UV-VIS SPECTROSCOPY

Lambda 365

# Security Software Guide



#### **Release History**

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# I. Introduction

This document explains how PerkinElmer's UV Express Security software assists in meeting the regulation of 21 CFR Part 11 for electronic records and electronic signatures.

# 1. 21 CFR Part 11 Compliance

Title 21 CFR Part 11 of the Code of Federal Regulations includes the Food and Drug Administration's (FDA) guidelines on electronic records and electronic signatures in the United States. Part 11, as it is commonly called, defines the criteria under which electronic records and electronic signatures are considered to be trustworthy, reliable and equivalent to paper records.

# **1.1 Subpart A. General Provisions**

## Sec. 11.1. Scope

- (a) The regulations in this part set forth the criteria under which the agency considers electronic records, electronic signatures, and handwritten signatures executed to electronic records to be trustworthy, reliable, and generally equivalent to paper records and handwritten signatures executed on paper.
- (b) This part applies to records in electronic form that are created, modified, maintained, archived, retrieved, or transmitted, under any records requirements set forth in agency regulations. This part also applies to electronic records submitted to the agency under requirements of the Federal Food, Drug, and Cosmetic Act and the Public Health Service Act, even if such records are not specifically identified in agency regulations. However, this part does not apply to paper records that are, or have been, transmitted by electronic means.
- (c) Where electronic signatures and their associated electronic records meet the requirements of this part, the agency will consider the electronic signatures to be equivalent to full handwritten signatures, initials, and other general signings as

required by agency regulations, unless specifically excepted by regulation(s) effective on or after August 20, 1997.

- (d) Electronic records that meet the requirements of this part may be used in lieu of paper records, in accordance with 11.2, unless paper records are specifically required.
- (e) Computer systems (including hardware and software), controls, and attendant documentation maintained under this part shall be readily available for, and subject to, FDA inspection.
- (f) This part does not apply to records required to be established or maintained by 1.326 through 1.368 of this chapter. Records that satisfy the requirements of part1, subpart J of this chapter, but that also are required under other applicable statutory provisions or regulations, remain subject to this part.

## Sec. 11.2. Implementation

- (a) For records required to be maintained but not submitted to the agency, persons may use electronic records in lieu of paper records or electronic signatures in lieu of traditional signatures, in whole or in part, provided that the requirements of this part are met.
- (b) For records submitted to the agency, persons may use electronic records in lieu of paper records or electronic signatures in lieu of traditional signatures, in whole or in part, provided that:
  - 1) The requirements of this part are met; and
  - 2) The document or parts of a document to be submitted have been identified in public docket No. 92S-0251 as being the type of submission the agency accepts in electronic form. This docket will identify specifically what types of documents or parts of documents are acceptable for submission in electronic form without paper records and the agency receiving unit(s) (e.g., specific center, office, division, branch) to which such submissions may be made. Documents to agency receiving unit(s) not specified in the public docket will not be considered as official if they are submitted in electronic form; paper forms of such documents will be considered as official and must accompany any electronic records. Persons are expected to consult with the intended agency receiving unit for details on how (e.g., method of

transmission, media, file formats, and technical protocols) and whether to proceed with the electronic submission.

# Sec. 11.3. Definitions

- 1. The definitions and interpretations of terms contained in section 201 of the act apply to those terms when used in this part.
- 2. The following definitions of terms also apply to this part:
  - 1) Act means the Federal Food, Drug, and Cosmetic Act (secs. 201-903 (21 U.S.C. 321-393)).
  - 2) Agency means the Food and Drug Administration.
  - 3) Biometrics means a method of verifying an individual's identity based on measurement of the individual's physical feature(s) or repeatable action(s) where those features and/or actions are both unique to that individual and measurable.
  - Closed system means an environment in which system access is controlled by persons who are responsible for the content of electronic records that are on the system.
  - 5) Digital signature means an electronic signature based upon cryptographic methods of originator authentication, computed by using a set of rules and a set of parameters such that the identity of the signer and the integrity of the data can be verified.
  - 6) Electronic record means any combination of text, graphics, data, audio, pictorial, or other information representation in digital form that is created, modified, maintained, archived, retrieved, or distributed by a computer system.
  - 7) Electronic signature means a computer data compilation of any symbol or series of symbols executed, adopted, or authorized by an individual to be the legally binding equivalent of the individual's handwritten signature.
  - 8) Handwritten signature means the scripted name or legal mark of an individual handwritten by that individual and executed or adopted with the present intention to authenticate a writing in a permanent form. The acts of signing with a writing or marking instrument such as a pen or stylus is preserved. The scripted name or legal mark, while conventionally applied to paper, may also be applied to other devices that capture the name or mark.

9) Open system means an environment in which system access is not controlled by persons who are responsible for the content of electronic records that are on the system.

# 1.2 Subpart B. Electronic Records

## Sec. 11.10. Controls for closed systems

Person who use closed systems to create, modify, maintain, or transmit electronic records shall employ procedures and controls designed to ensure the authenticity, integrity, and, when appropriate, the confidentiality of electronic records, and to ensure that the signer cannot readily repudiate the signed record as not genuine. Such procedures and controls shall include the following:

(a) Validation of systems to ensure accuracy, reliability, consistent intended performance, and the ability to discern invalid or altered records.

All records are stored in encrypted. Access is controlled by User Name and secret password.

(b) The ability to generate accurate and complete copies of records in both human readable and electronic form suitable for inspection, review, and copying by the agency. Persons should contact the agency if there are any questions regarding the ability of the agency to perform such review and copying of the electronic records.

If the user of UV Express Security software has the authority to save data, they can save it in its own file format. (\*.dgdt, \*.dkdt, \*.dbdt, \*.dqdt, \*.dsrdt, \*.dskdt, \*.dsqdt, \*.dthdt, \*.dcdt, \*.dpdt, and \*.dvdt). This file includes experiment information, signature history and data modification history, etc. Spectrum data can be exported as CSV file, standard ASCII and JCAMP format but a CSV file cannot be imported into UV Express software. The system owner must determine which file format should be maintained and saved.

(c) Protection of records to enable their accurate and ready retrieval throughout the records retention period.\*

The data created by UV Express Security software is saved in the designated folders and these data can be read. The system owner must determine how the files will be archived

and backup and have the procedure to ensure that retrieval records can be read.

#### (d) Limiting system access to authorized individuals.

The only administrator can allocate who is authorized to access the system. It is possible for an administrator to give each user the authority to access the system in Microsoft Windows 7 Professional and Ultimate. To access the system, the user should be given a unique user name and a password.

(e) Use of secure, computer-generated, time-stamped audit trails to independently record the date and time of operator entries and actions that create, modify, or delete electronic records. Record changes shall not obscure previously recorded information. Such audit trail documentation shall be retained for a period at least as long as that required for the subject electronic records and shall be available for agency review and copying.

Event log contains the User name, time stamp and all data log when the data file was created, modified or deleted, the new value, the old value, and the type of modification. Change to the data file do not obscure previously saved information. All logs can be review and printed for inspection purposes.

(f) Use of operational system checks to enforce permitted sequencing of steps and events, as appropriate.

Enforced sequencing is carried out in the application: The system can be set up to enforce the carrying out of certain tasks to ensure correct sequencing. Examples of these are: running standards during an analysis, mandatory data entry and calibrating the instrument.

(g) Use of authority checks to ensure that only authorized individuals can use the system, electronically sign a record, access the operation or computer system input or output device alter a record, or perform the operation at hand.

Security Server Software manages the authority to use the system and electronic signature for the electronic records.

(h) Use of device (e.g., terminal) checks to determine, as appropriate, the validity of the source of data input or operational instruction.

UV Express Security software will only read recognized PerkinElemer file formats. During installation the instrument serial number is recognized. Instrument model and serial number are stored with all data collected.

(i) Determination that persons who develop, maintain, or use electronic record/ electronic signature systems have the education, training, and experience to perform their assigned tasks.

It is the responsibility of customer and should be part of the system's procedural compliance. Electronic or hardcopy documentation is provided.

(j) The establishment of, and adherence to, written policies that hold individuals accountable and responsible for actions initiated under their electronic signatures, in order to deter record and signature falsification.

It is the responsibility of customer and should be part of the system's procedural compliance.

- (k) Use of appropriate controls over systems documentation including:
  - 1) Adequate controls over the distribution of, access to, and use of documentation for system operation and maintenance.
  - 2) Revision and change control procedures to maintain an audit trail that documents time-sequenced development and modification of systems documentation.

It is the customer's responsibility to maintain appropriate controls of the installed system and this should be part of the system's procedural compliance.

# Sec. 11.30. Controls for open systems

Persons who use open systems to create, modify, maintain, or transmit electronic records shall employ procedures and controls designed to ensure the authenticity, integrity, and, as appropriate, the confidentiality of electronic records from the point of their creation to the point of their receipt. Such procedures and controls shall include those identified in 11.10, as appropriate and additional measures such as document encryption and use of appropriate digital signature standards to ensure, as necessary under the circumstances, record authenticity, integrity, and confidentiality.

The UV Express Security software implementation requires the use of a closed system as we do not employ data encryption on our data files with this software. For Windows 7 Professional and Ultimate, security is embedded in the UV Express software structure and set up through the Windows 7 security feature. The Windows log-in and password, in conjunction with the password reverification required when a user starts UV Express, provide a way to control access to the UV Express software and a spectrophotometer. By following the guidelines in this document, you can achieve compliance with 21 CFR Part 11 as it pertains to a closed system.

Although data encryption is not used, the system administrator may choose to store the data in a secure folder such that only authorized users may access data according to their privileges. These privileges must be controlled by a unique user name and password combination.

If compliance is desired in an open system, those responsible for maintaining system records must take adequate measures to ensure that UV Express complies.

## Sec. 11.50. Signature manifestations

- (a) Signed electronic records shall contain information associated with the signing that clearly indicates all of the following:
  - 1) The printed name of the signer;
  - 2) The date and time when the signature was executed;
  - 3) The meaning (such as review, approval, responsibility, or authorship) associated with the signature.
- UV Express security software implement as follows:
- 1) The printed name is the User Name.
- The data and time are recorded. PerkinElmer users the PC's log data format and includes time zone information.
- 3) The meaning of each signature event is recorded and stored in the history record with

the User Name of the signer E-signatures are configurable. Signature is selected by the security server software.

(b) The items identified in paragraphs a1, b1, and c1 of this section shall be subject to the same controls as for electronic records and shall be included as part of any human readable form of the electronic record (such as electronic display or printout).

The history record for the method or results stores this information. This record can be viewed on screen and printed.

# Sec. 11.70. Signature/record linking

Electronic signatures and handwritten signatures executed to electronic records shall be linked to their respective electronic records to ensure that the signatures cannot be excised, copied, or otherwise transferred to falsify an electronic record by ordinary means.

The digital signature is stored in the same data file or report that is signed. Because the signature is stored in the same file as the electronic record, all digital signatures produced by UV Express are directly linked to the electronic record. A check of an electronic record can verify whether the signature is valid. An invalid signature could be caused by a record that was never signed or a record that was modified after it was signed. If an invalid signature was attached to an electronic record, or if the record was tampered with, simply checking the signature on the electronic file will reveal the problem.

## 1.3 Subpart C. Electronic Signatures

# Sec. 11.100. General requirements

- (a) Each electronic signature shall be unique to one individual and shall not be reused by, or reassigned to, anyone else.
- No two users can have the same User Name and secret password combination.
- (b) Before an organization establishes, assigns, certifies, or otherwise sanctions an individual's electronic signature, or any element of such electronic signature, the organization shall verify the identity of the individual.

It is the responsibility of the customer to include this as part of the system's procedural compliance.

- (c) Persons using electronic signatures shall, prior to or at the time of such use, certify to the agency that the electronic signatures in their system, used on or after August 20, 1997, are intended to be the legally binding equivalent of traditional handwritten signatures.
- 1) The certification shall be submitted in paper form and signed with a traditional signature, to the Office of Regional Operations (HFC-100), 5600 Fishers Lane, Rockville, *MD 20857*.
- 2) Persons using electronic signature shall, upon agency request, provide additional certification or testimony that a specific electronic signature is the legally binding equivalent of the signer's handwritten signature.

It is the responsibility of the customer to include as part of the system's procedural compliance.

## Sec. 11.200. Electronic signature components and controls

- (a) Electronic signatures that are not based upon biometrics shall:
- 1) Employ at least two distinct identification components such as an identification code and password.
- *i.* When an individual executes a series of signings during a single, continuous period of controlled system access, the first signing shall be executed using all electronic signature components; subsequent signings shall be executed using at least one electronic signature component that is only executable by, and designed to be used only by, the individual.
- *ii. When an individual executes one or more signings not performed during a single, continuous period of controlled system access, each signing shall be executed using all of the electronic signature components.* 
  - 2) Be used only by their genuine owners;
  - *3)* Be administered and executed to ensure that attempted use of an individual's electronic signature by anyone other than its genuine owner requires collaboration of two or more individuals.

(b) Electronic signatures based upon biometrics shall be designed to ensure that they cannot be used by anyone other than their genuine owners.

Digital signature used by UV Express is based on the user's ID and Password based on non-biometrics. This signature is encrypted in the data file and cannot be opened in any other application software.

# Sec. 11.300. Controls for identification codes/passwords

Persons who use electronic signatures based upon use of identification codes in combination with passwords shall employ controls to ensure their security and integrity. Such controls shall include:

(a) Maintaining the uniqueness of each combined identification code and password, such that no two individuals have the same combination of identification code and password.

No two users can have the same User Name and secret password combination. When a user leaves the company the system will not allow that particular User Name to be reused by anyone else. This should be made part of the system's procedural compliance.

(b) Ensuring that identification code and password issuances are periodically checked, recalled, or revised (e.g., to cover such events as password aging).

UV Express has the facility to allow password ageing. New passwords are checked according to the administrator settings for password ageing. The password aging intervals must be defined by the security server software an administrator and should be part of the system's procedural compliance.

(c) Following loss management procedures to electronically deauthorize lost, stolen, missing, or otherwise potentially compromised tokens, cards, and other devices that bear or generate identification code or password information, and to issue temporary or permanent replacements using suitable, rigorous controls.

The system allows an administrator to disable access via the compromised User Name. This should be part of the system's procedural compliance. The system administrator can issue temporary and permanent replacement access (d) Use of transaction safeguards to prevent unauthorized use of passwords and/or identification codes, and to detect and report in an immediate and urgent manner any attempts at their unauthorized use to the system security unit, and, as appropriate, to organizational management.

Regular review of the log is customer/client responsibility, and should be part of the system's procedural compliance.

(e) Initial and periodic testing of devices, such as tokens or cards, that bear or generate identification code or password information to ensure that they function properly and have not been altered in an unauthorized manner.

Devices such as tokens or cards are not used by UV Express.

# 2. Security Program

UV Express Security Software is provided to run in Network PC and Local environment. This runs as service under Windows and enforces the security policies defined with the Security Server Program. UV Express Security automatically tracks changes to data file. As mathematical processing or renaming occurs, the changes are saved in the data history information. It also handles the data history, method history and electronic signatures. The data used in UV Express Security software is binary code based and cannot be opened in any other application software.

- i. Security Server software provides the functions for setting up the privilege and access control of application software, measurement method and etc. The audit trail function is included in the Event Viewer and each audit trail can be viewed.
- UV Express software is the program to run the Lambda 365 meeting the regulation of 21 CFR Part 11 for electronic records and electronic signatures.



