

S&G Audit Lock

Audit Trail Software Manual

The Sargent & Greenleaf Audit Lock is designed to provide a high level of security. One of the ways they accomplish this is by offering detailed audit trails. These allow you to determine who opened or changed programming for your lock, and at what time. Read and follow these instructions carefully to obtain the full capability of the audit trail feature.

INTRODUCTION

- *The Audit software kit permits the tracking and documenting of lock usage by user, operation, time, and date. This information can be archived and/or exported in formats that allow it to be integrated with common computer applications for generating reports.*
- *This software will run on computers operating under Windows 98®, and Windows NT®, Windows 2000®, Windows ME®, and Windows XP®.*
- *Transfer of the audit trail information from the lock to your computer is accomplished via Dallas iButton Touch Keys®. This eliminates the need for direct physical or electronic connection between the lock and the computer. Audit trails can be downloaded at the safe location, then sent anywhere in the world for uploading and analysis.*
- *Audit trail information is securely encoded when downloaded from the lock to the Dallas iButton Touch Key. It is then decoded when uploaded from the key to the computer running the Audit Software.*



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The Sargent & Greenleaf Audit Trail Software Kit provides the specialized tools needed to download and analyze audit trail information that is automatically collected by your S&G Audit Lock. An audit trail comprises information about who opened the lock and performed various functions. It relates these actions and attempted actions to the time and date of the occurrence. When you transfer audit trail information from your lock to your computer, you have an accurate history of who used your lock and what functions they performed. Each action is also marked with the date and time it was performed.

An audit trail is a powerful management tool. Its presence motivates employees to be extra diligent in their operation of the safe and adherence to proper cash handling procedures. The lock is monitoring and recording their actions as far as operation of the safe is concerned.

Examination of the audit trail can be used as a tool to identify employees who need additional training in cash handling and security procedures. For instance, the audit trail may show that an employee is leaving the safe unlocked for extended periods of time. This would signal a supervisor to work with the employee to develop better, more secure habits for cash handling.

If cash shortages occur, the audit trail can be used to search for irregularities in safe access. This information often leads directly to the person who is responsible.

— Operation

The current time and date must be set into the lock to allow the collection of meaningful audit trail information. As soon as this is done, the lock begins recording all operations performed on it, including identification of the person performing the operation via a user PIN (Personal Identification Number). The lock stores 400 events before it begins recording new actions over the oldest recorded ones.

The audit information can be transferred from the lock to a convenient Dallas iButton Touch Key. Code information is entered at the lock's keypad, and the Touch Key is inserted into the keypad receptacle. The lock then copies all information in its audit trail memory into the Touch Key, and signals when the transfer is complete. The Touch Key is then taken or shipped to the location where a computer is loaded with the Audit Software and equipped with a Dallas Blue Dot Reader.

The software is then used to read the audit information stored in the key. The audit trail can be displayed on the computer's screen, saved to a file, printed, or exported in formats that allow it to be integrated into many popular word processing and spreadsheet programs.

Collection, transfer, and display of the audit trail information is simple, secure, and very effective in managing cash handling procedures. Read the lock's operating instructions and this manual thoroughly. Both documents contain a wealth of information that you will find helpful in the daily operation of your lock(s) and audit trail software.

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1.1 — What's in the 6103-130 Audit Software Kit?

The following items are included in your software kit:

- (1) Dallas two position Blue Dot Reader*
- (1) Serial interface adapter for the Blue Dot Reader*
- (1) Green Dallas iButton Touch Key (DS1996)*
- (1) Audit Software CD*
- (1) Audit Software manual*
- (1) Registration card with serial number*



1.2 — What you need to supply to use the Audit Software Kit

You need to have the following items to use the software kit:

Personal computer with a Pentium processor P200 or higher

64 MB of memory

50 MB of free disk space

Windows 98®, and Windows NT®, Windows 2000®, Windows ME®, or Windows XP® operating system

At least one S&G Audit Lock with Keypad Extension Base

2.1— Installing the Dallas Semiconductor iButton-TMEX Software

Make sure your 6103-130 Audit Software Kit contains all the items listed on page 1 of this manual. If any items are missing, stop now. Contact your dealer to resolve any shortages.

