

Ecora Software, Inc.

Auditor Professional

Version 4.5 - January 2008

Version 4.5 SP1 - April 2008

Version 4.5 SP1 (Hotfix 1) - May 12, 2008

Version 4.5 SP2 - September 2008

Version 4.5 SP2 (Hotfix 1) - January 30, 2009

Version 4.5 SP3 - March 2009

Ecora Compliance Center for Auditor Professional

Version 4.5 - January 2008

Version 4.5 SP1 - April 2008

Version 4.5 SP2 - September 2008

Version 4.5 SP3 - March 2009

NOTE: It has been the policy of Ecora Software to "code sign" all releases prior to making these releases available to our customers. Ecora is currently in the process of upgrading its "signature" to reflect the recent changes within the company. This process has not, yet, been completed and Ecora has made the decision to make the 4.5 SP3 release available to our customers without the digital signature. As soon as the "signature" is available, we will sign the release and replace the current file with the signed version. We regret any inconvenience that this may cause.

The following checksums are provided to help insure authenticity:

EcoraAuditorProfessional-4.5.9061.04410.exe

cksum:

1960022657 79085602

Md5

68da68cb58537eafa2869bd872985489

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AUDITOR PROFESSIONAL 4.5 SP3 Upgrade Requirements  
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Auditor Professional 4.5 SP3 can be applied as an upgrade to Auditor Professional version 4.1 SP1 or later.

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WHAT AUDITOR VERSION 4.5 SP3 CONTAINS  
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Auditor 4.5 SP3 contains the following bug fixes:

- \* Cisco - Not all SNMP communities were hidden.
- \* Cisco - Not all configuration changes were being detected.
- \* Cisco - Change report showing a false change for IP Access Control.
- \* Creation time for DB archive was being shown incorrectly.
- \* EDD was showing incorrect Compliant/Not Compliant status for different attributes of Unix and Cisco modules.

- \* Alert was not sent if a scheduled FFR definition is deleted and the task fails.
- \* During installation, if DB migration was canceled, all subsequent migration tasks were cancelled.
- \* Alerts don't always show the product name properly.
- \* A discrepancy between Local Policies ->Security Options data shown in a documentation report and an actual Local Policies->Security Options data on a machine
- \* Some Exchange collector configuration files were not included in the install.
- \* Database archiving task was failing after update from 4.5 sp1 to 4.5 sp2.
- \* List of successful and failed devices were missing in the cisoc/ciscoPix configuration reports.
- \* There were discrepancies in the database schema when "updated from SP1 to SP2" as opposed to a new installation of SP2.

Auditor 4.5 SP3 contains the following enhancements:

- \* Customer are now warned when editing or deleting system/attribute groups.
- \* Ability to delete systems in the Agents Management window was added.

===== AUDITOR PROFESSIONAL 4.5 SP2 Upgrade Requirements =====

Auditor Professional 4.5 SP2 can be applied as an upgrade to Auditor Professional version 4.1 SP1 or later.

===== WHAT AUDITOR VERSION 4.5 SP2 (Hotfix 1) CONTAINS =====

Auditor 4.5 SP2 (Hotfix 1) contains the following bug fix:

- \* Cisco, Unix modules showing non-compliance in Policy Compliance Dashboard for some rules that are in compliance.

===== WHAT AUDITOR VERSION 4.5 SP2 CONTAINS =====

Auditor 4.5 SP2 contains the following new features:

- \* Unix Agent for Solaris 10, RedHat releases with Linux kernel 2.6
- \* Collecting configuration information from SMI-S compliant SAN and NAS devices from Netapp, EMC, and others.
- \* ITSM Support for Remedy Service Desk Express (formerly/AKA Magic(TM))
- \* Reporting Center for Patch now integrated as part of Compliance Center

Auditor 4.5 SP2 contains the following enhancements:

- \* Compliance Center configuration enhancements including a new utility to ease configuration
- \* Windows collector now supports Windows Server 2008

Auditor 4.5 SP2 contains addresses several performance issues reported since SP1

===== WHAT AUDITOR VERSION 4.5 SP1 CONTAINS =====

Auditor 4.5 SP1 contains enhancements, bug fixes, and features not ready for release when version 4.5 originally shipped.

Additions and Enhancements

The ITSM Connector supports ServiceNow(TM) and Remedy version 7.

Support for Oracle as a back-end database for Auditor Pro 4.5 SP1 is now enabled.

