ROCKTON software

Auditor

For all Great Plains and Small Business Manager versions 6.0 through 8.0
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Rockton Software Auditor

Table of Contents

Introduction

Rockton Software is pleased to bring Auditor to the Microsoft Business Solutions Great Plains community.

Auditor is a system management tool to track data changes in your Great Plains or Small Business Manager accounting system. Auditor answers Who changed What, When, Where, and optionally, Why. Auditor can be configured to track field-level specific changes, when new records are added, and when information is deleted from your system.

Auditor also works with all 3rd party installed products which integrate with Great Plains. (Products must be Dexterity based)

For purposes of this manual, Small Business Manager will also be referred to as "Great Plains", as the setup and use of Auditor is the same for both products. Any instructions unique to SBM will be specifically noted.

For purposes of this manual, "Smartlist" will be referenced, even though in Great Plains versions 6.0 Smartlist was named "Explorer". If you are installing to Great Plains 6.0, Explorer is the same as Smartlist.

What's in This Manual

This manual contains the basic instructions needed for the installation and use of Rockton Software's Auditor. You will find instructions for:

- Installation
- Navigation
- Setting up Auditor

If you do not find the information you need in the following documentation, please contact Rockton Software (see page 6).

Symbols and Conventions

To help you use this documentation more effectively, we have included the following symbols to highlight important information:

This symbol points out suggestions and important notes that assist you in installing and using Auditor.

The warning symbol alerts you to situations in which you should proceed with caution. Notes highlighted with a warning symbol relate to information that affects your entire system—please read carefully!

The "OK" symbol points out helpful tips that can simplify the process and save time.

- Keyboard keys, specific buttons, file names and menu paths are shown in bold print, such as the **Move Right** button, the **OK** key or the **setup.exe** program.

- Window titles and captions are shown in quotes, such as the "Maintenance" window.

Customer Technical Support

Please contact your authorized reseller for support on this product. Or, contact technical support at Rockton Software by phone at (253) 864-7898 or e-mail support@rocktonsoftware.com. You can also visit www.rocktonsoftware.com for more information on Rockton products, including a Frequently Asked Questions section.

Installation

1. From the first computer you wish to install Auditor, copy the **Audit.cnk** file included in the downloaded or unzipped software into your local Great Plains installation folder.

2. Include the new chunk file code by launching Great Plains.

   The following message will appear: "New code must be included in the DYNAMICS.SET dictionary. Do you wish to include new code now?"
   Click **Yes** and a progress bar will display the status of the integrating process until the login window appears. This window will NOT appear for SBM.

   This process will modify your DYNAMICS.SET file to include information relating to the Auditor, and the **Audit.cnk** file will become an **Audit.dic** file.

3. Log into the system as the System Administrator. For installations of Great Plains on SQL Server, you must log in as the **sa** account.

4. Log into any company. Since Auditor maintains data at the system level, it is only necessary to install the software in one company. If you are evaluating the software and do not yet have a registration key, it is recommended that you log into the TWO test company. Without a valid registration key, Auditor will not work in other companies.

5. Installation is now complete. Once you register the product, you can install Auditor on all other network workstations by following steps 1 and 2 above. No further workstation-specific installation is required.

This completes the process for initial installation. See the following sections for setting system options and maximizing the features of Auditor for your site.

Navigation

Because Auditor is designed to be an administrative tool, Rockton Software has decided to NOT install palette entries into Great Plains automatically. With the exception of the system administrator, it is unnecessary for users to navigate to any features of Auditor.

In the event users do want to navigate to a feature of Auditor, adding a Shortcut Bar entry is easy to do.

1. From the standard Great Plains Help Menu, choose Help >> About Great Plains.

2. Once the standard About Box is open, at the VERY TOP of the Great Plains menu structure (i.e. File, Edit, Tools… etc.) will be an Extras menu. Choose Extras >> About Auditor. In Great Plains version 8.0 the menu will read Extras >> Additional >> About Auditor.

3. The Auditor About Box will open. Once this window is open, from the Shortcut Bar menu choose Add >> Current Window.   If you choose to not add an item to the shortcut bar, you can still navigate to the About Box in this manner.

Auditor About Box

The About Box is the primary installation and navigation window for Auditor.