# **II**. Overview of Windows Administration

# 1. Basic Network concepts

PerkinElmer Security Server software is designed to run in a networked or local environment. The security functionality of Security Server is fundamentally linked to the security features of your Windows network operation system. Understanding of some of the concepts and terms may give you more confidence in using the Security Server software.

# 2. Network Terms

# 2.1 Server and Client

A network server is a computer or device that provides information or services to other computers on a network.

A client is the requesting program or user in a client-server relationship.

Client-server describes the relationship between two computer programs in which one program, the client, makes a service request from another program, the server, which fulfills the request.



# 2.2 Supported configurations

You can use Security Server to set and enforce security policies in network:

In the Network System, Security Server is installed on Windows 7 that is a member of the domain. The client application is installed on multiple workstations that are members of the domain. The client workstations run Windows 7 Professional and Ultimate.

In the stand-alone configuration (Local System), Security Server is installed and run along with the client application on a single non-networked computer that acts as both client and server. This computer runs Windows 7 Professional and Ultimate. Standalone configurations are intended for small laboratories with no network facilities.

# **III. Network System**

# 1. Pre-Installation

Before installing the UV Express Application, the local administrator needs to designate users or groups and assign their authority of access. Users and Groups are designated in the Control Panel of the Windows Operating System. You need to set up user accounts in each computer in the workgroup, not just on a server. Each user must have the same user name and password on each computer in the workgroup.



- \* Administrator account:
- User account design (Refer to III-1.1 User Account Design)
- Installation of UV Express and UV Express Security software (Refer to III-2.2 Installation of UV Express
- and UV Express Security Software)
- Setting Folder permission (Refer to III-2.4 Folder Permissions)
- Setting Windows Firewall (Refer to 111-2.5 Setting Windows Firewall)

\* User (Standard) account:

- Run the UV Express software (Refer to III-4 Operating UV Express Software)

# 1.1 User Account Design

**NOTE:** User account design should be same name on the Administrator account both the Server and the Client computer.



1.1.1 Create the User account(s) in Windows 7

- 1. Log on to the computer as an administrator of server computer.
- Select Control Panel > User Accounts from the Start menu in the Windows operating System.
- 3. Click Manage another account > Create a new account.



4. Enter the Name (ex. user1) of the new account, select **Standard user** and click **Create Account**.

G 🗸 🕫 Kanage Acco 🕨 Create New Account 🔹 😽 Search Control Panel	Q
Name the account and choose an account type	
This name will appear on the Welcome screen and on the Start menu. user1	
Standard user Standard account users can use most software and change system settings that do not affect other the security of the computer.	users or
Administrators have complete access to the computer and can make any desired changes. Based or notification settings, administrators may be asked to provide their password or confirmation before making changes that affect other users. We recommend that you protect every account with a strong password. Why is a standard account recommended?	1
Create Account Ca	ncel

5. Verify the new account was created correctly.



- 6. Additional accounts can be created in the same way as above.
- 7. The procedure for creating user account is complete.
- 8. Reboot and log on to the computer as an administrator.
- 9. Log on the computer as an administrator of client computer. Create the user account same as sever computer following procedure from #2 to #8.

# 2. Software Installation

# 2.1 Installation of Security Sever Software

**NOTE:** Security Server Software should be installed on the Server computer.



- 1. Log on to the computer as an Administrator account of the Server computer.
- 2. Input the **Security Server software** CD into the CD drive. Security Server Software is installed automatically. The default installation folder is "C:\ SecurityServer".
- 3. If the automatic setup window is not shown, click **Setup.exe** in the CD.
- 4. Security Server InstallShield<sup>®</sup> Wizard starts. Click **Next**.



5. Enter your information and Click **Next**.

B Security Server - InstallShield Wizard	x
Customer Information	4.
Please enter your information.	
<u>⊔</u> ser Name:	
21CFR	
Organization:	
InstallShield	
< <u>B</u> ack	Next > Cancel

## 6. Click Next.

😸 Security	Server - InstallShield Wizard
Destinati Click Nex	ion Folder xt to install to this folder, or click Change to install to a different folder.
	Install Security Server to: C:\SecurityServer\
InstallShield -	< <u>B</u> ack Next > Cancel

7. Click Anyone who users this computer (all users).

1	😸 Security Server - InstallShield Wizard	x
	Ready to Install the Program The wizard is ready to begin installation.	4
	If you want to review or change any of your installation settings, click Back. Click Cancel exit the wizard.	to
	Install this application for:	
	Anyone who uses this computer (all users)	
	InstallShield	
	< <u>B</u> ack	el

8. After the setup is complete successfully, click Finish.





9. After the Security Server software installation is complete, the icon security will be created on the Desktop.

#### 2.1.1 Security Server Software Interface

Security Server			×
Account Help 2	Assess Casteri	Б	0i-meture -
	Access control information grants or denies individual users of users access to protected functionality in the application(s).		Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature.
3	4		6
Add Delete	Users, Groups : S Administrators Users Administrator >>		Add Delete Edit Users, Groups : Administrators Users Administrator

Describes the unique display features of the security software.

- ① Account: Control to set / change user account and password.
- ② Help: Display the security software Guide and version of Security Server.
- ③ Software List: Register the software to be used (UV Express).
- ④ Access Control: Display the software function of the selected software in the Software List section. (File, Edit, Math, Measure, View, Math, etc.)
- (5) Users, Groups: Select user account(s) to be given the access permission to each function in the Access control section.
- G Signature: Set electronic signature. (Default-Authorship, Resposibility, Approval, Review, etc.)
- ⑦ Users Group: Select user accunt(s) who will have the authority to apply each signature.

## 2.1.1.1 Account

The Account menu includes commands to perform account functions as shown in the following table.

Acc	ount
	Add
	Deactivate/Activate
	Lockout Setting
	Unlock
	Change Password

Command	Function
Add	Add new user account
Deactivate/Activate	Deactivate or activate the user account
Lockout Setting	Set the lockout function
Unlock	Unlock the user account and set new password
Change Password	Change the password of user account

## Add

- Use the Add command to add a new user account.
- Procedure
- 1. To add a new user account, select user account and enter a password. Click Add.

Account Account Account Account Account Add Confirm Pass word	×		Add Account
Account Add Password Confirm Pass word			Account
Password Add			Account
Password	Add	- Add	
Confirm Pass word			Password
		_	Confirm Pass word

- **NOTE**: Password must be of minimum 6 characters and include at least one letter and a number each.
- NOTE: When the new user logs on for the first time they will be forced to change their password.

## Deactivate/Activate

- Use the Deactivate command to deactivate and prevent an activated user account from accessing the UV Express software.
- Use the Activate command to activate and allow a deactivated user account to access the UV Express software.
- Procedure
- 1. To deactivate a registered user account, click the "Name" drop-down list in the "Deactivate account" section, and then the currently activated accounts are listed.
- 2. Select the account to be deactivated and then click **Deactivate**.

Deactivate Account Name User2 User1 Activate Account Name Activate Activate	Setting activate	×
Activate Account Name Activate	Deactivate Account Name user2 user1	Deactivate
	Activate Account Name	Activate

- To activate a registered user account out of deactivated accounts, click the "Name" drop down list in the "activate account" section and the currently deactivated accounts are listed.
- 4. Select the deactivated account to be activated and then click **Activate**.

Setting activate			×
Deactivate Account Name	•	Deactivate	
Activate Account Name user2	•	Activate	

### **Lockout Setting**

■ Use the Lock out setting command to set the number of failed logins, lockout

duration and password age.

Lockout Number of failed logins allowed before lockout		
Lockout duration		
$\bigcirc$ Permanent, until administrator unlocks		
Ouration (minutes)	30	×
Password age		
Password never expires		
Password expires after (days)	30	×
	ОК	Cancel

- a. Lockout: In executing the UV Express software or signing the measured file, enter the limit number of failed logins. Once locked out, execute the Unlock function and set a new password.
- b. Lockout duration: Set the time (minutes) when the UV Express software is closed in case that there is no action after it is executed.
- c. Password age: Set the password expiration (days). Alarm message is displayed from 3 days before the password is expired.

### **Unlock Account**

- Use the Unlock Account command to unlock the user account when user failed logins over setting lockout number and set the new password.
- Procedure
- 1. To unlock user account, select user account and enter the new password and click

## unlock.

Unlock Account	×
Unlock Account Name	Unlock
New Password	
Confirm Password	

## **Change Password**

■ Use the Change Password command to change the user account password.

- Procedure
- 1. To change password, select user account and enter the new password and click **OK**.

Change Password		×
User		
Name		
		•
New Password		
Confirm Password		
	ОК	Cancel

## 2.1.1.2 Help

■ The Help menu contains the Help contents for Security Server Software.

Hel <u>p</u>	
Contents About	
Command	Function
Contents About	Open the Security Software Guide as PDF file Display the version of Security Server Software

## Contents

Contents links to external document of the Security Software Guide.

#### About

■ About Security Server contains information on the version of the software.

# 2.2 Installation of UV Express and UV Express Security Software

- **NOTE:** UV Express and UV Express Security software should be installed on a client computer.
  - 1. Log on as an Administrator account on a Client computer.



- 2. Input the **UV Express software** CD into the CD drive. UV Express software is installed automatically. The default installation folder is "C:\UV Express".
- **NOTE:** If UV Express Software has already been installed, please skip the procedures #2-9 and then, UV Express Security software only needs to be installed on a client computer.
  - 3. If the automatic setup window is not shown, click **Setup.exe** in the CD.
  - 4. UV Express InstallShield<sup>®</sup> Wizard starts. Click **Next**.



5. Enter your information and click **Next**.

😾 UV Express Basic Package - InstallShield Wizard	×
Customer Information Please enter your information.	44
User Name: 210FR	
Organization:	
Install this application for:	
Anyone who uses this computer (all users)	
Only for <u>m</u> e (21CFR)	
InstallShield < Back Next >	Cancel

6. Click Next.



## 7. Click Install.

😸 UV Express Basic Package - InstallShield Wizard	x
Ready to Install the Program The wizard is ready to begin installation.	
If you want to review or change any of your installation settings, click Back. Click Cancel to exit the wizard. Current Settings:	
Setup Type:	
Destination Folder: C:₩UV Express₩	
User Information: Name: 21CFR	
InstallShield	
< <u>Back</u> Install Cancel	

- 8. After the setup is complete successfully, click **Finish**.
- After the UV Express Software installation is complete, the UV Express folder with will be created on the Desktop.
- 10. Input the **Security software** CD into the CD drive. UV Express Security software is installed automatically. The default installation folder is "C:\UV Express".
- 11. If the automatic setup window is not shown, click **Setup.exe** in the CD.
- 12. UV Express Security InstallShield<sup>®</sup> Wizard starts. Click Next.

13. Enter your information and click **Next**.

	UV Express Security Package - InstallShield Wizard
	Customer Information Please enter your information.
	User Name:
	Organization:
1	Install this application for:
	<ul> <li>Anyone who uses this computer (all users)</li> <li>Only for me (TEST)</li> </ul>
	InstallShield Cancel

14. Click Next.



## 15. Click Install.

😸 UV Express Security Package - InstallShield Wizard	x
Ready to Install the Program	
The wizard is ready to begin installation.	
If you want to review or change any of your installation settings, click Back. Click Cancel to exit the wizard.	
Current Settings:	
Setup Type:	
Destination Folder:	
C:₩UV Express₩	
User Information:	
Name: TEST	
Company:	
InstallShield	
< <u>Back</u> Install Cancel	

16. After the setup is complete successfully, click **Finish**.

# 2.3 Setting IP address

The IP Address of the Server computer should be addressed in the Client computer for networking as follows.

## 2.3.1 Check the Server computer IP address

1. Log on to the computer as an Administrator account of the Server computer.



2. Press and hold the "Windows" key and then press the R key to open Run, and after writing "cmd", click **OK**.



3. Type "ipconfig" and press the **Enter key**.



4. Check the Server computer's IP address: ex. 192.168.10.23.



#### 2.3.2 Input the Server IP address information in the Client computer

1. Log on as an Administrator account on a Client computer.



 Open the "C:\" directory, and click the "UV Express" folder. Open AccessControList.aci file on the notepad and type the above Server IP address instead of the currently set IP address. Click File and Save the modified server IP address.

	Land Did (C) a 18/ Free	11.1.8.1.2.2.8.8	
Organize - Open	Burn New folder	AccessControlList - Notepad	
★ Favorites ■ Desktop Downloads	Name 🎴 AutoSave 强 Calib	File Edit Format View Help [Server17] Number=192.168.µ0.23 [ServerPort]	Â
<ul> <li>Recent Places</li> <li>Libraries</li> <li>Documents</li> </ul>	Data Diag Help Images	Number=2002 [List] Number=17 [List1]_	
Music  Pictures  Videos	Manual Method Simulation	Name=File [List2] Name=Edit [List3]	E.
Computer	Standard SW Validation Temp USB Drivers	Name=View [List4] Name=Measure	
New Volume (6:)	AccessControlList Actbar2.ocx ACTSGOL.OCX	[List] Name=Method [List6] Name=Math	
🗣 Network	CCRPFD6.OCX CCRPPRG6.OCX DSWizard.ocx	[List7] Name=Scan [List8] Name=Duantification	
	np200p_ocx.ocx     olch2x8.ocx     OLCH2X32.OCX	[List9] Name=Scanning Kinetics	▼ 
AccessControlList Date modified: 03/06/2015 17:09 ACI File Size: 588 bytes			
### 2.4 Folder Permissions

The Administrator account is already present on the PC. This gives the administrator full access to the whole system, including the ability to delete and rename files, and run any application, and change user and file/folder permissions. In order for data files to be protected, data saved in this protected folder can only be accessed by authorized users. This all permissions of file and folder follow the Windows system's procedural compliance.

### 2.4.1 Setting the "Write" permission to the "UV Express" folder

- **Note:** User(s) should be granted the "Write" permission to run the UV Express security software. To set up write access permission is carried out only on the Client computer's Administrator account.
  - 1. Log on to a Client computer as an Administrator account.



2. Open the "C:\" directory, and right-click the **"UV Express"** folder, and then click **Properties**.



3. Click "Security" tab and click Edit.

4. Select **Users** and check the **Allow** box for **Write** on the Permissions for Users window and click **OK**.

Permissions for l	JV Express		×
Security			
Object name: C:	\UV Express		
Group or user name	es:		
& Authenticated	Users		
& Administrators	(TEST-PC\Ad	ministrators)	
Sers (TEST-	PC\Users)		
		A <u>d</u> d	<u>R</u> emove
Permissions for Use	ers	Allow	Deny
Read & execute		$\checkmark$	
List folder conter	nts	1	
Read		1	
Write			
Special permission	ons		
Learn about acces	s control and p	emissions	
	ОК	Cancel	

5. To allow a specific account (e.g. user 1) the write permission, not all **Users**, set as below.

Object name: C:\UV Express							
Group or user names:							
Authenticated Users SYSTEM Administrators (TEST-PC\A	dministrators)			S	elect Users or Groups	1	8
Users (TEST-PC\Users)					Select this object type:		
					Users, Groups, or Built-in security principals		Object Types.
	0				From this location:		
	A <u>d</u> d	Remov	e		TEST-PC		Locations
Permissions for Users	Allow	Deny			Enter the object names to select ( <u>examples</u> ):		Charle Name
Read & execute	1		^				Qneck Name
List folder contents	1		-			(3)	
Read	$\checkmark$	(***)	=		Advanced	OK	Cancel
Write		[17]	-				
Special permissions			*	-			

6. Select **user1** and check the **Allow** box for **Write** on the Permissions for User1 window and click **OK**.

Permissions for UV Express		×
Security		
Object name: C:\UV Express		
Group or user names:		
Authenticated Users		
user1 (TEST-PC\user1)		
Administrators (TEST-PC\Ad	ministrators)	
Musers (TEST-PC\Users)		
	Add	Remove
	71 <u>u</u> u	<u>I.</u> c.nove
Permissions for user1	Allow	Deny
Read & execute	$\checkmark$	
List folder contents	<b>V</b>	
Read		=
Write		
Special permissions		-
Learn about access control and p	emissions	
ОК	Cancel	Apply

#### 2.4.2 Setting the "Delete and Change" prevention to the "UV Express" folder

- **NOTE:** To prevent user from deleting or changing the UV Express folder (C:\UV Express) and its subfolders and files, the delete permission should be set as **Deny**. It can be set with Administrator's account in the Client computer.
  - 1. Log on a Client computer as an Administrator account.