VMware ESX 3.5 is now supported by the VMware Module.

===== WHAT AUDITOR VERSION 4.5 CONTAINS =====

Auditor 4.5 includes significant new reporting and data collection capabilities that required changes in the way Auditor Professional is deployed. If your current Auditor Professional 4.1 deployment involved the services of Ecora or other third parties consult with them prior to upgrading to Auditor Professional 4.5 to determine if any special steps should be followed to address your unique installation.

When planning for the upgrade, Ecora recommends you perform a full backup of Auditor 4.1 even if you plan on deploying 4.1 and 4.5 in parallel. Deploying 4.1 and 4.5 in parallel is the preferred method of migration as it allows you to configure 4.5 to match your 4.1 environment, compare data collections and reports to ensure you are getting the expected results, and only then cutting over to the 4.5 deployment. Running both versions in parallel ensures that there will be no interruption in data collection or reporting during the migration process.

Auditor Professional Distribution

Auditor Professional is now distributed as a single installer for all core modules. When installing additional modules, it is no longer necessary to download individual components. Going to Control Panel > Add Remove Programs and modifying the Auditor Professional installation will allow you to activate additional modules as granted through your license. By default, the installer will now install the Windows module as the base installation.

Ecora Compliance Center, Ecora Executive Dashboard, and the Remote Agent are all distributed as separate and optional installer.

Ecora Reporting Center replaced by Ecora Compliance Center

The previous Ecora Reporting Center has been replaced by a new Ecora Compliance Center that combines reporting and dashboard functionality in a new streamlined interface. The previous Reporting Center will no longer function with Auditor Professional 4.5. If you currently use Ecora Reporting Center, contact your account team to discuss upgrade options for your current deployment.

## CCL Report Definitions

The CCL and Change reporting engines have been merged into one "Change Report" engine. CCL reports definitions will be migrated as Change Reports, preserving the same content and functionality.

## "REPO" Files

The need for REPO files has been eliminated from Auditor 4.5 and all report data is accessed from the backend database. Customers who have used REPO files as a means of backing up data should refer to the native archiving mechanism within Auditor Professional 4.5. If you have previous archived data in the form of REPO file, you will want to re-import that data into the 4.1 Auditor database prior to migrating to 4.5.

## Collect and Document Reporting Tasks

Auditor Professional has separated the reporting and collection tasks associate with Documentation Reports (now called Configuration Reports.) When scheduling Configuration Report generation it will be necessary schedule any collection tasks in advance, allowing enough time for that job to complete before starting the Configuration Report generation.

## Integration with BMC Remedy(TM) and HP Service Desk(TM)

Auditor Professional 4.5 contains components that allows for tighter integration with Remedy and Service Desk. These features require some assistance of Ecora Professional Services to assist with the installation and configuration of these features. Please contact your sales team for further details.

## Optional Agent Based Collector

Auditor Professional 4.5 includes support for an optional agent based collector. This agent must be deployed on the target machines by way of a separate installer provided with this release. The agent is not intended to replace the agent-less collection capabilities of Auditor. Rather, its primary use is intended to collect from a subset of your servers where network access is constrained or limited by firewall policies. While the agent is capable of collection the same data as Auditor collects without an agent, the agent collector is limited to collecting against a single recurring schedule. If you have any questions about this, contact your account team.

## Questions or Concerns

Auditor Professional 4.5 contains a lot of new and exciting functionality we want our customers take advantage of. If you have any questions or concerns about upgrading to Auditor Professional 4.5, Contact your account team.

===== CONTENT ADDITIONS IN AUDITOR VERSION 4.5 =====

- Auditor Professional 4.5 now supports
  - o Exchange 2007
  - o CentOS
  - o Oracle Unbreakable Linux
  - o Solaris 10 (Full Support)
  - o SuSE Enterprise Linux for System 390.

===== CONTENT ADDITIONS IN AUDITOR VERSION 4.5 SP2 =====

- Auditor Professional 4.5 SP2 now supports
  - o Windows Server 2008
  - o SMI-S Compliant SAN and NAS devices

===== FIXED ISSUES IN AUDITOR PROFESSIONAL 4.5 SP1 (Hotfix 1) ==

- NAS information is now reported correctly by the VMware Module.
- Oracle Enterprise Linux Advanced Server (AS) is now correctly identified.
- A condition where the VMware module would hang has been resolved.
- Collection performance when resolving machines in large environments has been significantly improved.

