



# Softerra Adaxes

Enterprise Directory Solution

SOX COMPLIANCE

# Achieving SOX Compliance using Adaxes

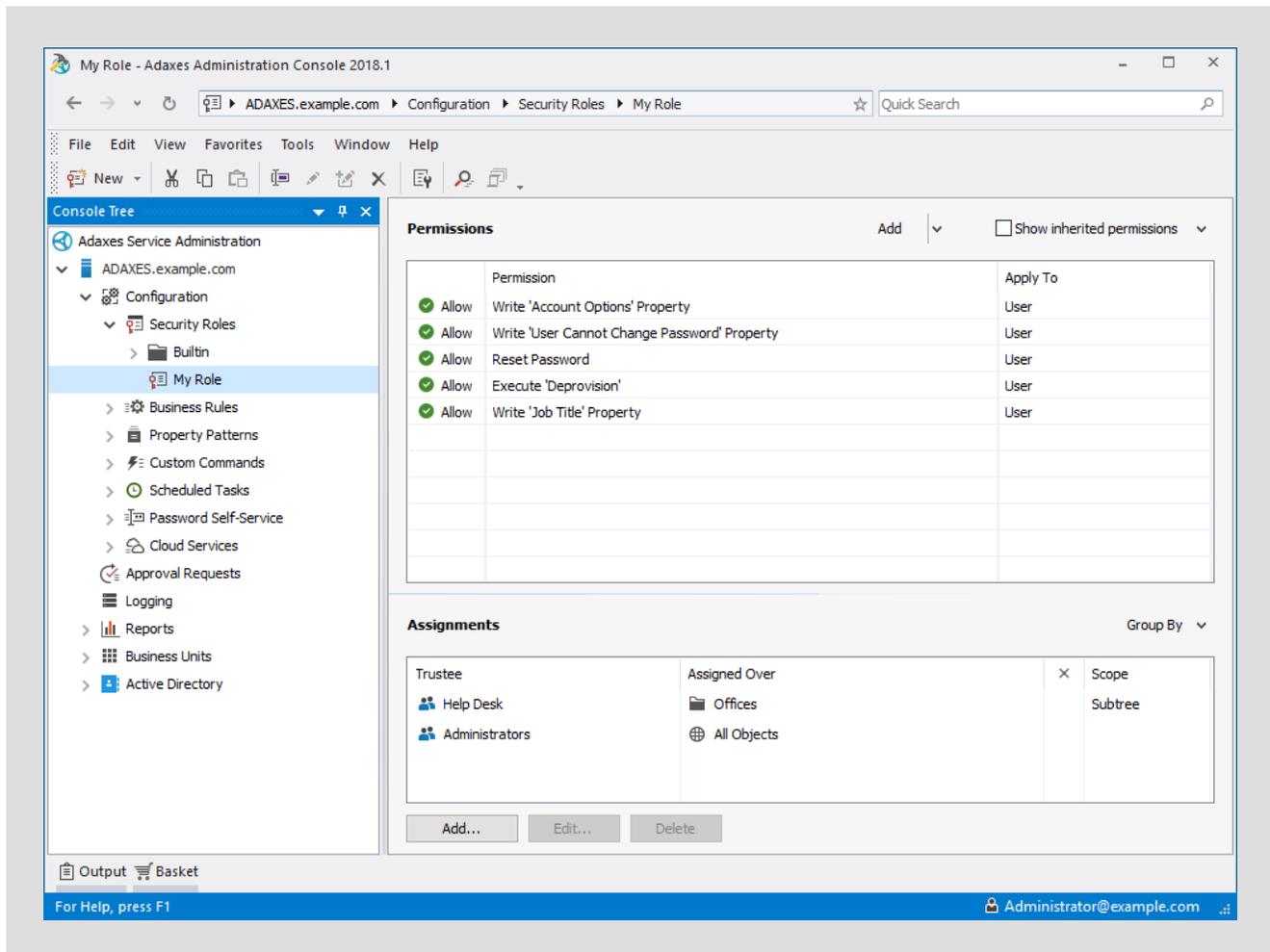
The Sarbanes-Oxley Act was enacted in July 2002 as a reaction to a number of major corporate and accounting scandals. This act set new or enhanced standards for all U.S. public company boards, management and public accounting firms and imposed stiff penalties for those who fail to ensure the accuracy of their financial reports or who obstructs fraud investigations by destroying or altering records.