- Open the "C:\" directory, and right-click the "UV Express" folder, and then click Properties.
- 3. Select **Security** tab in the Properties window and click **Advanced**.

Authenticated Users         SYSTEM         user1 (TEST-PC\user1)         Administratore (TEST\ Administratore)         Image: display the second se		• • Edit
To change permissions, click Edit.  Permissions for user1  Full control  Modify  Read & execute List folder contents Read		<u>E</u> dit
Full control Modify Read & execute List folder contents Read	WOW	Deny
Write	~ ~ ~ ~ ~ ~ ~	
For special permissions or advanced setting click Advanced. Leam about access control and permissions	s, Ad	<u>v</u> anced

4. Select the **permissions** tab and "**user1**" and click **Change Permissions**.

Advanced Permissions	d Security Settings for UV E	xpress Permissions	1	<u> </u>
To view de Object nar Permission	etails of a permission entry, dou ne: C:\UV Express entries:	ble-click the entry. To m	odify permissions, click	Change Permissions.
Туре	Name	Permission	Inherited From	Apply To
Allow	user1 (TEST-PC\user1)	Read, write & exec	<not inherited=""></not>	This folder, subfolders and
Allow	Administrators (TEST-PC)	Full control	C:\	This folder, subfolders and
Allow	SYSTEM	Full control	C:\	This folder, subfolders and
Allow	Users (TEST-PC\Users)	Read & execute	C:\	This folder, subfolders and
Allow	Authenticated Users	Modify	C:\	This folder, subfolders and
Change √ Include	Pemissions	is object's parent		
propertation				
			ОК	Cancel <u>A</u> pply

5. Select "**user1**" in the permissions window and click **Edit**.

ermission	n entries: Name	Permission	Inherited From	Apply To
Allow	uper1 (TEST_DC\uper1)	Dead write & eve	<not inherited=""></not>	This folder, subfolders a
Allow	Buillion and the first of the	Eull control	C:\	This folder, subfolders a
Allow	SYSTEM	Full control	C:1	This folder, subfolders a
Allow	Users (TEST-PC\Users)	Read & execute	C:1	This folder, subfolders a
Allow	Authenticated Users	Modify	C:\	This folder, subfolders a
Add	e inheritable permissions from e all child object permissions w	Remove this object's parent ith inheritable permission	ns from this object	

 Under permissions for Delete subfolders and files, Delete, Change permissions and Take ownership, select or check Deny and click OK.

Name: u	iser 1 (TEST-PC\user 1)		Change
Apply to:	This folder, subfolders a	and files	•
Permissions	5:	Allow	Deny
Read at	tributes	1	· ·
Read ex	tended attributes	1	
Create f	iles / write data	1	
Create f	olders / append data	1	
Write at	tributes	1	
Write ex	tended attributes	1	
Delete s	ubfolders and files		<b>V</b> =
Delete			<b>V</b>
Read pe	rmissions	1	
Change	permissions		<b>V</b>
Take ow	nership		<b>V</b> -
Apply the contained	nese permissions to object ers within this container on	s and/or nly	Clear All
Managing r	permissions		

#### 2.4.3 Setting the "Overwrite" prevention to the "Data" folder

- **NOTE:** To prevent user from overwriting data into the Data folder (C:\UV Express\Data), the **Create Folders / append data** permission should be set as **Deny**. It can be set with Administrator's account in the Client computer.
  - 1. With the Administrator's account logged on, open the "C:\ UV Express" directory, and right-click on the "**Data**" folder and then click **Properties**.
  - 2. Select **Security** tab in the properties window and click **Advanced**.

serieral Sharing Second	revious versions	Customize
Object name: C:\UV Exp	ress\Data	
Group or user names:		
& Authenticated Users		
SYSTEM		
& user1 (TEST-PC\user1	0	
Administratore (TEST.	PC\Administratore)	
•		
To change permissions, clic	k Edit.	Edit
Permissions for user1	Allow	Deny
Full control		
Modify		
Read & execute	~	E
List folder contents	~	
Read	~	
Write	~	
For special permissions or a click Advanced.	dvanced settings,	Ad <u>v</u> anced
Learn about access control	and permissions	

3. Select the **permissions** tab and "**user1**" and click **Change Permissions**.

ermission	n entries:	Demoissien	July and France	0
Туре		Permission		Apply to
Deny	user1 (TEST-PC\user1)	Special	C:\UV Express\	This folder, subfolders and
Allow	UserT(TEST-PC/UserT)	Read, write & exec	C:\UV Express\	This folder, subfolders and
Allow	Administrators (TEST-PU)	Full control	C:\	This folder, subfolders and
Allow	STSTEM	Full control	C:\	This folder, subfolders and
Allow	Users (TEST-PC/Users)	Read & execute	C:\	This folder, subfolders and
Chapper	Pormissions			

4. Select "**user1**" in the permissions window and click **Edit**.

 $\mathbf{r}$ 

Туре	Name	Permission	Inherited From	Apply To
Deny	user1 (TEST-PC\user1)	Special	C:\UV Express\	This folder, subfolders a
Allow	user i (TEST-PC/user i)	Read, write & exe	C:\UV Express\	This folder, subfolders a
Allow	Administrators (TEST-PC	Full control	C:\	This folder, subfolders a
Allow	SYSTEM	Full control	C:\	This folder, subfolders a
Allow	Users (TEST-PC\Users)	Read & execute	C:\	This folder, subfolders a
Allow	Authenticated Users	Modify	C:\	This folder, subfolders a
Add	Edit	Remove	from this object	

5. Under permissions for **Create folders/ append data**, select or check the **Deny** and click **OK**.

This permission is inherited from the p here to override the inherited permis	oarent object. sions.	Make change
Name: user1 (TEST-PC\user1)		Change
Apply to: This folder, subfolders	and files	
Permissions:	Allow	Deny
Create folders / append data		
write attributes		
Write extended attributes		
Delete subfolders and files		1
Delete		1
Read permissions		
Change permissions		1
Take ownership		1
Apply these permissions to object containers within this container of	rs and/or hly	Clear All
Apply these permissions to object containers within this container of	s and/or hly	Clear All

### 2.5 Setting Windows Firewall

Windows Firewall is a program to prevent malicious software from gaining access to your PC through the Internet or a network. In the Network System, if the windows Firewall programs is turned on and the programs for UV Express Security software are blocked, it should be set to allow the programs to communicate through the Windows Firewall.

**NOTE:** In case that user uses other firewall programs, it should also be set to allow the programs for UV Express Security software to communicate through those firewall programs.

### 2.5.1 UV Express access through the Windows Firewall

1. Log on as an Administrator account on the Server computer.



- 2. Select **Control Panel** from the Start menu in the windows operating system. And the click **Windows Firewall**.
- 3. Click Allow programs to communicate through Windows Firewall.



4. Select "Change settings", and then the "Allow another program" button is activated. Click "Allow another program".

🔾 💭 🗢 🔐 « Windows Firewall 🕨 Allowed Programs	✓ <sup>4</sup> → Search Control	ol Panel	٩
Allow programs to communicate through Windows Fi To add, change, or remove allowed programs and ports, click Change What are the risks of allowing a program to communicate?	irewall settings.	nge settings	
Anowed programs and reactives.	Heme (Work (Drivete)	Dublia A	
RranchCache - Content Retrieval (Uses HTTP)			
BranchCache - Hosted Cache Client (Uses HTTPS)			
BranchCache - Hosted Cache Server (Uses HTTPS)			
BranchCache - Peer Discovery (Uses WSD)			
Connect to a Network Projector			
Core Networking	$\checkmark$		
Daemonu.exe			
Dissolution Analysis Software		✓	
Distributed Transaction Coordinator			
✓ EventLogServer		✓	
File and Printer Sharing			
Google Chrome		✓ ▼	
	Detai <u>l</u> s	Re <u>m</u> ove	
L	Allow anothe	r p <u>r</u> ogram	
	ОК	Cancel	

4. Click Browse...

File Edit View Tools Help Allow program To add, change, o What are the risks Allowed program Name 21CFRServer BranchCach BranchCach	Add a Program  Add a Program  Select the program you want to add, or click Browse to find one that is not listed, and then click OK.  Programs:  Internet Explorer  Lambda 35  Security Administration  SubSR Monitor Pro UV KinLab  Vindows DVD Maker  Windows PAX and Scan  Windows Media Center	nge settings	
☐ Donnect to a	Windows Remote Assistance K XPS Viewer  Path: C: \Windows \ehome \ehshell.exe  What are the risks of unblocking a program? You can choose which network location types to add this program to.  Network location types Add Cancel  Allow another OK	Remove	

6. Open each executable measurement modes.



7. After selecting **the entire measurement mode of UV Express** (such as **Scan**) and check **Home/Work (Private) and public**, then click **OK**.

	« All Control Panel Items   Windows Firewall   Allowed Programs	-	• + Sear	ch Control Pa 🔎
	Allow programs to communicate through Windows F To add, change, or remove allowed programs and ports, click Change What are the risks of allowing a program to communicate?	irewall settings. ③Cha	nge settings	
	Allowed programs and features:			
	Name	Home/Work (Private)	Public ^	
[	Performance Logs and Alerts  Remote Assistance Remote Desktop Remote Desktop RemoteFX Remote Scheduled Tasks Management Remote Scheduled Tasks Management Remote Scheduled Tasks Management Remote Volume Management Remote Volume Management Scan Scan Scan SecurityServer			
		Allow anothe	er p <u>r</u> ogram	]
		ОК	Cancel	

- Set to allow the Security Server software to communicate through Windows Firewall following procedures #5~7.
- 9. Log on as an Administrator account of Client computer.
- Referring to procedures #2~#7, it should be set to allow the entire mode of UV
   Express programs for security software to communicate through the Windows
   Firewall of the Client computer.

# 3. Operating Security Server

- **NOTE:** Security Server cannot be executed under the User account because the authority and permission have to be controlled by Administrator only.
- **NOTE:** In the network system, to run the security program properly, the Administrator account of the Server computer should be kept logged-on.



1. Run the **Security Server** software **s**, then Security Server window will appear.

🚛 Security Server		
Account Help		
Software List	Access Control	Signatures
	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanings are text strings that are used to provide the meaning for an electronic signature.
		Add Delete Edit
	Users, Groups : Administrators Users Administrator >>>	Users, Groups : Administrators Users Administrator
Add Delete		

2. In case that the message pops up as below, proceed with the following steps to get the administrator account logged in properly.



- **NOTE:** The account has to be grouped in proper type, e.g., Administrator or Standard user (Local account). If the account is involved in unintended group like homeusers, the access to software could be denied.
  - 3. Press and hold the "Windows" key and then press the R key to open Run. After writing "netplwiz", click **OK**.



4. If the user is grouped other than Administration, i.e., homeusers, select user and click **Properties**.

User Accounts	X
Users Advanced	
Use the list below to and to change passw	grant or deny users access to your computer, ords and other settings.
Users must <u>e</u> nter a user nan	ne and password to use this computer.
Users for this computer:	
User Name	Group
📲 💐 admin	Administrators
No. 100	homeusers; Administrators
🔧 user1	Users
💐 user2	Users
	A <u>d</u> d <u>R</u> emove Pr <u>op</u> erties
Password for TEST	
To change your pa Password.	ssword, press Ctrl-Alt-Del and select Change
	Reset <u>P</u> assword
	OK Cancel Apply

5. Select Group Membership and check Administrator. Click Apply and OK.



 Confirm the group is properly modified. After the following message appear, Click Yes to restart computer.

User Accounts	<b>×</b>
Users Advanced	
Use the list below to gran and to change password	nt or deny users access to your computer, is and other settings.
Users for this computer:	
User Name	Group
R admin	Administrators
TEST	Administrators
Suser1	Users
suser2	Users
Password for TEST To change your passw Password.	dd <u>R</u> emove <u>Properties</u> vord, press Ctrl-Alt-Del and select Change <u>Reset Password</u>
	OK Cancel Apply
User Accounts	X
You have made changes log back on for these cha Do you want to log off n	to your user account. You must log off and anges to take effect. ow?
	Yes No

 Despite all that, if accessing to Security Server is still denied, the unwanted group (homeusers) has to be deleted itself. Right-click on Computer and then click Manage.

	→ Network Location (1)
lo ⊿ In ∠ 25 In	Collapse
Þ 👝 Ne 🔇	Manage
⊳ <u></u> Ne	Open in new window
🎳 M:	Map network drive
D 💼 Netv	Disconnect network drive
	Add a network location
🐌 Colc	Delete
	Rename
	Properties
	TEST-PC Workgroup: WORKGROUP I QC-3.1 Processor: Intel(R) Core(TM) i5-23

8. Open **Groups** in Local Users and Groups.

E Computer Management	the sea sol	which any laws
<u>File Action View H</u> elp		
🗢 🔿 🙍 🖬 🖉 🕼		
Computer Management (Local	Name	Description
<ul> <li>System Tools</li> <li>Task Scheduler</li> <li>Event Viewer</li> <li>Shared Folders</li> <li>Local Users and Groups</li> <li>Users</li> <li>Groups</li> <li>Nevice Manager</li> <li>Storage</li> <li>Disk Management</li> <li>Services and Applications</li> </ul>	Administrators Backup Operators Cryptographic Operat Distributed COM Users Event Log Readers Guests IS_IUSRS Network Configuratio Performance Log Users Performance Monitor Power Users Remote Desktop Users Replicator Users homeusers	Administrators have complete an Backup Operators can override se Members are authorized to perfor Members are allowed to launch, a Members of this group can read e Guests have the same access as m Built-in group used by Internet Inf Members in this group can have s Members of this group can have s Members of this group can acces Power Users are included for back Members in this group are grante Supports file replication in a dom Users are prevented from making

9. Select homeusers and click Delete icon.



10. The following box will appear. Click **Yes** to delete homeusers group.

**NOTE:** Other functions of windows system could be affected by deleting this homeusers group. Carefully consider the deletion.



11. Restart the computer and execute the Security Server.

### 3.1 Set [Account]

On UV Express security software, user's account(s) should be added in the Security Server software following the procedures below.

1. Select Account of the Security Server window. Click Add.

Access c users act	Add Deactivate/Activat	te	is are text string electronic sign	gs that are used to provide ature
	Lockout Setting Unlock			
	Change Password			
			udd Delet	e Edit
Users, Group	s :	Users, Groups		
	Administrators Users Administrator		~~	Administrators Users Administrator

 As the Add Account window appears, select account and set the password. Click Add.