Make sure your computer meets the minimum requirements listed on page 1. Do not try to install this software on a machine that does not meet these minimum requirements. If everything checks out okay, follow these steps:

1. Use the serial adapter to connect the Blue Dot Reader to the computer's serial port.
2. Close all unnecessary background programs (use Ctrl/Alt/Del for this purpose).
3. Insert the Sargent & Greenleaf Audit Software CD into the computer's CD-ROM drive.
4. Go to the Windows START menu and select the RUN command.
5. Click BROWSE and navigate to the CD-ROM drive. Open the "iButton" folder and select the "Setup" item. Double click on "Setup," or click OPEN when "setup" is selected.
6. With "iButton/Setup.exe" appearing in the RUN dialog box window, click OK.
7. The following dialog box should appear. Click YES to continue.



8. Follow the directions in the Install Wizard screens. Use the destination folder selected for you by the Install Wizard, and click INSTALL when asked to do so.
9. Review the information in the "1-Wire Net Port Selection" dialog. Select the AUTO-DETECT button to locate the serial interface reader and to configure the COM port.



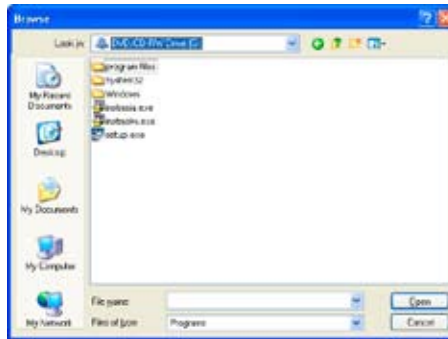
10. When instructed to do so, the Install Wizard will install the software. When it is finished, click FINISH (if necessary), and click YES when asked if you want to restart your computer. The iButton software will not take effect until the computer is restarted.

Note: If AUTO-DETECT does not find the Blue Dot Reader, check all connections and try again. For additional troubleshooting, contact Sargent & Greenleaf Technical Support (866-526-3583).

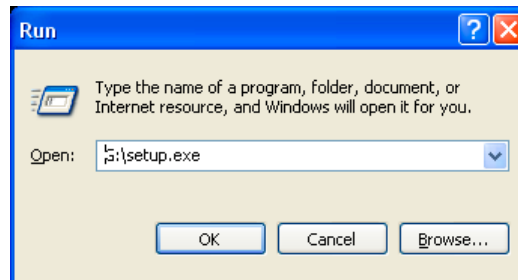
2.2— Audit Software Installation Procedure

Make sure the Dallas Semiconductor iButton-TMEX software has been properly installed in your computer, and that it recognizes the Blue Dot Reader when it is connected to the serial port.

1. If the reader is not already connected, use the serial adapter provided to connect the Blue Dot Reader to the serial port of your computer.
2. Close all unnecessary background programs (use Ctrl/Alt/Del for this purpose).
3. Insert the Sargent & Greenleaf Audit Software CD into the computer's CD-ROM drive.
4. Go to the Windows START menu and select the RUN command.
5. Click BROWSE and navigate to the CD-ROM drive. Double click on "setup," or click OPEN when "setup" is selected.

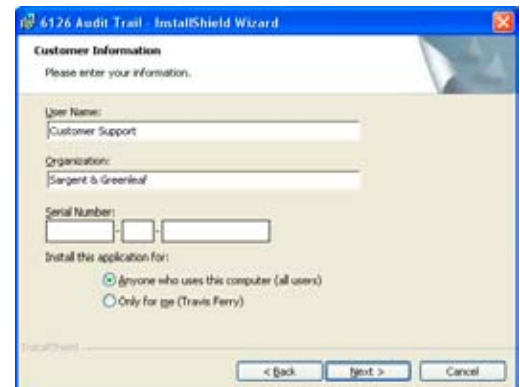


6. Click OK in the RUN dialog.



7. Follow the directions in the Install Wizard screens until you get to the Customer Information window. Here you should enter the name of the highest level Audit Software user, the company or organization name, and the serial number supplied in the software kit. Keep your serial number in a safe place in case you need to re-install the software in the future.
8. Use the destination folder selected for you by the Install Wizard, and click INSTALL when asked to do so.
9. The Install Wizard will install the Audit Software. When it is finished, click FINISH, and click YES when asked if you want to restart your computer. The Audit Software will not run until the computer is restarted.