The following buttons perform these tasks:

Install/Upgrade	Press this button once to install the software, or to upgrade the software from a previous version. This may take several minutes. It will also install the Smartlist Objects automatically, and will set table permissions to all users in the system database. You can press this button multiple times without causing data problems.
Add Smartlist Objects	If you have removed Audits from Smartlist, you can add them back by pressing this button.
Remove Smartlist Objects	If you wish to manually remove the Audits from Smartlist, press this button.
Register	This option opens the registration window so you can enter a registration key.
Groups	This opens the primary window for setting up Audits.
System Settings	Opens the window where System Administrators are managed, and other system settings.
Integrity Check	Run this process to verify the integrity of your audit setups. A report will inform you of any discrepancies.
Reason Codes	Define common notes to reduce repetitive note entry for users.

Audit Log Maintenance	Access a purge utility for maintaining your system audit log.
Auditor Debugger	When receiving technical support, we may ask you to access this window.
OK Button	Press this button to close the window.

An Overview of Setting up Audits

Auditor has two methods for tracking data changes in Great Plains, by Window and by Table. The Window method is the easiest to use, while the Table method is more technical in nature. Try auditing your system using the Window method first. If you cannot accomplish your auditing goals from the Window method, then try the Table method. At any time you can contact Rockton Software or your reseller for assistance.

The Window method allows you to "point and click" and different screens or windows in Great Plains. By using a wizard, you can simply open a window and click on the fields you wish to audit. Auditor will collect the technical information for you, and begin auditing your selections.

The Table method allows database administrators to monitor table operations in Great Plains. When a record is added, deleted, or modified, you can track who changed what on the record. An understanding of database structures in recommended for using this method.

All audits are tracked by a Record Key, which is usually the primary piece of information that tracks what has changed. For instance, if you are auditing employee information from the Payroll setup window, the Employee ID would be the Record Key. If the Employee Name changed, you would want to know for which employee the name changed, and that would be indicated by the Record Key. You can choose which fields on a window or table to use for the Record Key.

An audit is a logging of a change. When a field changes, you can either "Audit" that field or you can "Audit with Note". Notes are helpful when you want users to explain why they made a data change. For instance, if you are auditing employee information, such as name, address, and status, you may want to use an audit for name and address fields, but place an Audit with Note option on the Department field. By doing this, when a user changes the Department field for an employee, they will be required to enter a note explaining the reason for the change. Notes will be tracked as part of the audit.

You may be tempted to audit everything in your system. This is not recommended. Carefully review the reasons why you want to audit data, and what, specifically, you want to audit. Because an audit is created for every field change (except for the Table method) the audit log can grow very large very fast. An extremely lengthy audit log which tracks everything is often useless to anyone.

Performance Issues with Auditing

Because Auditor has the ability to track so much information, you may want to consider the performance limitations you may encounter by using Auditor.

In general, auditing by the Window method shows a non-noticeable effect on performance and speed. Because auditing is done real-time, only a very fast typist who changes several fields in rapid succession would notice any performance degradation, and this is highly unlikely to be noticed at all. A small amount of processing occurs each time a user enters and exits a field.

When auditing using the Table method, it is unlikely to experience performance degradation unless using a batch process. If you are auditing a table where users are editing one record at a time using data entry screens, the effect is not noticeable. However, if you are posting a batch of transactions, and auditing each record, you may notice a slight delay in processing. For instance, if you are auditing deletes on unposted receivables transactions, and you post a batch of 100 transactions, a normal processing time of 30 seconds may be increased to 32 seconds. Again, the effect is usually not noticeable, but as the scale of auditing increases you may experience a slight degradation in performance.

Most administrative users of Auditor feel the slight performance hit offsets the value of the information being collected. Again, as mentioned above, it is recommended that you carefully choose what you want to audit and not simply "audit everything". There is a performance cost for auditing in any audit system, and you may want to monitor certain audits to determine their acceptability of speed. In general, performance degradation will not be an issue for most users of Auditor.

