



COMPLIANCE

Basel III Compliance with Rocket® BlueZone

Basel III is a set of international standards for financial institutions that focus on financial strength and stability. Although focused on 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 BlueZone terminal emulation solutions may be used to support key information systems in a financial institution, and in that capacity, its remote access capabilities enable effective contingency planning to ensure the availability of key systems and data. BlueZone also supports strong security and integrity controls to protect your information systems from unauthorized access or modification. The relevant Basel III Internal Controls Principles, along with BlueZone's related capabilities, are listed below.



BASEL III PRINCIPLES

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.

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.

BLUEZONE CAPABILITIES

BlueZone provides communication between clients and backend host systems by utilizing the user access permissions inherent to the backend host system environment. BlueZone cannot provide any capability for data access that is not already specifically authorized within your host O/S to the logged in user.

Authentication is performed against the host system directly, applying its password requirements and other authentication mechanisms, which may include physical tokens, client-side X.509 certificates, and other multi-factor authentication systems.

When using Security Server, a second layer of authentication against the Security Server directly before a user may attempt to authenticate to the host system. Security Server supports integration with RSA SecurID and Active Directory for user credentials and authentication.

The built-in logging mechanisms inherent to your host system environment record all activities initiated through BlueZone sessions. There is no need to maintain a separate log management function specifically for BlueZone.

As a supplemental logging mechanism, Rocket BlueZone Web records a log of all client connections to the web server. This does not record commands issued through the sessions, which would be logged through the built-in host system functionality, but provides an additional layer of security by showing how many users and terminals are connecting, when, and from where.

The distributed nature of BlueZone's architecture allows administrators to connect to the host system environment from anywhere, to anywhere in order to perform routine maintenance or emergency corrections. During a technical incident or disaster scenario, BlueZone can help continue or restore operations and data access.

BlueZone clients can specify alternate hosts for instant cutover to disaster recovery facilities.

BlueZone Web can support redundant web servers to withstand a technical incident and continue operating in other environments, while allowing administrators from any location to continue working.



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