This completes the software installation process. The Audit Software icon should automatically appear on your desktop after restart. Double click on this icon anytime you wish to start the Audit Software.



3.1 — Starting the Program and Changing the Logon Information

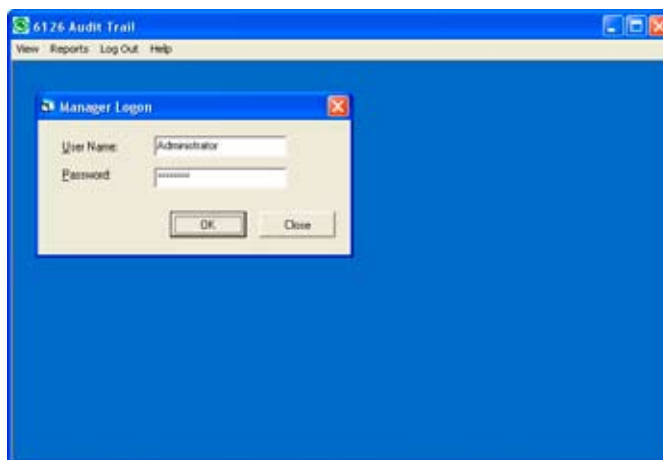
When you start the Audit Software, you are greeted by the following screen.



The Audit Software will allow you to perform the following functions:

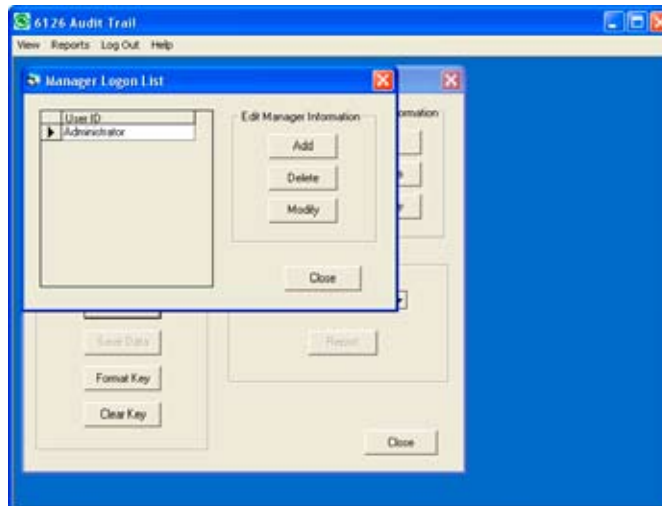
- clear a Touch Key's memory
- format a Touch Key so that it can accept information from a lock
- upload a new audit trail from a Touch Key
- view, print, and export an existing audit trail file
- add, delete, or modify lock registrations
- add, delete, or modify manager registrations

To log on the first time the software is run, use "Administrator" for the User Name and "password" as the Password. User Name and Password entries are case sensitive