# Auditor Group Maintenance
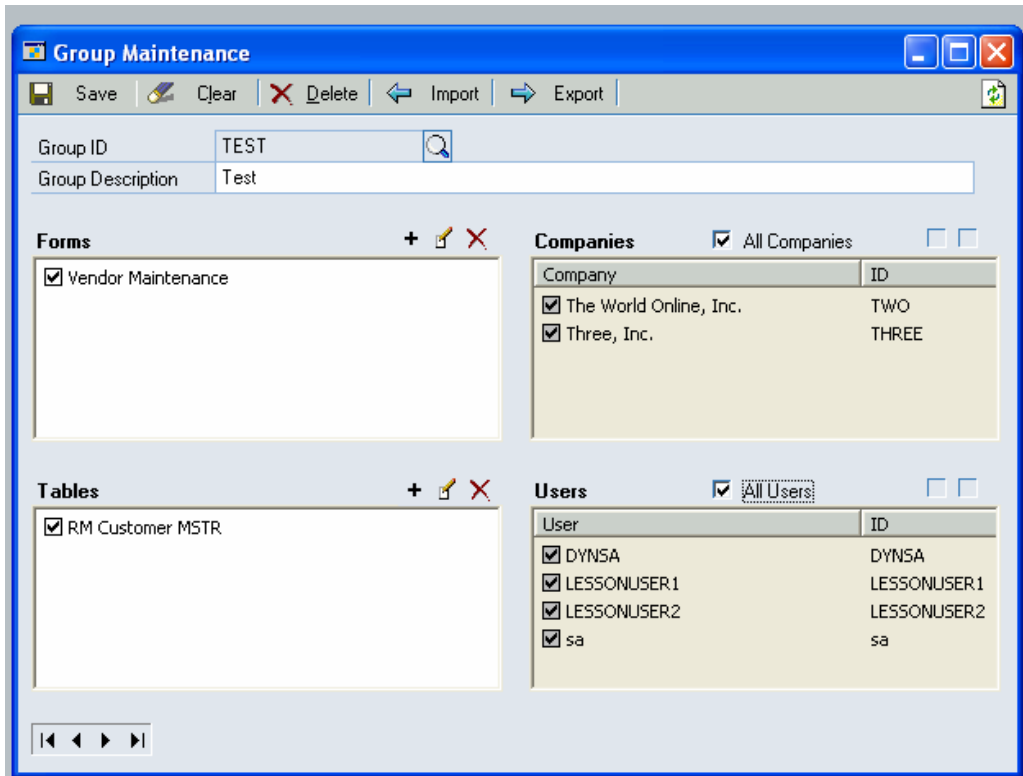
Auditor Group Maintenance is an interface to manage audits that are alike or based on an area in the system. You may want to have a Group for Receivables, and another Group for Payables. You can have an unlimited number of Forms or Tables in a Group. Once a Group is configured, it can be exported to a text file to be sent to another site using Auditor. Groups can then be imported as well.

Use the Add, Edit, and Delete buttons to modify which Forms or Tables you wish to add to a group.

Use the Companies and Users features to limit audits in this Group to specific companies or users. By default, all companies and all users are selected for a Group. Also, Company and User information is NOT imported or exported.

A given Table or Form in the system can belong to one and only one Group. Therefore, how a Form or Table is audited can only be set up in one manner across all companies and users.

