



**REPORT ON A DESCRIPTION  
OF A SERVICE ORGANIZATION'S SYSTEM AND THE SUITABILITY  
OF THE DESIGN AND OPERATING EFFECTIVENESS OF CONTROLS**

**Related to Transaction Manager-Risk Analytics Authentication Solution, Risk  
Assessment, and Fraud Detection Services provided by CA Technologies**

**Under the AICPA,  
Statement on Standards for Attestation Engagements, No. 16 (SSAE No. 16)  
Reporting on Controls at a Service Organization (SOC 1, Type 2)**

**For the Period November 1, 2014 through October 31, 2015**



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**Table of Contents**

<b>INDEPENDENT SERVICE AUDITOR'S REPORT .....</b>	<b>1</b>
<b>MANAGEMENT ASSERTION .....</b>	<b>4</b>
<i>Provided by CA Technologies</i>	
<b>DESCRIPTION OF TRANSACTION MANAGER-RISK ANALYTICS AUTHENTICATION SOLUTION, RISK ASSESSMENT, AND FRAUD DETECTION SERVICES FOR THE PERIOD OF NOVEMBER 1, 2014 TO OCTOBER 31, 2015 <i>Provided by CA Technologies</i></b>	
<b>COMPANY OVERVIEW .....</b>	<b>6</b>
<b>CONTROL OBJECTIVES AND RELATED CONTROLS .....</b>	<b>6</b>
<b>COMPLEMENTARY USER ENTITY CONTROLS.....</b>	<b>6</b>
<b>OVERVIEW OF SERVICES.....</b>	<b>6</b>
<b>SCOPE DEFINITION .....</b>	<b>7</b>
<b>CONTROL ENVIRONMENT, RISK ASSESSMENT PROCESS, AND MONITORING.....</b>	<b>8</b>
Control Environment .....	8
Integrity and Ethical Values .....	8
Commitment to Competence .....	8
Senior Management and Regulatory Audit Participation.....	9
Management's Philosophy and Operating Style.....	9
Organizational Structure and Assignment of Authority and Responsibility .....	9
Human Resources Policies and Practices.....	9
Risk Assessment .....	10
Monitoring .....	11
Reporting Deficiencies.....	12
Information and Communication Systems.....	12
<b>DESCRIPTION OF IT AND OPERATIONAL CONTROLS .....</b>	<b>13</b>
Application Change Control.....	13
Information Security.....	13
Computer Operations.....	15
Physical Security.....	16
Authentication Services Availability .....	16
Client Setup .....	17
Data Communications.....	17
<b>SUBSERVICE ORGANIZATIONS.....</b>	<b>18</b>
<b>APPENDICES</b>	
<b>APPENDIX A – Independent Service Auditor's Description of Control Objectives, Controls, Test     Procedures and Results.....</b>	<b>20</b>
<b>APPENDIX B – Complementary User Entity Control Considerations .....</b>	<b>46</b>
<i>Provided by CA Technologies</i>	
<b>APPENDIX C – Other Information Provided by CA Technologies .....</b>	<b>47</b>
<i>Provided by CA Technologies</i>	

## INDEPENDENT SERVICE AUDITOR'S REPORT

CA Technologies  
Santa Clara, California

### **Scope**

We have examined CA Technologies' ("CA"), description of its Transaction Manager-Risk Analytics system for providing authentication solution, risk assessment, and fraud detection services for user entities throughout the period November 1, 2014 to October 31, 2015 (description), and the suitability of the design and operating effectiveness of controls to achieve the related control objectives stated in the description. The description indicates that certain control objectives specified in the description related to providing Transaction Manager-Risk Analytics authentication solution, risk assessment, and fraud detection services can be achieved only if complementary user entity controls contemplated in the design of CA's controls are suitably designed and operating effectively, along with related controls at the service organization. We have not evaluated the suitability of the design and operating effectiveness of such complementary user entity controls.

CA uses BT Counterpane, Inc. for managed security monitoring, Qualys, Inc. for vulnerability assessments/application penetration testing, CenturyLink for co-location services & backups and AlertSite for website monitoring. The description includes only the controls and related control objectives of CA and excludes the control objectives and related controls of BT Counterpane, Inc., Qualys, Inc., CenturyLink, and AlertSite. Our examination did not extend to controls of BT Counterpane, Inc., Qualys, Inc., CenturyLink, and AlertSite (subservice organizations). We have not evaluated the suitability of the design or operating effectiveness of such subservice organizations controls.