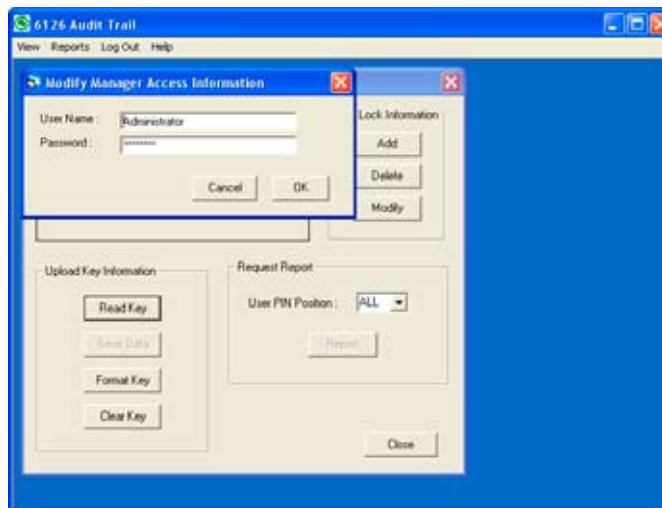


To insure the integrity of the audit trail system, you should change the User Name and Password immediately. You can also add additional managers at this time.

From the VIEW menu, select MANAGER LIST



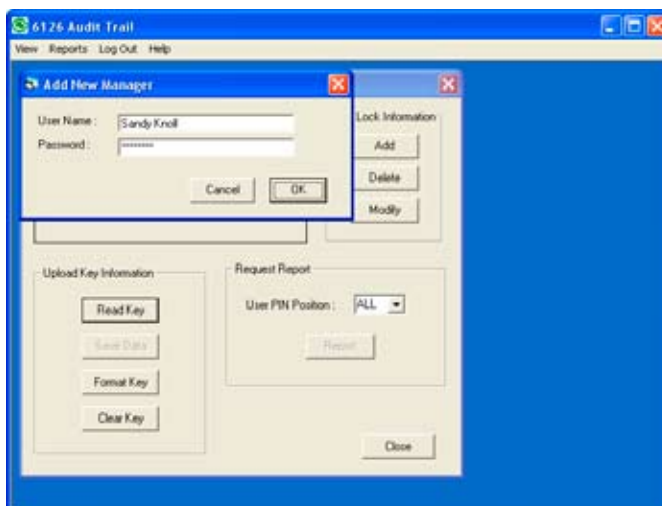
When you click on the MODIFY option, you are presented with a screen that lets you enter new information for Name and Password.



3.2 — Adding and Deleting Managers

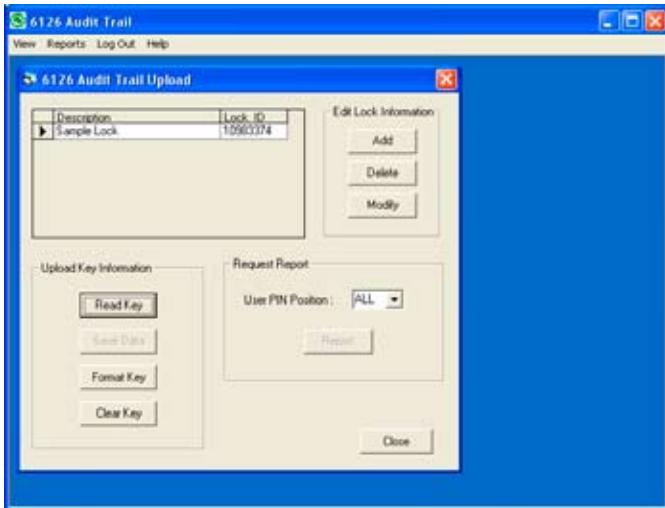
If you click the ADD option, you are given the opportunity to enter another User Name and Password for an additional manager. Clicking DELETE removes the selected manager completely.

WARNING: Any manager can add, modify, or delete any manager including himself. It is possible to delete all managers. This will prevent the software from running. It will be necessary to remove and re-install the Audit Software to restore functionality.

