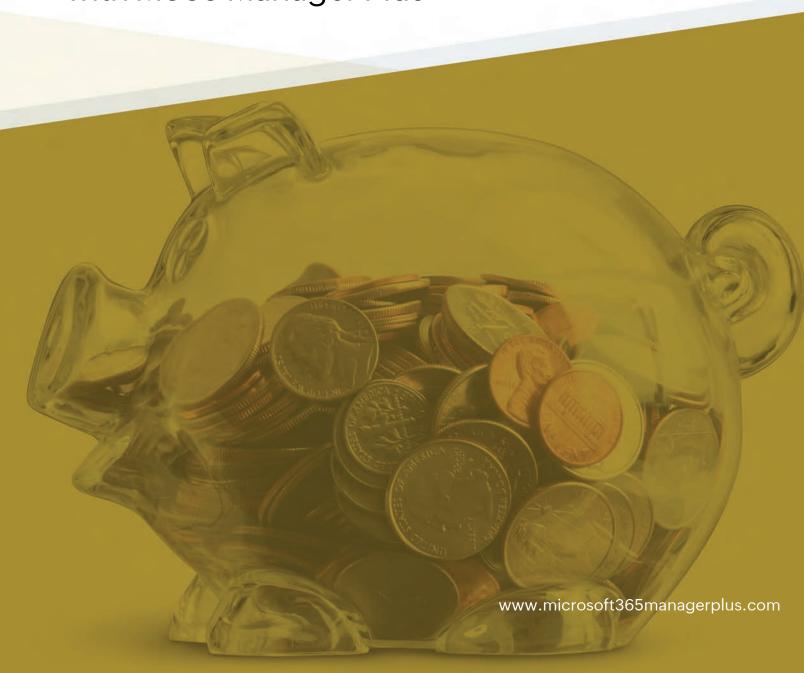


# **SOX Compliance**

with M365 Manager Plus



#### **About SOX**

The Sarbanes-Oxley Act of 2002 (often shortened to SOX) is legislation passed by the U.S. Congress to protect shareholders and the general public from accounting errors and fraudulent practices in the enterprise, as well as improve the accuracy of corporate disclosures. The U.S. Securities and Exchange Commission (SEC) administers the act, which sets deadlines for compliance and publishes rules on requirements.

Please note that the efforts and procedures required to establish compliance in each section may vary in different organizations depending on their systems configuration, internal procedures, nature of business, and other factors.

Usage of the below mentioned reports may not guarantee complete organizational compliance. This document can be used as a reference guide for complying with SOX industrial mandate.

#### SOX compliance with M365 Manager Plus

To comply with industrial mandates various control methods have to implemented. For management simplicity we have mapped the compliance requirements with the required control methods. You can find the reports required to complete the control methods subsequently. Though mentioned separately, all the control methods are interlinked and often required by most of the regulations.

**Access Control** 

**Account Management** 

**User Management** 

**Integrity Monitoring** 

**Credentials Management** 

**Data Governance** 

**Configuration Management** 

**Audit Trail** 

Requirement	Control Method
Al3: Acquire and Maintain Technology Infrastructure (COSO: Control Activities)	
Al3.2 Infrastructure Resource Protection and Availability	Integrity Monitoring
	Configuration Management
	Access Control
Al3.4 Feasibility Test Environment	Configuration Management
Al3.3 Infrastructure Maintenance	Configuration Management
	<u>User Management</u>
Al6: Manage Changes (COSO: Control Activities, Risk Assessment, Monitoring)	
Al6.1 Change Standards and Procedures And Al6.3: Emergency	<u>Configuration Management</u>