The key compliance requirements of the act are establishing strong internal controls and maintaining policies and procedures that ensure accuracy of the financial reports. Today, managing internal controls mostly means providing a secure and reliable identity and access management solution. So, implementing and maintaining internal controls becomes the responsibility of IT professionals.

Softerra Adaxes is a solution that facilitates and streamlines Active Directory management thus supporting internal control implementing and maintaining. Improved security management, logging, reporting and backup-restore capabilities allow organizations to comply with controls of Section 404 of Sarbanes-Oxley Act and assure the accuracy of corporate financial and business information.

## Role-Based Access Control

Granular distribution of Active Directory permissions provided by the Role-Based Access Control model used in Softerra Adaxes allows you to minimize the number of users with elevated privileges and thus reduce security risks related to inappropriate permissions.



# Comprehensive Reporting

Softerra Adaxes features a reporting platform to monitor and analyze what's going on in your Active Directory environment with more than 200 built-in reports and the ability to create your own custom ones. E.g. reports on inactive AD objects, such as user and computer accounts, users with non-expiring passwords, groups with no owners and others allow you to identify and eliminate security risks.

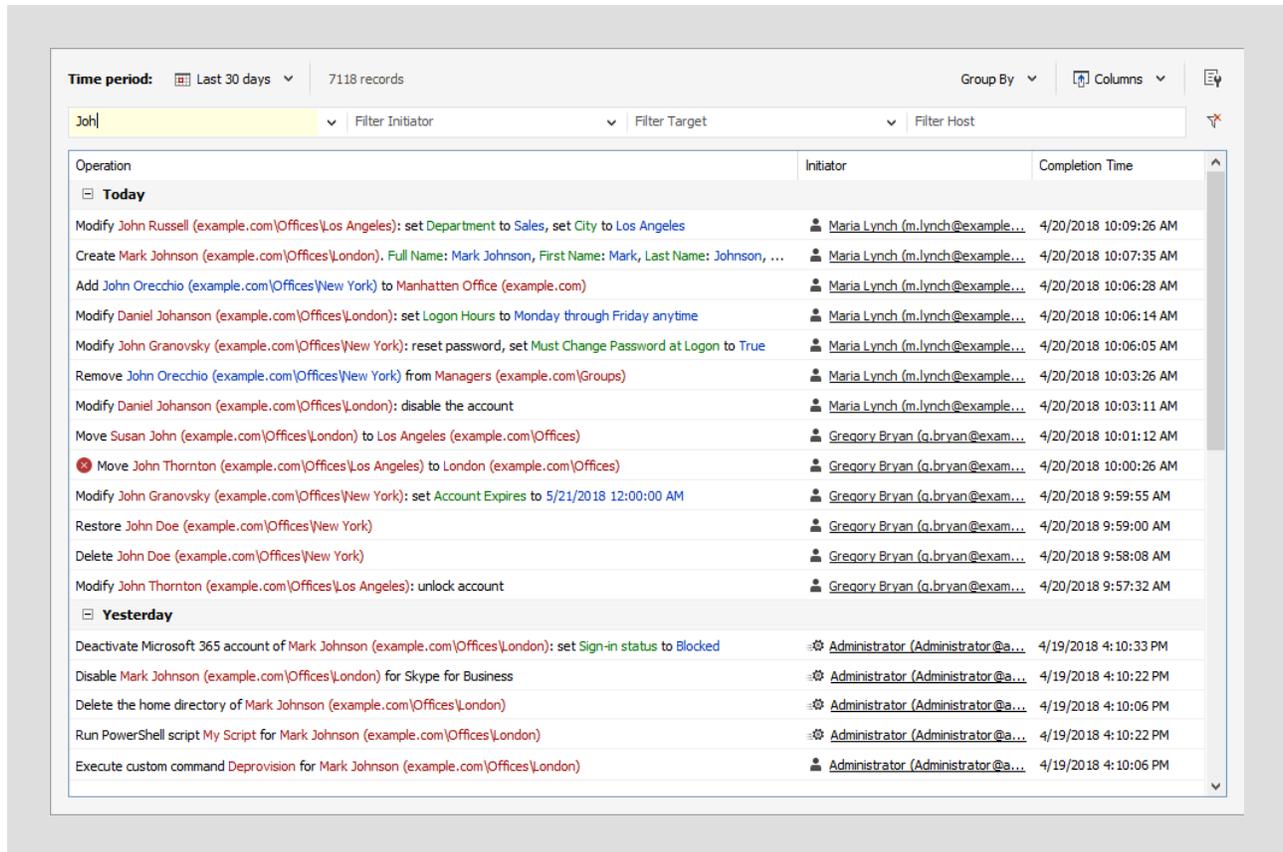
The screenshot shows the Adaxes reporting interface. On the left, there is a navigation pane with a search bar and a dropdown menu for selecting reports. The dropdown menu is open, showing a search field and a list of reports under 'Pinned' and 'All Reports' categories. The 'All Reports' category is expanded to show sub-categories like 'Computers', 'Exchange', 'Groups', 'Miscellaneous', 'Object Ownership', 'Organizational Units', 'Users', 'Recent', and 'Scheduled'. The main area displays a table of reports with columns for 'Email', 'Exchange Mailbox Store', and 'Hide from Address Lists'. The table lists various email addresses and their corresponding mailbox databases. At the bottom, there are user avatars for Elliot Tucker and Alice Hammond.

