SmartVault Power Tools (Provision & Analyze) v1.0 – User Guide

Welcome to v1.0 of the SmartVault Power Tools, a set of advanced user management tools for SmartVault account administrators. This product is initially designed for tech-savvy account administrators, for SmartVault DMX Professional account plans, who need to:

- Automate the provisioning of new users in "bulk", and also setup complete folder hierarchies using custom folder and security templates for your users.
- Re-provision security for existing client folders in SmartVault.
- Analyze and manager security permissions for your existing users, on a user-by-user basis.

The SmartVault Power Tool suite is a desktop application that runs on your Windows-based PC, not from the SmartVault portal. You do not need to install the SmartVault desktop software on your PC to run this app (but they can both run on the same machine without a problem).

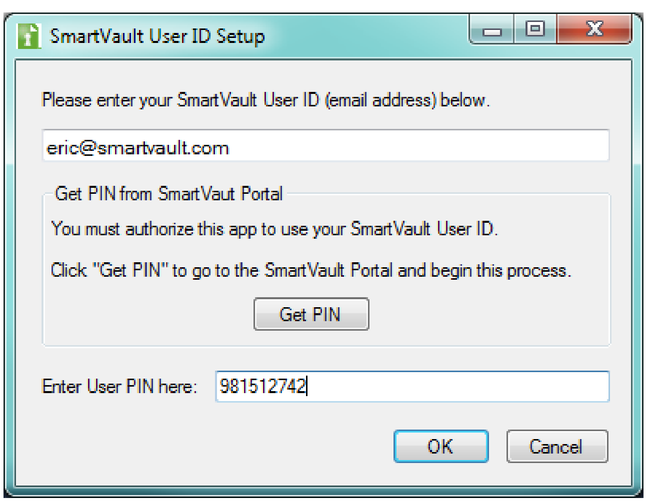
Installation

You can download and install SmartVault Powers Tools from the SmartVault support site at http://support.smartvault.com/downloads/SVPowerTools. This tool will periodically check for updates and automatically update itself.

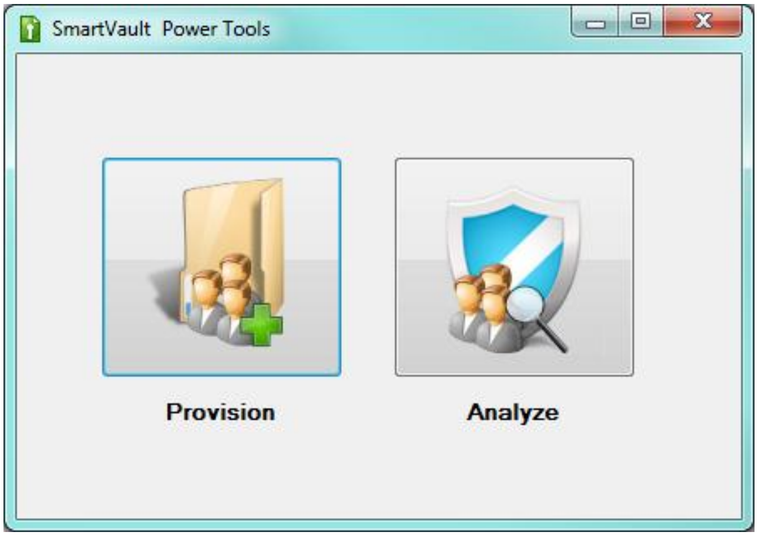
The program will run automatically after installing. You can also run the SmartVault Power Tools at any time from the Windows Start button under All Programs > SmartVault > SV Power Tools.

Setup

The first time you run either the Provision app or the Analyze app you must enter your SmartVault User ID (email address). After entering your User ID and clicking "OK", follow the instructions to obtain a security PIN from the SmartVault portal. Copy the PIN from the portal and paste the PIN in the SmartVault Power Tool app's setup dialog.