Changes	<u>Audit Trail</u>	
Al6.4: Change Status Tracking and Reporting	Configuration Management	
Al6.5: Change Closure and Documentation	<u>Audit Trail</u>	
AI7: Install and Accredit Solutions and Changes (COSO: Control Activities, Information and Communication, Monitoring)		
AI7.4: System and Data Conversion	Configuration Management	
	<u>Audit Trail</u>	
AI7.7: Final Acceptance Test	<u>Audit Trail</u>	
AI7.8: Promotion to Production	Configuration Management	
	<u>Audit Trail</u>	
AI7.9: Post-implementation Review	Configuration Management	
	Audit Trail	
DS3: Manage Performance and Capacity (COSO: Control Activ	ities, Monitoring)	
DS3.4 IT Resources Availability And DS3.5: Monitoring and Reporting	Access Control	
	<u>Data Governance</u>	
	Audit Trail	
DS4: Ensure Continuous Service (COSO: Control Activities, Information and Communication, Control Environment)		
DS4.3: Critical IT Resources	Integrity Monitoring	
	Access Control	
DS5: Ensure Systems Security (COSO: Control Activities, Information and Communication, Monitoring)		
DS5.3: Identity Management	Account Management	
	Credentials Management	
DS5.4: User Account Management	Account Management	

	Audit Trail	
DS9: Manage the Configuration (COSO: Control Activities)		
DS9.1 Configuration Repository and Baseline And DS9.2 Identification and Maintenance of Configuration Items And DS9.3 Configuration Integrity Review	Configuration Management	
DS10: Manage Problems (COSO: Control Activities, Information and Communication, Monitoring)		
DS10.2: Problem Tracking and Resolution	Audit Trail	
DS13: Manage Operations (COSO: Control Activities, Information and Communication)		
DS13.3: IT Infrastructure Monitoring	Audit Trail	

# **Control methods and M365 Manager Plus reports**

The following section will map the control methods and M365 Manager Plus reports that help to implement them.

#### **Access Control**

Microsoft 365 Service	M365 Manager Plus Reports	
Exchange Online	Exchange Admin Activity	
	Exchange User Activity	
	Non-Owner Mailbox Access	
	Recently Added Members to Groups	
	Recently Removed members from groups	
	Group Members	
	Distribution List Members	
	Active Directory	
	Reset User Password	
	Disabled Exchange Users	
	Send-As Permission	
	Send-on-Behalf Permission	
	Mailbox Permissions Changes	
	Permissions Changes	

	Unified Messaging Mailbox Policy
	User Rights Assignment Policy Changes
	DLP Policy Matches
	OWA Logon by Users
	OWA Logon by OS
	OWA Logon by Browsers
	Public Folder Activity
Active Directory	Recently Enabled Accounts
	User Account Status Changes
	User Logon Activity
	Temporary User Accounts
	Never Expiring Passwords
	All Users
	Password Expired Users
	Azure Locked Users
	Group Modification Report
	Group Settings Modification Report
	Azure Admin Activity,
	Recently modified users
	Multi Factor Authentication Status
	Reset User Password
	Change User Password
	Update User Credentials
	User Activity(based on Business Hours)
	User Logon Activity
OneDrive for Business	OneDrive Events Log
	OneDrive Files Accessed
	OneDrive File Modifications
	OneDrive Files Renamed
	OneDrive Files Movement

	OneDrive File Operation
	OneDrive Downloads
	OneDrive File Uploads OneDrive Deleted Files
	OneDrive Unlead Sync
	OneDrive Upload Sync
Microsoft Teams	Added Channel
	Created Team
	Deleted Team
	Users Signed in to Teams
	Changed Setting (legacy)
	Changed Organizational Settings
	Changed Team Settings
	Changed Channel Settings
Power BI	Created Dashboard
	Viewed Dashboard
	Modified Dashboard
	Deleted Dashboard
	Printed Dashboard
	Shared Dashboard
	Created Groups
	Added Group members
	Started Pro-trial Subscriptions
	Created Reports
	Viewed Reports
	Modified Reports
	Deleted Reports
	Shared Reports
	Printed Reports
	Downloaded Reports
	Published Reports
	Exported Dashboard Tile
	Exported Reports
	Started Extended Trial
	Admin Portal Activities
	Viewed Usage Metrics
	Analyzed Dataset