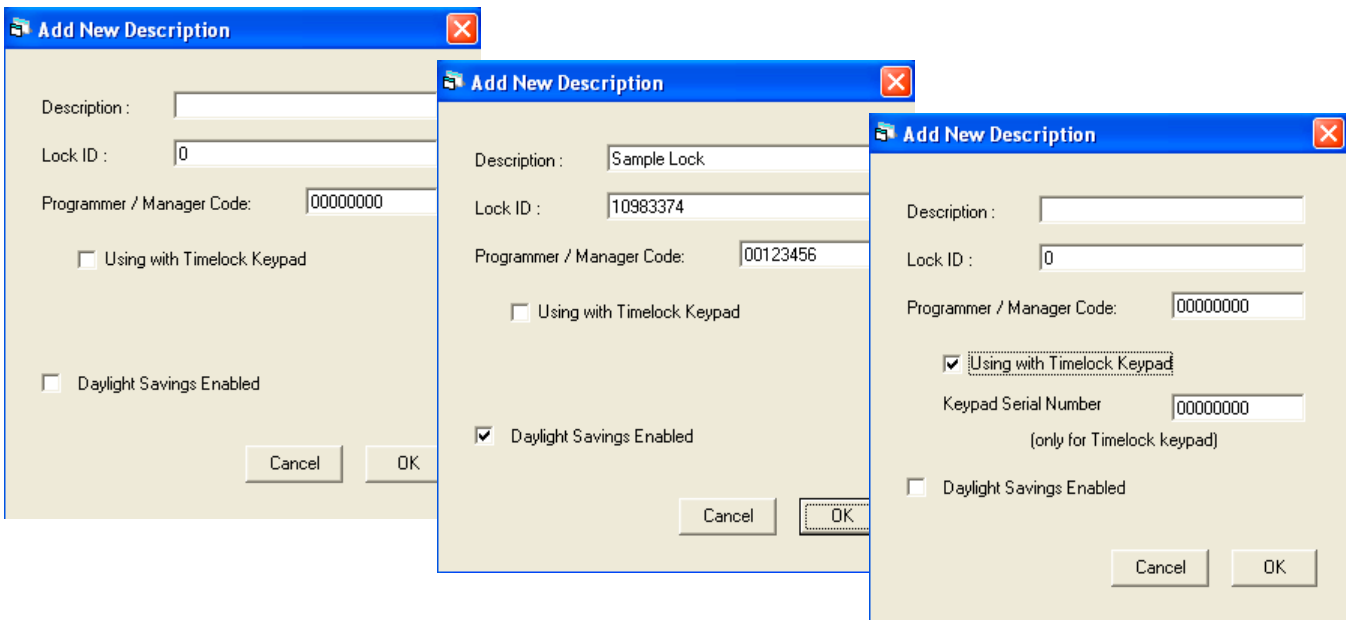


4.1 — Lock Registration

If the following screen is not visible, select *UPLOAD AUDIT TRAIL* from the *VIEW* menu.



You can begin creating your own S&G Audit Lock description by clicking on the *ADD* button.



Fill in the available fields with information specific to your lock. The *DESCRIPTION* can be anything that will help you easily identify the lock and its location. The *LOCK ID* can be anything you want. A serial number is provided on each lock body. We recommend you use this number, since it is already marked on the lock. The *Programmer/Manager Code* is the actual programmer code (00) or manager code (01-03) that was used to download the audit trail. Refer to the lock's operating instructions if you are unfamiliar with these codes. Click in the *Time Lock Keypad* box if the lock is equipped with this option. You will then be provided with a box to enter the *Time Lock Keypad's* serial number. If the *Time Lock Keypad* is used in encrypted mode, it is imperative to enter the correct serial number to obtain audit information. If the keypad is not using the encrypted mode, just enter eight zeros.



If you enter anything other than eight digits for the *Time Lock Keypad* serial number, you will receive an error message, and be prompted to re-enter it.

If you are in an area that is on Daylight Savings Time part of the year, check the box that says "DAYLIGHT SAVINGS ENABLED" to have the program adjust for it automatically.

