

COMPLIANCE

Sarbanes-Oxley Compliance with Rocket Servergraph

Public companies subject to Sarbanes-Oxley (SOX) legislation must document internal controls for 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.

Rocket® Servergraph has robust security controls and backup management capabilities that enable a company to comply with SOX requirements for its key financial reporting systems. Relevant criteria, and the capabilities Rocket Servergraph offers to achieve each criterion, are listed on the following page.



SOX CONTROL EXAMPLES

Administrative system access is restricted to appropriate personnel.

Users attempting to access the system are authenticated during login.

Daily incremental backups and weekly full backups of all financial reporting applications are performed.

Management validates that backups are completed successfully and investigates errors.

Backup systems are monitored to ensure availability for business continuity / disaster recovery capabilities.

ROCKET SERVERGRAPH CAPABILITIES

System administration is performed through the separate administration client, with access restricted to designated administrative users.

Servergraph is agentless and only requires a read-only service account to operate, preventing unintentional or unauthorized modification of network systems and data.

Servergraph supports unique user IDs for all individuals accessing the system, and uses LDAP integration with Active Directory credentials.

Passwords are required for all users attempting to log into the system. Local credentials are stored in encrypted hash format.

Detailed, customizable permissions can be configured for each user to support the rule of least privilege and segregation of duties.

Servergraph collects information from backup software, hardware, and processes in your environment to document that all data backups are operating in accordance with your organizational policies.

Traps, reports, and alerts are customizable to capture relevant information for all of your backup control requirements.

Backup collection logs and reports are retained within Servergraph for a fully configurable duration to maintain historical evidence.

Reports and alerts can be automatically distributed to any individuals, supporting segregation of duties and facilitating review and monitoring processes.

The Server Monitor feature shows real-time statistics and alerts for backup systems, such as storage utilization and disk capacity.



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