🔳 Ado	d Account		×
Acco	unt ccount iser 1  v Password	Add	
•	Confirm Password		
	•••••		

- **NOTE:** *Password must be of minimum 6 characters and include at least one letter and a number each.*
- NOTE: When the new user logs on for the first time, they will be forced to change their password.

3. The following message will appear, and then click **OK**.



4. Confirm the account was listed on **Users, Groups**.

wara Lint	Access Control	Simulation
Walty List	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanings are text strings that are used to provide the meaning for an electronic signature.
	Users, Groups :	Add Delete Edit
	Administrators Users Administrator User]	Administrators Users Administrator << user >>

### 3.2 Set [Software List]

In order to set Access Control for UV Express security software functions, the software must be registered on the Software List in advance. Set the Software List as follows.

1. Click Add in the Software List section of the Security Server window.

Security Server		a di anti anti a di a
Account Help		
Software List	Access Control	Signatures
Software List	Access control Access control users access to protected functionality in the application(s).	Signatures Signatures meanings are text strings that are used to provide the meaning for an electronic signature.
	Users, Groups :	Add Delete Edit
	Administrators	Administrators
	Users	Users
	Administrator	user1
	~~	
	>>	>>
Add Delete		

 As the open window appears, select UV Express.afs and click Open. Then, the UV Express will appear in the Software List.

ftware List	Access Control	Signatures		Account Help
	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanin the meaning for a	gs are text strings n electronic signar	Software List
	🎄 Open			UV Express
	COO V Local Disk (C:) + SecurityServer + + 4	Search SecurityServer	Q	
	Organize - New folder	· E •		
	Y Favorites	Date modified	Type	
	🔜 Desktop 🤑 Manual	27/05/2016 08:43	File folder	
	Downloads	11/09/2013 14:04	AFS File	
	Secent Places Dissolution.afs	29/10/2013 16:12	AFS File	
	Ubraries UV Labars	25/07/2015 17:03 26/05/2015 07:57	AFS File	
	Videos		ploto	
	Local Disk (C:) Local Disk (D:) New Volume (E:)			
	File game.	Application files(*.afs) Qpen ↓Ci	incel <<	
			>>	

### 3.3 Set [Access Control]

Access Control assigns users the authority to access various functions in the UV Express security software. Set access controls as follows.

1. Click on the **UV Express** in the Software List. And then items are displayed in each section.

🎄 Security Server		
Account Help		
Software List	Access Control Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature.
	File       *         Edit       *         Vew       Meshod         Method       Math         Scan       Gamma         Quantification       E         Scanning Kinetics       Wavelength Program         Thermal Denaturation       Kinetics         Validation       Scanning Quantification         Protein Analysis       Nucleic Acid Analysis         Cell Density       *	Authorship Responsibility Approval Resiew Add Delete Edit
	Users, Groups :	Users, Groups :
Add Delete	Administrators Users Administrator user1	Administrators Users Administrator user1

Each 'function' corresponds to a menu item in the main menu of the UV Express software or a specific command. See the UV Express software Users Guide for more details.

File : Allows user to access each command in the File menu.
Edit : Allows user to access each command in the Edit menu.
View : Allows user to access each command in the View menu.
Measure : Allows user to access each command in the Measure menu.
Method : Allows user to access each command in the Method menu.
Math : Allows user to access each command in the Math menu.
Scan : Allows user to access Scan mode executable program.
Quantification : Allows user to access Scanning Kinetics : Allows user to access Scanning Kinetics and executable program.

Wavelength Program : Allows user to access Wavelength Program mode

executable program.

**Thermal Denaturation** : Allows user to access Thermal Denaturation mode executable program.

Kinetics : Allows user to access Kinetics mode executable program.

**Validation** : Allows user to access Validation functions. Validation Software is optional.

**Scanning Quantification** : Allows user to access Scanning Quantification mode executable program.

Protein Analysis : Allows user to access Protein Analysis mode executable program.Nucleic Acid Analysis : Allows user to access Nucleic Acid Analysis mode executable program.

**Cell Density** : Allows user to access Cell Density mode executable program. **Multicomponent Analysis :** Allows user to access Multicomponent Analysis mode executable program.

2. Select the user account(s) to be given the access permission to each and click <

Edit	
/iew	
vieasure Viethod	
Aath	
Scan	
Juantification	
Scanning Kinetics	3
hermal Denatura	tion
Cinetics	
/alidation	
Scanning Quantifi	cation
rotein Analysis Jucleic Acid Anal	lveis
Cell Density	ly 313
-	
Users, Groups :	
Users, Groups :	Administrators
Users, Groups : user1	Administrators Users
Users, Groups : user1	Administrators Users TEST
Users, Groups : user1	Administrators Users TEST user1
Users, Groups : user1	Administrators Users TEST user1 user2
Users, Groups : user1	Administrators Users user1 user2

### 3.4 Set [Signature Meanings]

Set the signature meanings for users as follows.

1. To create a new signature, click **Add** in the Security Server window.

Access Control Access control information grants or denies individual users of users access to protected functionality in the application(s). File	Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature. Authorship Responsibility
View View Measure Method Math Scan Quartification Scanning Kinetics Wavelength Program Thermal Denaturation Kinetics Validation Scanning Quartification Protein Analysis Nucleic Acid Analysis Cell Density v	Approval Review
Users, Groups : Administrators Users Administrator user1 user1	Users, Groups : Administrators Users Administrator user1
	Access Control Access control information grants or denies individual users of users access to protected functionality in the application(s). File Edit View Measure Method Math Scan Quartification Scanning Kinetics Validation Scanning Quartification Protein Analysis Nucleic Acid Analysis Cell Density Users, Groups : Administrators Users Administrator user1

2. Enter the name for the new signature meaning and click **Add**.

Signature meaning				×
Operator				
		Add	С	ancel

ount Help				
tware List	Access Control	Signatures		
UV Express	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanings are text strings that are used to provide the meaning for an electronic signature.		
	File Edit View Messure Method Math Scan Quantification Scaning Krietics Wavelength Program Thirmal Denaturation Krietics Validation Scaning Augustification Profession Notes Acid Analysis Cell Denaty	Authorship Responsibility Approval Operator Operator		
	Users, Groups ; Administrators Users Administrator user1 user1	Users, Groups : Administrators Users Administrator user1 User1		
Add Dela	>>	22		

3. The created signature meaning is shown in the Security Server window.

Users for each signature are listed in the "Users, Groups" section. Select a signature 4. and select users who will have the authority to apply the selected signature using

Signatures
Signature meanings are text strings that are used to provide
the meaning for an electronic signature.
Authorship
Responsibility
Approval
Review
Operator
Add Delete Edit
1
Users Courses
Users, Groups .
user1 Administrators
Users
TEST
<< user
>>

# 4. Operating UV Express Software

### 4.1 Operating UV Express Software



- 1. Log on to a client computer as a **Standard user account**.
- **NOTE:** UV Express software cannot be executed under a Windows "Computer Administrator" account because the administrator account has the authority to modify and delete data.
  - Execute one of the measurement modes of UV Express software, and then 'Log on to Security Server' message will appear. Enter the registered User Name and Password of the account and click OK.

Log On to Security	Server	×
User Name: Password:	user1	OK Cancel

3. If the password is correct, the following message will appear, and then click **OK**.



4. If it is the first time to log on to UV Express security software, the following message will appear and click **OK**.

UV Expres	5	×
You sho	uld reset the passv	vord.
		OK

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5. Enter the old password (assigned password by administrator) and a new password, and then click **OK**.

New Password		
User Name: Old Password: New Password:	user1 ******	OK Cancel

- **NOTE:** *Password must be of minimum 6 characters and include at least one letter and a number each.* 
  - 6. The "Password successfully changed" message will appear, and then click **OK**.
  - 7. Log on again with the changed password. If the instrument is connected and ready to measure, click **On-Line** or **Off-Line**.

UV Express Selection Mode	
○ Off-Line	• On-Line
	ОК

- A user's access to each menu is determined by the privileges given to each user account. In the following example, user1 was given access to log on and execute the Scan mode of UV Express software with the file, method, measure and signature menu.
- 9. Open an existing sample data or measure the sample. Save a data.
- **NOTE:** If the data is not saved, signatures cannot be applied. Ensure that data is saved first.
- **NOTE:** Data must be saved in a folder which the user has been granted the access to.
  - 10. Apply a signature to measured or archived data by clicking **Current File** on the window.

UV Express - [C\UV E	epress\SW Validation\test.d Meagure Method Math	gdt) Window H	elp					- 6 ×
		πR E						
00.0000 Energy	0000.00	Zero	Baseline	Blank	Sample	Stop	Current File: Not Signed	
IA.	Scan Setup 🍳 🎗	🕅 🕹 👬	+ + 🔟		X: 424.	84, Y: 2.09	48	

11. In the Digital Signature dialog box, enter User Name and Password, select the signature meaning, and click **OK**.

Digital Signature		×
		ок
User Name:		
Password:		Cancel
Meaning for Signature:	Authorship <	
	Review	
	Authorship	
	Responsibility	
	Approval	

12. After the Signature is complete, the following message will appear. Click OK.

UV Express	×
i	Successfully signed file C:\UV Express\SW Validation\test_AUTHORSHIP.dgdt
	ОК

**NOTE:** If you enter any incorrect password, the below message will appear. Your account is locked out when you exceed the limit number of failed logins and it can be unlocked by setting a new password by the administrator.

0	,	5	
UV Express		Passant	×
8	Incorrect password	l. The remaining allowa	able attempt number is 3
			ОК

13. The signature record is shown in the main window and the signed data is saved as a new file.

😋 🗢 🛡 🚺 « UV Expres	ss ▶ SW Validation	• <b>f</b> j	Search	SW Valida	tion		<u>×</u>
Organize 🔻 🛛 Include in	library 👻 Share with 👻	Burn	New fo	der			0
☆ Favorites	Name			Date mod	ified	Туре	
🧮 Desktop	BaseCorrection.dgdt			01/06/201	5 13:50	DGDT	File
🐌 Downloads	derivative.dgdt			01/06/201	5 13:50	DGDT	File
🗐 Recent Places	PickPeak.dgdt			01/06/201	5 13:51	DGDT	File
	Quant.dqdt			01/06/201	5 13:15	DQDT	File
潯 Libraries	test.dqdt			27/05/201	6 09:00	DGDT	File
Documents	test_Authorship.dgdt			27/05/201	6 09:04	DGDT	File
🌙 Music							

Current File: user1, Authorship, May 27 2016 09:49:00 (GMT -8:00)

14. If the second signature is applied to the data file, it is saved as a new file again as shown below.

Current File: user1, Responsibility, May 27 2016 09:49:33 (GMT										
😋 🗢 🗣 🚺 « UV Expres	ss 🕨 SW Validation 👻 🐓	Search SW Validation	٩							
Organize 🔻 Include in	library 🔻 Share with 💌 Burn	New folder 🔠 👻								
☆ Favorites	Name	Date modified	Туре							
🧮 Desktop	BaseCorrection.dgdt	01/06/2015 13:50	DGDT File							
🗼 Downloads	derivative.dgdt	01/06/2015 13:50	DGDT File							
🔚 Recent Places	PickPeak.dgdt	01/06/2015 13:51	DGDT File							
	Quant.dqdt	01/06/2015 13:15	DQDT File							
🥃 Libraries	test.dgdt	27/05/2016 09:00	DGDT File							
Documents	test_Authorship.dgdt	27/05/2016 09:04	DGDT File							
J Music	test_Authorship_Responsibility.dgdt	27/05/2016 09:05	DGDT File							

15. Click **Print** to view the saved data using a printed report.

### 4.2 Changing Methods

If any Method is changed or data is modified in the signed file, user has to enter the User Name and Password to change methods. After typing the reason, click **OK** to save the changed data. The method change history could be checked in the print window.

**NOTE:** Be sure that if the method or data is modified, the data is needed to be saved and signed again.

Log On to Change the Experimental Para	meter
User Name: Password: Reason:	OK Cancel
[Y Unit] Old : Absorbance, New : Transmittance [Wavelength (nm)] Old : 440, 455, 546,1, 590, 635 New : 465, 546,1, 590, 635	× *

#### Method History Method Change Date: 09-03-2015 14:37:57 (GMT+9:00) Method Change Operator: user1 Method Change Reason: test Changed Method Applied to File: Untitled-1 Method Change Contents: [SBW (nm)] Old : 1.0, New : 0.5 [Y Unit] Old : Absorbance, New : Transmittance Method Change Date: 09-03-2015 14:38:11 (GMT +9:00) Method Change Operator: user1 Method Change Reason: test2 Changed Method Applied to File: Untitled-1 Method Change Contents: [Internal Reference Use] Old : No, New : Yes [Internal Reference Type] Old : Single Point, New : Single Point [Internal Reference Wave.] Old : 1100, , New : 550

### 4.3 Lockout for unattended operation

This function is performing automatic lockout after some set time of inactivity. The automatic lockout time (Lockout duration) is set in the security server software by the administrator. If there is no action in the set time after the UV Express security software is executed, it is locked out and the following message will appear. Enter the User Name and Password to unlock the UV Express security software again.

- Re-Logon after Lock Out Duration	
User Name:	ОК
Password:	Cancel

**NOTE:** Your account is locked out when you exceed the limit number of failed logins and it can be unlocked by setting a new password by the administrator.

### 4.4 Deleting Spectra

If a user deletes an acquired spectrum from the sample measurement result, it is mandatory to enter the User Name and Password in the 'Reason of the deleting data' message box. Deleted data is stored in the 'Deleted Spectra' folder. (C:\UV Express\Deleted Spectra).

Reason of the deleting	data	
Liser Name:		ОК
Password:	I	Cancel
Reason:		

### 4.5 Retrieve the deleted spectra

 In order to retrieve and re-analyze the deleted spectrum in the UV Express security software, click **Open** in the menu and select the deleted file [\*.b+ file extension (e.g. \*.bdgdt)] in the '**Deleted Spectra**' folder.

Look in: 🔒 Deleted Spectra	- 🗢 🗈 💣 🎫
Name	Date modified T
01-12-2016 08-21-38_test.bdgdt 01-12-2016 08-39-13_Test.bdgdt	1/12/2016 8:21 AM B 1/12/2016 8:39 AM B
• [	,
ile name:	Open
The product of the second seco	• Curco

# 5. Event Log

The Logs of Changes are displayed in the Windows Event Viewer to trace the history of all setup changes in the Security Server and UV Express Security software.

**NOTE:** In the network system, they are shown in the server PC.



- 1. Click Start > Control Panel.
- 2. Open Administrative Tools > Event Viewer.



 The Event View contents are displayed. Expand the Applications and Services Logs folder, and then select 21CfrPart11.

