

FREQUENTLY ASKED QUESTIONS FOR PARTNERS

General Questions

Q: What is the availability for Audit Trails for Microsoft Dynamics™ GP and Electronic Signatures for Microsoft Dynamics GP?

A: The modules are available in worldwide English for Microsoft Dynamics GP 10.0, Microsoft Dynamics GP 9.0 and Microsoft Business Solutions-Great Plains 8.0 (now part of Microsoft Dynamics).

Q: What is Audit Trails?

A: Audit Trails is a Microsoft Dynamics GP module that enables tracking on changes to any data within Microsoft Dynamics GP, along with the ability to recreate the transaction history. Audit Trails should be positioned for Microsoft Dynamics GP users that have these requirements.

Q: What is Electronic Signatures?

A: Electronic Signatures is a Microsoft Dynamics GP module that enables preventative controls to be activated on any place in the system where data is changed. Electronic Signatures presents the user with a window that can require one or more authorized passwords before the data change can be completed. Authorized signers can be on-site or use remote notification and signature response.

Q: What are the common business requirements that drive the need for these modules?

A: Audit Trails and Electronic Signatures will be useful to any organization that wants to increase overall data integrity and data control. Just as important, these modules will be necessary to organizations that work with regulatory mandates to reproduce data change history and that need to have the system itself enforce preventative controls.

Q: What types of organizations operate with data compliance regulations? What are these regulations?

A: While many market segments have data compliance regulations, experience has identified four segments with a very high likelihood of requirement for Audit Trails and Electronic Signatures. These include:

- Publicly Traded Companies — Sarbanes-Oxley
- Healthcare — HIPAA, JCAHO
- Life Science (Pharmaceutical, Medical Device, Biotechnology, etc.) — 21 CFR Part 11
- Public Sector — FISMA

Q: What is meant by “data integrity” in relation to Microsoft Dynamics GP?

A: Data integrity describes the trustworthiness of the electronic records generated during business processes. Auditors are most concerned with automated activities in Microsoft Dynamics GP such as supply chain, manufacturing, materials management, procurement, and payment processes because they pose the most risk in terms of public safety, product quality, customer privacy, and shareholder reporting accuracy.

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Questions about Audit Trails for Microsoft Dynamics GP

Q: How does Audit Trails operate with the rest of Microsoft Dynamics GP?

A: Audit Trails is implemented as part of Microsoft Dynamics GP and runs “behind the scenes.” Audit Trails tracks Microsoft Dynamics GP change activity at both the Microsoft Dynamics GP and Microsoft SQL Server™ database level.

Q: When does an audit trail begin?

A: Once installation is complete, the user and consultant will decide where audit trails need to be applied by selecting a table in Microsoft Dynamics GP. Audit Trails will capture a “snapshot” of all the data in the table(s) at the time of activation. It is important for the Microsoft Dynamics GP partner to work closely with the client to determine the tables and fields to be audited. After an audit trail is initiated, Audit Trails captures all change information, including before-change and after-change data values associated with changes to audited tables and fields.

Q: Are audit trails created for all of Microsoft Dynamics GP or can they be applied to just the fields and tables that the individual client requires to track?

A: Audit trails are set up on just the fields and tables that the individual client is required to track.

Q: Many regulations require organizations to have ‘validated’ business systems. Does the functionality of Audit Trails and Electronic Signatures qualify Microsoft Dynamics GP as a validated system?

A: Each company must implement their system in a way that supports the validation requirement of the regulation they must comply with. It is not possible for a software vendor to make the claim that their software is a validated system. Any vendor who makes such a claim is incorrect. It is only possible to show that the system supports the functions and features that a client will likely need when the client implements their system in a validated manner. Regulations require both procedural controls (for example, notification, training, and standard operating procedures) and administrative controls to be put in place by the client, in addition to the technical controls that the software can offer.

Q: Does Audit Trails track create, delete, and modify data activities occurring in Microsoft Dynamics GP?

A: Audit Trails tracks any changes occurring in Microsoft Dynamics GP. Change information generated by Audit Trails includes time, date, and user information, as well as the before-change and after-change data values associated with the change.

Q: How will the audit trail record be created?

A: The audit trail record is created incrementally, in a chronological order, in a manner that does not allow new information to overwrite existing data.

Q: How can I identify changes to data using Audit Trails?

A: Each audit trail record includes a time and date stamp for original entries and a time and date stamp for changes/edits to entries. The stamp includes hour, minute, month, and year.

Q: What are the available outputs for Audit Trails records?

A: Audit Trails records can be output as Microsoft Office Excel® and SmartView reports. SmartView reports are similar to SmartList queries and can be customized to help meet the reporting needs of each client.

FREQUENTLY ASKED QUESTIONS FOR PARTNERS

Questions
about Electronic
Signatures
for Microsoft
Dynamics GP

Q: What type of organization has the need for Electronic Signatures?

A: Organizations with data control requirements have a need for Electronic Signatures. Data control refers to the ability to use hard controls in the system to enforce business procedures. Often, these data control requirements exist as a result of regulations that the organization must comply with.

Q: What do Electronic Signatures look like, and how do they actually work in Microsoft Dynamics GP?

A: Electronic Signatures are windows that pop up when specified changes are attempted in Microsoft Dynamics GP. These windows require authorized signers to enter passwords, and possibly additional information (for example, Reason Codes), before the system change is allowed to proceed. If authorized signers are not on-site, they can receive remote notification from the system and can complete the approval using remote notification back to the system.

Q: How are electronic signatures different from digital signatures or other forms of electronic authorization?

A: Electronic signatures are strong passwords. Digital signatures are digital handwriting entries. Biometric signatures include fingerprint, handprint, retina scan, and other forms of biological identification. Most regulations with business systems require electronic signatures and have room to accept other types of authorized signatures.

Q: Are Electronic Signatures predefined, or can they be set up in just the fields that the client needs to control?

A: Electronic Signatures can be turned on for just the fields that the individual client needs to control.

Q: Will Electronic Signatures allow for the creation of an authorized signer for processes managed in Microsoft Dynamics GP?

A: Yes, Electronic Signatures will allow certain authorized users to approve changes that are controlled by Electronic Signatures.

Q: Will Electronic Signatures require each approval to be unique to one individual?

A: Authority to approve an electronic signature may be assigned to one individual or there may be multiple individuals that are authorized to approve the electronic signature. Also, an individual may be authorized to act as an approver for multiple electronic signatures across the system.

Q: Can the execution of an Electronic Signature be audit trailed?

A: Yes, with Electronic Signatures for Microsoft Dynamics GP, execution of an electronic signature can be audit trailed.

PRICING AND AVAILABILITY

Module	Timing, Geo Availability and Pricing Information
AUDIT TRAILS	\$5,000 USD
ELECTRONIC SIGNATURES	\$4,000 USD
AUDIT TRAILS AND ELECTRONIC SIGNATURES	Available for Microsoft Dynamics GP 10.0, Microsoft Dynamics GP 9.0 and Microsoft Great Plains 8.0 customers in Worldwide English.

FREQUENTLY ASKED QUESTIONS FOR PARTNERS

Q: What sales and marketing resources are available for Audit Trails and Electronic Signatures?

A: The following sales and marketing materials are available:

- Fact Sheets
- Pre-delivery Questionnaire
- Strategy Briefing Overview Presentation
- White Paper: "Help Achieve Compliance Objectives"
- Web Seminar: "Understand how Microsoft Dynamics GP Can Help You Achieve Compliance Objectives"