



# The Next Generation ProSystem *fx*® Suite

Data center details, backup processes and security measures

The next generation ProSystem *fx*® Suite applications are hosted at an IBM® data center, allowing you to access the software over the Internet. This hosted solution provides processing without burdening your firm with hardware costs, server management, hardware obsolescence, software updates and data center operations staff. The award-winning ProSystem *fx* Suite provides a streamlined workflow, increases productivity and helps address staffing challenges. This industry-leading program delivers ultimate office productivity and helps as your firm moves to a paperless environment.

## Release Schedule

In conjunction with IBM®, CCH has implemented a number of processes and policies that ensure our software updates do not interrupt your work. Application builds and release schedules differ by product and market they serve. There are three types of releases that can occur:

- Scheduled releases occur based on a published schedule and generally occur the same time each year. Depending on the time of the year, these releases may be weekly, monthly, or there may be several months between releases.
- Optional releases are not published but are made based on the availability of updated content needed by clients for compliance reasons. To allow for adequate testing prior to the release, an optional update requires at least 48 hours notice by any group. If the intent is to release an update with less than 48 hours notice, it would be considered an emergency release.
- Critical releases meet a critical security or client need and receive focused testing. A product manager can initiate a critical release with the approval of a product Director or Vice President. This procedure is designed to prevent excessive or unnecessary critical releases.

If scheduled or optional releases are to be installed in the production environment, they will be performed within the following maintenance windows to minimize disruption to our clients.

- Tuesday 10:00 p.m. through Wednesday 2:00 a.m. Central Time
- Thursday 10:00 p.m. through Friday 2:00 a.m. Central Time
- Saturday 9:00 p.m. through Sunday 6:00 a.m. Central Time

CCH will make every effort to utilize the Saturday maintenance window to avoid service disruption during the week.

## Hosting Services

The IBM® data center in Hazelwood, Missouri provides hosting services for the next generation ProSystem *fx* Suite applications and provides an operations group, platform and network engineering groups, database administrators and operators for monitoring of the hardware and services running in the environment.

In order to ensure maximum security, the following control activities have been implemented:

- All production equipment with the exception of electronic filing and account management is physically controlled and located in the Hazelwood data center.
- The Account Management System and the *e-filing* process are hosted in the Perot data center in Plano, Texas.
- An access control system is utilized to restrict access to the data center.
- Access rights are based on user need and evaluated on a regular basis.
- Badge readers log access to all controlled areas.
- Video surveillance monitoring is in place and monitored.
- IBM® maintains detailed procedure manuals covering all aspects of their roles and responsibilities.
- Operations personnel are responsible for console monitoring, and perform escalation procedures.
- Operations personnel have limited access based on their user accounts.
- IBM® maintains an application used to track all system and application incidents, and this application provides notification of escalations.
- An incident response plan provides procedures about escalation notification activities.

## Database Management

CCH utilizes Microsoft SQL for its database management system (DBMS). Access to the database is restricted to specific machines in the application environment. Database Administrator access is based on the need to support the DBMS. The following controls are in place to secure data integrity:

- All users access the database only through the application.
- No direct user access to the database is permitted.
- Only Database Administrators have DBA permissions to the DBMS.
- Database Administrators' Windows logins do not grant root access.
- All changes to the DBMS originate through the change management process.
- Backups are completed using LAN Free and IBM Tivoli® Storage Manager (TSM).
- The ProSystem fx Suite logically separates firm data within the database. Application controls are in place to prevent data access across firm boundaries. Data is never commingled with data from other firms.
- Backups are tested periodically to ensure they can be used for restoration purposes.

## Backup Process

CCH has a formal backup process in place including off-site storage. The following controls are in place to ensure effective backups are maintained:

- Data is backed up using IBM Tivoli® backup software.
- Data on backup tapes is encrypted.
- Your firm's data is backed up daily; full backups are performed weekly.
- Cloned copies of the backups are sent to off-site storage each week.
- The original backup tapes remain on-site for business continuity purposes.
- Cloned copies of the backups remain off-site for a minimum of 30 days.

- Once a month, a full backup is performed and labeled to retain for one year.
- Once a year, a full backup is performed and labeled to retain for seven years.
- The task of performing accurate backups and validation of the backup tapes is assigned to IBM®.
- System recovery procedures are in place to restore files from backup tapes.

## Logical Security

IBM® has instituted a formal process for managing access to systems in the hosted environment. Specific controls are in place to ensure access is granted on an as-needed basis to appropriate data center staff.

- Formal written requests are required to add users' accounts, change user rights or to delete user accounts.
- The authority to approve these requests has been delegated to IBM® management. Multiple approvals may be required for certain access.
  - Passwords meet specific complexity requirements:
  - Passwords expire every 90 days.
  - Minimum password age is 2 days.
  - Minimum length is 7 characters.
  - Account lockout threshold after 3 login attempts.
  - Passwords for privileged accounts that a terminated person may have known are also changed if it is deemed that the account could be misused or represents a significant risk.
  - Certain service accounts may not require changing passwords depending upon the business purpose it provides.
- Default operating system accounts have been deleted, disabled or have their passwords changed to prevent unauthorized access.
- Web server software is installed on a separate partition from the operating system.

For more information on the  
ProSystem fx® Suite  
call 1-800-PFX-9998 (1-800-739-9998)  
or visit [CCHGroup.com](http://CCHGroup.com)

*The most up-to-date product information, including detailed system requirements, enhancements, and new features, is available at [CCHGroup.com/ProSystem](http://CCHGroup.com/ProSystem). If you plan to use multiple ProSystem fx Office products within the same system, call 1-800-PFX-9998 (1-800-739-9998) and ask to speak to your sales representative about whether or not your system availability is adequate.*

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