Event Viewer       Event Viewer (Local)         Bit Action Views       Bit Action Views         Bit Action Viewer (Local)       Windows Logs         Custom Views       Date and time         Custom Views       Carbon Views         Custom Views       Date and time         Custom Views       Carbon Views         Care Custom Views       C							
Event Viewer       p       Custom Views         File       Actions       Actions         File       Date and me       File         File       Actions       Actions         File       Date and me       File         File       Date and me       File         File       Information       65/2015         File       Actions       School System         File       Information       65/2015         File       Actions       School System         File       Open Saved Log       Create Custom View         File       Information       65/2015         File       Media Center       File       File         File       Openties       File       File         File       Openties       File       File         File       Username: userl, LogOn: LOGON SUCCEEDED.       Source:       View     <				🔡 🔡 Event	Viewer (Local)		
File       Actions         Event Viewer (Local) <ul> <li>                 Control Views</li>                 Control Views                 Con</ul>	Event Viewer			🕨 🖗 C	ustom Views		
Image: Subscriptions       21CfrPart11       Number of events: 72       Image: Subscriptions       Actions         Image: Subscriptions       21CfrPart11       Number of events: 72       Image: Subscriptions       Image: Subs	Eile Action View Help			📄 🖻 📑 W	indows Logs		
Event Viewer (Loca)       21CfrPart11       Number of events: 72       22 CfrPart11       Actions         2 Custom Views       Date and mine       21 cfrPart11       Actions       21 cfrPart11         2 Monova Logs       Dinformation       607 c015 92:250 AM       Event Viewer (Loca)       20 cfrPart11         2 Hardware Events       Einformation       657/2015 92:250 AM       Event Viewer (Loca)       Center       Center Custom View         2 Media Center       Dinformation       657/2015 92:20 AM       Event Media Center       Media Center       Properties         2 Subscriptions       Information       657/2015 92:20 AM       Event New       Properties       Properties         2 Subscriptions       Information       657/2015 8:19:56 AM       Event 1006, UV Express       Save All Events As         2 General Details       Information       657/2015 9:21:00 AM       Save All Events As         2 General Details       Username: userl, LogOn: LOGON SUCCEEDED.       Save All Events As         2 Log Name:       21 CfrPart11       Event Properties       Event Properties         2 Subscription:       UV Express       Event Properties       Event Properties         2 Subscription:       UV Express       Log Name: 21 CfrPart11       Event Properties         2 Subsc	🗢 🔿 🙋 🖬 🚺 🖬			a 🖻 A	plications and Services Lo		
↓ Custom Views       Date and time       Hardware Events       21CfrPart11         ↓ Moromation       567/0215 92:2590 AM       ↓ Information       657/0215 92:2309 AM       ↓ Media Center         ↓ Hardware Events       ↓ Information       657/0215 92:2309 AM       ↓ Media Center       ♥ Create Custom View         ↓ Media Center       ↓ Information       657/0215 92:240 AM       ↓ Media Center       ♥ Create Custom View         ↓ Media Center       ↓ Information       657/0215 92:240 AM       ↓ Media Center       ♥ Filter Current Log       ♥ Filter Current Log       ♥ Properties         ↓ Subscriptions       ↓       ↓       ↓       ↓ Media Center       ♥ Filter Current Log       ♥ Properties         ↓       ↓       ↓       ↓       ↓       ↓       ↓       ↓         ↓ <td>Event Viewer (Local) 2</td> <td>ICfrPart11 Numbe</td> <td>er of events: 72</td> <td></td> <td>21CfrPart11</td> <td>1</td> <td>Actions</td>	Event Viewer (Local) 2	ICfrPart11 Numbe	er of events: 72		21CfrPart11	1	Actions
Windows Logs Open Saved Log Create Custom View Information 6// Custom View Media Center Information 6// Custom View Media Center Information 6// Custom View Information Information 6// Custom View Information Information 6// Custom View Information Information Information 6// Custom View Information	Custom Views	evel	Date and Time		Hardware Events		21CfrPart11
Purchastion de voce to     Portation of 5/2015 9:23:09 AM     Portation of 5/2015 9:23:29 AM     Portation of 5/	Windows Logs	Information	6/5/2015 9:25:04 AM		Internet Explorer		Open Saved Log
Imarket Filter       Information       6/5/2015 9:22:52 AM       Imarket Filter Schlet       Import Custom View         Information       6/5/2015 9:22:03 AM       Import Custom View       Import Custom View       Clear Log         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View         Import Custom View       Import Custom View       Import Custom View       Import Custom View	21CfrPart11	Information	6/5/2015 9:23:09 AM		Key Management Service		Create Custom View
Internet Explorer Key Management Service Media Center Subscriptions  Information 6/5/2015 9:21:00 AM Subscriptions  Information 6/5/2015 8:19:55 AM Properties Properties Subscriptions  Information Clear Log Properties Subscription Subscription Information Clear Log Properties Subscription Clear Log Properties Revent 1006, UV Express  Log Name: 21CfrPart11 Source: UV Express Logged: 6/5/2015 9:21:03 AM Event Properties Subscription Attach Task To This Event	📔 Hardware Events 🤇	Information	6/5/2015 9:22:52 AM		Modia Contor		Import Custom View
Image: Subscriptions       6/5/2015 9:21:00 AM       Image: Subscriptions       Image: Subscriptions         Image: Subscriptions       Image: Subscriptions       Image: Subscriptions       Image: Subscriptions         Image: Subscriptions       Image: Subscriptions <td>📔 Internet Explorer 🧃</td> <td>Information</td> <td>6/5/2015 9:21:03 AM</td> <td></td> <td>Media Center</td> <td></td> <td>Clearling</td>	📔 Internet Explorer 🧃	Information	6/5/2015 9:21:03 AM		Media Center		Clearling
Implementation       6/5/2015 8/19:56 AM       Implementation       Properties         Implementation       Implementation       Implementation       Implementation       Implementation         Implementation       Subscriptions       Implementation       Implementation       Implementation       Implementation       Implementation         Implementation       Impleme	Key Management Service	Information	6/5/2015 9:21:00 AM	📑 Su	ubscriptions		Clear Log
Construction     Image: Construction     Image: Construction       Construction     Event 1006, UV Express     Image: Construction       Construction     Construction     Image: Construction       Username: userl, LogOn: LOGON SUCCEEDED.     Image: Construction       Log Name:     21CfrPart11       Source:     UV Express       Log Name:     21CfrPart11	Subscriptions	Information	6/5/2015 8:19:56 AM			-	Filter Current Log
Event 1006, UV Express       Image: Find         General Details       Image: Save All Events As         Username: user1, LogOn: LOGON SUCCEEDED.       Image: Refresh         Log Name:       21CfrPart11         Source:       UV Express         Log yame:       21CfrPart11         Source:       UV Express         Log yame:       21CfrPart11         Source:       UV Express         Log yame:       21CfrPart11	i subscriptions				4		Properties
General Details       Image: Save All Events As         Username: userl, LogOn: LOGON SUCCEEDED.       View         Log Name:       21CfrPart11         Source:       UV Express         Log yame:       21CfrPart11         Source:       UV Express         Log yame:       21CfrPart11	E	vent 1006, UV Express				×  {	Find
Log Name:       21CfrPart11         Source:       UV Express         Log yame:       21CfrPart11		General Details				1	Save All Events As
Username: userl, LogOn: LOGON SUCCEEDED.       View         Image: Comparison of the second secon						ור	Attach a Task To this Log
Log Name: 21CfrPat11 Source: UV Express Logged: 6/5/2015 9:21:03 AM		Username: user1, L	.ogOn: LOGON SUCCEEDED.				View
Log Name: 21CfrPart11 Source: UV Express Logged: 6/5/2015 9:21:03 AM						1	G Refresh
Log Name: 21CfrPart11 Source: UV Express Logged: 6/5/2015 9:21:03 AM							? Help
Log Name: 21CfrPart11 Source: UV Express Logged: 6/5/2015 9:21:03 AM							Event 1006, UV Express
Source: UV Express Logged: 6/5/2015 9:21:03 AM							Event Properties
2007CE: 07 EXPress C0002E0: 0/3/2013 9:21:03 AM		Log Name:	21CmPart11	Lannah	6 /5 /2015 0.21-02 AM		Attach Task To This Event
Event ID: 1006 Tack Category Login Auditr		Source:	1006	Task Category	Login Audits		Сору
Level Toformation Kennerger Classifier Classifier		Level:	Information	Kenwords:	Classic	1	Save Selected Events
Leen N/A Computer IFST-PC		User	N/A	Computer:	TEST-PC		Refresh
Occode		OpCode:		and haven			a neren
More Information: Event Log Online Help		More Information:	Event Log Online Help				пер
		-					
	<						
Opens an existing log file.	Opens an existing log file.						

 The event logs of the windows applications related to the UV Express Security Software are listed in the 21CfrPart11 section. Select a particular event log in the list.

21CfrPart11 Numb	per of events: 72			
Level	Date and Time	Source		*
<ol> <li>Information</li> </ol>	6/5/2015 9:25:04 AM	UV Express		Ξ
<ol> <li>Information</li> </ol>	6/5/2015 9:23:09 AM	UV Express		
<ol> <li>Information</li> </ol>	6/5/2015 9:22:52 AM	UV Express		
<ol> <li>Information</li> </ol>	6/5/2015 9:21:03 AM	UV Express		
<ol> <li>Information</li> </ol>	6/5/2015 9:21:00 AM	UV Express		
<ol> <li>Information</li> </ol>	6/5/2015 8:19:56 AM	Security Administrati		
<ol> <li>Information</li> </ol>	6/5/2015 8:19:46 AM	Security Administrati		
<ol> <li>Information</li> </ol>	6/5/2015 8:19:04 AM	Security Administrati		
<ol> <li>Information</li> </ol>	6/5/2015 8:18:53 AM	Security Administrati		-
•	III		•	

You can see more detailed information (Username, software, event, date, time, etc).
 Some of types of the events are described as follows.



#### a) Description of Security Server

Account and Permission modified : Change the account settings.

Ex.1) Username: Administrator. Added "UV Express" to Application Software.

- Ex.2) Username: Administrator. Deleted "UV Express" from Application Software.
- Ex.3) Username: Administrator. Changed the Lockout Setting.
- Ex.4) Username: Administrator. Changed the password : "user1".
- Ex.5) Username: Administrator. Added "user1: in the users list.
- Ex.6) Username: Administrator. Deactivated the user account: "user1".
- Ex.7) Username: Administrator. Activated the user account: "user1".
- Ex.8) Username: Administrator. Unlocked : "user1".
- Ex.9) Username: Administrator. Added "user1" to "Review" Signature Permission.
- Ex.10) Username: Administrator. Deleted "user1" from "Review" Signature Permission.
- Ex.11) Username: Administrator. Added "user1" to "Wavelength Program" Access Permission.
- Ex.12) Username: Administrator. Deleted "user1" from "Wavelength Program" Access Permission.

#### b) Description of UV Express

**Performance** : Note the serial number of instrument with every operation.

Ex.) Username: user 1. "Scan" was performed. Instrument : Lambda 365. Serial number : 365K5050403.

#### Account modified : Change the account settings.

Ex.) Username: user1, Scan: Password successfully changed.

Logon : Execute the UV Express software.

Ex.1) Username: user1, LogOn: LOGON SUCCEEDED.

- Ex.2) Username: user1, LogOn: LOGON FAILED.
- Ex.3) Username: user1. Scan(Log On) : The ID is not registered.

- Ex.4) Username: user1. Scan(Log On) : Incorrect password. The remaining allowable attempt number is 1.
- Ex.5) Username: user1. Scan(Log On) : User has entered wrong password over the lock out number and account is disabled.
- Ex.6) Username: user1. Quantification : User does not have permission to access the Quantification.

Re-logon : Re-access UV Express software after lockout time.

- Ex.1) Username: user 1, Scanning Kinetics : RELOGON SUCCEEDED.
- Ex.2) Username: user 1, Scanning Kinetics : RELOGON FAILED.
- Ex.3) Username: user1. Scan(Relog On) : Incorrect password. The remaining allowable attempt number is 2.
- Ex.4) Username: user1. Scan(Relog On) : User has entered wrong password over the lock out number and account is disabled.
- Ex.5) Username: user 1, Scanning Kinetics : RELOGON succeeded for change the method.

Created : Save data to new file or create the sample.

- Ex.1) Username: user1. The file "C:\UV Express\Data\time.dkdt" was created.
- Ex.2) Username: user1. The data "Sample1" was **created**. The file "C:\UV Express \Data\Untitled-1.dgdt".
- Ex.3) Username: user 1. The data "Sample1 + 1.0000" was created. The file "C:\UV Express\Data\data1.dgdt".

Modified : Save the modified data or save as different name.

- Ex.1) Username: user1. The file "C:\UV Express\Data\time2.dkdt" was modified.
- Ex.2) Username: user1. Protein Analysis : The delete all was undone. The file "C:\UV Express\Data\Untitled-1.dpdt".
- Ex.3) Username: user1. Protein Analysis : The data Sample 1 was pasted. The file "C:\UV Express\Data\Untitled-1.dpdt".
- Ex.4) Username: user1. Protein Analysis : The data Sample 1 was copied. The file "C:\UV Express\Data\Untitled-1.dpdt"
- Ex.5) Username: user1. The data "Sample 1 + Sample 2" was modified. The original data is "Sample 1, Sample 2". The file is "C:\UV Express\Data\Untitled-1.dgdt".
- Ex.6) Username: user1. The file "C:\UV Express\Data\Untitled-1\_Approval.dgdt" was modified. The original file is "C:\UV Express\Data\Untitled-1.dgdt".
- Ex.7) Username: user1. Scan : Method change reason Test. [Internal Reference Use] Old : No, New : Yes

[Internal Reference Type] New : Single Point [Internal Reference Wave.] New : 300.

**Deleted** : Save the delete a single data or all the data.

- Ex.1) Username: user1. The data "sample 1" was **deleted**. The file C:\UV Express \Data\data1.dgdt.
- Ex.2) Username: user1. The data "Sample 1" was deleted. The file is Untitled-1.
- Ex.3) Username: user1. Deleted all data. The file is Untitled-1.

Signature : Provide the electronic signature.

Ex.) Username: user 1. The file "C:\UV Express\Data\time.dkdt" was **signed.** Reason : Review.

Log off : Close the UV Express software.

- Ex.) Username: user 1, successfully exited or logged off the application.
- Validation: Check the instrument's status (Wavelength, Photometric, Resolution, Stray Light, Noise and Stability) only in Validation software.
- Ex.) Username : user 1. The data "Noise" was created. The file Untitled-1

# IV. Local System

## 1. Pre-Installation

Before installing the UV Express Application, the administrator needs to designate users or groups and assign their authority of access. In the Local System, UV Express software with the security function can be run on a user account, not on the Administrator account. To set up account design and write access is possible only on the Administrator account in the Local System.



#### \* Administrator account:

- User account design (Refer to IV-1.1 User Account Design)
- Installation Security Server software & UV Express and UV Express Security Software (Refer to IV-2 Software Installation)
- Check IP address (Refer to IV-2.3 Setting IP address)
- Setting Folder Permission (Refer to IV-2.4 Folder Permission)
- Setting Windows Firewall (Refer to IV-2.5 Setting Windows Firewall)
- Run the Security Server Software (Refer to IV-3 Operating Security Server)
- \* User account:
  - Run the UV Express software (Refer to IV-4 Operating UV Express Software)

### 1.1 User Account Design

- 1.1.1 Create the User account(s) in Windows 7
  - 1. Log on to the computer as an administrator.
  - Select Control Panel > User Accounts from the Start menu in the Windows operating System.
  - 3. Click Manage another account > Create a new account.
4. Enter the Name (ex. user1) of the new account, select **Standard user** and click **Create Account**.