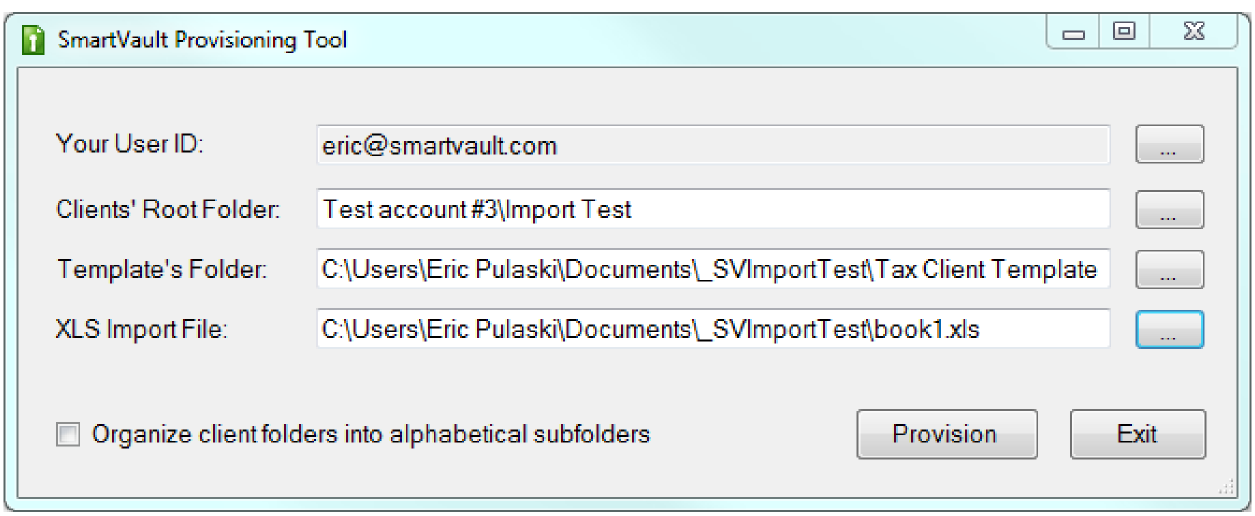
That's all there is to setup. From the main screen (current screen shot is below, pending new icons), you can run the provisioning tool, to provision users and their folder structures, as well as analyze and manager permissions for existing users.



Using the Provisioning Tool (Provision)

When you select Provision, you will get a screen similar to the one below. This is the main window for provisioning users in bulk. Each of the options is briefly described below the screen shot. The tool was designed for professional services firms to provision folders for new clients (Guest users), but could be used to provision current client folders with a new folder structure for each new calendar year, and for other use cases. [See the sample files in the Examples directory, parallel to the Setup directory where you can find the Setup.exe program described above.]

Note that you can directly edit the fields in the form below, but it's may be easier to edit each of the fields using the "…" buttons provided to the right of each field. When you click "Continue…" your choices here will be saved as the defaults for the next time you run the Provision app.



Your User ID: Shows your SmartVault User ID. You can change this at any time to sign in to SmartVault as a different user.

Clients' Root Folder: This is an account, vault or folder in SmartVault that will be the "root folder". Folders for each new company or user will be created under this root folder, based on your Template Folder and parameters you can set in the XML Import File.

Template's Folder: This folder will be used as the root "template" for each user found in the specified spreadsheet. You can create whatever folder structure you want. You can use the Provision app to provision a folder hierarchy as well as files[1] in these folders and setup users' security permissions for each of the folders (as described in the "Security Templates" section, below).

XLS Import File: This is the spreadsheet that controls the provisioning process. Each row in the spreadsheet specifies a user to be provisioned. The format of this spreadsheet is described in the next section, along with some (optional) advanced features that are available.