===== FIXED ISSUES IN AUDITOR PROFESSIONAL 4.5 SP1 =====

- The optional agent cannot collect Who-Made-Change information at this time. This functionality is expected in an upcoming service pack.
- Active Directory collections may fail when an AD group member name (Foreign Security Principal) cannot be resolved.
- Performance of VM discovery has been improved.
- A problem which prevented users from collecting ONLY user defined custom methods has been fixed.

===== EXISTING ISSUES IN AUDITOR PROFESSIONAL 4.5 SP3 =====

- There are still conditions in the Cisco module that will trigger a "false" change report. Specifically the TCP acl list when the source and destination addresses are the same for the same rule.

===== EXISTING ISSUES IN AUDITOR PROFESSIONAL 4.5 SP2 =====

- Auditor Professional may incorrectly indicate a patch is available when the patch is downloaded and applied manually. To eliminate this notification, allow Auditor to download the "update" without installing.

- Starting the Unix Agent may generate errors if the default location to its configuration file is incorrect. The "default" directory to the application configuration files differs between Sun and Linux. Solaris reserves "etc" for system configuration files. Since the application has only one default you will need to start either Linux or Solaris using the convention "ecoraagent --conf=<path>/ecoraAgent.conf" convention to start the application. For Linux: "ecoraagent --conf=/etc/ecoraAgent.conf" For Solaris: "ecoraagent --conf=/opt/etc/ecoraAgent.conf"

- Under some circumstances, when installing Auditor Professional local database instances are not discovered. This is a known issue by Microsoft.

See

<http://forums.microsoft.com/MSDN/ShowPost.aspx?PostID=2502793&SiteID=1>

If this registry entry is not present, a workaround is possible: manually create the MULTI\_SZ (multistring) type value "HKEY\_LOCAL\_MACHINE\SOFTWARE\Microsoft\Microsoft SQL Server\InstalledInstances", and add the MSSQLSERVER (default unnamed instance) and other installed DB instances to this key.

- Under some circumstances the Cisco module may report false changes on IP ACLs.

- When upgrading from 4.5 SP1 to 4.5 SP2 the Agent manager must be re-installed.

- The ITSM connector may appear to be slow when reconciling CI's with Service Desk Express. This is due to an API limitation within Service Desk Express. Alternative approaches will be investigated for the future.

- The ITSM connector is unable to update existing tickets in Service Desk Express versions prior to 9.6.

- Changing the method of executing the Unix Agent from running as root to using 'sudo' for command execution will result in differences detected between collections made under the different approaches.

- There may be differences related to NTFS permissions shown in the "File and Print" and "Scheduled Tasks" sections of Change and Baseline reports when comparing data collected by an Agent and data collected natively by Auditor. The differences arise because the Agent considers NT AUTHORITY\SYSTEM as a user but Auditor considers NT AUTHORITY\SYSTEM as a well-known group.

- Under some circumstances, connection tests and/or collections may fail against Windows servers because Windows limits shares from a particular machine to one user. The reason of this issue was described in

<http://support.microsoft.com/kb/938120/en-us> . To workaround this issue  
- add the IP address of remote host to the Properties in the Auditor System Management screen.

- Who Made Change functionality is not currently supported for Windows 2008.

- Application failures may result when Auditor Professional is installed on the same machine with products from Teleca AB.

- The user receives no warning when deleting a System or Attribute Group used by a scheduled task. As a result, the scheduled task will fail.

- The Unix Agent supplies a set of shared libraries in /opt/lib/Ecora. Please see your administrator for the proper way to include these libraries in your shared library path for your particular system.

- If the credentials for any of the Ecora Window's services are changed, these may get reset to defaults after an upgrade. After upgrading, verify that these credentials are as expected and update if necessary.

===== EXISTING ISSUES IN AUDITOR PROFESSIONAL 4.5 SP1 =====

- Ecora Compliance Center cannot be upgraded. Users must first uninstall ECC and perform a new installation. This will NOT result in any data loss.

- Mssecure.xml downloads fail when proxying through some proxy servers like UserGate (<http://www.entensys.com>.) The MS ISA works fine. A workaround for the issue the following node may added into the 'AUDITOR\_INSTALL\_DIR/etc/resources.xml' file:

```
<updatesPatchURL>  
  http://www.ecora.com/cgi-bin/${Partner}/${MajorVersion}/go?go=updates  
</updatesPatchURL>
```

- Migrated custom report definitions containing obsolete attributes are not placed in the 'Non-migrated' folder. This happens if they are destined for any directory other than the root folder.

