



COMPLIANCE

Trust Services Principles for Service Organization Controls Reports with Rocket® Mainstar® Catalog RecoveryPlus

Service Organization Controls (SOC) reports are an effective way for companies to provide assurance to their customers and prospects over the security, availability, confidentiality, integrity, and privacy of the systems they offer. SOC 2 and SOC 3 reports are popular with Software-as-a-Service (SaaS) providers and any company with access to its customers' critical systems and data.

Each Trust Services Principle includes a number of criteria that must be satisfied by the service organization, as well as illustrative controls for how an organization may fulfill the requirements.

Rocket® Mainstar® Catalog RecoveryPlus (CR+) strengthens your IBM® z/OS® security environment by providing enhanced ICF Catalog management and protection capabilities that are key to achieving SOC criteria surrounding data backup, availability, and overall business continuity.





CRITERIA	CR+ CAPABILITIES
<p>CC5.1</p> <p>Logical access security software, infrastructure, and architectures have been implemented to support (1) identification and authentication of authorized users; (2) restriction of authorized user access to system components, or portions thereof, authorized by management, including hardware, data, software, mobile devices, output, and offline elements; and (3) prevention and detection of unauthorized access.</p>	<p>CR+ leverages the logged-in user credentials of the native IBM TSO function within IBM z/OS environments. TSO credentials, and all authentication mechanisms tied to that login, are inherited by CR+.</p> <p>Detailed, customizable permissions can be configured for each user to support the rule of least privilege and segregation of duties. Permissions can apply to both the data being accessed and the function being performed.</p> <p>IBM Security Authorization Facility (SAF) provides the standard access controls over data. CR+ defines new profiles that add function-based access controls.</p> <p>CR+ supports role-based permissions management for consistent application of user rights, as well as individual rights assignments for specific needs.</p> <p>Specific reports are available from CR+ showing the function-level permissions granted through its access profiles. You can use these to validate the appropriateness of assigned rights.</p>
<p>CC5.3</p> <p>Internal and external system users are identified and authenticated when accessing the system components (for example, infrastructure, software, and data).</p>	<p>CR+ leverages your TSO credentials and all associated authentication mechanisms within IBM z/OS environments. There is no need to maintain a separate user account list in CR+.</p>



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<p>CC5.3</p> <p>Internal and external system users are identified and authenticated when accessing the system components (for example, infrastructure, software, and data).</p>	<p>CR+ leverages your TSO credentials and all associated authentication mechanisms within IBM z/OS environments. There is no need to maintain a separate user account list in CR+.</p>
<p>CC5.4</p> <p>Access to data, software, functions, and other IT resources is authorized and is modified or removed based on roles, responsibilities, or the system design and changes to them.</p>	<p>CR+ supports role-based permissions management for consistent application of user rights, as well as individual rights assignments for specific needs.</p> <p>Roles are customizable to meet an organization's specific controls requirements.</p> <p>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>A1.2</p> <p>Environmental protections, software, data backup processes, and recovery infrastructure are designed, developed, implemented, operated, maintained, and monitored to meet availability commitments and requirements.</p>	<p>Maintaining the health of your ICF catalogs is a crucial part of ensuring the availability of mainframe data. CR+ monitors, backs up, and provides recovery for your ICF catalogs enterprise-wide to ensure your mainframe data is appropriately available.</p> <p>CR+ allows routine maintenance of ICF catalogs during operation without outages, reducing downtime and supporting 24x7 high-availability environments.</p> <p>CR+ can analyze your disaster recovery site's ICF catalogs and synchronize them with your production data.</p>
<p>PI1.1</p> <p>Procedures exist to prevent, detect, and correct processing errors to meet processing integrity commitments and requirements.</p>	<p>CR+ performs diagnostics of relationships between data sets and ICF catalogs to identify integrity problems that could impair your data recovery capabilities, and automatically generates fix commands.</p>



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<p>PI1.4</p> <p>Data is stored and maintained completely and accurately for its specified life span in accordance with processing integrity commitments and requirements.</p>	<p>Reporting functionality is available to identify data sets or ICF catalogs that meet any criteria you may have, including data retention schedules.</p> <p>Verifying backup and recoverability status of ICF catalogs in your production and DR environments helps prevent data sets from being destroyed or losing integrity.</p>
<p>C1.2</p> <p>Confidential information within the boundaries of the system is protected against unauthorized access, use, and disclosure during input, processing, retention, output, and disposition in accordance with confidentiality requirements.</p>	<p>CR+ primarily interfaces with ICF catalogs, which are metadata, rather than operational data itself. The catalogs would not contain confidential information.</p> <p>TSO and SAF enforce data access restrictions for any user in the system. CR+ cannot bypass these permissions.</p>



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