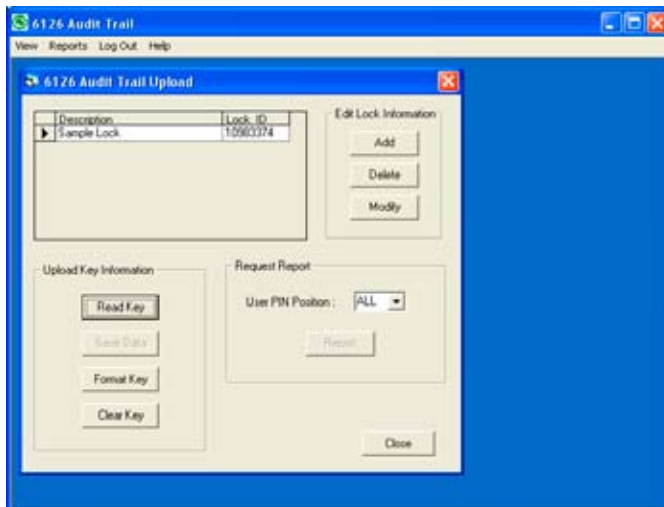
Click OK, and your lock will be registered with the software. Additional locks can be registered by clicking the ADD button on the AUDIT TRAIL UPLOAD screen.

5.1 — Touch Key Preparation

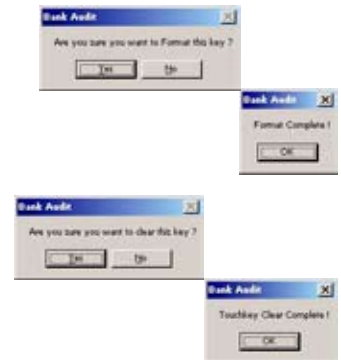
The Blue Dot Reader must be attached to the serial port of your computer to perform Touch Key operations.

Before a Touch Key can be used the first time, it must be formatted. Snap the key into the Blue Dot Reader. Click FORMAT KEY. The process takes approximately 30 seconds.

If desired, a Touch Key can be cleared (erased). Snap the key into the Blue Dot Reader. Click CLEAR KEY. This action also takes approximately 30 seconds. A key does not have to be erased to be used for downloading an audit trail. If there is old information on the key, it will simply be overwritten by the new download.



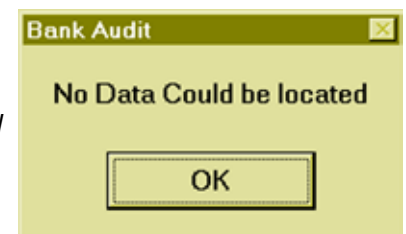
The process of formatting and clearing iButton Touch Keys is closely monitored by the software. Confirmation dialog boxes make you confirm your decisions before they are acted upon, and actions are confirmed as soon as they are completed.



5.2 — Uploading and Saving the Audit Trail

Once an audit trail has been downloaded from a lock into the Touch Key, it can be read by the Audit Software. Remember that the Programmer's Code in the lock's registration must match that used in the download of the audit trail from the lock.

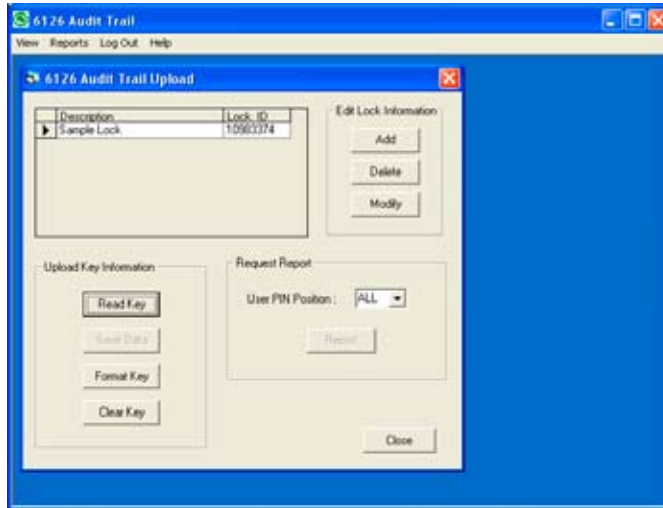
Snap the key into the Blue Dot Reader. Click READ KEY. If the upload cannot be accomplished, the following screen appears. Check the Programmer Code information to make sure it matches what was used to download the audit trail from the lock. Try to read the audit trail again. If problems persist, use a different Touch Key, and check to make sure the time and date have been programmed into the lock.