Organize client folders into alphabetical subfolders: If you check this box, users' home folders will not be placed directly under the Clients' Root Folder. Instead, the Provision app will treat any existing folders [or Vaults, if the Root Folder is an account] under the Clients' Root Folder as partitions in which to put each new client's folder, based on the folder name. For example, you could have folders named "Aardvark – Bach" and "Baden – Forman". A new folder for a client whose company name is "Apple, Inc." would be put under the first folder, as would "Ba Ba Black Sheep"; however, "Beanbags R-Us" would be placed under the second subfolder. If the Clients' Root Folder is empty, The Provision app will automatically create 26 subfolders for you, named "A" to "Z", and put client/user folders in the appropriate lettered folder.

Continue…

When you click "Provision", the Provision app will analyze the Excel spreadsheet and give you some preliminary feedback about what is about to happen, including telling you of any obvious warning or error conditions. This will give you a chance to tweak your spreadsheet or template file before you pull the trigger. Note, however, that this may just be a subset of the actual things that might go wrong with operation. For example, if you don't have enough licenses available, that's not an error condition that is checked during this preliminary analysis.

At the end of the Import/Provisioning operation you will get a detail report of the results, including any error conditions that occurred.

License Types: With the initial version of this provisioning tool, all users will be added as Guest users. If you want to import users using a different license type, first import the users as Guests and then go to "Manage Licenses" in the SmartVault portal for your account and change the license type.

[1] Files with invalid characters ('+' and '%') will automatically be renamed, substituting the '_' character for the invalid character. Folders with invalid characters will not be renamed, and will result in an error message.

Excel Spreadsheet Format

The excel spreadsheet must be formatted with the column titles in the sample file BasicImport.xls. The data with all your users must be in a tab called “Sheet1”, and it must be in the old Microsoft Excel .XLS format, not the new .XLSX format.

There are actually only two columns that are required: *EmailAddress* and *ClientFolder*. The Template column is option, as are the columns described in the Advanced Options section, below.

- **EmailAddress**: This is the email address of the new user that will be added.
- **ClientFolder**: This is the name of the user’s “home folder” to be created under the Client Root Folder. Usually, for an accounting firm provisioning new clients, this would be the company or organization name.
- **Template** (Optional): If not all users will be configured according to the same template, you can use this column to specify different template folders for different users. If you specify a Template for a specific user, then the Provision app looks for *this* template folder underneath the main template folder specified in the form above.

Security Template Files (SVSecurity.XXX files)

You can (optionally) use the Provision app to create security permissions in each folder that is created under each users “home” directory. These are the same security setting available using from the *Share and Manage Access* screen in the SmartVault portal. If you don’t specify specific security rules, users will be given Read-only permissions to their folders. Creating an “SVSecurity” file, essentially, let’s you create a template user so that each user in your XLS import file will get security settings “just like the template user”.

You specify specific security permissions by putting a file named “SVSecurity.xxx” in your template folders, where “xxx” specifies details about the security settings (as shown in the Example templates). Here are the rules used for implementing security according to these files.

1. You can put an “SVSecurity.xxx” file in each subdirectory in your template, to make each user in your XLS file like the template, using the following options for “xxx” (the file extension) to specify what access users should have in the folder:
    - R (for read)
    - W (for Write)
    - D (for Delete)
    - C (for Create)
    - None (meaning that this user will not have any rights to the folder)

    For example, “RWDC” for all permissions, or “R” for just read-only access.

2. Each new folder inherits its default security settings from its parent folder, so if you don’t put an “SVSecurity.” file in a folder, the user will inherit whatever access control they have in the

parent folder. You can override the settings that would be inherited from the parent by putting "SVSecurity.xxx" files in any folder in your template hierarchy.

3. FYI, The contents of the file are not checked by the Provision app – it's just looking at the file name starting with "SVSecurity"
4. While the provisioning tool will provision folders and files, copying all the files in your temple directories to SmartVault, SVSecurity.XXX files will NOT be copied. They are strictly for use in defining security settings, so any files named SVSecurity.XXX will be ignored when it comes to copying files from you template directories to users' folders in SmartVault.

Advanced Options

For administrators with more advanced needs, this section described the advanced provisioning features. Advanced options are shown in sample file AdvancedImport.xls. The data with all your users must be in a tab called "Sheet1", and it must be in the old Microsoft Excel .XLS format, not the new .XLSX format.

