



SAF Security Audit Report

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Overview:

The purpose of this non-updating, daily application is to produce a report to assist you in tracking activity and privileges in the Shared Application Framework (SAF) environment. SAF is where CORE users are created, maintained, and granted access. While a number of CORE reports show activity and user authority, no similar report has been available to track the same information and changes occurring in SAF until now. This new report will aid in your efforts to audit activity within SAF.

Key Benefits:

- Assist in tracking all activity in the Shared Application Framework.
- Produce a report which will aid in audit activity. Four sections of information are provided:
 - List of SAF Groups and User Information
 - Application Object listing and descriptions
 - Password Maintenance in SAF
 - Update, Create, and Deletion activity in SAF

Processing:

The AP_EM SAF batch application is designed to gather and display four types information from the SAF environment:

- List of SAF Groups and User information
- Application Object listing and descriptions
- Password maintenance in SAF (occurring within the parameter date range)
- Update, create, and deletion activity performed in SAF (within the parameter date range)

The date parameters allow you flexibility in deciding how frequently this application should be run to capture to capture the modifications to the SAF environment.

Parameters:

Parameter	Parameter Code	Description	Required	Default
Activity Category Codes	ACTC	A comma separated list of Activity Category Codes to include in the Activity section of the report.	No	All Activity Category Codes
Activity Type Codes	ACTT	A comma separated list of Activity Type Codes to include in the Activity section of the report.	No	All Activity Type Codes
Start Date	SD	The beginning of the date range used to search for SAF Activity.	No	Queue Effective Date

Thru Date	TD	The end of the date range used to search for SAF Activity.	No	Queue Effective Date
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Variables:

No variables are used for this application.

Report:

This application will generate a report with four sections each reflecting a different type of information from the SAF environment. The formats are shown below.

Section 1: List of SAF Groups and User information

This Section will contain information for all groups in system (currently ADMIN, TRACE, USER and PASS).

Each group will have a listing of all individuals in that group.

Sample Section 1 Image

```

BANK: ABC SAVINGS BANK                               Employee SAF Report                               Run Date: 05-02-2014
Report: AP_EMSAF                                     Post Date: 01-05-2014
                                                    Page: 1 of 14

                               == Administrator ==

Auth Group: ADMIN                               Auth Group Description: Assigns administrator rights to users.

Auth Item Description                               Auth Item Permissions
-----
Device Maintenance                               ADD UPD DEL VIEW
User Maintenance                               ADD UPD DEL VIEW
Product Maintenance                               ADD UPD DEL VIEW
Activity Viewing                               ADD UPD DEL VIEW
Password Changes                               ADD UPD DEL VIEW
Business Object                               ADD UPD DEL VIEW
Trace Viewing                               ADD UPD DEL VIEW
Property Maintenance                               ADD UPD DEL VIEW
Rule Maintenance                               ADD UPD DEL VIEW

UserID      Core#      SAF#      FirstName      LastName      Group      GrpLastChg      Add Date      PULastChg      PUSStat
-----
GL001       101       1322     G1001         Cocc         ADMIN      07-11-2009     12-10-2002     07-11-2009     UnLocked
DEPOSIT8    127       1343     Deposit8      Cocc         ADMIN      07-11-2009     12-23-2002     12-09-2010     UnLocked
JSMIT       186       1405     Jane          Smith        ADMIN      07-11-2009     12-05-1980     11-26-2010     UnLocked
DEPOSITA    22428     1469     DepositA      Cocc         ADMIN      02-23-2010     02-23-2010     11-29-2010     UnLocked
LOAN10      22430     1471     Loan10        Cocc         ADMIN      02-23-2010     02-23-2010     12-20-2010     UnLocked
LOAN11      22431     1472     Loan11        Cocc         ADMIN      02-23-2010     02-23-2010     12-16-2010     UnLocked
LOAN12      22432     1473     Loan12        Cocc         ADMIN      02-23-2010     02-23-2010     12-13-2010     UnLocked

```

Section 2: Application Object listing and descriptions

This section contains a listing of all the SAF Business Objects.

