

## **Network Engines Using Rockton's Auditor and Security Auditor**

### **Case Study**

Network Engines: established in 1997, is a leading producer of Microsoft certified appliance servers, with annual revenues exceeding \$100 million a year, and is a publicly held company. As a public company we are required to follow the guidelines of the Sarbanes-Oxley (SOX) laws, and need to track changes to financial data to prove proper guidelines and approvals are being followed. As a result we looked at a few vendors who supply SOX software that integrates with Dynamics GP (Great Plains), and ultimately chose the Rockton product as it best met our needs, and they were the most amenable to making necessary changes to the software for us.

#### **How have Auditor and Security Auditor helped you with your day-to-day activities?**

The Auditor Software helps us track specific changes in Great Plains to satisfy our PWC Audit team. Such items include; Changes to the Item Master, Vendor Updates, Customer Updates, Credit Limit changes, Asset Revisions, Purchase Order revisions, Financial Accounts added, security changes, etc. Prior to applying the Auditor tool, we had no automated way to track changes to sensitive financial data, and relied on manual tracking of data changes to satisfy the PWC audit team.

The Security Auditor (SA) software allowed us to replace the manually created spreadsheet the Director of IT would build and constantly update which detailed user access. It would take several hours to create the spreadsheet, and constantly had to be updated, and not all users would have the latest version. SA allows us to have accurate, real time reporting that allows any authorized user to create a user security report that can be exported to Excel (accountants live for Excel) for the auditors in 30 minutes or less, and can be sorted and/or selected in various ways. Additionally there are options to change user access through SA, and allow for segregation of duties.

As the system administrator for Great Plains we have to mandate that users change their passwords every 90 days. Prior to SA, we had users sign and return a password change affidavit. The SOX auditors pointed out that we had no verification process the show users in fact changed their password, as Great Plains does not have the capability to track if a user has changed their password. Rockton added a feature to allow us to track password changes and verify the users made the changes as well as complete the form. After the initial audit found users had signed the affidavit and not changed their passwords, we were given 2 quarters to comply or potentially be fined. The SA audit tool and the use of the SmartList ad-hoc, query reporting tool found in Great Plains allowed me to verify that the affidavits and password changes were being followed, and a verifiable report for the SOX auditors was created (of course in Excel format), and the Director of IT and the CFO were very pleased with the results.

#### **What made you decide to work with Rockton Software and purchase their auditing tools?**

We purchased the Rockton software in the Fall of 2005. Our final selection process was between Merritt Solutions and Rockton Software. We appreciated Rockton's much more personable approach, and Rockton was amenable to making changes to their software, and had better reporting than the Merritt product. Rockton tended to be cheaper in pricing.

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Rockton Software was established in 1999 to specialize in enhancements and customizations for the Microsoft Business Solutions Great Plains family of products including Small Business Financials, GP Standard, GP Professional, Business Essentials and Advanced Management. From award-winning enhancements to customer-specific full scale customizations, Rockton's got you covered.

Rockton Software developed the Auditor in 2003 and Security Auditor in 2005 to aid Great Plains administrators with Sarbanes – Oxley issues. There are well over 200 clients using the products and the client list is growing rapidly.

All of the Rockton Software products are available for download at [www.rocktonsoftware.com](http://www.rocktonsoftware.com) to test in the trial GP company. A free trial registration key can be issued upon request.

### **Would it have been possible to accomplish what you needed without Auditor and Security Auditor?**

As previously stated, the manual gathering of audit data has been replaced by Auditor and Security Auditor. Prior to the implement of these tools, we would hire a lot of temporary employees to manually create reports to tract auditable data, and now the system does it for us.

### **Were the auditors happy with the reporting and information the product furnished?**

The auditors are ecstatic about the user change report that verifies users change their passwords, and feel much more comfortable with a system-produced audit report as opposed to a manually created report. The system reports can not be altered if sent to a PDF type file. The lack of change tracking in native Great Plains can be very frustrating at times, and requires explanation to the auditors (who often have little or no experience with the Great Plains software).

The audit teams change yearly, so we often have to create different versions of reports from Auditor or Security Auditor, as the audit teams do not always consistently ask for the same information.

### **Was there difference between last year's audit and this year's audit?**

We provided more detailed, accurate, and timely data that was less disputed by the auditors. It frees up my time to focus on user requests as opposed to auditor information gathering that provides no ROI for the company, and the CFO looks more relaxed.

*David Klubock  
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Network Engines*