### **Service Organization's Responsibilities**

Beginning on page 4 of their description, CA has provided an assertion about the fairness of the presentation of the description and suitability of the design and operating effectiveness of the controls to achieve the related control objectives stated in the description. CA is responsible for preparing the description and the assertion, including the completeness, accuracy, and method of presentation of the description and the assertion, providing the services covered by the description, specifying the control objectives and stating them in the description, identifying the risks that threaten the achievement of the control objectives, selecting the criteria, and designing, implementing, and documenting controls to achieve the related control objectives stated in the description.

### **Service Auditor's Responsibilities**

Our responsibility is to express an opinion on the fairness of the presentation of the description and on the suitability of the design and operating effectiveness of the controls to achieve the related control objectives stated in the description, based on our examination. We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether, in all material respects, the description is fairly presented and the controls were suitably designed and operating effectively to achieve the related control objectives stated in the description throughout the period November 1, 2014 to October 31, 2015.

An examination of a description of a service organization's system and the suitability of the design and operating effectiveness of the service organization's controls to achieve the related control objectives stated in the description involves performing procedures to obtain evidence about the fairness of the presentation of the description and the suitability of the design and operating effectiveness of those controls to achieve the related control objectives stated in the description.

Our procedures included assessing the risks that the Description is not fairly presented and that the controls were not suitably designed or operating effectively to achieve the related control objectives stated in the description.

Our procedures also included testing the operating effectiveness of those controls that we consider necessary to provide reasonable assurance that the related control objectives stated in the description were achieved. An examination engagement of this type also includes evaluating the overall presentation of the Description and the suitability of the control objectives stated therein, and the suitability of the criteria specified by the service organization and described beginning on page 4. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

### ***Inherent Limitations***

Because of their nature, controls at a service organization may not prevent, or detect and correct, all errors or omissions in processing or reporting transactions. Also, the projection to the future of any evaluation of the fairness of the presentation of the Description, or conclusions about the suitability of the design or operating effectiveness of the controls to achieve the related control objectives is subject to the risk that controls at a service organization may become inadequate or fail.

### ***Opinion***

In our opinion, in all material respects, based on the criteria described in CA's assertion beginning on page 4,

- a) The description fairly presents CA's Transaction Manager-Risk Analytics system for providing authentication solution, risk assessment, and fraud detection services that were designed and implemented throughout the period November 1, 2014 to October 31, 2015.
- b) The controls related to the control objectives stated in the description were suitably designed to provide reasonable assurance that the control objectives would be achieved if the controls operated effectively throughout the period November 1, 2014 to October 31, 2015, and user entities applied the complementary user entity controls contemplated in the design of CA's controls throughout the period of November 1, 2014 to October 31, 2015.
- c) The controls tested which together with the complementary user entity controls referred to in the scope paragraph of this report, if operating effectively, were those necessary to provide reasonable assurance that the control objectives stated in the description were achieved, operated effectively throughout the period November 1, 2014 to October 31, 2015.

### ***Description of Tests of Controls***

The specific controls tested and the nature, timing, and results of those tests are listed in Appendix A of this report.

### ***Other Matters***

Management's responses to the exceptions identified in Appendix A have not been subjected to our examination procedures, and accordingly, we express no opinion on them.

The information in Appendix C, "Other Information Provided By CA Technologies", regarding business continuity planning and GLBA compliance is presented by CA to provide additional information and is not a part of CA's description of its system that may be relevant to a user organization's internal control environment. Such information has not been subjected to the procedures applied in the examination of the description of its system applicable to the processing of transactions for user organizations and, accordingly, we express no opinion on it.

***Restricted Use***

This report, including the description of tests of controls and results thereof in Appendix A is intended solely for the information and use of CA, user entities of CA's Transaction Manager-Risk Analytics authentication solution, risk assessment, and fraud detection services during some or all of the period November 1, 2014 to October 31, 2015, and the independent auditors of such user entities, who have a sufficient understanding to consider it, along with other information including information about controls implemented by user entities themselves, when assessing the risks of material misstatements of user entities' financial statements. This report is not intended to be and should not be used by anyone other than these specified parties.

  
Crowe Horwath LLP

South Bend, Indiana  
December 18, 2015