Search Control Panel
Arr Control Panel     Search Control Pane

5. Verify the new account was created correctly.

Choose the account you would like to change          Image: Wight of the second secon			
Choose the account you would like to change          Image: TEST Administrator       user1 standard user         Image: Guest Guest Guest account is off       standard user         Create a new account       what is a user account?         Additional things you can do       Set up Parental Controls Go to the main User Accounts page	😡 🗢 🂐 « User Accounts 🕨 Manage Accounts	✓ Search Control Panel	٩
TEST Administrator       user1 Standard user         Guest Guest Guest account is off       Standard user         Create a new account       What is a user account?         Additional things you can do       Set up Parental Controls Go to the main User Accounts page	Choose the account you would like to change	2	Â
Guest Guest account is off Create a new account What is a user account? Additional things you can do Set up Parental Controls Go to the main User Accounts page	TEST Administrator	user1 Standard user	
Create a new account What is a user account? Additional things you can do Set up Parental Controls Go to the main User Accounts page	Guest Guest account is off		E
Create a new account What is a user account? Additional things you can do Set up Parental Controls Go to the main User Accounts page			
Additional things you can do  Set up Parental Controls Go to the main User Accounts page	Create a new account		
Additional things you can do Set up Parental Controls Go to the main User Accounts page	what is a user account?		
Set up Parental Controls Go to the main User Accounts page	Additional things you can do		
Go to the main User Accounts page	🛞 Set up Parental Controls		
	Go to the main User Accounts page		

- 6. Additional accounts can be created in the same way as above.
- 7. The procedure for creating user account is complete.
- 8. Reboot and log on to the computer as an administrator.

# 2. Software Installation

In the local system you should install three separate software, which are Security Server, UV Express and UV Express Security software on the Administrator account. However, the UV Express and UV Express Security software is running only in the Standard User account.

## 2.1 Installation of Security Sever Software

- 1. Log on to the computer as an Administrator account.
- 2. Input the **Security Server software** CD into the CD drive. Security Server Software is installed automatically. The default installation folder is "C:\ SecurityServer".
- 3. If the automatic setup window is not shown, click **Setup.exe** in the CD.



4. Security Server InstallShield<sup>®</sup> Wizard starts. Click Next.

5. Enter your information and Click **Next**.

B Security Server - InstallShield Wizard	×
Customer Information Please enter your information.	A-A
User Name: 21CFR	
Organization:	
InstallShield	
< <u>B</u> ack N	ext > Cancel

#### 6. Click Next.

🛃 Security	Server - InstallShield Wizard
Destinati Click Nex	ion Folder xt to install to this folder, or click Change to install to a different folder.
	Install Security Server to: C:\SecurityServer\
InstallShield -	< <u>B</u> ack Next > Cancel

7. Click Anyone who users this computer (all users).

1	😸 Security Server - InstallShield Wizard	x
	Ready to Install the Program The wizard is ready to begin installation.	4
	If you want to review or change any of your installation settings, click Back. Click Cancel exit the wizard.	to
	Install this application for:	
	Anyone who uses this computer (all users)	
	InstallShield	
	< <u>B</u> ack	el

8. After the setup is completed successfully, click **Finish**.





9. After the Security Server software installation is complete, the icon security will be created on the Desktop.

## 2.1.1 Security Server Software Interface

Security Server			×
Account Help 2	Assess Casteri	Б	0i-meture -
	Access control information grants or denies individual users of users access to protected functionality in the application(s).		Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature.
3	4		6
Add Delete	Users, Groups : S Administrators Users Administrator >>		Add Delete Edit Users, Groups : Administrators Users Administrator

Describes the unique display features of the security software.

- ① Account: Control to set / change user account and password.
- ② Help: Display the security software Guide and version of Security Server.
- ③ Software List: Register the software to be used (UV Express).
- ④ Account Control: Display the software function of the selected software in the Software List section. (File, Edit, Math, Measure, View, Math, etc.)
- (5) Users, Groups: Select user account(s) to be given the access permission to each function in the Access control section.
- G Signature: Set electronic signature. (Default-Authorship, Resposibility, Approval, Review, etc.)
- ⑦ Users Group: Select user accunt(s) who will have the authority to apply each signature.

#### 2.1.1.1 Account

The Account menu includes commands to perform account functions as shown in the following table.

Acc	ount	
	Add	
	Deactivate/Activate	
	Lockout Setting	
	Unlock	
	Change Password	

Command	Function
Add	Add new user account
Deactivate/Activate	Deactivate or activate the user account
Lockout Setting	Set the lockout function
Unlock	Unlock the user account and set new password
Change Password	Change the password of user account

### Add

- Use the Add command to add a new user account.
- Procedure
- 1. To add a new user account, select user account and enter a password. Click Add.

			×
•		Add	
	•	•	▼ Add

- **NOTE**: *Password must be of minimum 6 characters and include at least one letter and a number each.*
- NOTE: When the new user logs on for the first time, they will be forced to change their password.

#### Deactivate/Active

- Use the Deactivate command to delete deactivate and prohibit an activate user account to access the UV Express software.
- Use the Active command to activate and allow a deactivate user account to access the UV Express software.
- Procedure
- To deactivate a registered user account, click the "Name" drop-down list in the "Deactivate account" section, and then the currently activated accounts are listed.
- 2. Select the account to be deactivated and then click **Deactivate**.

Setting activate	X	3
Deactivate Account Name user2 user1	Deactivate	
Activate Account Name	Activate	

- To activate a registered user account out of deactivated accounts, click the "Name" drop down list in the "activate account" section, and then the currently deactivated accounts are listed.
- 4. Select the deactivated account to be activated and then click **Activate**.

Setting activate	×
Deactivate Account Name	Deactivate
Activate Account Name user2	Activate

#### Lockout Setting

Use the Lock out setting command to set the number of failed logins, lockout

duration and password age.

Number of failed logins allowed before lockout		
Lockout duration		
<ul> <li>Permanent, until administrator uniocks</li> <li>Duration (minutes)</li> </ul>	30	
Password age		
<ul> <li>Password never expires</li> <li>Password expires after (days)</li> </ul>	30	
	OK Cancel	

- a. Lockout: In executing the UV Express software or signing the measured file, enter the limit number of failed logins. Once locked out, execute the Unlock function and set a new password.
- b. Lockout duration: Set the time (minutes) when the UV Express software is closed in case that there is no action after it is executed.
- c. Password age: Set the password expiration (days). Alarm message is displayed from 3 days before the password is expired.

#### **Unlock Account**

- Use the Unlock Account command to unlock the user account when user failed logins over setting lockout number and set the new password.
- Procedure
- To unlock user account, select user account and enter the new password and click unlock.

Unlock Account	×
Unlock Account Name New Password	Unlock
Confirm Password	

#### **Change Password**

■ Use the Change Password command to change the user account password.

- Procedure
- 1. To change password, select user account and enter the new password and click **OK**.

Change Password		×
User		
Name		
		-
New Password		
Confirm Password		
	ОК	Cancel

#### 2.1.1.2 Help

■ The Help menu contains the Help contents for UV Express Software.

Help Contents About	
Command	Function
Contents About	Open the Security Software Guide as PDF file Display the version of Security Server Software

## Contents

Contents links to external document of the Security Software Guide.

#### About

About Security Server contains information on the version of the software.

## 2.2 Installation of UV Express and UV Express Security Software

- 1. Log on as an Administrator account.
- 2. Input the **UV Express software** CD into the CD drive. UV Express software is installed automatically. The default installation folder is "C:\UV Express".

**NOTE:** If UV Express Software has already been installed, please skip the procedures #2-9 and then, UV Express Security software only needs to be installed on the computer.

- 3. If the automatic setup window is not shown, click **Setup.exe** in the CD.
- 4. UV Express InstallShield<sup>®</sup> Wizard starts. Click **Next**.



5. Enter your information and click **Next**.

BUV Express Basic Package - InstallShield Wizard	X
Customer Information	
Please enter your information.	
User Name:	
21CFR	
Organization:	
Install this application for:	
Anyone who uses this computer (all users)	
Only for me (21CFR)	
InstallShield	
< <u>B</u> ack Next >	Cancel

6. Click Next.



#### 7. Click Install.

<b>ເ</b> ຟີ ເ	JV Express Basic Package - InstallShield Wizard	
R	eady to Install the Program The wizard is ready to begin installation.	Alternation of the
	If you want to review or change any of your installation settings, dick Back. Click Cancel to exit the wizard.	
(	Current Settings:	
	Setup Type:	
	Destination Folder:	
	C:₩UV Express₩	
	User Information:	
	Name: 21CFR	
	Company:	
Insta	IllShield Cancel	-

- 8. After the setup is complete successfully, click **Finish**.
- After the UV Express Software installation is complete, the UV Express folder with will be created on the Desktop.

- Input the Security software CD into the CD drive. UV Express Security software is installed automatically. The default installation folder is "C:\UV Express".
- 11. If the automatic setup window is not shown, click **Setup.exe** in the CD.
- 12. UV Express Security InstallShield<sup>®</sup> Wizard starts. Click **Next**.

🔡 UV Express Security Package	e - InstallShield Wizard
	Welcome to the InstallShield Wizard for UV Express Security Package
	The InstallShield(R) Wizard will install UV Express Security Package on your computer. To continue, click Next.
	WARNING: This program is protected by copyright law and international treaties.
	< Back Next > Cancel

13. Enter your information and click **Next**.

UV Express Security Package - InstallShield Wizard	×
Customer Information Please enter your information.	44
User Name:	
Organization:	
Install this application for:	
<ul> <li> <u>●</u> Anyone who uses this computer (all users) <u>○</u> Only for <u>m</u>e (TEST)         </li> </ul>	
InstallShield	
< Back Ne	ext > Cancel

## 14. Click Next.

😸 UV Express Security Package - InstallShield Wizard		x
Destination Folder Click Next to install to this folder, or click Change to install to a different fold	der.	1
Install UV Express Security Package to: C:₩UV Express₩	<u>C</u> hang	e
InstallShield < Back Next >	Cano	:el

#### 15. Click Install.

	😸 UV Express Security Package - InstallShield Wizard	x
	Ready to Install the Program The wizard is ready to begin installation.	4
	If you want to review or change any of your installation settings, click Back. Click Cancel to exit the wizard.	
	Current Settings:	
	Setup Type:	
	Destination Folder:	
	C:₩UV Express₩	
1	User Information:	
	Name: TEST	
	Company:	
	InstallShield <u>Back</u> Cancel	

16. After the setup is complete successfully, click Finish.

# 2.3 Setting IP address

Open the "C:\" directory, and click the "UV Express" folder. Open AccessControList.aci file on the notepad and save the modified IP address as 127.0.0.1.

	E. 11		X
Compu	iter 🕨 Local Disk (C:) 🕨 UV Express 🕨	AccessControlList - Notepad	J
Organize 🔻 🎒 Ope	en 🔻 Burn New folder	File Edit Format View Help	
☆ Favorites	Name	[ServerIP] Number=127.0.0.1	
💻 Desktop 鷆 Downloads	🎍 AutoSave 퉬 Calib	[ServerPort] Number=2002	
🖳 Recent Places	퉬 Data ]] Diag	[List] Number=17	
Libraries	🕌 Help	[List1] Name=File	
Music	Manual	[List2] Name=Edit	
Videos	Simulation	[List3] Name=View	
🖳 Computer	Standard SW Validation	[List4] Name⊨Measure	
👊 Network	Temp USB Drivers	[List5] Name=Method	
	AccessControlList	[List6] Name=Math	
	ACTSGOL.OCX	[List7] Name=Scan	
	Board	[List8] Name=Quantification	
	CCRPPR66.0CX	[List9] Name=Scanning Kinetics	
	Cell Density Default_Instrument	[List10] Name=Wavelength Program	
	<ul> <li>DSWizard.ocx</li> <li>Kinetics</li> </ul>	[List11] Name=Thermal Denaturation	
AccessContro ACI File	olList Date modified: 6/3/2015 5:09 PN Size: 588 bytes		

## 2.4 Folder Permissions

The Administrator account is already present on the PC. This gives the administrator full access to the whole system, including the ability to delete and rename files, and run any application, and change user and file/folder permissions. In order for data files to be protected, data saved in this protected folder can only be accessed by authorized users. This all permissions of file and folder follow the Windows system's procedural compliance.

#### 2.4.1 Setting the "Write" permission to the "UV Express" folder

#### NOTE: User(s) should be granted the "Write" permission to run the UV Express security software.

- 0 X 🕞 🔵 🖉 💺 🖌 Computer 🕨 Local Disk (C:) 🕨 • + Search Local Disk (C Q Organize • 🔭 Open Include in library • Share with • Burn New folder M · 🗍 🔞 Date modified Name Type Size Favorites Desktop 📕 ColorNiaster 2015-03-05 오丰1:... File folder Color, Mastell, 199 🗼 Downloads File folder Open 📃 Recent Places 👔 Elizabeth Analog Play File folder Open in new window 🔒 inter File folder Share with ٠ 词 Libraries LabPig Suo File folder Restore previous versions Documents Labino Pine File folder Include in library ٠ Music Lurainour File folder Pictures Anthod: File folder Send to . Videos 📕 HertLogs File folder Cut 🌡 Program Files ile folder Сору Computer 👪 Secuts File folder 🔒 fumic (SecuritySecurit File folder Create shortcut Network SecurityServer File folder Delete Mervice File folder Rename ile folder Properties 🎍 UV Express ile folder 2015-04-16 오후 4:... File folder 34.1/mW/11 2015-03-05 오후 1:... File folder J VISIONcollect 2014-09-30 오전 9:... File folder Vincious 2015-06-01 오전 1... File folder 📄 3033-96 전소: 1578 Part LL Assistant Log 2013-09-03 요전 9... Text Document 1 KB ALLIN ANALS 2014 07 17 O 21 0. TP3 El-DAG VD. UV Express Date modified: 2015-06-03 오率 5:45 File folder
- 1. Open the "C:\" directory, and right-click the "UV Express" folder, and then click **Properties.**

2. Click "Security" tab and click Edit.



3. Select **Users** and check the **Allow** box for **Write** on the Permissions for Users window and click **OK**.

Permissions for U	V Express		×	
Security				
Object name: C:	UV Express			
<u>G</u> roup or user name	s:			
& Authenticated	Users			
SYSTEM & Administrators	(TEST-PC\Adr	ministrators)		
Sers (TEST-F	PC\Users)			
		A <u>d</u> d	<u>R</u> emove	
Permissions for Use	rs	Allow	Deny	
Read & execute		1		
List folder conten	ts	1		
Read		1		
Write				
Special permissio	ns		-	
Learn about access	control and p	emissions		
Contrabour access				
	ОК	Cancel	Apply	

4. To allow a specific account (e.g. User 1) the write permission, not all **Users**, set as below.

Object name:       C:\UV Express         Group or user names:       Select Users or Groups         Administrators (TEST-PC\Administrators)       Select Users or Groups         Select this object type:       Users (TEST-PC\Users)         Image: Comparison of Users       Allow         Dermissions for Users       Allow         Permissions for Users       Allow         Derv       Image: Comparison of the permission of the permiss	2
Select Users or Groups         Administrators (TEST-PC\Administrators)         Users (TEST-PC\Users)         Image: Comparison of the second seco	8
Add     Remove       Permissions for Users     Allow       Deny     Enter the object names to select (examples):       Users     2	
Add     Remove       Permissions for Users     Allow       Deny     user1	Object Types.
Read & execute	Locations
List folder contents (3)	
Write Advanced	Cancel
Leam about access control and permissions	

5. Select **user1** and check the **Allow** box for **Write** on the Permissions for user1 window and click **OK**.

Permissions for UV Express		×	
Security			
Object name: C:\UV Express			
Group or user names:			
& Authenticated Users			
user1 (TEST-PC\user1)			
Administrators (TEST-PC\Adr	ninistrators)		
Wers (TEST-PC\Users)			
	A <u>d</u> d	<u>R</u> emove	
Permissions for user1	Allow	Deny	
Read & execute	1		
List folder contents	$\checkmark$		
Read		=	
Write			
		<b>T</b>	
Learn about access control and pe	emissions		
ок	Cancel	Apply	

#### 2.4.2 Setting the "Delete and Change" prevention to the "UV Express" folder

- **NOTE:** To prevent user from deleting or changing the UV Express folder (C:\UV Express) and its subfolders and files, the delete permission should be set as **Deny**. It can be set with Administrator's account.
  - 1. Open the "C:\" directory, and right-click the "**UV Express**" folder, and then click **Properties.**
  - 2. Select **Security** tab in the Properties window and click **Advanced**.