Excel Spreadsheet Format: Advanced Options (Optional Columns)

- **Subsidiary**: This lets you handle the special case of holding companies, that are themselves root folders, and which have subsidiary companies, each with their own folder under the parent folder. For example, "Joe's Holding Company" may have multiple entities, each to be provisioned with its own folder hierarchy underneath "Joe's Holdings Company".
- **VaultGroup**: This lets you add the user to a vault group by specifying "VaultName:ID", where VaultName is the name of a vault in the same account as the Clients' Root Folder, and ID is one of the following three 2-letter identifiers for the pre-defined vault groups: "VM" for Vault Manager, "FA" for Vault Full Access, and "RO" for Vault Read Only.
- **SecuriyRoles**: This optional feature can be used to configure more advanced security options. For details, see the "Security Templates" section, below. You can specify one or more security roles, separated by a comma (',').

SVSecurity Template Files: Advanced Options

After "SVSecurity." you can also specify either a SmartVault User ID or a Security Role:

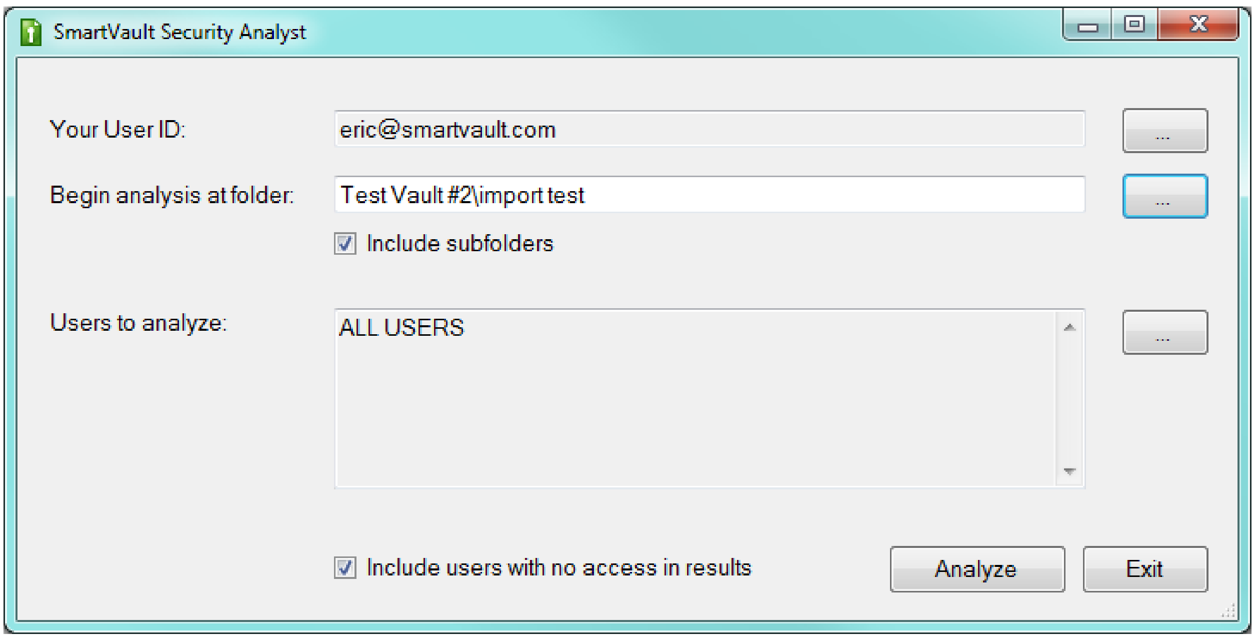
1. If you specify a valid SmartVault User ID (e.g., "SVSecurity.eric@smartvault.com.RW"), the specified User ID will get the security setting that follows the User ID. The "Tax Client Template" example folders demonstrates this in the "Send to Carol" folder: Duncan@smartvault.com gets RWCD access to this folder for each and every client this has this folder provisioned as part of this template.
2. SecurityRoles are defined in the SecurityRoles column in your Import Spreadsheet. A user may hold one or more roles; multiple roles must by separated by a (',') character. If a file is found with a SecurityRole (e.g., "SVSecurity.Bookkeeper.RW"), any user who has this value specified in the SecurityRoles column in the spreadsheet will get the security setting that follows the SecurityRole name (e.g., "RW" in the previous example). You could use this to increase a user's