Created Organizational Content Pack
Deleted Dataset Objects

#### **Account Management**

Microsoft 365 Service	M365 Manager Plus Reports
Exchange Online	Non-Owner Mailbox Access
	Contact Audit Log
	Added Member to Group
	Removed Member from Group
	Group Members
	Users Not in Group
	Groups with Disabled Users
	Account Policy Changes
	User Configuration Changes
	Role Assignment policy
	Unified Messaging Mailbox Policy
	User Rights Assignment Policy Changes
	DLP Policy Matches
Azure Active Directory	Recently Enabled Accounts
	Recently Created User Account
	Recently Modified User Account
	Recently Deleted User Account
	Password change Report
	Accounts with Most Logon Activity (In All Logon Activities Report)
	All Users
	Password Expired User Accounts
	Locked User Accounts
	Never Expiring Passwords
	Azure Locked Users
	Azure User Activities
	Recent Logon Failure
	Recent Successful Logon
	User Logon Activtiy
	Exchange User Activity

Micorosft Teams	Added Channel
	Created Team
	Deleted Team
	Users Signed in to Teams
	Changed Setting (legacy)
	Changed Organizational Settings
	Changed Team Settings
	Changed Channel Settings
Power BI	Started Pro-trial Subscriptions
	Started Extended Trial
	Admin Portal Activities
	Viewed Usage Metrics
	Analyzed Dataset
	Created Organizational Content Pack

# **Credentials Management**

Microsoft 365 Service	M365 Manager Plus Reports
Azure Active Directory	Password Change
	Never Expiring Passwords
	Soon to Expire Users
	Password Changed Users
	Password Unchanged Users
	Multi Factor Authentication Status
	Recently Password Reset Users
	Forced Password Change
	Updated User Credentials
Microsoft Teams	Users Signed in to Teams

# **User Management**

Microsoft 365 Service	M365 Manager Plus Reports
Exchange Online	Exchange User Activity
	Mailbox Features
	Mailbox with ForwardTo
	Mailbox Auto Reply Configuration
	Group Members
	Recently Added Users to Groups
	Recently Deleted Users from Groups
	Distribution List Members
	Dynamic Distribution Group Members
	Mailbox Permissions Changes
	Created and deleted Malware Filter Policy
	Created, Modified, and Deleted Phishing Rules
	Created, Modified, and Deleted Role Assignments
	Created, Modified, and Deleted Safe Attachment Policies
	Created, Modified, and Deleted Safe Link Policies
	OWA Logon by Users
	OWA Logon by OS
	OWA Logon by Browsers
Azure Active Directory	Added Users
	Updated Users
	Deleted Users
	Cloud users
	Synced Users
	Never Expiring Passwords
	User Logon Activity
	Added Users to Admin Role
	Recent Logon Failure
	Recent Successful Logon
	User Activity(based on Business Hours)
	User Logon Activity
OneDrive for Business	OneDrive Events Log
	OneDrive Files Accessed
	OneDrive File Modifications
	OneDrive Files Renamed
	OneDrive Files Movement
	OneDrive File Operation
	OneDrive Downloads

	OneDrive File Uploads
	OneDrive Deleted Files
	OneDrive Download Sync
	OneDrive Upload Sync
Microsoft Teams	Added Channel
	Created Team
	Deleted Team
	Users Signed in to Teams
	Changed Setting (legacy)
	Changed Organizational Settings
	Changed Team Settings
	Changed Channel Settings

# **Integrity Monitoring**

Microsoft 365 Service	M365 Manager Plus Reports
Exchange Online	OWA Logon by Users
	OWA Logon by OS
	OWA Logon by Browsers
Azure Active Directory	Recent Logon Failure
	Recent Successful Logon
	User Activity(based on Business Hours)
	User Logon Activity
OneDrive for Business	OneDrive Files Accessed
	OneDrive File Modifications
	OneDrive File Renaming
	OneDrive File Movement
	OneDrive File Operations
	OneDrive Upload
	OneDrive Downloads
	OneDrive Deleted Files
	OneDrive Events Log

