

# Compliance HealthPlan



## Compliance HealthCheck - Initial

This initial HealthCheck is the first step in the Compliance HealthPlan.

The Compliance Team made up of representatives from ProActive Solutions, Radian Compliance, CilaSoft and DataMirror will come to your site and work with your staff to begin analysis of your business, processes, and data flow.

The Compliance HealthCheck is designed to assist customers in identifying those factors (Business Process, Network Vulnerabilities, Business Continuity) that may impact a companies ability to pass an audit. The process uses a combination of technology and detailed on-site interviews to build a preliminary guideline with recommendations regarding the most appropriate course of action. This half day process will include a preliminary discussion with the customers team to what will be done and what the deliverables will be.

### ***Areas Analyzed and Customer Resources Required***

Business Processes - We will work with your people responsible for compliance and senior IT Management to map out where your compliance needs are. This Gap analysis will typically look at your business processes, general IT processes, potential risks and your existing internal control structure at a high level. This meeting usually lasts about 3-4 hours.

IT System Journaling, Disaster Recovery, Software Installation on the System i – Our Technical experts will work with your technical resources in the areas mentioned to review the business from a technical perspective in order to install and run QJRN400 and DMXtras. The software will record data for approximately two weeks. This activity will generally take 2-3 hours to complete.

During the two week period there will be periodic communication from our team to your resources for additional information and any other questions or issues that arise.

At the end of the analysis we will meet with the resources involved, and whomever else you wish, to explain the output and recommend the right level of solution aligned to your business. This meeting usually lasts about 3-4 hours.

Proprietary to ProActive Solutions Inc.  
Compliance HealthPlan  
Compliance HealthCheck –Initial  
Version 040107



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Compliance



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### ***Deliverables from the HealthCheck***

The HealthCheck Report will include:

1. A Compliancy Overview of your business detailing where some of your potential risks and suggested actions to mitigate those risks along with suggested changes to your Business Continuity Plan or suggestions for a BCP if you do not have one in place.
2. Administration of OS/400 journaling
3. Analysis of journal receiver contents using Query Manager
4. Baseline System Audit ( User Profiles, Changes, Password, Dormant Accounts), Depending on the events to be audited, customer may need to activate the values corresponding to the system value QAUDLVL
5. Database Audit – (ProActive & Customer will determine if the HealthCheck will include a Database Audit. Process requires identification of sensitive fields and in which files/tables and libraries the data can be found)
6. Read –Traceability Audit –Identifies Read Access events to a database
7. Miscellaneous Audit Queries – (The QJRN/400 technology allows customers to collect and audit any event from the AS/400 Journal. It may be appropriate to include a summary report on specific events as part of the HealthCheck Process)
8. A journal analysis report outlining the bandwidth required for HA, the size of the journal receivers and how much they will grow and thus how often they should be rolled.
9. A "Prescription" or proposal of what is recommended, a timeline and how much it will cost along with the possible cost avoidance based on the risk analysis done.

**The next step upon acceptance of the “prescription” would be to create a Statement of Work (SOW) to formally define the HealthPlan for your company.**