5.2 — Uploading and Saving the Audit Trail (cont.)

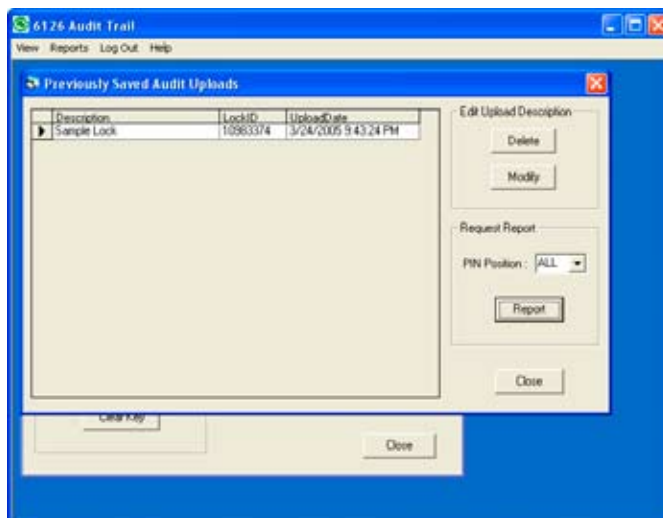
When the upload is successful, you will see a momentary **UPLOAD COMPLETE** message. The upload process takes about 30 seconds.

If you are going to save the audit trail data, this is an excellent time to do it. Once the software has captured an audit trail, the **SAVE DATA** button becomes usable. Click on it, and the audit trail information will be saved and cataloged by description, lock ID, time, and date. All saved reports can be viewed at any time by selecting **VIEW PREVIOUS AUDIT UPLOADS**, under the **REPORTS** menu.

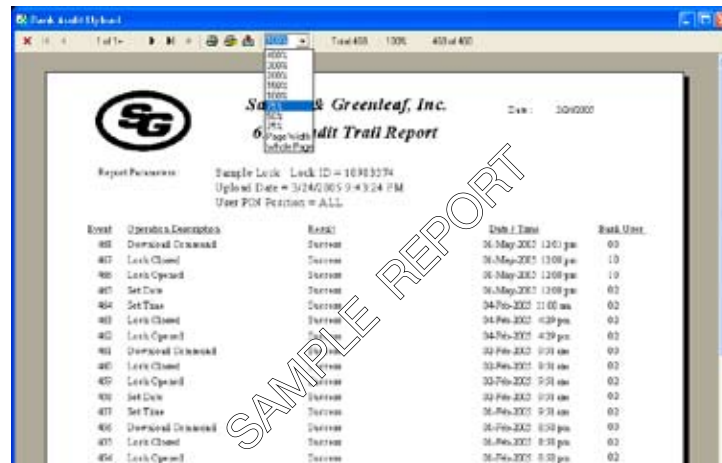


5.3 — Requesting and Working with a Report

Once the audit trail information has been uploaded, you will probably want to view it. The **REQUEST REPORT** section of the screen has just one option. It allows you to specify which PIN position you want to display audit information for. This would be useful if you wanted to check the activity of just one user. Normally, you will specify **ALL** for this input so that you can look at all the safe activity for a period of time.



When you click on the **REPORT** button, the audit trail information will be displayed. Note that one of the icons at the top of the report will let you size the screen to match your needs.