Microsoft Teams	Added Channel
	Created Team
	Deleted Team
	Users Signed in to Teams
	Changed Setting (legacy)
	Changed Organizational Settings
	Changed Team Settings
	Changed Channel Settings
Power BI	Created Dashboard
	Viewed Dashboard
	Modified Dashboard
	Deleted Dashboard
	Printed Dashboard
	Shared Dashboard
	Created Groups
	Added Group members
	Started Pro-trial Subscriptions
	Created Reports
	Viewed Reports
	Modified Reports
	Deleted Reports
	Shared Reports
	Printed Reports
	Downloaded Reports
	Published Reports
	Exported Dashboard Tile
	Exported Reports
	Started Extended Trial
	Admin Portal Activities
	Viewed Usage Metrics
	Analyzed Dataset
	Created Organizational Content Pack
	Deleted Dataset Objects

#### **Data Governance**

Microsoft 365 Service	M365 Manager Plus Reports
Exchange Online	Exchange Online Mailbox Permissions Changes
	Added and deleted folder level permissions
	Added and deleted send-as permissions
	Added and deleted mailbox permissions
	Configured permissions for folders within user mailbox
	Exchange Online Mailbox Policy Changes
	Created, modified, and deleted UM mailbox policies
	Transport rule matches
	Messages that triggered transport rules
	Folder Message Count and Size
	Attachment by File Size
	Message by Subject
	Mailbox Message Restrictions
	Mailbox Clutter Details
	OWA Attachment Policies
	OWA Attachment Policy by Users
OneDrive for Business	OneDrive Files Accessed
	OneDrive File Modifications
	OneDrive File Renaming
	OneDrive File Movement
	OneDrive File Operations
	OneDrive Upload
	OneDrive Downloads
	OneDrive Deleted Files
	OneDrive Events Log
	Checked-in and checked-out file
	Discarded file check-out
Power BI	Created Dashboard
1 OWGI DI	Viewed Dashboard
	Modified Dashboard
	Deleted Dashboard
	Printed Dashboard
	Shared Dashboard
	Created Groups
	Ground Groups

Added Group members
Created Reports
Viewed Reports
Modified Reports
Deleted Reports
Shared Reports
Printed Reports
Downloaded Reports
Published Reports
Exported Dashboard Tile
Exported Reports
Viewed Usage Metrics
Analyzed Dataset
Deleted Dataset Objects

# **Configuration Management**

Microsoft 365 Service	M365 Manager Plus Reports
Exchange Online	Created and deleted mailboxes
	Recovered soft deleted mailboxes
	Created, suspended, and resumed mailbox restore requests
	Configured mailbox settings
	Created mailboxes for existing users
	Disabled mailboxes of existing users
	Configured junk email rule for specific mailboxes
	Modified CAS settings in a mailbox
	Mailbox Sizes
	Mailbox Size Restrictions
	Current Mailbox Size vs Quota
	Archive Mailbox Sizes
	Mailbox Storage Information
	Mailbox Size Over Time
	Created management role assignments
	Modified management role assignments
	Deleted management role assignments
	Created and deleted management role groups
	Added and deleted management role group members
	Modified role groups
	Updated role groups

	Added and deleted folder level permissions
	Added and deleted send-as permissions
	Added and deleted mailbox permissions
	Configured permissions for folders within user mailbox
	Account Permissions
	Group Policy Object Delegation
	Email Address Policy Changes
	Exchange Online Mailbox Policy Changes
	New, rotated, and modified DKIM signing policies
Microsoft Teams	Changed Setting (legacy)
	Changed Organizational Settings
	Changed Team Settings
	Changed Channel Settings
Power BI	Started Pro-trial Subscriptions
	Started Extended Trial
	Admin Portal Activities
	Viewed Usage Metrics
	Analyzed Dataset
	Created Organizational Content Pack

