Using The Robot Products
To Achieve Sarbanes-Oxley Compliance

by Yvonne Schumacher

The Sarbanes-Oxley Act of 2002 provides governance for specific publicly owned companies. The Act requires that the procedures used by the IT department must be audited annually to ensure they have a good system in place for generating accurate and reliable financial reports. An independent auditor must certify that these internal controls and procedures are effective.

Because so many companies rely on their IT systems to generate their financial reporting, the auditors must be able to follow transactions through the system. As a result, IT departments must clearly identify and document their procedures and internal controls, be able to test them, and demonstrate their effectiveness.

A commonly used framework in the IT industry is CobiT (Control Objectives for Information and related Technology). Several Help/Systems products include features that address the CobiT areas of General Controls and Delivery Support. These products help you to capture the facts, automate processes for reduced risk of error, and provide documentation to meet Sarbanes-Oxley requirements.

General Controls

Robot/SAVE ensures that you have a reliable, accurate backup strategy and that you can recover saved data when needed. Robot/SAVE provides a structured approach for backing up your iSeries system:
- Automated, unattended backups
- Completion and restoration reports for every backup, date and time stamped, showing objects that were saved or not saved

- Backup definition reports confirm the consistent, automated processes for backups
- Easy restoration procedures, including a guided system restoration process, that reduce the risk of human error during recovery
- Data integrity prevents active data from being overwritten
- Tape management processes to track volume location
- Internal product security report that identifies user access to the product and confirms with a date and time stamp that security is active
- Management-level Good Morning report that tracks the product's processes over a specified period of time
- Text documentation panels that allow recording of change request numbers or other important control information

Robot/CONSOLE provides system monitoring controls that can detect system value changes, password violations, and unauthorized object access. Robot/CONSOLE ensures that you are notified of critical system events:
- Monitor any OS/400 message queue and the system history log (QHST) for critical job or system messages that affect data or system integrity
- Monitor critical resources such as CPU percentage, ports, servers, jobs, files, and more
- Monitor security-related events such as object authority changes, user profile management tasks, DST profile changes, password violations, system value changes, and more
- Monitor FTP request activity, with history reports
- Generate dated and time-stamped reports containing critical message or resource information

- Internal product security report that identifies user access to the product and confirms with a date and time stamp that security is active
- Management-level Good Morning report that tracks the product's processes over a specified period of time
- Text documentation panels that allow recording of change request numbers or other important control information

Robot/CONSOLE interfaces with Robot/NETWORK, Robot/TRAPPER, and Robot/ALERT to provide an enterprise-wide solution for multiple-system and non-iSeries network device message management.

Delivery Support

Robot/SCHEDULE allows you to monitor and control batch processes. Because so much of your critical financial reporting runs in batch, these controls are vital to meeting Sarbanes-Oxley requirements:
- Job information auditing, including who created a new job, who changed the job setup or commands, who forced a job to run outside the scheduled time, and more
- Audit reports that provide an audit trail of your jobs
- Internal product security report identifies user access to the product and confirms with a date and time stamp that security is active
- Job setup definition reports confirm you have consistent automated processes for jobs that process critical business data
- Job history reports confirm consistent automated job scheduling controls
- Management-level Good Morning report that tracks the product's processes over a specified period of time
- Text documentation panels that allow recording of change request numbers or other important control information

Robot/ALERT provides system event and message notification:
- Real-time alert and paging solution that provides immediate notification of critical events and messages
- Easy-to-use interface with all Robot products helps to identify problems quickly
- Reports provide date- and time-stamped information on alerts and who received the notification
- Internal product security report identifies user access to the product and confirms with a date and time stamp that security is active

Robot/REPORTS manages reports so auditors can access the information they need. Reports are records of all your critical business transactions, so report output and distribution controls are vital:
- Monitor critical output and store reports in short- and long-term storage

- Maintain history records of every report and the users who accessed it
- Web-based online browser allows viewing from any location
- Reduce paper and the chance of losing critical reports
- Automated e-mail distribution of reports
- Product security ensures sensitive documentation is viewed by authorized persons only
- Internal security report identifies user access and recipient authorizations and confirms with a date and time stamp that security is active
- Text documentation panels that allow recording of change request numbers or other important control information

Robot/CLIENT allows you to automate and secure critical non-iSeries client processes:
- Schedule and monitor critical data file processing that is executed on servers or PCs
- Use Robot/SCHEDULE's job auditing and security for scheduling, reporting, and notification of critical client tasks
- Collect detailed client statistics and generate reports

Robot/SPACE provides iSeries disk management controls that help you maintain system availability and response:
- Disk usage collections by ASP or IASP
- Monitor for problems caused by job temporary storage usage
- Monitor iSeries system objects that waste disk space resulting in critical storage conditions that affect system integrity
- Automated immediate storage audit alerts
- Automated corrective action for critical storage problems
- Reporting for storage problems needing attention

Easy View allows you to control access to database files while creating an audit trail of changes.
- Easy and user-friendly
- Record database file changes at the system level or user level
- Display or print results in a report, organized by date, system, and user

Whether your company is publicly owned or private, the automation products from Help/Systems offer many "Best Practices" solutions. Good processes and controls are good for business and help reduce error, thus protecting your critical business data and employees—and satisfying your Sarbanes-Oxley auditor.