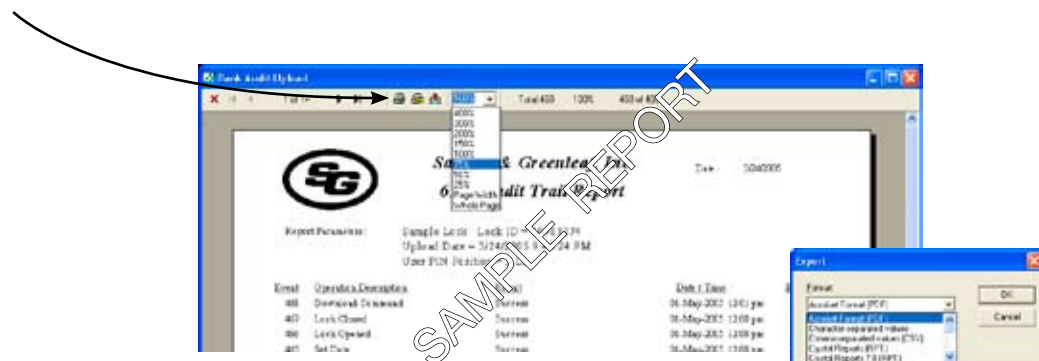


Audit trail information is displayed with the most recent activity at the top of the page, followed by the next most recent event, and so on. Each event is sequentially numbered and matched with a result, the time and date of the attempted action, and which PIN (and corresponding code) was used to attempt the action. By knowing who the PIN was assigned to, you can identify the person performing the operation.

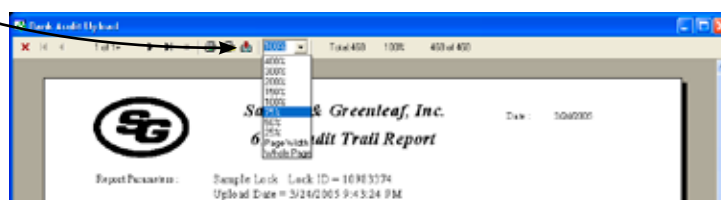
It should be noted that an entry stating "Bolt did not retract" could mean the battery was too low to open the lock, there was excessive side pressure on the bolt, or there was some mechanical issue preventing the lock bolt from retracting.

Any events captured by the lock prior to the time and date being set will have the date 1/1/00 assigned to them.

The **PRINT** icon at the top of the report prints the audit trail report to an attached printer.



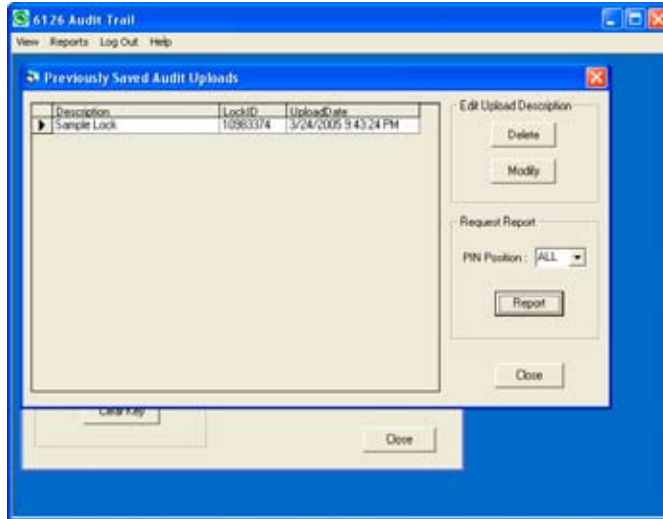
The **EXPORT** icon at the top of the report will allow you to export the audit trail report in a number of useful formats. These can be used when the report is to be e-mailed or included in a common PC application, such as a spreadsheet or word processing document.



5.4 — Retrieving a Saved Report

Go to the **REPORTS** menu and select **VIEW PREVIOUS AUDIT UPLOADS**. You will see a list of files identified by description, lock ID, and the upload time and date. Select the file you want to work with. You can also specify if you want to see data for only one PIN or all of them. When you click on **REPORT**, the familiar report screen appears. You can print or export the file.

While using the **VIEW PREVIOUS AUDIT UPLOADS** screen, you have the option of deleting any selected report(s) or modifying the description, lock ID, and time and date information that identifies any listed file.



6.1 — Software Version Identification

When checking for upgrades or speaking with a technical service representative about operating issues, you may find it helpful to know the software's version number. Go to the **HELP** menu and select **ABOUT**.

