Technical Value Brief

Ensuring Compliance with FFIEC IT Handbook Using Evolven

Overview

The FFIEC IT Examination Handbook mandates stringent requirements for managing IT configuration risks, focusing on secure baselines, unauthorized change detection, configuration drift management, change control, and maintaining audit trails. Compliance with these requirements is essential for financial institutions to mitigate risks and avoid regulatory penalties. By providing actionable near real-time insights into detailed actual configurations and changes and aligning with FFIEC's directives, Evolven empowers IT Risk & Compliance, SecOps, IT Service Management and IT Operations teams to proactively manage risks and streamline audits.

EVOLVEN

Key Requirements from FFIEC Information Security IT Booklet Addressed by Evolven

Configuration Baseline (II.C.10(a) Configuration Management)

✓ **Requirement:** Configuration management is a process to securely maintain the institution's technology by developing expected baselines for tracking, controlling, and managing system settings.

Evolven Solution: Evolven automates the capture and monitoring of granular comprehensive **configuration baselines**, ensuring deviations are quickly detected and resolved. Evolven continuously verifies alignment of the actual configurations to standards and bets practices such as CIS Benchmarks and DOD STIGS.

Configuration Drift (II.C.10(a) Configuration Management)

✓ **Requirement:** Configurations should be monitored for unauthorized changes, and misconfigurations should be identified.

Evolven Solution: Evolven continuously monitors for **configuration drift**, ensuring that configurations align with approved baselines and stay sufficiently consistent within and across IT environments on-premise and in the cloud to prevent security gaps and preserve operational resilience.

Change Control (II.C.10 Change Management)

✓ **Requirement:** Management should have a process to introduce changes to the environment in a controlled manner, including risk assessments, testing, rollback procedures, and documentation for all changes.

Evolven Solution: Evolven detects actual modifications across the change lifecycle from development to production and disaster recovery environments. It validates that the non-production and production environments are sufficiently aligned and that deployments to higher environments are **consistent** with the deployments certified in lower environments. Evolven uses patented **ML/AI risk analytics** to highlight granular changes that might have negative impact on stability, security and compliance of the business systems and their infrastructure. Evolven automatically reconciles detected changes with the approved change requests or authorized deployments identifying unintended or **unauthorized** modifications.

Change Audit Trail (II.C.10 Change Management)

✓ **Requirement:** Management should maintain an audit trail of all changes, including emergency changes, with sufficient detail to support forensic investigations if needed.

Evolven Solution: Evolven automatically detects and logs **actual granular changes** with detailed metadata, including who made the change, when, and the associated risk level. It generates detailed, compliance-ready **audit trails** for regulatory audits and forensic investigations. Evolven provides a **single pane of glass** to view and analyze actual changes across hybrid environments.

Standard Builds (II.C.10(c) Configuration Management)

✓ **Requirement:** Management should establish and implement processes to ensure systems are configured and

maintained securely in accordance with approved standard builds.

🔹 **Evolven Solution:** Evolven captures configuration of **certified standard builds** or uses common frameworks such as CIS Benchmarks or DOD STIGS to define standard configuration. It automatically verifies the detailed actual configuration of IT environment components against standard builds and **documents non-standard build** configurations to support audit and compliance requirements. Evolven continues to monitor IT environments, promptly identifying and reporting deviations from standard builds.

Patch Management (II.C.10(d) Configuration Management)

✓ **Requirement:** Management should implement patch management processes to ensure timely installation of security patches.

🔹 **Evolven Solution:** Evolven automatically verifies that target patches are **deployed in testing environments** for validation and then consistently deployed in the organization's **production and disaster recovery** environments. It maintains an updated record of the **technology inventory**, including the installed patches, ensuring visibility and compliance.

Business Impact for GRC, ITSM, IT Ops and SecOps

✓ Ensure secure and compliant IT environments by proactively identifying deviations from approved baselines.

✓ Prevent security risks and compliance gaps caused by configuration drift, also ensuring operational stability.

✓ Strengthen change control processes, reducing the risk of unauthorized changes leading to compliance violations, security threats and operational issues.

✓ Ensure comprehensive audit readiness and enhance accountability and traceability for all changes, automating evidence collection and analysis.

✓ Ensure configuration consistency, reducing security risks and simplifying compliance with FFIEC requirements.

✓ Minimize security and operational risks associated with unpatched vulnerabilities, ensuring consistent patch deployment across all environments.

Why Financial Institutions Trust Evolven

Leading financial institutions rely on Evolven to:

- **Enhance Compliance:** Automate policy verification and generate audit-ready reports.
- **Strengthen Security:** Detect and remediate unauthorized changes before they cause incidents.
- **Ensure Stability:** Prevent outages caused by misconfigurations or configuration drift.
- **Streamline Audits:** Simplify compliance with OCC/FFIEC requirements and other regulations.

📧 **For more information, contact us at info@evolven.com or 1 (866) 866-2320