Sample Section 2 Image

Bank: ABC SAVINGS BANK	Employee SAF Report	Run Date: 05-02-2011
Report: AP_EMSAF		Post Date: 01-05-2011
		Page: 6 of 14

Appl Object Listing				
AuthItemCd	AuthItemName	ApplTyp	Appl#	Appl Desc
ACTVLOG	Activity Viewing	WINFORM	1008	Form used to view the activity log.
BO	Business Object	BUSINESS	11	Menu Business Object
BO	Business Object	BUSINESS	12	PersProd Business Object
BO	Business Object	BUSINESS	15	MenuMenuItem Business object
BO	Business Object	BUSINESS	288	Actv Business object
BO	Business Object	BUSINESS	289	ActvAction Business object
BO	Business Object	BUSINESS	290	ActvCat Business object
BO	Business Object	BUSINESS	291	ActvCatActvTyp Business object
BO	Business Object	BUSINESS	292	ActvDtl Business object
BO	Business Object	BUSINESS	293	ActvTyp Business object

Section 3: Password maintenance in SAF (occurring within the parameter date range) The Password Maintenance Section displays information about password maintenance activities as displayed in below screenshot:

Sample Section 3 Image

Bank: ABC SAVINGS BANK	Employee SAF Report	Run Date: 05-03-2011
Report: AP_EMSAF		Post Date: 01-05-2011
		Page: 11 of 91

Password Maintenance						
12-01-2010 03-01-2011						
ActvMbr	Seq	Respers	Date/Time	Actv Desc	Actv User	Actv Type
22223	1	Cocc, Secure (1397)	01-DEC-10 09:43	Password Change	LOAN4 (1415)	Other
22228	1	Smith, Jane(1489)	01-DEC-10 07:56	Password Change	JSMIT (1489)	Self
22428	1	Cocc, Secure (1397)	06-DEC-10 14:45	Password Change	TECH4 (1401)	Other
22479	3	Cocc, Secure (1397)	07-DEC-10 10:01	Password Change	LOAN11 (1472)	Other
22480	3	Cocc, Secure (1397)	07-DEC-10 10:04	Password Change	LOAN12 (1473)	Other
22552	1	Cocc, Deposit3(1402)	08-DEC-10 13:27	Password Change	DEPOSIT3 (1402)	Self
22588	1	Cocc, Secure (1397)	09-DEC-10 09:49	Password Change	LOAN12 (1473)	Other
22598	1	Cocc, Secure (1397)	09-DEC-10 13:40	Password Change	DEPOSIT8 (1343)	Other
22658	1	Cocc, Secure (1397)	10-DEC-10 14:33	Password Change	DEPOSIT3 (1402)	Other
22663	1	Cocc, Secure (1397)	10-DEC-10 14:58	Password Change	DEPOSIT3 (1402)	Other
22713	1	Cocc, Secure (1397)	12-DEC-10 10:37	Password Change	DEPOSIT2 (1426)	Other
22720	1	Cocc, Secure (1397)	13-DEC-10 08:45	Password Change	DEPOSIT2 (1426)	Other

Section 4: Update, create, and deletion activity performed in SAF (within the parameter date range)

The SAF Activity Section is filtered by Activity Category Code and Activity Type Code restrictions:

