management

- Hardware, software and process used to authenticate user identity, then provide appropriate access to authorized systems.

Identity and Access Management

- Authentication Factors
 - What you know
 - Passwords/passphrases
 - What you have
 - Tokens, digital certificates, PKI
 - Who you are
 - Biometrics (finger, hand, retina, etc.)
- Two factor authentication will become increasingly important.



#3 Conforming to Assurance and Compliance Standards

- Formalized strategies and systems to address organizational goals and statutory requirements
- Includes risk assessment standards, risk management and continuous monitoring/continuous auditing
- Are You in Compliance?
 - HIPAA, GLB, SB1386

#4 Privacy Management

- The rights and obligations of individuals and organizations with respect to the collection, use, disclosure, and retention of personal information.

www.aicpa.org/privacy



Steps to Protect Personal Information (PI)

- Don't collect more PI than needed.
- Don't retain PI longer than legally required and/or necessary for business purposes.
- Protect PI you collect, use, disclose and retain.
- Ensure additional protection methods on sensitive PI retained.
- Restrict access to PI to only individuals with a business need to access information.
- Dispose of PI appropriately.
- Keep anti-virus software and security patches current.
- Instill awareness and train employees on the proper handling of PI.
- Know federal, state and local laws and the rights consumers and employees have under those laws.
- Conduct regular audits to ensure PI is protected.

#5 Disaster Recovery Planning & Business Continuity Management

- Identifies potential threats and the impact those threats may have on an organization.
- Organizations then proactively plan for business continuity in the event of a loss of business information resources.

Disaster Recovery Planning & Business Continuity Management

- Have a plan!
 - Remember the goal
 - Identify stakeholders
 - Identify key assets and processes to protect
 - Devise strategy to provide maximum protection and minimize downtime
 - Document the plan
 - Test the plan
 - Repeat and update!



#6 IT Governance

- Relationships and processes that
 - direct and control an organization
 - help it achieve its goals
 - add value while balancing risk versus return over IT and its processes
- Includes IT ROI, or the decisions around technology investments and how to optimize related returns
- Holistic approach, driven from the top down

#7 Securing and Controlling Information Distribution

- Protecting and controlling distribution of digital data, i.e. enabling secure distribution and/or preventing illegal distribution and access to protected information.

Secure Digital Distribution/ Access Methods

- Network
 - VPN
- E-mail
 - Digital certificates/PKI
 - Hosted/3rd party
- Documents
 - Encryption (private key)
 - Digital Rights Management (DRM)
- Web sites
 - Digital Certificates/PKI

#8 Mobile and Remote Computing

- Technologies that enable users to securely connect to key resources anywhere, anytime, regardless of physical location.

Mobile and Remote Technologies

- Internet
- Remote connectivity
 - Terminal Services/Citrix
 - VPNs
- Remote Control
 - GoToMyPC
- Teleconferencing/Web Meetings
- VoIP

Wireless Technologies

- Personal Area Network (PAN)
 - Bluetooth
- Wireless LAN (WLAN)
Technologies 802.1 a/b/g
- Wireless WAN (WWAN)
Technologies 2G, 3G
- WiMax – still emerging, but should see more soon



#9 Electronic Archiving and Data Retention

- Technologies to enable appropriate archiving and retrieval of key information over defined periods of time.
- Includes e-data retention policies.

Electronic Storage and Backup Technologies

- Direct Attached Storage (DAS)
- Network Attached Storage (NAS)
- Storage Area Networks (SANs)
- Optical Devices
 - CDs, DVDs, Blu-Ray
- Backup Devices
- USB Drives



#10 Document, Content and Knowledge Management

- Process of capturing, indexing, storing, retrieving, searching and managing information electronically, including database management of PDFs and other formats.
- Knowledge management then brings structure and control to this information, allowing organizations to harness the intellectual capital contained in the underlying data.

Top Technology Initiatives Toolkit

Toolkit Components

- **PowerPoint Presentation** with speaker notes covering each of the Top Technology Initiatives. Customize this with your own firm/organization name and contact information.
- **Previously Recorded Web Seminar** – Listen to a previously recorded session presented by David Cieslak, CPA.CITP, GSEC, to get ideas for any presentations you may be doing (To be made available after March 21 web seminar).
- **Sample Session Description** – Use this sample description to promote your Top Technology Initiatives presentation.
- **Short Article** on the Top Initiatives that can be used in your firm/client newsletter or on your organization's intranet and in-house newsletter. You can also copy and paste the Short Article into an e-mail to distribute throughout your company.
- **Glossary of Top Technology Initiatives**, available in PDF so you can share and/or print and distribute.

RESOURCES

The Top Technology Initiatives Toolkit can be found under the Community tab of the AICPA IT Center. Visit <https://infotech.aicpa.org/Community/Member+Communications.htm>

Additional Top Technology Initiatives program information is available on the AICPA IT Center. Visit www.aicpa.org/toptech

For further information, you may e-mail infotech@aicpa.org or call 888-777-7077, option 4 from 9:00am-6:00pm ET.

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Questions?