Rocket

COMPLIANCE

Sarbanes-Oxley Compliance with Rocket Aldon Lifecycle Manager

Public companies subject to Sarbanes-Oxley (SOX) legislation must document internal controls for financial reporting (ICFRs) related to their key financial reporting systems. Companies that perform development activities with these systems need to demonstrate effective ICFRs for their development and change control processes to support the security and integrity of data within the financial systems. While every company defines the exact structure of its own ICFRs, certain expectations are common across any company performing development activities.

Rocket® Aldon Lifecycle Manager (LM) has robust security controls available to enable a company to design and implement controls to comply with SOX requirements. The relevant requirements and capabilities that LM offers to meet them are listed on the following pages.

SOX CONTROL EXAMPLES	ROCKET ALDON LIFECYCLE MANAGER CAPABILITIES
Access additions and modifications to the system are approved by an individual with appropriate authority.	The Rocket® Aldon Community Manager (CM) module supports automated, system-driven workflows that may include access request, authorization, and provisioning processes. Workflows can be assigned to Security Server administrators for LM, as well as administrators for any other system in use at an organization.
Access for terminated employees is removed on a timely basis.	The CM module can also support workflows for termination and offboarding processes that include the removal of system access that is no longer needed. Workflows can be assigned to Security Sever administrators for ALM, as well as administrators for any other system in use at an organization.
Administrative system access is restricted to appropriate personnel.	System administration is performed through the separate Security Server module, with access restricted to designated administrative users. Reports are available showing all users with their associated access capabilities.
Users attempting to access the system are authenticated during login.	LM and its associated modules (Lifecycle Manager IBM i Edition (LMi), Lifecycle Manager Enterprise Edition (LMe), CM, and Security Server) support unique user IDs for all individuals accessing the systems. Passwords are required for users to access each system. LMi also supports integration with IBM i user credentials, and CM supports LDAP integration with Active Directory credentials.
User accounts and their associated access rights within the system are validated by an independent reviewer on a periodic basis.	Reports are available showing all users with their associated access capabilities.
Changes to user accounts, access rights, or system parameters are reviewed by an independent reviewer on a periodic basis.	Reports are available showing all administrative activity performed within the system, including the modification of user access and roles.
System changes or development activities must be requested and approved by an individual with appropriate authority.	CM supports workflows for changes and development activities such as requests, approvals, testing, acceptance, and any other stages required by an organization's policies.
Changes to code are reviewed by an independent reviewer prior to being approved or promoted.	Access for individual users to access, modify, or approve code can be assigned for specific projects, release versions, and environments. Developers can be restricted from making changes to software in testing or production. The ability to migrate between development, test, and production environments can also be restricted to appropriately segregated users. Changes made to code are highlighted by the Harmonizer module, which supports formal, independent reviews of code changes before promotion to ensure that changes are in accordance with an approved work order.
All changes are tested and approved prior to being introduced to the production environment.	LM supports multiple development environments that are customizable by the organization, such as development, test, staging, and production. Emergency changes can be allowed, but this requires approval of a retroactive merge to the development environment.

SOX CONTROL EXAMPLES	ROCKET ALDON LIFECYCLE MANAGER CAPABILITIES
Changes introduced to the production environment are monitored and reviewed to ensure that no unauthorized changes are made.	The Harmonizer module highlights changes to code, supporting formal, independent reviews of code changes before promotion to ensure that changes are in accordance with an approved work order. All actions within LM and its associated modules, including code changes and promotions, are fully logged and reportable.

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rocketsoftware.com

info@rocketsoftware.com

US: 1 877 577 4323
EMEA: 0800-520-0439
APAC: 1800 823 405

twitter.com/rocket

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rocket-software

www.facebook.com/
RocketSoftwareInc

blog.rocketsoftware.com

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