Rocket

Sarbanes-Oxley Compliance with Rocket® Mainstar® Catalog RecoveryPlus

Public companies subject to Sarbanes-Oxley (SOX) requirements must document internal controls over financial reporting (ICFRs) related to their key financial reporting systems. In most instances, these controls include regular backup of data within key systems and validation of backup processes. While every company defines the exact structure of its own ICFRs, certain expectations are common across any company performing development activities.

For any key financial reporting systems hosted in an IBM® z/OS® environment, Rocket® Mainstar® Catalog RecoveryPlus (CR+) enhances your backup, recovery, and disaster recovery capabilities that enable you to satisfy SOX control requirements, while also providing strong logical security controls.

SOX CONTROL EXAMPLES	CR+ CAPABILITIES
Administrative system access is restricted to appropriate personnel.	System administration is performed through the native Security Authorization Facility (SAF) within the IBM z/OS environment. There is no need for separate user accounts or administrators for CR+.
Users attempting to access the system are authenticated during login.	CR+ leverages the logged-in user credentials of the native IBM TSO function. TSO credentials, and all authentication mechanisms tied to that login, are inherited by CR+.
User accounts and their associated access rights within the system are validated by an independent reviewer on a periodic basis.	Specific reports are available from CR+ showing the function-level permissions granted through its access profiles. You can use these to validate the appropriateness of assigned rights.
Changes to user accounts, access rights, or system parameters are reviewed by an independent reviewer on a periodic basis.	All relevant changes to user accounts, roles, and assigned permissions through the SAF are fully logged through the IBM System Management Facility (SMF). Reporting and alerting on such actions can be configured through the mainframe functions.
Regular, frequent backups of all financial reporting applications and data are performed.	Maintaining the health of your ICF catalogs is a crucial part of ensuring the overall health and accessibility of your mainframe data. CR+ monitors your ICF catalogs enterprise-wide to verify that they're appropriately backed up and recoverable. CR+ can analyze your disaster recovery site's ICF catalogs and synchronize them with your production data. CR+ performs diagnostics of relationships between data sets and ICF catalogs to identify integrity problems that could impair your data recovery capabilities, and automatically generate fix commands.

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