The screenshot shows the Adaxes reporting dashboard. The top navigation bar includes 'Home', 'Reports', 'Basket', 'Browse', and a search bar. The main content area is divided into several sections:

- Overview:** A sidebar menu with options like 'Cleanup', 'Computers', 'Exchange', 'Groups', 'Organizational Units', 'Risk analysis', and 'Users'.
- User accounts (1263):** A bar chart showing the distribution of user accounts: Enabled (1014), Disabled (249), Expired (57), and Locked (1).
- Users' membership in groups:** A bar chart showing the distribution of users' membership in groups: Expired (57), Never (1206), and Soon (0).
- Account expiration:** A bar chart showing the distribution of account expiration: Expired (57), Never (1206), and Soon (0).
- Summary Statistics:** A series of circular icons with numbers: 66 Created recently, 16 Deleted recently, 26 Must change password.
- Password expiration:** A horizontal bar chart showing the distribution of password expiration: Expired (4), Never (177), and Soon (5).
- Last password change:** A horizontal bar chart showing the distribution of last password change: Recently (145) and Long ago (18).

# Tracking Changes in Active Directory

Any changes performed in Active Directory via Adaxes can be tracked. Operations like password reset, updating group membership, change of permissions, etc. can be easily reviewed with the help of user-friendly logs. Also, to protect security-sensitive operations, Adaxes allows executing them only after an approval from a respective authority is granted and/or sending email notifications once such operations are initiated.

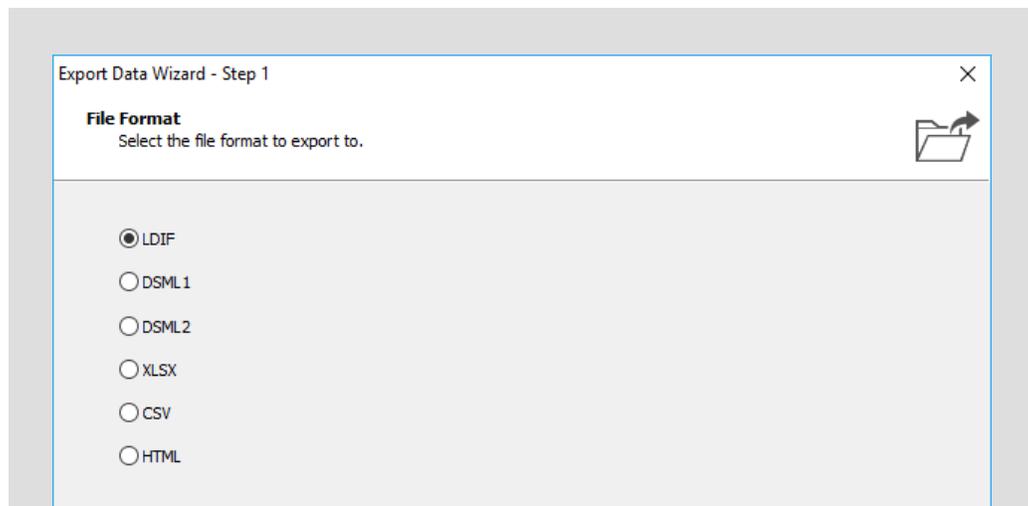


The screenshot displays the Adaxes log interface. At the top, it shows a time period of 'Last 30 days' with 7118 records. There are filters for 'Filter Initiator', 'Filter Target', and 'Filter Host'. The main table lists operations with columns for 'Operation', 'Initiator', and 'Completion Time'. The operations are grouped by date, with 'Today' and 'Yesterday' sections. The 'Today' section includes operations like 'Modify John Russell', 'Create Mark Johnson', 'Add John Orecchio', 'Modify Daniel Johanson', 'Modify John Granovsky', 'Remove John Orecchio', 'Modify Daniel Johanson', 'Move Susan John', 'Move John Thornton', 'Modify John Granovsky', 'Restore John Doe', 'Delete John Doe', and 'Modify John Thornton'. The 'Yesterday' section includes 'Deactivate Microsoft 365 account', 'Disable Mark Johnson', 'Delete the home directory', 'Run PowerShell script', and 'Execute custom command'.

