Sarbanes-Oxley

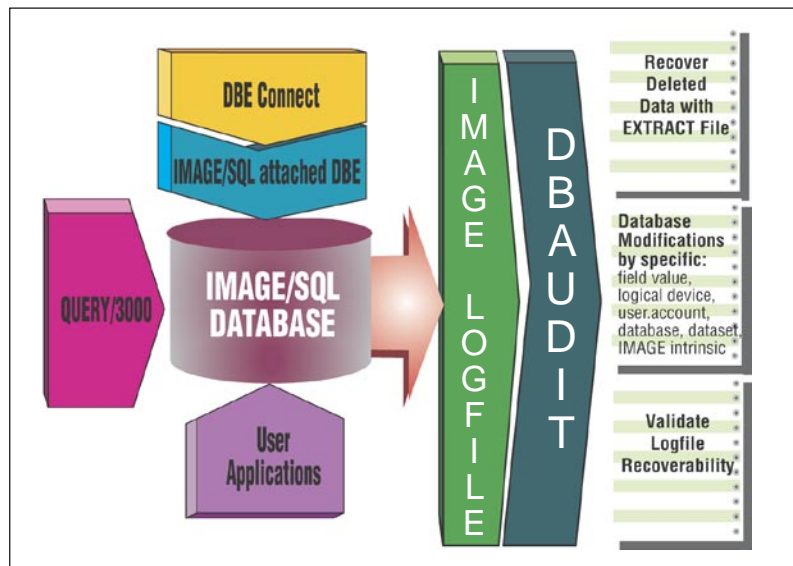## Using DBAudit™ to support Section 404 Compliance Processes.

Overview

Sarbanes-Oxley passed into law in July 2002 and deadlines for compliance are coming up in November 2004 and July 2005. For companies running their financial and other operational systems on **HP IMAGE** databases, and who are looking to be compliant with the new law, Bradmark's **DBAudit™** utility provides a valuable audit trail and analysis to support the compliance process.

No tool can create a compliant company but **DBAudit** goes a long way in supporting company management in the achievement of Sarbanes-Oxley Section 404 implementations. Section 404 requires management to file an internal control report with its annual report, describing the controls on financial reporting and their effectiveness. Management and the company's auditors are required to provide reasonable assurance that there is reliability of financial reporting and database auditing, and reporting is a crucial component of the management process. Through transaction tracking and audit trails, **DBAudit** allows a company to exert significant control on its financial and operational systems and to maintain detail and summary reports for management overview.

Key Benefits

- *Provide vital reports to the company's auditors and executive management which track database activity by individual user and/or application program.*

- *Obtain information regarding specific database modification through a variety of selection criteria - even from massive logfiles or where the data no longer exists in the database.*

- *Search for problems with regard to data values in particular fields and provide highly specific playback of the responsible transaction by particular field value.*

Track database activity and provide an audit trail. Report to management on database integrity.

Sarbanes-Oxley applies to all companies filing annual reports with the SEC*, including foreign companies and small businesses. Many privately held and funded companies have also opted to implement Sarbanes-Oxley management controls.

Bradmark has been supporting **HP IMAGE** customers for more than 20 years and can count over 200 of the Fortune 1000 as present or past customers. If you have financial or operational systems running on **HP IMAGE** databases and Sarbanes-Oxley compliance is a requirement, you should contact us immediately on 800-621-2808 to find out more about **DBAudit**.

*Under either Section 13(a) or 15(d) of the Securities Exchange Act of 1934.

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DBAudit™

More than a transaction analyzer, DBAudit is a powerful tool for monitoring database security.

Users of the database are highlighted in several reports by time, logical device, logon user, and account name.

When to use logging
Logging is recommended if users have:

- *A high volume of transactions without paper backup for transactions.*
- *Individual high-dollar-value transactions (for example, changing the terms of a commercial loan).*
- *Auditor's requests for an audit trail of changes to certain data fields in company records.*
- *Remote, unmonitored users entering data on a very large database.*

With logging, backup frequency could be reduced from daily to weekly, saving hours of processing time. Logging may be the only way to recover transactions when data is corrupted. Intermittent logging is a good idea for debugging programs, quality assurance testing, and performance and capacity planning.

Ensure logfiles are valid for recovery
DBAudit will validate IMAGE logfiles for recoverability by reading each logfile in the logfile set, checking file transition links and transaction validity, and producing the resulting exception reports. When logging for recovery, it is important to know that a logfile is bad before using it.

Isn't logging a heavy load on the system? Logging should have little impact on the system. Most users don't even notice when logging is turned on. Good candidates for logging are programs that request information, and go on to interactively edit the various fields, and finally, update the database.

Doesn't logging require program changes? Logging can begin without program changes. To take advantage of the full power of logging, programs may be modified to define logical transactions.

Logging is only for recovery, right? It's not only for recovery, but it is useful for debugging, auditing, and tuning, especially with a tool like DBAudit to print the log files. The log file contains a complete record of every added, deleted, or modified entry in a database.

When using the OUTPUT DEFERRED option of TurboIMAGE, transaction logging is necessary. Otherwise, a system failure could result in the loss of the current database with no recovery options except loss of data to previous backup.

To order, or for more information on other Bradmark products:

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About Bradmark
For 20 years, Bradmark has provided a business advantage by ensuring that the databases, which are vital to the organization's competitive advantage, meet or exceed health and availability requirements.

Bradmark is committed to providing data management solutions in support of our customers' business challenges.

In addition to a direct sales force, Bradmark has an established worldwide network of channel partners.