Sample Section 4 Image

Bank: ABC SAVINGS BANK
 Report: AP_EMSAF

Employee SAF Report

Run Date: 05-02-2011
 Post Date: 01-05-2011
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		Other SAF Activity		03-01-2011		05-02-2011	
ActvNbr	User#	Date	ACT Table	Value	Old	New	
23489	Cocc, Loan4(1415)	03-14-2011	14:21 ADD SafDeviceProd	DeviceNbr		7853	
	Cocc, Loan4(1415)	03-14-2011	14:21 ADD SafDeviceProd	ProdNbr		3	
	Cocc, Loan4(1415)	03-14-2011	14:21 ADD SafDeviceProd	TraceMaxFileSi		1000000	
	Cocc, Loan4(1415)	03-14-2011	14:21 ADD SafDeviceProd	TraceOptionCd		TRACESVC	
	Cocc, Loan4(1415)	03-14-2011	14:21 ADD SafDeviceProd	TracingYN		N	
23524	Cocc, Custserv(1390)	03-23-2011	09:24 UPD SafDeviceProdProp	DeviceNbr	7814		
	Cocc, Custserv(1390)	03-23-2011	09:24 UPD SafDeviceProdProp	ProdNbr	3		
	Cocc, Custserv(1390)	03-23-2011	09:24 UPD SafDeviceProdProp	PropCd	LASTPERSNM		
	Cocc, Custserv(1390)	03-23-2011	09:24 UPD SafDeviceProdProp	PropValue	SM%	COCC%	
23539	Cocc, Custserv(1390)	03-24-2011	10:57 ADD SafDeviceProd	DeviceNbr		7868	
	Cocc, Custserv(1390)	03-24-2011	10:57 ADD SafDeviceProd	ProdNbr		3	
	Cocc, Custserv(1390)	03-24-2011	10:57 ADD SafDeviceProd	TraceMaxFileSi		1000000	
	Cocc, Custserv(1390)	03-24-2011	10:57 ADD SafDeviceProd	TraceOptionCd		TRACESVC	
	Cocc, Custserv(1390)	03-24-2011	10:57 ADD SafDeviceProd	TracingYN		N	
23548	Cocc, Custserv(1390)	03-24-2011	18:21 UPD SafDeviceProdProp	DeviceNbr	7824		
	Cocc, Custserv(1390)	03-24-2011	18:21 UPD SafDeviceProdProp	ProdNbr	3		
	Cocc, Custserv(1390)	03-24-2011	18:21 UPD SafDeviceProdProp	PropCd	LASTPERSNM		
	Cocc, Custserv(1390)	03-24-2011	18:21 UPD SafDeviceProdProp	PropValue	BA%	PAC%	
23563	Cocc, Custserv(1390)	03-29-2011	11:00 UPD SafDeviceProdProp	DeviceNbr	7814		
	Cocc, Custserv(1390)	03-29-2011	11:00 UPD SafDeviceProdProp	ProdNbr	3		
	Cocc, Custserv(1390)	03-29-2011	11:00 UPD SafDeviceProdProp	PropCd	FRSTPERSNM		
	Cocc, Custserv(1390)	03-29-2011	11:00 UPD SafDeviceProdProp	PropValue		CUST%	

Field Listing:

- **Section 1:** List of SAF Groups and User Information

These sections print various information about Authorizations group.

Field	Description
Auth Item Description	The Authorized item Name
Auth Item Permissions	Different permissions on Authorized item (Ex. Add, Del).

Next part of this section prints user information under same Auth Item.

Field	Description
UserID	The Users Sign On ID.
Core#	Prod number from ProdPersId table.
SAF#	The Person number of the sign on ID user.
FirstName	First name of the user.
LastName	Last name of the user
Group	Authorized group name of user.
GrpLastChg	Date when Person associate to Auth group.
Add Date	Date when Person added in database.
PWLastChg	Date when this password last changed.
PWStat	State of Password (Unlock, Locked)

- **Section 2:** This section prints all the applications that are associated with different auth items.

Field	Description
AuthItemCd	The Authorized item code.
AuthItemName	The Authorized item Name.
ApplTyp	Application Type (Ex. Winform).
Appl#	Application number.
Appl Desc	Application name or Description

- **Section 3:** The Password Maintenance Section.

The heading of this section prints parameter date range.

Field	Description
ActvNbr	Activity number to change Password.
Seq	Number that uniquely identifies each detail row within an activity.
RespPers	The Responsible Person Number for the activity.
Date/Time	The Activity Date and Time is the time and date for the activity.
Actv Desc	The Activity Description is the textual description of the activity.
Actv User	User Id and new updated value of Activity
Actv Type	The Activity Type Code is the user defined code used to define the type of activity.

- **Section 4:** The Other SAF Activity Section

The heading of this section prints parameter date range.

Field	Description
ActvNbr	The Activity Number is the system assigned number.
User#	Number of the person that caused the activity to occur.
Date	The Activity Date and Time is the time and date for the activity.
ACT	The Activity Action code (Ex. ADD,DEL).
Table	The table name where this activity is impacting.
Value	The field which is modifying.
Old	Old value for the column.
New	New value for the column.

Additional Requirements:

- Either DNA 3.2 or the higher version of DNA is available.

Configuration Checklist:

Item	Test Environment	Production Environment
Parameters		

Revisions:

Date	App Version #	Change
04/2014	1.0.0.0	Documentation updated to meet new user guide template standards
05/18/2011	1.0.0.0	Documentation updated – new logo
05/2011	1.0.0.0	Application Created