– TUG MoM Review –

The March 2004 Meeting of Members

By Stephen Bingham

O ur March meeting of members was an event not to be missed. On this night we had 4 speakers. The topics of discussion were (1) "Sarbanes-Oxley / Bill C-198" and (2) "Remote System Explorer (RSE)." The meeting was opened with greetings from **Ken Sadler** who is a member of the TUG Board of Directors.

SOX is No Laughing Matter

Anyone who has watched the TV news or picked up a newspaper over the past 2 years will recognize the names, Enron, WorldCom and Tyco. These all became household names as their corporate scandals unfolded. In response to these events, the United States government brought into law what has become known as Sarbanes-Oxley. The Canadian equivalent to this legislation is Bill C-198.

Enter our first speaker of the evening, **Bill Smiley** of Illumina Management Solutions. Bill pointed out that the purpose of this law is to prevent the stakeholders of corporations from having to suffer the fallout of similar scandals in the future and the high price that will be paid for those that do not comply. These penalties include heavy fines, the de-listing of the companies stock and possible jail time for the company CEO and CFO.

It would seem natural to seek the advice of internal or external auditors during the implementation of this project. This should be avoided. These individuals play a key role later in the process, and any assistance that they provide may compromise the process as they would in the end be evaluating their own work.

Bill walked us through the many components of the project plan required to bring a corporation's systems into compliance with this legislation and the role the I.T. will play in the project. These areas will include gaining an understanding of your company's internal control program and financial reporting processes. Ensure that IT controls are documented, tested and updated regularly to correspond with changes in internal control or financial reporting processes.

For more information about the role of I.T. in corporate governance, check out the following link: http://www.isaca.org/Template.cfm?Section=About_Isaca&Template=/ContentManagement/ContentDisplay.&ContcfmentID=9757

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Our second speaker of the evening was **Wesley Helms** of GSI Group, on the topic of "Technology for Compliance – Overcoming Corporate Alzheimer's."

Corporate Alzheimer's can be defined as follows: "The organizational inability to recall, process or store vital corporate information effectively."

Wesley defined 3 primary categories to achieve compliance with this legislation.

1. **Financial Data**: Processes must be put in place that will notify management of discrepancies or missing data. These processes must provide for the creation of detailed financial reports that can receive executive certification.

2. **Control Repository**: Create and enforce a set of rules that define where information is stored, access privileges and version control.

3. **Records Management**: Records management can be best defined with these 4 principles:
   a. Integrity: A record remains unaltered from its creation.
   b. Security: A record is protected maintaining privacy and confidentiality.
   c. Authenticity: A record is what is purports to be.
   d. Accessibility: A record must be accessed in a timely fashion.

Léo Lefebvre, Bill Smiley, Ken Sadler, and Wes Helms

Maintaining compliance will be an ongoing process. In order to ensure its success, IT must be encouraged to participate in the overall process.

Meeting of Members

During the dinner break, **Ken Sadler** made a few announcements including the upcoming election of the Board of Directors. Each year, 6 board members are elected for a 2 year term. Ken then introduced **Glenn Gundermann**, the chair person of the TEC 2004 committee. Glenn provided an update on TEC 2004 and introduced those present to the members of the committee.

After the dinner break, we were joined by **George Farr** and **Phil Coulthard** from Toronto's IBM lab. Not only do they make a great team, but they share a sense of humor that is evidence of too many hours spent in front of a keyboard. Look for them to replace Mike Bullard on late night television this fall.

Phil Coulthard

RSE – The new PDM!

The session started with George giving us a brief history of SEU / PDM through CODE/400 and Remote System Explorer (RSE) in WDSC. George quickly moved to the reason most of us joined the IT world to begin with – the toys. RSE is more than a PC based coding tool for you iSeries. It is the future. Whether you are coding in Java, C/C++, COBOL or RPG; RSE should be at your finger tips.

George walked us through the various features of RSE:

- RSE Perspective: Designed for role-based environment. A collection of editor, views and tools for specific tasks. Use the pre-defined perspectives, or create your own.
- Connect to several iSeries at one time or have several connections to one iSeries.
- IFS: A windows type interface to access folders and files. Create filters to see files in specific folders.
- Create and manage iSeries objects in your QSYS file system.
- RSE User Actions: Create a macro of commands for use in QSYS or QSHELL.
- Customize Compile Commands to meet the needs of your environment.

After George gave us the rundown on the various features of RSE, Phil took center stage to talk about the editors.

The following built in editor functions are available on a pull down menu: Create new Procedure, Prompt, syntax check, program verify, show indent view, show fields of selected F-Spec.

Those making the transition from the green screen they will find the SEU style prefix commands are supported. For those rare occasions, help is at your finger tips with several online references and programming guides included.

Other features include:
- The ability to compare two pieces of code.
- Use of filters so only lines of code that meet your criteria are shown.
- Graphical design tool for DDS WYSIWYG

George Farr

The future is not written in stone. But as we saw this evening, it will definitely be interesting. As the effects of legislation like Sarbanes /Oxley take effect, corporations will be increasingly relying on IT to provide tools to ensure the material accuracy of financial statements and document management. Tools like RSE will give IT staff the ability to meet those needs. ⊤⊞⅁

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March MoM door prize winner Matthias Schmidt, with Wende Boddy and Eveline Gaede