Auditor Form Maintenance
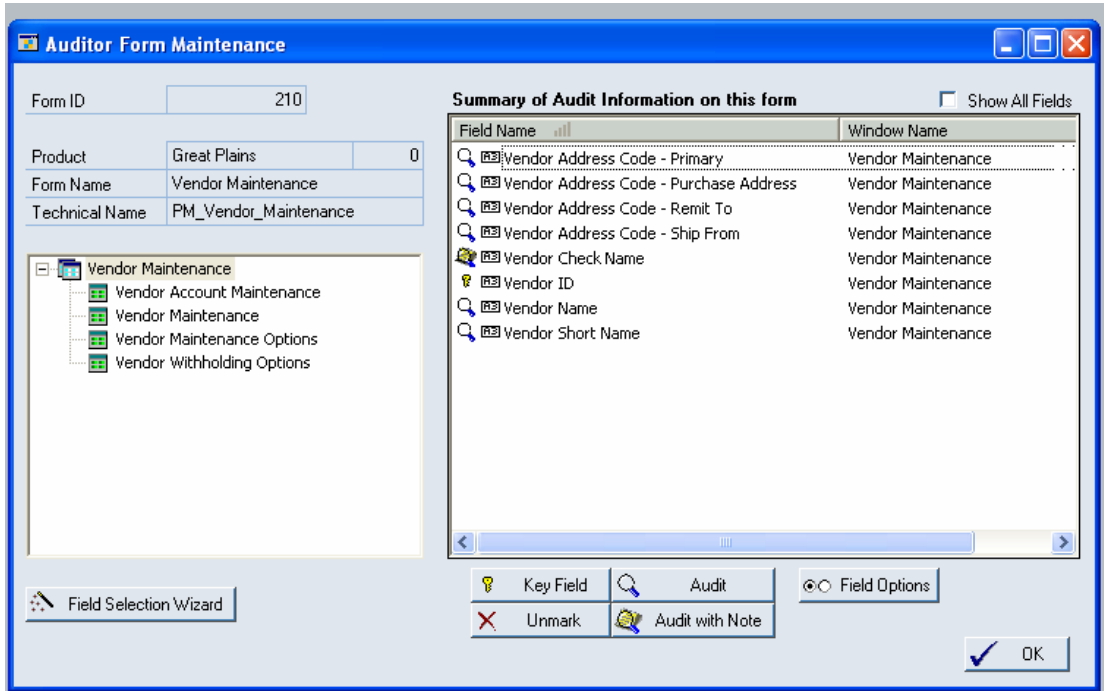
A Form is a "container" for windows, and often a form contains one window with the same name as the form. When you select a Window, its fields will list on the right side. By selecting a field, you can mark that field as a Key Field, Audit, or Audit with Note. An icon will appear next to the field designating its purpose. A field can not be audited if it is a Key Field.

The easiest way to set up a window to be audited is by using the Field Selection Wizard, located at the lower left of the window. Press this button to start the Wizard.
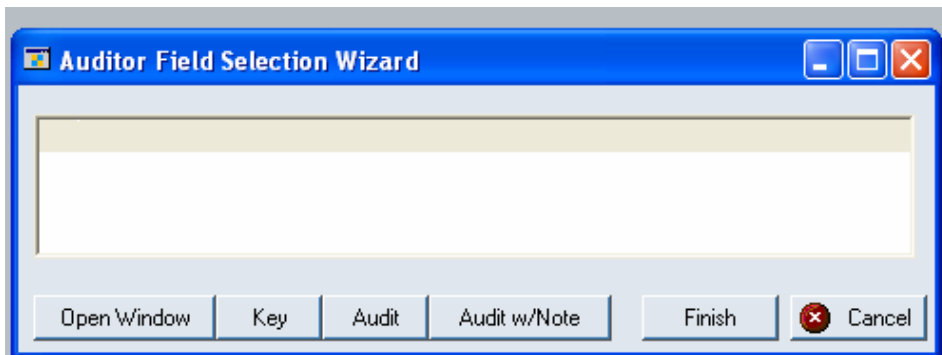
Once the Wizard has started, press the Open Window button. This will open the Form you are trying to Audit.

Once the window is open, press the Key, Audit, or Audit w/Note buttons to enter the "mode" of field selection. Once you are in a "mode", click on the window fields you want to set to this mode, and they will automatically collect in the Wizard window.

When you are finished, close the window, and then press the Finish button on the Wizard.

You can manually review which fields can be audited on a window by reviewing the list of fields to the right of the Auditor Form Mainteance window. The tree to the left will list the form at the top, and all windows beneath it. Selecting the form on the left will display all relevant audit fields on the right. Selecting a window on the left will display all fields on that window to the right, whether or not they are part of an audit.

