



Compliance

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# Basel III Compliance with Rocket Servergraph

Basel III is a set of international standards for financial institutions that focuses on financial strength and stability. Though targeted at financial risks, Basel III also establishes several principles for internal controls intended to reduce the likelihood of fraud, misappropriation, errors, or misstatements that may involve technology systems. No specific, prescriptive control requirements are given, so institutions must determine the exact structure of their controls designed to satisfy the Basel III principles. From a technology perspective, Basel III is most concerned with the availability and integrity of financial data.

Rocket® Servergraph has robust security controls and backup management capabilities that enable a company to ensure the availability and integrity of financial data. Basel III's relevant internal controls principles and the capabilities Servergraph offers are listed on the following page.



**Principle 6:**

An effective internal control system requires that there is appropriate segregation of duties and that personnel are not assigned conflicting responsibilities. Areas of potential conflicts of interest should be identified, minimized, and subject to careful, independent monitoring.

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

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

**Principle 7:**

An effective internal control system requires that there are adequate and comprehensive internal financial, operational and compliance data, as well as external market information about events and conditions that are relevant to decision making. Information should be reliable, timely, accessible, and provided in a consistent format.

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.

**Principle 8:**

An effective internal control system requires that there are reliable information systems in place that cover all significant activities of the bank. These systems, including those that hold and use data in an electronic form, must be secure, monitored independently and supported by adequate contingency arrangements.

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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