

Background

The Roman Catholic Archdiocese of Boston operates over 300 parishes serving the cities and towns in the greater Boston area.

Case Study | Archdiocese of Boston

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The Challenge: Bearing the Compliance Burden

Time and again IT professionals are questioned by corporate level executives: “Are we compliant?”

Most IT administrators say compliance initiatives have been unfairly dropped in their laps and they receive little guidance in navigating through regulation standards. Not to mention, government regulations such as the Health Insurance Portability and Accountability Act (HIPAA) and Sarbanes-Oxley Act (SOX) outline the requirements necessary for companies to become compliant, but offer few specific recommendations for implementation of compliance controls.

Dan Guerra, Systems Manager at the Roman Catholic Archdiocese of Boston, was in search of a software solution to help his IT team meet HIPAA compliancy for auditing Windows file server activity. Because the Archdiocese manages the medical and insurance benefits of all employees, including clergy, the organization’s IT network must meet HIPAA standards or risk audits and fines. Guerra and his team of IT professionals in the Management of Information Systems (MIS) department were committed

to becoming HIPAA compliant, but lacked a solution that would enable them to demonstrate their compliance with the regulation.

“Our security officers wanted the MIS department to be able to provide an easy-to-read audit trail of file and folder access, to prove that secure files were only being accessed by users with assigned permission,” Guerra said. “A comprehensive audit trail should identify user names, dates and times when changes to files and folders or their security permissions took place, or when files and folders were moved, deleted, accessed or created.”

Guerra also wanted to be automatically notified when an unauthorized user accessed specific restricted files and folders. This notification should include the unauthorized user’s name, the name of the file and/or folder that was accessed, and the time and date when the breach occurred.

“Only through comprehensive reports, generated from the audit trail, would we be able to accurately demonstrate our compliance,” Guerra said.

The Solution: Developing a Unique Compliance Tool

ScriptLogic heard this message echoed among many customers and prospects, and recognized that a software solution did not yet exist that could provide the breadth of functionality needed. Despite offering a comprehensive range of tools and applications that address many aspects of compliance, ScriptLogic recognized that end users wanted a single tool to audit Windows file server activity. Furthermore, if this tool could generate comprehensive reports on changes to files and folders within the file server, IT administrators would be able to prove compliance of requirements documented within the standards of not just HIPAA, but also SOX, GLBA, FISMA, NIST 800-53/FISP 200, ITIL, COBIT, CISP and 21CFR11.

To develop the most efficient and useful tool for reporting on Windows file server activity, ScriptLogic collected feedback from various customers and prospects that were grappling with various regulatory compliance standards.

By speaking directly with end users about the compliance challenges they were facing, ScriptLogic was able to identify specific feature sets the IT staffs needed for file server auditing - features that they could not find in other tools. The result was the development of File System Auditor.

File System Auditor integrates directly into a Windows file server at a low level in order to record, report and alert on file activity, thereby creating an audit trail of who touched which files and folders, when the files were accessed and on what server. Furthermore, File System Auditor has the intelligence to display each user file system activity as a single entry for smarter analysis and decision-making, unlike weaker solutions which rely on Windows’ native auditing and event logs which, at best, show tens of confusing entries for each user event.

The Benefits:

File System Auditor was released in February 2006 and Guerra was able to Beta test the product prior to release.

"File System Auditor was able to meet every key requirement, including providing automatic notifications and reports, identified by the Archdiocese to ensure that our management of the file server was compliant with HIPAA," Guerra said. "It was as though File System Auditor was designed specifically for us."

Now using File System Auditor in conjunction with other solutions from ScriptLogic, the MIS department at the Roman Catholic Archdiocese of Boston has complete control over its Windows file server. File System Auditor provides Guerra with real-time visibility into every change associated with every single file and folder on the server. Guerra can prove his access controls are working and demonstrate HIPAA compliance with his ability to record and examine activity within the information system. Now, when executives at the Archdiocese ask, "Are we compliant?," Dan Guerra can confidently answer, "Yes!"

About ScriptLogic

ScriptLogic Corporation is a worldwide leader in network administration software for Microsoft Windows-based networks. ScriptLogic's award winning suite of desktop, server, and Active Directory management products help empower network administrators to proactively save time, increase security, and maintain regulatory compliance. More than 16,000

customers use ScriptLogic solutions to manage approximately 4 million desktops and 90,000 servers. ScriptLogic solutions benefit any size network in any industry. ScriptLogic is a privately held company headquartered in Boca Raton, Florida.

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