For any given field that you choose to audit, you can choose useful options for that field. Highlight a field in the right list, and then press the Field Options button. The following window will appear.
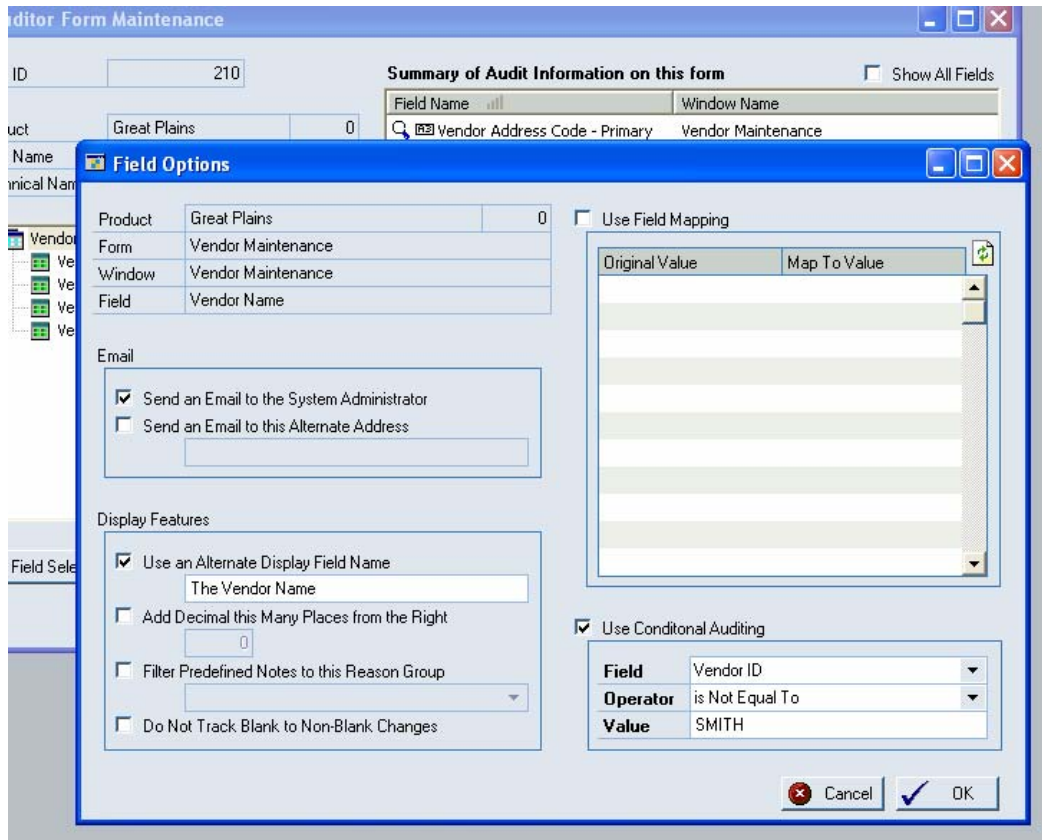
The following Options are available for auditing.

Send an Email to the System Administrator	Choose this option to send an email to the System Administrator email specified in the System Setting setup window.
Send an Email to this Alternate Address	Choose this option and specify an email address to send a specific person a notification of an audit on this field.
Use an Alternate Display Field Name	You can specify the Audit Log to list a more useful name for a field than what is defaulted in the system. For instance, a field may be called "User Defined 1" and in your setup that field may track "Customer Status". You can specify the

	alternate field name here and the audit log will show the alternate name instead.
Added Decimal this Many Places from the Right	Great Plains tracks currency fields with misleading decimal places. For instance, $98.00 might be tracked as 9800 when audited. By putting a 2 in this field, the 9800 will be recorded as 98.00.
Filter Predefined Notes to this Reason Group	Once you have Reason Groups defined, you can tie an audit field to use a specific group only to display in Note Entry.
Do Not Track Blank to Non-Blank Changes	It is sometimes useless to audit a field that changes from blank to a valid value, which often occurs when entering data for the first time. Use this option to exclude audits of blank to non-blank values.
Use Field Mapping	Often times lists, radio buttons, or checkboxes appear as numbers instead of useful descriptions. For instance, SOP Entry has an SOP Type that when audited appears as the numbers 1 through 5. You can map the value "1" to "Quote" and "2" to "Order" so that the audit log reflects more useful data.
Use Conditional Auditing	Choose this option to make an audit conditional. The condition listed must be true in order for an audit to occur. Specify the comparison field, the operator (equal or not equal) and the string value to compare the field to. If this expression evaluates to true during auditing, and audit will be captured.

Auditor Table Maintenance

The Auditor Table Maintenance screen is the setup window for tracking audits at the table level. It allows you to select specific fields and table operations to audit.

Option	Explanation
Track Added Record	Check this option if you wish to audit when users add records to this table.
Require Note	Under tracking Added or Deleted Records, you can specify a Note must be entered required the user to explain why they added or deleted the record.
Add/Delete Options	On a table operation of Add or Delete, you can specify options on that audit, such as emailing a notification or specifying conditions on when to audit. Pressing this button will open the same Field Options window that is used above in Form Maintenance. Keep in mind some options are not valid for Additions and Deletions of records.
Track Deleted Record	Check this option to track deletions of records from this table.
Track Edited Record	Check this option to track specific field-level changes (which also must be selected in the field list below). You can also optionally choose to track edits only after a certain number of hours of adding a new record. This is useful in case you are not tracking new records, and it is likely that insignificant edits will be made in the first few hours of a new record being added.