permissions over the default permissions, or further restrict a user's permissions. The "Tax Client Template" example shows both of these: The "Owner" SecurityRole is used to give "Owners" Read access to the "Tax Returns" folder, whereas all other users get "None"; By default, all users get Read access to the "Financials" folder, whereas users with the "Bookkeeper" SecurityRole get "None".[2]

Using the SmartVault Security Analyst (Analyze)

When you select analyze from the start up screen, you will get a screen similar to the one below. This is the main window for the Security Analyst feature that lets administrators view and manage security on a user-by-user basis. Each of the options is briefly described below the screen shot.

Note that you can directly edit the fields in the form below, but it's may be easier to edit each of the fields using the "…" buttons provided to the right of each field. When you click "Continue…" your choices here will be saved as the defaults for the next time you run the the Provision app.



<u>Your User ID:</u> Shows your SmartVault User ID. You can change this at any time to sign in to SmartVault as a different user.

<u>Begin analysis at folder:</u> This is the starting point for the security analysis, which can be an account, vault or folder.

<u>Users to analyze:</u> This option lets you select all users in the account, or only a subset of users for which you want to look at security permissions.

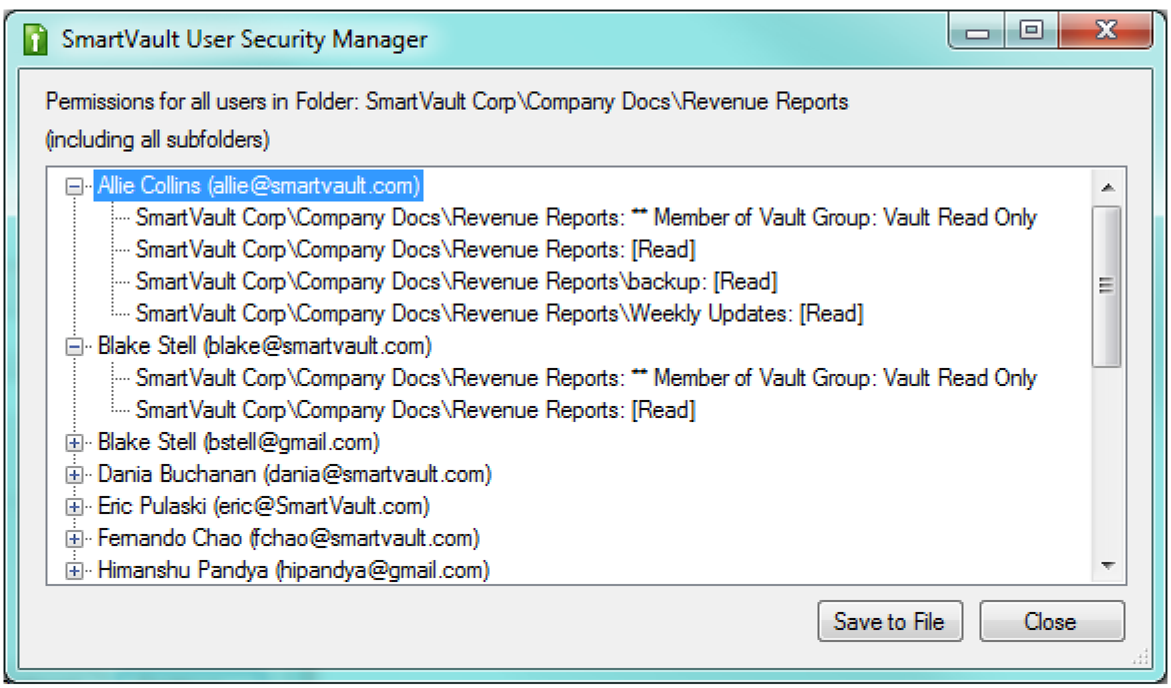
[2] A user's individual settings (e.g., "SVSecurity.me@smartvault.com.RW") will overwrite any Security Role settings. If a user has multiple roles who's settings conflict with each other, the result is undefined (probably the user will get the last SVSecurity role file that is read in alphabetical order). To keep it simple, I'd recommend the user just have one role, but multiple roles per user are allowed.