Operation	Initiator	Completion Time
<b>Today</b>		
Modify John Russell (example.com\Offices\Los Angeles): set Department to Sales, set City to Los Angeles	Maria Lynch (m.lynch@example...)	4/20/2018 10:09:26 AM
Create Mark Johnson (example.com\Offices\London). Full Name: Mark Johnson, First Name: Mark, Last Name: Johnson, ...	Maria Lynch (m.lynch@example...)	4/20/2018 10:07:35 AM
Add John Orecchio (example.com\Offices\New York) to Manhattan Office (example.com)	Maria Lynch (m.lynch@example...)	4/20/2018 10:06:28 AM
Modify Daniel Johanson (example.com\Offices\London): set Logon Hours to Monday through Friday anytime	Maria Lynch (m.lynch@example...)	4/20/2018 10:06:14 AM
Modify John Granovsky (example.com\Offices\New York): reset password, set Must Change Password at Logon to True	Maria Lynch (m.lynch@example...)	4/20/2018 10:06:05 AM
Remove John Orecchio (example.com\Offices\New York) from Managers (example.com\Groups)	Maria Lynch (m.lynch@example...)	4/20/2018 10:03:26 AM
Modify Daniel Johanson (example.com\Offices\London): disable the account	Maria Lynch (m.lynch@example...)	4/20/2018 10:03:11 AM
Move Susan John (example.com\Offices\London) to Los Angeles (example.com\Offices)	Gregory Bryan (g.bryan@exam...)	4/20/2018 10:01:12 AM
Move John Thornton (example.com\Offices\Los Angeles) to London (example.com\Offices)	Gregory Bryan (g.bryan@exam...)	4/20/2018 10:00:26 AM
Modify John Granovsky (example.com\Offices\New York): set Account Expires to 5/21/2018 12:00:00 AM	Gregory Bryan (g.bryan@exam...)	4/20/2018 9:59:55 AM
Restore John Doe (example.com\Offices\New York)	Gregory Bryan (g.bryan@exam...)	4/20/2018 9:59:00 AM
Delete John Doe (example.com\Offices\New York)	Gregory Bryan (g.bryan@exam...)	4/20/2018 9:58:08 AM
Modify John Thornton (example.com\Offices\Los Angeles): unlock account	Gregory Bryan (g.bryan@exam...)	4/20/2018 9:57:32 AM
<b>Yesterday</b>		
Deactivate Microsoft 365 account of Mark Johnson (example.com\Offices\London): set Sign-in status to Blocked	Administrator (Administrator@a...)	4/19/2018 4:10:33 PM
Disable Mark Johnson (example.com\Offices\London) for Skype for Business	Administrator (Administrator@a...)	4/19/2018 4:10:22 PM
Delete the home directory of Mark Johnson (example.com\Offices\London)	Administrator (Administrator@a...)	4/19/2018 4:10:06 PM
Run PowerShell script My Script for Mark Johnson (example.com\Offices\London)	Administrator (Administrator@a...)	4/19/2018 4:10:22 PM
Execute custom command Deprovision for Mark Johnson (example.com\Offices\London)	Administrator (Administrator@a...)	4/19/2018 4:10:06 PM