The field list can be sorted by the column headings, and the following options are available for each field:

Column	Explanation
Ref	Use this column checkbox to mark field which represent the Primary Key or primary data element that makes records in this table unique to track. For instance, the customer table has a Primary Key of Customer Number. These reference fields are used to track specific records in the audit log, so choose them carefully. **When in doubt, choose the same fields indicated with an asterisk as the Primary Key.**
Audit	Mark the fields for which you wish to track changes. Only the fields marked will be audited.
Note	When a field is audited, you can optionally check the Note checkbox to force a user to explain why a field was changed. Users are prompted with note entry after they modify a record if this box is checked. The user can close the note window, but they will be prompted repeatedly until they complete the notes.

When you have completed setting up what to audit, click the OK button. Auditor will now audit the tables and fields you have set up.

Also, for any given field in the list, you can choose Field Options to set up advanced auditing features. See the Field Options window as explained above with Form Maintenance.

System Settings

The system settings allows you to specify which users in your system are System Administrators. The only reason to be listed as an Administrator is so that you can be notified when the Audit Log reaches a specified threshold. It is optional to use this feature.

If you check the "Warn System Admins" checkbox, enter the number of records acceptable in the log file before being notified. We recommend about 10,000 records to start with. If this option is checked, then any user marked in the left list as a System Administrator will, upon logging into Great Plains, receive a warning message notifying them the log has exceeded this limit.

Additionally, there are two other options in this window.

"Allow editing of Audit Notes" allows users to edit their notes in the Audit Inquiry window. The Audit Inquiry window is accessed from SmartList by double-clicking an audit. By checking this box, users can edit their notes in the future rather than being limited to Note Entry.

The System Admin email address is the one email or alias used for audits that are marked with the option of "Send an Email to the System Administrator".
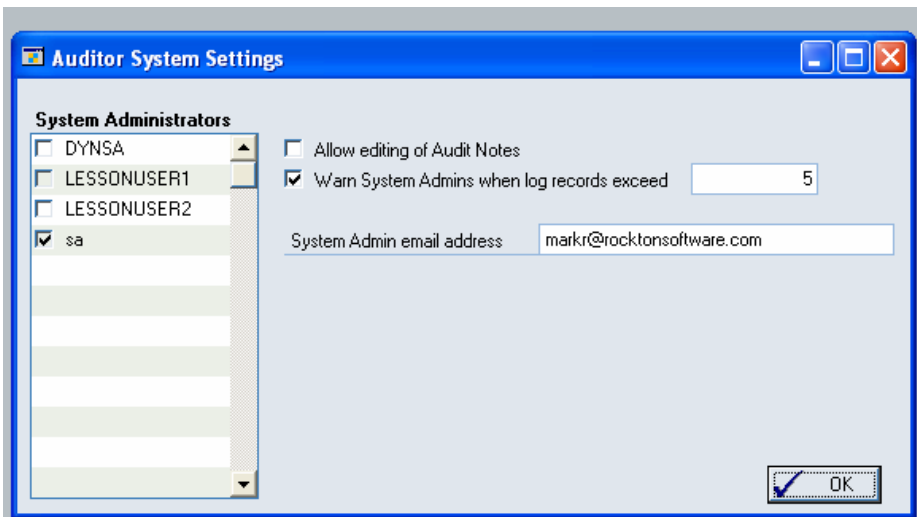
Reason Codes

Reason Codes are predefined notes that are common reasons for making changes in the system. For instance, changing an employee last name is often due to marriage or court decree. You may want to preset the reasons in a list so users can quickly choose a reason during note entry without having to type it in.

Reason Groups allow you to package several notes together and filter them on a specific audit. For instance, you may have three reasons for a name change on employees, but you may have six reasons why a credit memo was issued. The reasons that appear in one audit situation don't make sense in another. By grouping these two sets of reasons into two groups, you can make Note Entry more useful by specific which Reason Group is to be used on an audit. This is specified in the Options for a field audit. During Note Entry, only those notes in the group which are related to the audit will be listed.