UV Express Properties	
General Sharing Securit	y Previous Versions Customize
Object name: C:\UV Ex	press
Group or user names:	
& Authenticated Users	A
SYSTEM	
👗 user1 (TEST-PC\use	r1)
Administrators (TEST	
To change permissions, cl	ick Edit.
Permissions for user1	Allow Deny
Full control	<u>^</u>
Modify	
Read & execute	✓ =
List folder contents	~
Read	~
Write	
For special permissions or click Advanced.	advanced settings, Advanced
Loan about access contro	<u>ana pomilatoria</u>
	OK Cancel Apply
	Cancer Apply

3. Select the **permissions** tab and "**user1**" and click **Change Permissions**.

Advanced	d Security Settings for UV E	xpress	100	X		
Permissions Auditing Owner Effective Permissions						
To view de Object nam Permission	etails of a permission entry, dou	ble-click the entry. To m	odify permissions, click	Change Permissions.		
Туре	Name	Permission	Inherited From	Apply To		
Allow	user1 (TEST-PC\user1)	Read, write & exec	<not inherited=""></not>	This folder, subfolders and		
Allow	Administrators (TEST-PC\	. Full control	C:\	This folder, subfolders and		
Allow	SYSTEM	Full control	C:\	This folder, subfolders and		
Allow	Users (TEST-PC\Users)	Read & execute	C:\	This folder, subfolders and		
Allow	Authenticated Users	Modify	C:\	This folder, subfolders and		
Change	Permissions	is object's parent				
Managing	permission entries					
			OK	Cancel Apply		

4. Select "user1" in the permissions window and click Edit.

To view or	r edit details for a permission en	try, select the entry an	d then click Edit.	
Object na	me: C:\UV Express			
ermission	n en <u>t</u> ries:			
Туре	Name	Permission	Inherited From	Apply To
Allow	user1 (TEST-PC\user1)	Read, write & exe	<not inherited=""></not>	This folder, subfolders a
Allow	Administrators (TEST-PC	Full control	C:\	This folder, subfolders a
Allow	SYSTEM	Full control	C:\	This folder, subfolders a
Allow	Users (TEST-PC\Users)	Read & execute	C:\	This folder, subfolders a
Allow	Authenticated Users	Modify	C:/	This folder, subfolders a
Ado Include Replac	d Edit e inheritable permissions from the e all child object permissions wit	<u>R</u> emove is object's parent h inheritable permission	s from this object	
lanaging	permission entries			

 Under permissions for Delete subfolders and files, Delete, Change permissions and Take ownership, select or check Deny and click OK.

bject		
Name: user1 (TEST-PC\us	er 1)	Change
Apply to: This folder, sub	folders and files	
Permissions:	Allow	Deny
Read attributes		
Read extended attributes	<b>V</b>	
Create files / write data		
Create folders / append da	ata 📝	
Write attributes		
Write extended attributes	1	
Delete subfolders and files		
Delete		<b>V</b>
Read permissions	<b>V</b>	
Change permissions		
Take ownership		
Apply these permissions t containers within this con	o objects and/or tainer only	Clear All
Managing permissions		

#### 2.4.3 Setting the "Overwrite" prevention to the "Data" folder

**NOTE:** To prevent user from overwriting data into the Data folder (C:\UV Express\Data), the **Create Folders / append data** permission should be set as **Deny**. It can be set with Administrator's account.

- 1. With the Administrator's account logged on, open the "C:\ UV Express" directory, and right-click on the "Data" folder and then click **Properties**.
- 2. Select **Security** tab in the properties window and click **Advanced**.

eneral Sharing	Security	Frevious Ve	rsions	Customize	
Object name: C	:\UV Expr	ess\Data			
Authenticate & SYSTEM	d Users				
A user1 (TEST	PC\user1)	^\∆dminietrat	016)		
To change permis	sions click	Edit			
ermissions for us	er1		Allow	Deny	,
Full control					4
Modify					
Read & execute			1		-
List folder conte	ints		~		
Read			1		
Write			$\checkmark$		~
For special permiss click Advanced.	sions or ad	vanced settir	ngs,	Ad <u>v</u> anc	ed
	and the second se	and norminals	ne		

3. Select the **permissions** tab and "**user1**" and click **Change Permissions**.

Permissions To view de Object nam	Auditing Owner Effective I Auditing Owner Effective I stails of a permission entry, doub ne: C:\UV Express\Data	Permissions le-click the entry. To mo	dify permissions, click (	Change Permissions.
Permission Type	entries:	Permission	Inherited From	Apply To
Denv	user1 (TEST-PC\user1)	Special	C:\UV Express\	This folder, subfolders and
Allow	user1 (TEST-PC\user1)	Read, write & exec	C:\UV Express\	This folder, subfolders and
Allow	Administrators (TEST-PC\	Full control	C:\	This folder, subfolders and
Allow	SYSTEM	Full control	C:\	This folder, subfolders and
Allow	Users (TEST-PC\Users)	Read & execute	C:\	This folder, subfolders and
Allow	Authenticated Users	Modify	C:\	This folder, subfolders and
Change	Pemissions	object's parent		
Managing	permission entries			
				Canad

4. Select "**user1**" in the permissions window and click **Edit**.

o view or biect na	edit details for a permission er	try, select the entry and	d then click Edit.	
ermissior	en <u>t</u> ries:			
Туре	Name	Permission	Inherited From	Apply To
Deny	user1 (TEST-PC\user1)	Special	C:\UV Express\	This folder, subfolders a
Allow	user1 (TEST PC/user1)	Read, write & exe	C:\UV Express\	This folder, subfolders a
Allow	Administrators (TEST-PC	Full control	C:\	This folder, subfolders a
Allow	SYSTEM	Full control	C:\	This folder, subfolders a
Allow	Users (TEST-PC\Users)	Read & execute	C:\	This folder, subfolders a
Allow	Authenticated Users	Modify	C:\	This folder, subfolders a
Add	I <u>E</u> dit	<u>R</u> emove		
Include	e inheritable permissions from t e all child object permissions wi	nis object's parent th inheritable permissions	s from this object	

5. Under permissions for **Create folders/ append data**, select or check the **Deny** and click **OK**.

his permission is inherited from the p	arent object.	Make chang	jes
lere to overnue the inherited permiss	10113.		
wame: user 1 (TEST-PC\user 1)		Change.	
Apply to: This folder, subfolders a	nd files		
ermissions:	Allow	Deny	
Create folders / append data		<b>V</b>	-
Write attributes			
Write extended attributes			
Delete subfolders and files		1	П
Delete		1	
Read permissions			-
Change permissions		1	
Take ownership		1	-
- Apply these permissions to objects	and/or	Clear Al	
containers within this container on	ly	Cical Al	

## 2.5 Setting Windows Firewall

Windows Firewall is a program to prevent malicious software from gaining access to your PC through the Internet or a network. If the windows Firewall programs is turned on and the programs for UV Express Security software are blocked, it should be set to allow the programs to communicate through the Windows Firewall.

**NOTE:** In case that user uses other firewall programs, it should also be set to allow the programs for UV Express Security software to communicate through those firewall programs.

#### 2.5.1 UV Express access through the Windows Firewall

- 1. Log on as an Administrator account.
- Select Control Panel from the Start menu in the windows operating system. And the click Windows Firewall.



3. Click Allow programs to communicate through Windows Firewall.

 Select "Change settings" and the "Allow another program" button is activated. Click "Allow another program".

🕞 🔵 🗢 🕍 « Windows Firewall 🕨 Allowed Programs	✓ 4 Search Control	ol Panel 🖇
Allow programs to communicate through Windows F To add, change, or remove allowed programs and ports, click Change What are the risks of allowing a program to communicate?	irewall settings.	nge settings
Anowed programs and reactires:		<b></b>
Name	Home/Work (Private)	Public
BranchCache - Content Retrieval (Uses HTTP)		
BranchCache - Hosted Cache Client (Uses HTTPS)		
BranchCache - Hosted Cache Server (Uses HTTPS)		
BranchCache - Peer Discovery (Uses WSD)		
Connect to a Network Projector		
Core Networking	$\checkmark$	
Daemonu.exe		
<ul> <li>Dissolution Analysis Software</li> </ul>		
Distributed Transaction Coordinator		
✓ EventLogServer	$\checkmark$	
File and Printer Sharing	$\checkmark$	
Google Chrome	✓	✓ ▼
	Detai <u>l</u> s	Re <u>m</u> ove
	Allow anothe	r p <u>r</u> ogram
	ОК	Cancel

5. Click **Browse...** 

e Edit View Tools Help         Allow program         To add, change, o         What are the risks         Allowed program         Name         Ø 21 CFRServer         Ø BranchCach         Ø FranchCach         Ø Cronnect to         Ø Connect to         Ø Connect to         Ø Cornet to         Ø Stributed         Ø Eistributed         Ø File and Prin         HomeGroup         You can choose which network location types to add this program to.         Network location types	Public  Public  Remove
--	------------------------

6. Open all of executable file of UV Express modes.



 After selecting the entire mode of UV Express (such as Scan) and check Home/Work (Private) and public, and then click OK.

🚱 🔵 🗢 📽 « All Control Panel Items 🕨 Windows Firewall 🕨 Allowed Programs	-	Search Control Pa 🔎			
All Control Panel Items      Windows Firewall     Allow programs to communicate through Windows F     To add, change, or remove allowed programs and ports, click Change     What are the risks of allowing a program to communicate?      Allowed programs and features:     Allowed programs and	rewall settings. Home/Work (Private)	Public			
Secure Socket Tunneling Protocol					
	Details	Re <u>m</u> ove			
Allow another program					
	ОК	Cancel			

 Set to allow the Security Server software to communicate through Windows Firewall following procedures #5~7.

# 3. Operating Security Server

1.

- NOTE: The user must be logged on as an administrator account of computer in the Local System.
- **NOTE:** Security Server cannot be executed under the User account because the authority and permission have to be controlled by Administrator only.



Run the **Security Server** software software, then Security Server window will appear.

👵 Security Server		
Account Help		
Software List	Access Control	Signatures
	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanings are text strings that are used to provide the meaning for an electronic signature.
		Add Delete Edit
	Users, Groups :	Users, Groups :
	Administrators Users Administrator	Administrators Users Administrator
Add Delete		

2. In case that the message pops up as below, proceed with the following steps to get the administrator account logged in properly.

Security Se	erver
<u> </u>	You should be logged in with an administrator account.
	ОК

**NOTE:** The account has to be grouped in proper type, e.g., Administrator or Standard user (Local account). If the account is involved in unintended group like homeusers, the access to software could be denied.

3. Press and hold the "Windows" key and then press the R key to open Run. After writing "netplwiz", click **OK**.

📼 Run	
	Type the name of a program, folder, document, or Internet resource, and Windows will open it for you.
<u>O</u> pen:	netplwiz         •           Inis task will be created with administrative privileges.
	OK Cancel Browse

4. If the user is grouped other than Administration, i.e., homeusers, select user and click **Properties**.

User Accounts		
Users Advanced		
Use the list below to grant or deny users access to your computer, and to change passwords and other settings.		
Users must <u>e</u> nter a user name and	password to use this computer.	
Users for this computer:		
User Name	Group	
admin	Administrators	
STEST	homeusers; Administrators	
S user1	Users	
The user2	Users	
A <u>d</u> d	. <u>R</u> emove Pr <u>o</u> perties	
Password for TEST		
To change your password Password.	, press Ctrl-Alt-Del and select Change	
	Reset <u>P</u> assword	
	OK Cancel Apply	

5. Select Group Membership and check Administrator. Click Apply and OK.

TEST-PC\TEST Properties	and and the other	×
General Group Membershi	P	
What level of access do	you want to grant this user?	
Standard user	(Users Group)	
Standard account u system settings that	sers can use most software and change : do not affect other users.	
Administrator	(Administrators Group)	
Administrators have can make any desiri administrators may confirmation before	complete access to the computer and ad changes. Based on notification settings, be asked to provide their password or making changes that affect other users.	
O Other: homeu	sers v	
	OK Cancel Ar	ply

6. Confirm the group is properly modified. After the following message appear, Click **Yes** to restart computer.

User Accounts		×
Users Advanced		
Users must enter a user	to grant or deny users access to yo sswords and other settings. name and password to use this con	ur computer,
Users for this computer:		
User Name	Group	
Readmin	Administrators	
TEST	Administrators	
user1	Users Users	
	A <u>d</u> d <u>R</u> emove	Pr <u>o</u> perties
Password for TEST To change you Password.	r password, press Ctrl-Alt-Del and s Reset <u>P</u> a	elect Change
	OK	Apply
User Accounts	and the second second	X
You have made char log back on for these Do you want to log c	iges to your user account. You must l ε changes to take effect. off now?	og off and
	Yes	<u>N</u> o

 Despite all that, if accessing to Security Server is still denied, the unwanted group (homeusers) has to be deleted itself. Right-click on **Computer** and then click Manage.

	▶ Network Location (1)
▲ I Com ▷ ▲ Lo	Collapse
Þ 👝 Ne 🤇	👂 Manage
⊳ 🧰 Ne	Open in new window
퉬 М:	Map network drive
D 💼 Netv	Disconnect network drive
	Add a network location
鷆 Colc	Delete
	Rename
	Properties
	TEST-PC         Workgroup:         WORKGROUP         M           QC-3.1         Processor:         Intel(R)         Core(TM)         i5-23

8. Open **Groups** in Local Users and Groups. Select **homeusers** and click **Delete** icon.

💭 Computer Management			
Eile     Action     View     Help       Image: Second s	Rame	Description	
<ul> <li>System Tools         <ul> <li>Task Scheduler</li> <li>Event Viewer</li> <li>Shared Folders</li> <li>Coal Users and Groups</li> <li>Users</li> <li>Groups</li> <li>Performance</li> <li>Device Manager</li> <li>Storage</li> <li>Disk Management</li> <li>Services and Applications</li> </ul> </li> </ul>	Administrators Administrators Cryptographic Operat Distributed COM Users Event Log Readers Guests IS_IUSRS Network Configuratio Performance Log Users Performance Monitor Power Users Remote Desktop Users Replicator Users homeusers	Administrators have complete an Backup Operators can override se Members are authorized to perfor Members are allowed to launch, a Members of this group can read e Guests have the same access as m Built-in group used by Internet Inf Members in this group can have s Members of this group may sche Members of this group can acces Power Users are included for back Members in this group are grante Supports file replication in a dom Users are prevented from making	

- 9. The following box will appear. Click **Yes** to delete homeusers group.
- **NOTE:** Other functions of windows system could be affected by deleting this homeusers group. Carefully consider the deletion.



10. Restart the computer and execute the Security Server.

# 3.1 Set [Account]

To UV Express software, user's account(s) should be added in the Security Server program following the procedures below.