#### **Audit Trail**

Microsoft 365 Service	M365 Manager Plus Reports
Exchange Online	Created and deleted mailboxes
	Recovered soft deleted mailboxes
	Created, suspended, and resumed mailbox restore requests
	Configured mailbox settings
	Created mailboxes for existing users
	Disabled mailboxes of existing users
	Created, modified, and deleted Microsoft 365 groups
	Created, modified, and deleted dynamic distribution groups
	Created, modified, and deleted distribution groups
	Added and replaced distribution group members
	Deleted unified groups and unified group links
	Added members, owners, and subscribers to groups
	Created, modified, and deleted email users
	Modified user attributes
	Modified linked user account properties
	Purged messages from mailbox
	Deleted messages form Deleted Items folder
	Moved messages to Deleted Items folder
	Moved messages to another folder
	Created or received messages
	Sent messages using send-on behalf permission
	Copied message to another folder
	Users signed into mailbox
	Sent messages using SendAs permission
	Enabled or disabled focused inbox for mailboxes
	Enabled/disabled UM call answering rules
	Created, modified, and deleted call answering rules
	Created, modified and tested site mailboxes
	Synchronisation triggered site mailboxes
	Created and modified site mailbox provisioning policies
	Added, modified, and deleted management role entry
	Updated and deleted hybrid configurations
	Configured message flow settings
	Created, modified, and deleted OnPremisesOrganization
	objects
	Enabled and disabled UM auto attendants
	Created, modified, and deleted auto attendants
	Transport rule matches