You can create a new group by pressing the New button to the right of the Reason Group field. Likewise, you can delete a group by pressing the Delete button.

Enter a reason in the Note/Reason box, then Insert it into the list. You can also highlight an entry in the list, then edit its text and press Replace. Finally, you can remove a specific reason by highlighting it in the list and pressing the Remove button.
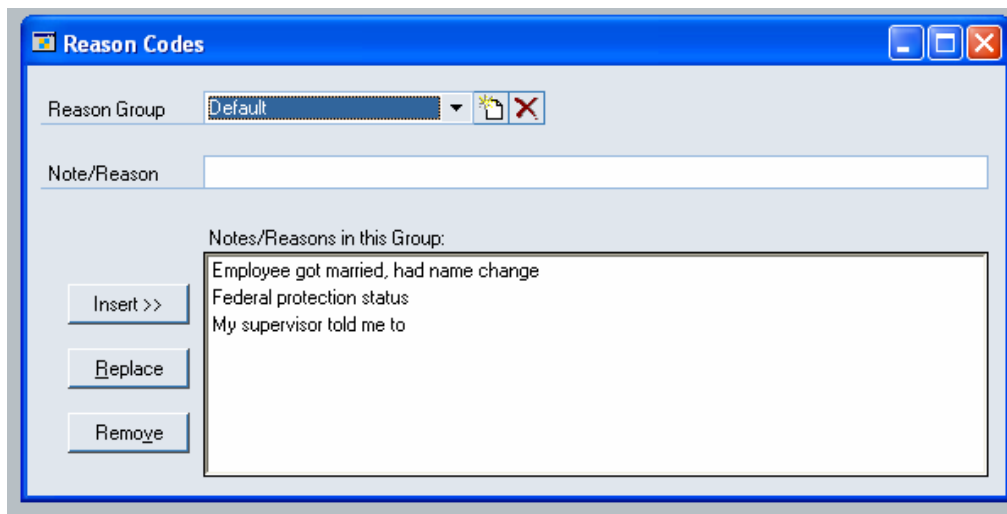
Note Entry

If you choose to audit a field and require a note, upon logging that audit the Note Entry window will appear. It will specify the details of the audit, and give a bold reason explaining to the user that they need to enter a reason why they made the change.

Pressing the Details button will show the Audit Inquiry window for more information.

The user can enter a Note or Reason by typing in freeform text into the note field, or by choosing a predefined note from the drop down list.

It is possible for users to press OK and not enter a note or reason as required. However, Auditor has a "nag" feature, and each time the user logs into Great Plains, un-noted audits will reappear. So the user will be forced to eventually deal with the notes, but may choose to dismiss the note entry if time is not available at the moment of audit.

The Note Entry window will display a status bar in the lower left explaining how many audits are left to be noted. Use the Previous and Next buttons to see different audits as applicable. When all notes are completed, press the OK button.

Audit Log Maintenance

The system Audit Log is the physical table RSAS015 in the DYNAMICS database. Over time, this log can grow quite large. You can use the System Settings panel to specify a warning to be issued to system administrators when a specified threshold is reached.

The purpose of the Log Maintenance window is to permanently archive and purge the log file. You can follow the on-screen steps in order to determine how many records are in the log file, and then define a query to select records for purging.