- Custom FFR report definitions may not migrate properly from 4.1 SP1 if they contain custom SQL.

- Adding users to ECC from AD, the list of users available to add will be truncated to the first 10,000 entries.

- NAS information, as collected by the VMware ESX module, is not reported.

- In Executive Dashboard, some policies which reference Active Directory values may fail to calculate.

- In Auditor Pro 4.5, it was possible to refine SQL database collections to limit specific tables, store procedures, and other similar objects. In Auditor Pro 4.5 SP1 this capability is not available. This functionality is expected to return in a future Service Pack.
- Users with Oracle as their backend database for Auditor Pro will not be able to migrate automatically from 4.1 SP1. Such users should start with a clean database installation when installing 4.5 SP1.
- On some systems, the Agent Manager Service may fail to start automatically. This issue can be worked around by starting the service manually.
- No data is shown for the "NTFS Permissions" column of the "File Information" table of the "Custom File Information" section of a configuration report. You can see this info in FFR. Other columns of the table have data.
- Installing Auditor Pro on a 64bit machine with Oracle as a back-end database requires 32bit Oracle 11 Client in order to avoid potential problems.
- Certain reports for Cisco, AD, DB2, MSSQL, Citrix, and Firewall devices may not migrate automatically during an upgrade as there have been significant changes to the content of those modules.
- When installing Auditor Professional after installing the Oracle Client, reboot the machine in order to avoid a condition where Auditor fails to respond during collection.

===== EXISTING ISSUES IN AUDITOR VERSION 4.5 =====

- There is a certain chance that the installation of Auditor Professional may fail with insufficient privileges error if the "Services" and/or "Computer Management" Windows applets are open. To avoid this error, please close these applets before the installation.
- The information about network adapters collected in previous version of Auditor Professional is not able to be migrated properly into Auditor Professional 4.5 and thus cannot be reported in Auditor Professional 4.5.
- When installing or running Auditor on a Windows Vista machine, make sure you have UAC (User Access Control) turned off.
- Auditor Professional 4.5 does not migrate repository files from the previously installed version. If you want to migrate configuration data stored in these files, you must import the files into the Auditor 4.1 database beforehand. Once that step is complete, you can start to install Auditor Professional 4.5.
- Change reports generated using both the data migrated from the previous version of Auditor and the data collected by version 4.5 may display

changes even if there was no actual difference in the data being compared. This may be due to the following reasons:

1. Different presentation of the attributes that are marked as failed to be collected in Auditor Professional 4.5.
2. Pre-4.5 versions of Auditor Professional replace tabs with white spaces which is not true for Auditor Professional 4.5.
3. Some modules of Auditor Professional 4.5, such as Domino, now have different internal presentation of unique attributes that are used to properly identify system-level objects.

To avoid these issues, we recommended you collect entirely new datasets using Auditor Professional 4.5. Use these new datasets as your "gold standard" instead of using the ones collected before, with a pre-4.5 version.

- Using Auditor Agent to perform collections on a Windows 2000 system with a patch level lower than SP4 may fail intermittently. Users should update the Windows 2000 system with all service packs and hot fixes available to this point.

- If you try to install Auditor to a folder other than the default and use the default path for your ECC installation, you will receive an error 'Service Unavailable' when you try to run ECC. Users should verify that the directory they are providing is the correct path to the Auditor Professional installation.

- When you are performing a Collection using the Auditor Agent, a dialog box may appear with an error message informing you that the floppy drive is not ready. This can occur on systems that actually do not have a floppy disk drive but that have the floppy drive enabled in the system BIOS and that also have NOD32 antivirus software installed with the AMON resident module enabled. To resolve this issue, disable the floppy disk drive in the system BIOS if there is no floppy drive on the system.

- If you use a remote MS SQL Server database with Windows authentication for storing collected configuration data and other Auditor information, you must specify an account other than "Local System" to be used by Auditor services by setting the account name and password in Auditor's "Service Log On" dialog (select File > Settings > Database tab). The specified account (or a group that contains it) should be added to the "Log on as a service" Local Policy in Windows Administrative Tools > Local Security Policy > Local Policies > User Rights Assignment > "Log on as a service" on Auditor system that uses the remote MS SQL Server. If a remote MS SQL Server database is used with MS SQL Server authentication, the "Service Log On" setting may be set to "Local System".

