



COMPLIANCE

Sarbanes-Oxley Compliance with Rocket® Mainstar® Backup and Recovery Manager Suite

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 key financial reporting systems hosted in an IBM® z/OS® environment, Rocket® Mainstar® Backup and Recovery Manager Suite (BRMS) provides powerful, centralized backup management capabilities that enable you to ensure the availability of key financial data.





| SOX CONTROL EXAMPLES | BRMS CAPABILITIES |
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| <p>Administrative system access is restricted to appropriate personnel.</p> | <p>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 BRMS.</p> |
| <p>Users attempting to access the system are authenticated during login.</p> | <p>BRMS 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 BRMS.</p> |
| <p>Changes to user accounts, access rights, or system parameters are reviewed by an independent reviewer on a periodic basis.</p> | <p>This capability is independent of BRMS due to the way it operates within IBM z/OS. 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.</p> |
| <p>Regular, frequent backups of all financial reporting applications and data are performed.</p> | <p>This is the core value proposition of BRMS. It performs analysis to identify all critical datasets and determine whether they're included in your backup processes, or whether they're omitted or outdated.</p> <p>BRMS provides a centralized management interface to configure, monitor, and report on the predefined backup jobs executed by all your backup software for the entire IBM z/OS environment.</p> <p>Interfaces with your backup software allow BRMS to generate backup jobs to cover any missing datasets.</p> <p>Reporting functionality shows the status of each data set and each backup or restoration task, to ensure successful completion.</p> <p>Backup collection logs and reports are retained with BRMS to maintain historical evidence for auditors and examiners.</p> |



SOX CONTROL EXAMPLES

Management validates that backups are completed successfully and investigates errors.

BRMS CAPABILITIES

BRMS automatically generates jobs to restore datasets that can be used for periodic testing requirements.

Restoration jobs are customized to include the datasets specifically required to restore a given application.



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