Pressing the Define button will open an interactive tool for defining a query to act on the log file. You can filter which records you want to archive using this tool. If you need help with this feature, please contact us or your reseller for support.
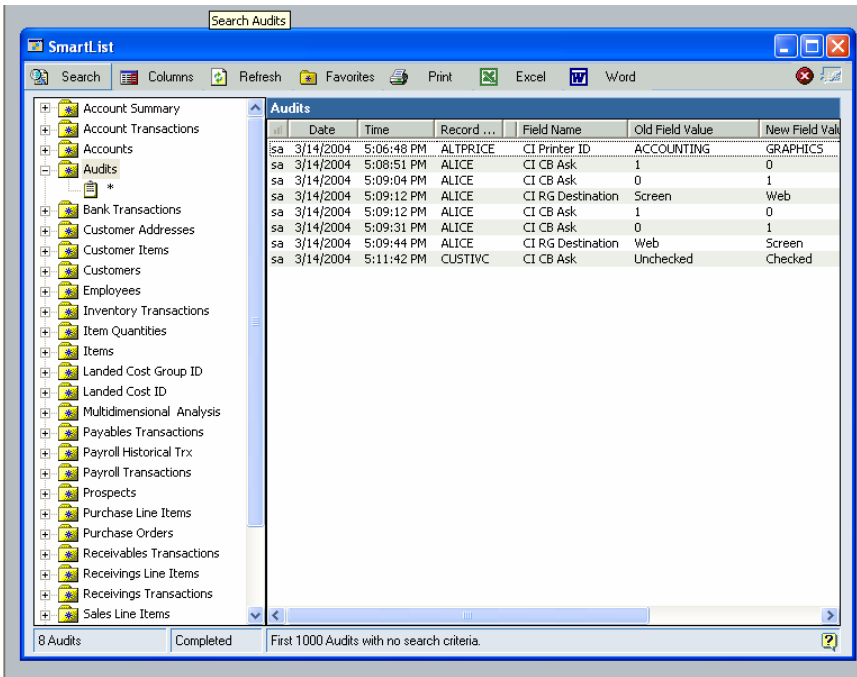
It is recommended that you export the records to xml using step 4 or performing a backup and permanent archive of the DYNAMICS database before purging the log.

Once you press Purge Selected Records, the selected records will be deleted from the log file and cannot be recovered without a proper restore.
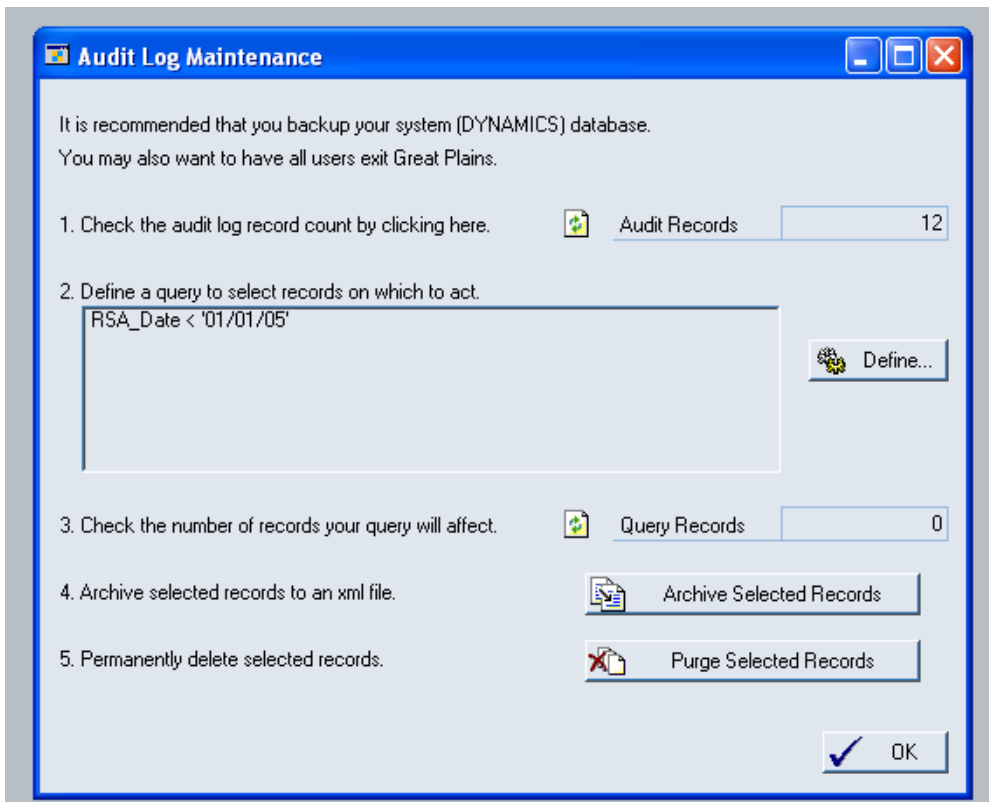
Audit Reporting

All system audits are tracked in a single table in the system database, and can be reported using Smartlist. Smartlist is the only tool built into Auditor for directly viewing audits. Using the features of Smartlist, you can filter and sort your audits and export them to Word or Excel for further evaluation. The Audits object appears automatically in Smartlist after the product is installed.

For more technical reporting of audits, you can access the audit table directly in SQL system by querying the table RSAS015 in the DYNAMICS database.