- If you try to uninstall or update Auditor while a report is open or you have Windows Explorer open to the Auditor directory (and in some cases while auditor.exe is running), you may receive the following message: 'The following applications should be closed before continuing the installation'. The list displayed may also be empty. Close all applications and retry the uninstall or update.

- The error "File notes.ini was not found" can occur while installing Auditor Professional 4.5 with the Domino module option enabled. To prevent this error, install the Lotus Notes client "Single User Install" option only and ensure that the notes.ini file is located in the "C:\Program Files\Lotus\Notes\" folder. You also must add the following line to your notes.ini file:

```
EXTMGR_ADDINS=nEcoraPwd.dll
```

In addition, the system path must include the following:

- a. the Notes program directory as determined locally by your Notes installation
- b. the Auditor bin directory (Defaults to C:\Program Files\Ecora\Auditor45\bin; but is configurable).

- It is not possible to install the Auditor Agent using a Remote Desktop Connection if the target machine is configured to delete temporary folders when users end the terminal session. To install Auditor Agent using a Remote Desktop Connection, you must make sure that the server setting in the Terminal Services Configuration called "Delete temporary folders on exit" is set to "No" on the target machine.

- When both Ecora Auditor Professional 4.5 for Exchange and Microsoft Outlook 2007 are running exclusively with the use of the "Run As" command using the same account, the collection process within Auditor may fail or not complete. This is due to the access violation error in Microsoft library MSPST32.DLL that is shipped along with Microsoft Office 2007. If you want to avoid this issue entirely, make sure that you are not running these two applications under the same account with the "Run As" command.

- Scheduled tasks are not disabled or removed after Auditor is uninstalled. Users will need to remove these tasks from the Windows Scheduler manually.

- Migration of Scheduled Tasks for Baseline Reports with the "Collect a new dataset" option chosen is no longer supported. In Auditor 4.5 it is not possible to have such tasks with the "Collect a new dataset" option. You must now schedule the respective Baseline Reports and Data Collection tasks as separate tasks manually after you install Auditor Professional 4.5.

- We recommend that the machine running Auditor Agent has its clock synchronized to the host machine that is running Auditor and Agent Manager otherwise the data collected by the Agent software may be missed due to the time difference in reports generated on the Auditor host.

- While migrating user settings from the previous version, Auditor is unable to retrieve passwords for Service Log On if it is not set to "Local System Account", resulting in changes to these settings during migration. Please change these settings according to your requirements after installing Auditor 4.5 by using the Service Log On button on the Settings, Database tab.

- In some generated reports, attributes in the lists are not in bold text as they should be.

- When both Auditor Professional 4.5 for Exchange and Microsoft Outlook 2007 are executing at the same time, the collection process within Auditor may fail or not complete. This is due to an access violation error in Microsoft Library MSPST32.DLL that is included with Microsoft Office 2007. To avoid this issue, do not run Auditor Professional 4.5 for Exchange and Microsoft Office 2007 at the same time.

- To avoid potential collection failures against machines discovered with IP Discovery and fully qualified domain names, users will want to run Auditor with domain credentials such as a domain user or a domain administrator.

===== EXISTING ISSUES IN ECORA COMPLIANCE CENTER FOR AUDITOR 4.5 =====

- You must be a domain administrator in order to add domain users to ECC.

- If you have installed ECC and manually changed some IIS settings related to ECC (for example, the IP address or port), and then try to uninstall ECC, the ECC site will fail to uninstall and will stay in IIS. The ECC45Pool application pool will also remain with its status set to Stopped. If you reinstall ECC, the settings you changed manually for the previous installation will remain and the application will remain Stopped. To work around this, manually start the application pool and if necessary, change the ECC settings in IIS.

===== EXISTING ISSUES IN ECORA AUDITOR PROFESSIONAL OPTIONAL AGENT =====

- Auditor Agent does not collect Domain Level information, such as Active Directory information, domain users and groups information, domain security settings and so on, unless it is installed on a Domain Controller, since it is only able to collect configuration information against the host where it is installed.

- In some rare situations Agent may hang up when trying to collect WMI-based configuration data. Only Agents installed on Windows 2000 Advanced Server systems are known to be susceptible so far.