Messages that triggered transport rules

Created, modified and deleted malware filter rules

Created, modified, and deleted malware filter policies

Created, validated, and deleted inbound connectors

Created, validated, and deleted outbound connectors

Created, modified, and deleted intra organization connectors

Created, modified, and deleted UM dial plans

Created, modified, and deleted management role assignments

Created, modified, and deleted public folder migration requests

Resumed and suspended public folder migration requests

Resumed and suspended public folder mailbox migration requests

Enabled and disabled UM IP gateway

Created, modified, and deleted UM IP gateway configurations

Configured auto reply settings for a mailbox

Created mailbox folders

Configured publishing or sharing settings on a calendar folder

Messages with no delivery status

Messages undelivered or filtered as spam/malware

Messages yet to be delivered

Successfully delivered messages

Messages undelivered due to expanded group membership

Created, modified, and deleted role assignment policies

Modified transport configuration settings

Removed text messaging settings

Compared verification codes

Verification codes sent to users' mobile phone

Text messaging notifications configured

PINs reset for UM mailbox

Modified existing accepted domains

Created, modified, and deleted sharing policies

Created, modified, Tested, and deleted organization relationships

Created and deleted availability address space objects

Modified access level for free/busy information

Created, and deleted availability configurations

Created, modified, and deleted OWA mailbox policies

Modified mailbox message configuration

Modified mailbox message configuration

Modified wen spelling checker options

Calendar settings applied for users using OWA calendars

Modified S/MIME configuration

New and deleted hotmail, POP or IMAP subscriptions

Created and modified POP subscriptions

Created, and modified IMAP subscriptions

Created and modified hotmail subscriptions

Created, modified, and deleted contact integration subscription

Activity alerts in Security & Compliance center

Created, modified, and deleted safe link policies

Enabled and disabled safe link policies

Created, modified, and deleted safe attachment rules

Enabled and disabled safe attachment rules

Created, and deleted safe attachment policies

New phish filter policy configured

Imported and exported UM prompts

Messages marked as malware

Spam filtered by advanced filters

Messaged filtered as bulk mail

Messages filtered based on content

Messages filtered by transport rule

Messages from blocked users

Messages filtered by content, rules or other configuration

Messages addressed to an unknown recipient

Messages blocked based on SMTP

Messages blocked based on sender IP

Created and deleted public folder sync

Created, modified, and deleted partner app configurations

Tested OAuth authentication

Modified, and deleted user photos

Enabled and disabled UM for mailboxes

Modified UM mailbox properties

Imported contacts to Exchange Online mailboxes

Created email messages

Tested MAPI connectivity

Enabled and disabled apps for a specific user

Created and deleted apps Modified availability of organization apps Modified mailbox plans Exchange organisation settings configured Enabled organization customization Modified gateway server IP addresses Created and deleted remote domains Connections configured for a remote domain Configured text message notification for calendar events Modified calendar processing options for resource mailboxes Created, modified, and deleted inbox rules Enabled and disabled inbox rules Configured junk email rule for specific mailboxes Configured Exchange ActiveSync settings Mobile device mailbox policy settings applied to server Configured and deleted device access level for rules Created and deleted active sync mailbox policies Created and deleted active sync device access rule Created, modified, and deleted mobile device mailbox policies Deleted data from mobile device Deleted mobile devices Created, modified, and deleted UM mailbox policies Added and deleted folder level permissions Added and deleted send-as permissions Added and deleted mailbox permissions Configured permissions for folders within user mailbox Modified CAS settings in a mailbox Configured federated organization identifier New federation trust set up Created and deleted public folder Hierarchy updated public folders Mail enbled and disabled public folders Added and deleted permissions to public folders Modified mail enabled public folders Security Messages filtered by DLP rule Messages incorrectly filtered by DLP rule Messages that override one or more DLP rules Messages that triggered DLP rules and policy rules

Created and deleted UM hunt group Created, modified, and deleted management scopes Created, modified, and deleted content filter policies Released quarantine messages Created, modified, and deleted connection filter policies Created, modified, and deleted content filter rules Enabled and disabled content filter rules Modified outbound spam filter policy New, rotated, and modified DKIM signing policies Created and deleted management role groups Added and deleted management role group members Modified role groups Updated role groups Created, modified, and deleted email contacts Configured clutter settings for mailboxes Created and deleted management roles Deleted migration users Tested migration server availability Exported migration reports Modified staged IMAP, and remote migrations Created and deleted migration endpoints Started and stopped batch migration process Created, finalized, and deleted migration batches Created, modified, resumed, suspended, and deleted move requests Updated migration requests Added, updated, and deleted user Azure Active Directory Updated and deleted group Created group settings Added and removed member from a group Set license properties Changed user license Added users to admin role Deleted users from member role Updated company contact information Sign-in using password Sign-in using cookies Successful and failed logins Added modified, and removed delegation entry

	Added and removed service principals
	Added and removed credentials of service principals
	Reset user password
	Changed user password
	Set property that forces user to change password
	Updated user credentials
OneDrive for Business	Allowed and blocked computers from syncing files
	Downloaded and uploaded files
	Downloaded and uploaded file changes
	Created, accepted and withdrawn sharing invitations
	Created, used, and deleted company-wide share links
	Shared and unshared file, folder or site
	Created, accepted and denied access requests
	Created, used, and deleted anonymous links
	Renamed file
	Moved file
	Modified file
	Uploaded and downloaded file
	Deleted file
	Restored file
	Checked-in and checked-out file
	Discarded file check-out
	Copied file
	Accessed file
Microsoft Teams	Added Channel
	Created Team
	Deleted Team
	Users Signed in to Teams
	Changed Setting (legacy)
	Changed Organizational Settings
	Changed Team Settings
	Changed Channel Settings

Power BI Created Dashboard Viewed Dashboard Modified Dashboard **Deleted Dashboard** Printed Dashboard Shared Dashboard **Created Groups** Added Group members Started Pro-trial Subscriptions Created Reports Viewed Reports Modified Reports **Deleted Reports Shared Reports** Printed Reports **Downloaded Reports Published Reports Exported Dashboard Tile Exported Reports** Started Extended Trial Admin Portal Activities Viewed Usage Metrics **Analyzed Dataset** Created Organizational Content Pack **Deleted Dataset Objects** 

# ManageEngine) M365 Manager Plus

M365 Manager Plus is an extensive Microsoft 365 tool used for reporting, managing, monitoring, auditing, and creating alerts for critical incidents. With its user-friendly interface, you can easily manage Exchange Online, Azure Active Directory, Skype for Business, OneDrive for Business, Microsoft Teams, and other Microsoft 365 services from a single console.

\$ Get Quote

**±** Download