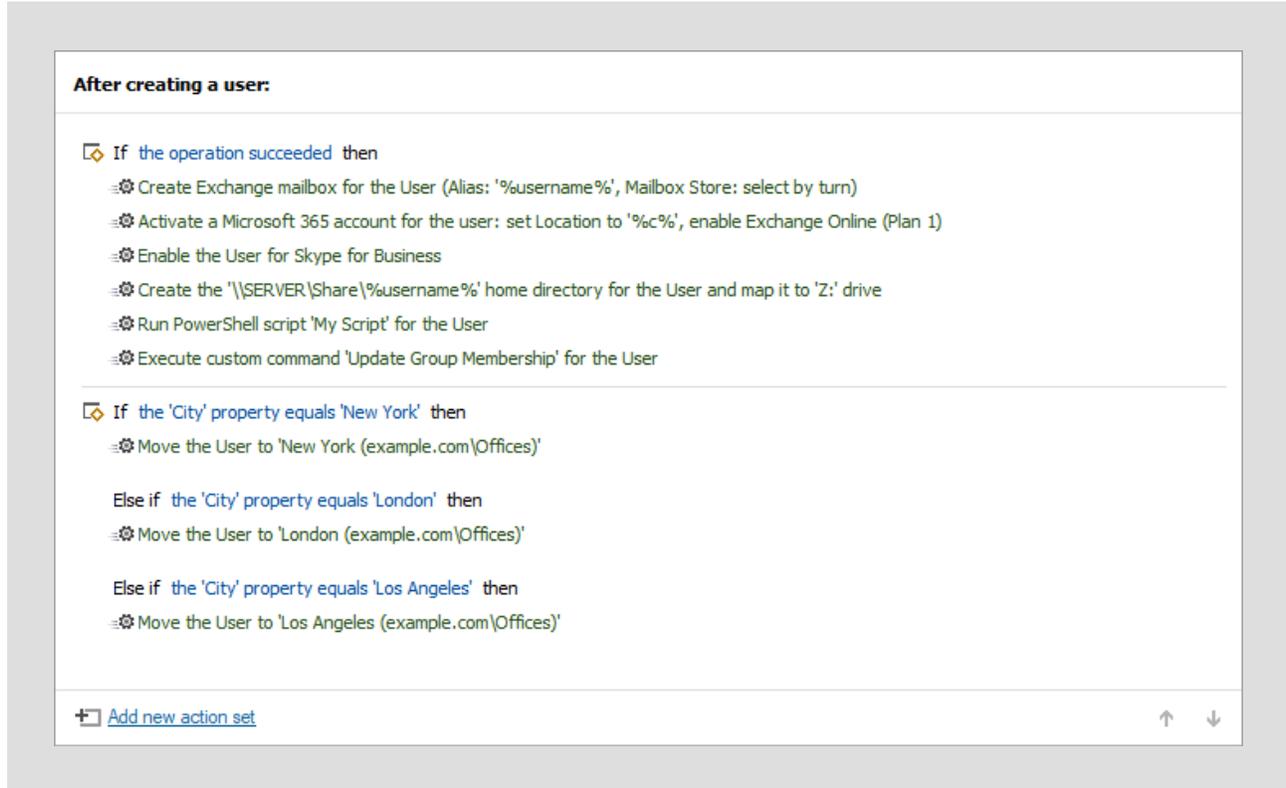
# Backup and Restore Capabilities

Using Softerra Adaxes you can perform periodic manual or scheduled backups of Active Directory data to avoid possible loss of information.



## Automating Internal Controls

Softerra Adaxes allows you to automate implementing and maintaining internal controls with its extensive automation functionality. Automation not only contributes to the controls efficiency, but also reduces the costs of maintaining compliance.



The screenshot displays an automation workflow titled "After creating a user:". The workflow consists of two main conditional blocks:

- Block 1:** "If the operation succeeded then". This block contains six actions:
  - Create Exchange mailbox for the User (Alias: '%username%', Mailbox Store: select by turn)
  - Activate a Microsoft 365 account for the user: set Location to '%c%', enable Exchange Online (Plan 1)
  - Enable the User for Skype for Business
  - Create the '\\SERVER\Share\%username%' home directory for the User and map it to 'Z:' drive
  - Run PowerShell script 'My Script' for the User
  - Execute custom command 'Update Group Membership' for the User
- Block 2:** "If the 'City' property equals 'New York' then". This block contains one action:
  - Move the User to 'New York (example.com\Offices)'

Below the second block, there are two "Else if" conditions:

- Else if the 'City' property equals 'London' then:** Move the User to 'London (example.com\Offices)'
- Else if the 'City' property equals 'Los Angeles' then:** Move the User to 'Los Angeles (example.com\Offices)'

At the bottom of the workflow editor, there is a button labeled "Add new action set" and two arrow icons (up and down) for navigation.

## Much more from Softerra Adaxes

Softerra Adaxes provides lots of other helpful features to automate and secure Active Directory management, maintenance and administration. With its enhanced role-based security model, rule-based automation capabilities, approval-based workflow, data standards enforcement, etc. Softerra Adaxes provides the most efficient user lifecycle management for your enterprise. For more information, see [Softerra Adaxes Features](#).

**Disclaimer.** This document is for information purposes only and should not be treated as an official warranty or certification. The information in this document can be subjected to a change in future with further updates of Softerra Adaxes without prior notice. Therefore, Softerra cannot guarantee the accuracy of any information presented after the publication of the document.