Trust Services Principles for Service Organization Controls Reports with Rocket® Mainstar® FastAudit and Rocket® Mainstar® HSM Reporter/Manager

Service Organization Controls (SOC) reports are an effective way for companies to provide assurance to their customers and prospects about 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 numerous criteria that must be satisfied by the service organization, as well as illustrative controls for how an organization may meet the requirements.

For customers concerned with availability, Rocket® Mainstar® FastAudit and Rocket® Mainstar® HSM Reporter/Manager help you design strong backup and archive controls. FastAudit gives you the tools to effectively monitor your metadata environment to ensure backup and archive systems are working as intended. HSM Reporter/Manager lets you control your Hierarchical Storage Manager (HSM) to monitor and optimize system performance and availability. Relevant SOC criteria, and the solution capabilities to help you satisfy them, are listed below.

CRITERIA	FASTAUDIT AND HSM REPORTER/MANAGER CAPABILITIES
CC5.1 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.	FastAudit and HSM Reporter/Manager 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 FastAudit and HSM Reporter/Manager.
A1.1 Current processing capacity and usage are maintained, monitored, and evaluated to manage capacity demand and to enable the implementation of additional capacity to help meet availability commitments and requirements.	HSM Reporter/Manager tools give you insight to the tasks being processed, including the amount of processing capacity being consumed by each function. Administrators can configure rules or fine-tune specific tasks to optimize performance and stay ahead of availability demands. HSM Reporter/Manager includes customizable reports to identify potential errors and fault conditions within the environment—before they become an issue. FastAudit and HSM Manager/Reporter operate in real time without significant impact to ongoing operations in the mainframe environment, reducing the need for downtime or maintenance, and ensuring continued high performance of the system.

CRITERIA	FASTAUDIT AND HSM REPORTER/MANAGER CAPABILITIES
A1.2 Environmental protections, software, data backup processes, and recovery infrastructure are designed, developed, implemented, operated, maintained, and monitored to meet availability commitments and requirements.	FastAudit analyzes your ICF catalogs, HSM Reporter/Manager controls data sets, and other key metadata to ensure that there are no discrepancies that could impair your ability to restore primary or backed-up data or migrate to DR environments. FastAudit can automatically repair errors in your metadata structure to quickly minimize any potential disruptions to the operating effectiveness of your availability controls. You can schedule FastAudit to perform regular audits of parts of your environment based on risk and criticality of the associated data.
PI1.1 Procedures exist to prevent, detect, and correct processing errors to meet processing integrity commitments and requirements.	FastAudit and HSM Reporter/Manager perform diagnostics of your metadata that could indicate threats to the integrity of your processing operations and your data environment. Both systems support automated fix processes for the identified exceptions.
C1.2 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.	FastAudit and HSM Reporter/Manager only have visibility to metadata and interface only with metadata. The software does not have any access to the information within the datasets, confidential or otherwise.

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