![Rocket logo]

COMPLIANCE

# Sarbanes-Oxley Compliance with Rocket® OpenTech

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 any key financial reporting systems or data hosted in an IBM®z/OS® environment, Rocket® OpenTech products provide you with all the tools you need to implement a strong backup management program and availability controls—from executing backup and migration jobs, to monitoring job statuses, to simulating restoration events, and more. The OpenTech portfolio includes Rocket DR/Xpert, Rocket DASD Backup Supervisor, Rocket Tape/Copy, Rocket Virtual Data Recovery, and Rocket CopyExport Manager.

| SOX CONTROL EXAMPLES | OPENTECH CAPABILITIES |
|---|---|
| Administrative system access is restricted to appropriate personnel. | 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 OpenTech products. |
| Users attempting to access the system are authenticated during login. | OpenTech products leverage the logged-in user credentials of the native IBM TSO function. TSO credentials, and all authentication mechanisms tied to that login, are inherited by OpenTech products. |
| Changes to user accounts, access rights, or system parameters are reviewed by an independent reviewer on a periodic basis. | 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. |
| Regular, frequent backups of all financial reporting applications and data are performed. | DR/Xpert helps analyze your production batch jobs and datasets to automatically identify those that are critical, and continuously monitor for changes. It can then ensure that all critical datasets have backed-up or mirrored datasets available, and tell you where those copies are.

DR/Xpert centrally manages your backup utilities (such as Tape/Copy) to automatically generate backup jobs, as well as restoration jobs as needed, and integrates them with your job scheduling.

DASD Backup Supervisor continuously monitors for new or modified volumes, and maintains backup jobs to ensure that they are reliably performed.

Tape/Copy executes the backup process from tapes to other media and builds in error reporting and recovery features to ensure all your data volumes remain intact.

CopyExport Manager enhances the capabilities of the native copy export process by adding automatic error detection and reporting for backup of your critical data sets from virtual tape libraries to physical tapes. |

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| Management validates that backups are completed successfully and investigates errors. | DASD Backup Supervisor generates automated recovery jobs associated with its backup tapes to be stored alongside the data.  This allows for quick, simple, and efficient restoration in a test or a real disaster-recovery scenario.<br><br>DR/Xpert monitors backup data for all critical datasets to ensure you are within your Recovery Point Objective (RPO) windows. |

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