Include users with no access in results: If you select this checkbox, users who don't have any access to the target folder structure will also be shown; if not selected, those users (who may have been selected in the "Users to Analyze" box, above) will be omitted in the analysis report.

Analyze

When you click "Analyze", the Security Analyst will analyze the specified folder hierarchy and show all the permissions help by the selected users. First, the app pulls the Account Administrators group users and any Vault Group users, then gets the ACL's on all the folders and checks each ACE for users in the selected group. After the permissions are all analyzed, they are grouped by user and displayed in a dialog similar to the one below.

From here, you can expand each user node to see the permissions held by that user. You can double click on a directory level permission to edit the permissions on that folder directly from the Security Analyst. The *Save to File* button will save the results to a .txt file.



Note: You edit users access (similar to Share and Manage Access in the SmartVault Portal), but you can't remove or add a user to the Administrators group or Vault Groups from this tool.

Tech Notes

Settings for SmartVault Power Tools are stored in each user's AppData/Roaming/SmartVault/SVWidgets directory. A file in this directory named "SV Provision_Settings.xml" will be created for the Provisioning settings and "SV Analyst_Setting.xml" for the Security Analyst settings. Savvy users can edit this file – if something gets messed up, you can always just delete this file and start from scratch the next time you run the app.

Log files are stored in the user's AppData/Roaming/SmartVault/SVWidgets/Logs directory.

SV Power Tools v13.102.106.2 – Known Issues

Sunday, February 10, 2013

Known issues -- Security Analyst

- Japanese characters in path names appear as vertical bars in the Security Analyst UI [same problem with all the "Widgets", including when viewing folders and files in the Outlook Plug-in.
- Security Analyst may skip or fail on directories with Russian or Japanese characters. This was found in QA, but not duplicated by Dev.
- Main Security Analyst screen UI can get quirky if you try to re-size it. This has already been fixed in development and will be corrected in the next build to customers after v13.102.106.2.
- REST Server may sometimes report incorrect data in a folder's ACL. This was seen a couple of times in development while testing, but is very hard to reproduce, and was not seen in QA testing. More testing should be done on this, but the possibility is there that results may sometimes not be 100% accurate.

The following are known limitations to the product that are on the future roadmap to get fixed, but no commitments on priority or date right now:

Known issues – Provisioning Tool

- Every time you give a user rights to a folder on a new vault, they receive an email notification. This also means that the first time you add a user to a folder (new to the vault and also new to the account), they will receive 2 email notifications. This is actually an issue with the SmartVault server that will be prioritized to be fixed after the 2013 tax blackout period.

Security Analyst – Known Limitations

- You can edit a user's "Share and Manage Access" permissions, but you can't manage the following aspects of security from this app:
  - Can't view or edit Email Notification settings
  - Can't add or remove users from groups
- Right now, this is just designed to show "effective permissions", but a view of "how it looks to my client" (including green list folders) is in the list of features to consider for a future release.

Provisioning Tool – Known Limitations

- You must put users in an “old style” XLS formatted file – we don’t support the new XLSX file format. There are no plans to support XLSX files – users in newer versions of Microsoft Excel just need to make sure they save the spreadsheet in the old-style format.
- The provisioning tool cannot do any of the following, which are all expected in a future release, to be prioritized after we get this into customer hands and get some feedback:
    - Supporting adding users with license types other than Guest (i.e., Users and Clients)
    - Setting Email Notification Settings