1. Select Account of the Security Server window. Click Add.

Security Server	Ac	count		
	Acces Acces users	Add Deactivate/Activate Lockout Setting Unlock Change Password		ings are text strings that are used to provide an electronic signature.
Add Delete	Users, Group	s Administrators Users Administrator Administrator	Users, Groups	Add Delete Edit Users Administrators Users Administrator

2. As the Add Account window appears, select account and set the password. Click Add.

Add Account	×	
Account Account user1	Add	
Confirm Password		

- **NOTE:** *Password must be of minimum 6 characters and include at least one letter and a number each.*
- **NOTE**: When the new user logs on for the first time, they will be forced to change their password.

3. The following message will appear, and then click **OK**.



4. Confirm the account was listed on **Users**, **Groups**.

ntware List	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanings are text strings that are used to provide the meaning for an electronic signature.
	Users, Groups :	Add Delete Edit
Arid Del	Administrators Users user1	Administrators Users Administrator useri >>>

# 3.2 Set [Software List]

In order to set Access Control for UV Express software functions, the software must be registered on the Software List in advance. Set the Software List as follows.

1. Click Add in the Software List section of the Security Server window.

Security Server		
ccount Help		
ioftware List	Access Control Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature.
	Users, Groups : Administrators	Add Delete Edit Users, Groups -
	Administator user1	Administrator user1

2. As the Open window appears, select **UV Express.afs** and click **Open**. Then, the UV Express will appear in the Software List.

oftware List	Access Control	Signatures		Account Help
	Access control information grants or denies individual u users access to protected functionality in the application	sers of Signature meaning for the mean mean mean mean mean mean mean mea	nings are text strin r an electronic sign	Software List
	🔒 Open		-	UV Express
	COO We know to cal Disk (C:) + SecurityServer +	Search Security/Server	٩	
	Organize - New folder	· [1] •		
	revorites	Date modified	Туре	
	🔜 Desktop 🤰 Manual	27/05/2016 08:43	File folder	
	Downloads Application Software.afs	11/09/2013 14:04	AFS File	
	Secent Places	29/10/2013 16:12	AFS File	
	UV Express afs	29/07/2015 17:03	AFS File	
	Documents	20/03/2013 0/37	APS File	
	→ Music			
	E Pictures			
	Videos		_	
			ele	tor
	Local Dirk (C)			
	Cocal Disk (D:)			
	New Volume (E:)			
			'	
	File games	<ul> <li>Application files(".afs)</li> </ul>		a
		Qpen 💌	Cancel	3
		Contraction of the local		
	>>		>>	

# 3.3 Set [Access Control]

Access Control assigns users the authority to access various functions in the UV Express software. Set access controls as follows.

1. Click on the **UV Express** in the Software List. And then items are displayed in each section.

🎄 Security Server		
Account Help		•
Software List UV Express	Access Control Access Control Access control information grants or denies individual users of users access to protected functionality in the application(s). File Edit View Measure Method Math Scan Quantification Scanning Kinetics Wavelength Program Thermal Denaturation Kinetics Vaidation Protein Analysis User Analysis	Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature. Authorship Responsibility Approval Review
Add Delete	Cell Density	Add Delete Edit Users, Groups : Users Administrators Users Administrator user1

Each 'function' corresponds to a menu item in the main menu of the UV Express software or a specific command. See the UV Express software Users Guide for more details.

File : Allows user to access each command in the File menu.
Edit : Allows user to access each command in the Edit menu.
View : Allows user to access each command in the View menu.
Measure : Allows user to access each command in the Measure menu.
Method : Allows user to access each command in the Method menu.
Math : Allows user to access each command in the Math menu.
Scan : Allows user to access Scan mode executable program.
Quantification : Allows user to access Quantification mode executable program.
Scanning Kinetics : Allows user to access Scanning Kinetics mode executable program.

Wavelength Program : Allows user to access Wavelength Program mode

executable program.

**Thermal Denaturation** : Allows user to access Thermal Denaturation mode executable program.

Kinetics : Allows user to access Kinetics mode executable program.

**Validation** : Allows user to access Validation functions. Validation Software is optional.

**Scanning Quantification** : Allows user to access Scanning Quantification mode executable program.

Protein Analysis : Allows user to access Protein Analysis mode executable program.Nucleic Acid Analysis : Allows user to access Nucleic Acid Analysis mode executable program.

**Cell Density** : Allows user to access Cell Density mode executable program. **Multicomponent Analysis :** Allows user to access Multicomponent Analysis mode executable program.

2. Select the user account(s) to be given the access permission to each and click  $\leq$ .

Edit		
/iew		
Aeasure		
Aethod Aeth		
Scan		
Juantification		
Scanning Kinetics		
Vavelength Program		
Cinetics		
/alidation		
Scanning Quantification		
Protein Analysis		
Nucleic Acid Analysis		
Join Domoney		
Users, Groups :		
user1	Administrators	
userr	Users	
	TEST	
	<< user1	
	userz	

# 3.4 Set [Signature Meanings]

Set the signature meanings for users as follows.

1. To create a new signature, click **Add** in the Security Server window.

🎄 Security Server		
Account Help		
Software List	Access Control Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signatures Signature meanings are text strings that are used to provide the meaning for an electronic signature.
	File Edit Edit View Measure Method Math Scan Guantification Guantification Scanning Kinetics Varelength Pogram Therma Denaturation Kinetics Variadation Scanning Quantification Protein Analysis Nucleic Acid Analysis Cell Density	Autorship Responsibility Approval Review
Add Delete	Users, Groups : Administrators Users Administrator user1 user1	Users, Groups : Administrators Users Administrator user1 >>

2. Enter the name for the new signature meaning and click **Add**.

Signature meaning		x
Operator		
	Add	Cancel

unt Help		
ware List	Access Control	Signatures
Express	Access control information grants or denies individual users of users access to protected functionality in the application(s).	Signature meanings are text strings that are used to provide the meaning for an electronic signature
	File Edit Urew Measure Method Math Scan Quantification Scanning Kinetics Wavelength Program Thermal Denaturation Kinetics Validation Scanning Quantification Protein Analysis Nucleic Acid Analysis Cell Density	Authorship Responsibility Approval Defen Operator
	Users, Groups :	Add Delete Edit
	Administrators Users wiser1	Administrators Users Administrator user1

3. The created signature meaning is shown in the Security Server window.

4. Users for each signature are listed in the "Users, Groups" section. Select a signature and select users who will have the authority to apply the selected signature using

Signatures	
Signature meanings are text strings that are used to provide the meaning for an electronic signature.	
Authorship Responsibility Approval Review	]
Operator	

Add Delete Edit

Administrators

Users, Groups user1
# 4. Operating UV Express Software

### 4.1 Operating UV Express Software

- 1. Log on to a client computer as a **Standard user account**.
- **NOTE:** UV Express software cannot be executed under a Windows "Computer Administrator" account because the administrator account has the authority to modify and delete data.
  - Execute one of the measurement modes of UV Express software, and then 'Log on to Security Server' message will appear. Enter the registered User Name and Password of the account and click OK.

Log On to Security	Server	×
User Name: Password:	user1	OK

3. If the password is correct, the following message will appear, and then click **OK**.

UV Express	×
Log on to the Security Ser	ver : OK
	ОК

4. If the log on is the first time, the password has to be reset which has to be differed from given password by administrator.

UV Express	)
You should reset the password.	
ОК	

5. Enter the old password on the old password (assigned password by administrator) and a new password, and then click **OK**.

New Password	1000	x
User Name: Old Password: New Password:	user1 ******	NK

- **NOTE:** *Password must be of minimum 6 characters and include at least one letter and a number each.* 
  - 6. Click OK.



7. Log on again with the changed password. If the instrument is connected and ready to measure, click **On-Line** or **Off-Line**.



- A user's access to each menu is determined by the privileges given to each user account. In the following example, user1 was given access to log on and execute the Scan mode of UV Express software with the file, method, measure and signature menu.
- 9. Open an existing sample data or measure the sample. Save a data.
- **NOTE:** If the data is not saved, signatures cannot be applied. Ensure that data is saved first.
- NOTE: Data must be saved in a folder which the user has been granted the access to.

10. Apply a signature to measured or archived data by clicking **Current File** on the window.

UV Express - [C:\UV E	press\SW Validation\test.d	igdt]					And in case of the local division of the loc	- 0 <b>- X</b>
Eile Edit View	Measure Method Math	Window H	elp					- # >
	A XI	XR E						
00.0000 Energy	0000.00	Zero	Baseline	Blank	Sample	Stop	Current File: Not Signed	
	Scan Setup 🔍 🕵	🗊 🗇 🗛	+ + 🔟		X: 424.8	84, Y: 2.05	148	
1Ano			-					

11. In the Digital Signature dialog box, enter the User Name and Ppassword, select the signature meaning, and click **OK**.

<u> </u>	Digital Signature		×
	User Name:		ок
	Password:		Cancel
	Meaning for Signature:	Authorship 💌	
		Review	
		Authorship	
		Responsibility Approval	

12. After the Signature is complete, the following message will appear, and then click **OK**.

UV Express	X
i	Successfully signed file C:\UV Express\SW Validation\test_AUTHORSHIP.dgdt
	ОК

**NOTE:** If you enter any incorrect password, the below message will appear. Your account is locked out when you exceed the limit number of failed logins and it can be unlocked by setting a new password by the administrator.

UV Express	
$\bigotimes$	Incorrect password. The remaining allowable attempt number is 3
	ОК

13. The signature record is shown in the main window and the signed data is saved as a new file.

Current File: user1, Authorsh	ip, May 27 2016 09:49:00 (GMT	F -8:00)				
😋 🔾 🗢 📗 « UV Expre	ss 🕨 SW Validation	• •j	Search S	W Validation		• <mark>×</mark>
Organize 🔻 🛛 Include in	n library 🔻 Share with 👻	Burn	New fol	der 🗄	•	
☆ Favorites	Name			Date modified	Т	ype
🥅 Desktop	BaseCorrection.dgdt			01/06/2015 13:	50 D	GDT File
鷆 Downloads	derivative.dgdt			01/06/2015 13:	50 D	GDT File
🖳 Recent Places	PickPeak.dgdt			01/06/2015 13:	51 D	GDT File
	Quant.dqdt			01/06/2015 13:	15 D	QDT File
🥃 Libraries	test.dadt			27/05/2016 09:	00 D	GDT File
Documents	test_Authorship.dgdt			27/05/2016 09:	04 D	GDT File
👌 Music						

14. If the second signature is applied to the data file, it is saved as a new file again as shown below.

SW Validation 👻 🐓 Sa	earch SW Validation	
y ▼ Share with ▼ Burn N	ew folder 🛛 🗮 🔻	
me	Date modified	Туре
BaseCorrection.dgdt	01/06/2015 13:50	DGDT File
derivative.dgdt	01/06/2015 13:50	DGDT File
PickPeak.dgdt	01/06/2015 13:51	DGDT File
Quant.dqdt	01/06/2015 13:15	DQDT File
test.dgdt	27/05/2016 09:00	DGDT File
test_Authorship.dgdt	27/05/2016 09:04	DGDT File
test_Authorship_Responsibility.dgdt	27/05/2016 09:05	DGDT File
	W Validation	W Validation     ✓     ✓     Search SW Validation       W Validation     ✓     Share with ▼     Burn     New folder     Image: I

15. Click **Print** to view the saved data using a printed report as shown below.

## 4.2 Changing Methods

If the Method is changed or data is modified in the signed file, user has to enter the User Name and Password to change methods. After typing the reason, click **OK** to save the changed data. The method change history could be checked in the print window.

**NOTE:** Be sure that if the method or data is modified, the data is needed to be saved and signed again.

Log On to Change the Experi	mental Parameter		
		OK	1
User Name:			
Password:		Cance	
Reason:			
[Y Unit]			*
[Uld : Absorbance, New : Trans [Wavelength (nm)]	smittance		
Old : 440, 465, 546,1, 590, 635	5		
14647 . 403, 340,1, 330, 633			
			-
r			
Nethod History			
Method Change Date:	09-03-2015 14:37:57 (GMT +9:00)		
Method Change Opera	tor: user1		
Method Change Reaso	on: test iad ta Eila: Ulatitlad 1		
Method Change Conte	nts:		
[SBW (nm)]			
Old : 1.0, New : 0.5			
Old Absorbance New	· Transmittance		
Method Change Date:	09-03-2015 14:38:11 (GMT+9:00)		
Method Change Opera Method Change Reaso	tor: user1		
Changed Method Appli	ied to File: Untitled-1		
Method Change Conte	nts:		
[Internal Reference Us	e]		
UID : NO, NEW : YES	nel		
Old : Single Point, New	/:Single Point		
[Internal Reference Wa	ave.]		
Old : 1100, , New : 550	)		

### 4.3 Lockout for unattended operation

This function is performing automatic lockout after some set time of inactivity. The automatic lockout time (Lockout duration) is set in the security server software by the administrator. If there is no action in the set time after the UV Express security software is executed, it is locked out and the following message will appear. Enter the User Name and Password to unlock the UV Express security software again.

Re-Logon after Lock Out Duration	
User Name:	ОК
Password:	Cancel

**NOTE:** Your account is locked out when you exceed the limit number of failed logins and it can be unlocked by setting a new password by the administrator.

### 4.4 Deleting Spectra

If a user deletes an acquired spectrum from the sample measurement result, it is mandatory to enter the User Name and Password in the 'Reason of the deleting data' message box. Deleted data is stored in the 'Deleted Spectra' folder. (C:\UV Express\Deleted Spectra).

Reason of the deleting data	
User Name: Password: Reason:	OK Cancel

## 4.5 Retrieve the deleted spectra

In order to retrieve and re-analyze the deleted spectrum in the UV Express security software, click **Open** in the menu and select the deleted file [\*.b+ file extension (e.g. \*.bdgdt)] in the '**Deleted Spectra**' folder.

Look in: 🔒 Dele	ted Spectra	- 🗢 🗈 💣 🗉	•	
Name		Date modified	т	
01-12-2016 08-21-38_test.bdgdt 01-12-2016 08-39-13_Test.bdgdt		1/12/2016 8:21 AM 1/12/2016 8:39 AM		
<	111		t Doen	
Title: Untitled-1 Date: 09-16-2015 18:00 Experiment Type: Scan Setup Comment: Signature:	eted Files ("bdgdt) 5:25	<u> </u>	ancel	

# 5. Event Log

The Logs of Changes are displayed in the Windows Event Viewer to trace the history of all setup changes in the Security Server and UV Express Security software.

- 1. Click Start > Control Panel.
- 2. Open Administrative Tools > Event Viewer.



 The Event View contents are displayed. Expand the Applications and Services Logs folder, and then select 21cfrPart11.

Event Viewer  Ele Action View Help  Action Viewer (Local)  Custom Views  Windows Logs  Applications and Services Lo  21Crifeant1	21CfrPart11 Number Level Information	er of events: 72 Date and Time 6/5/2015 9:25:04 AM 6/5/2015 9:23:09 AM	Event	Viewer (Local) Indows Logs plications and Services Lo 21CfrPart11 Hardware Events Internet Explorer Key Management Service Media Center		Actions 21CfrPart1 © Open Saved Log ♥ Create Custom View
Hardware Events     Internet Explorer     Key Management Service     Media Center     Subscriptions	Information     Informati	6/5/2019 52:252 AM 6/5/2019 52:21:00 AM 6/5/2015 9:21:00 AM 6/5/2015 8:19:56 AM "" : :	Su Jecomy re	bscriptions 200	×	Import Custom View       Clear Log       Filter Current Log       Properties       Find       Save All Events As       Attach a Task To this Log       View       Refresh       Import Ling Control
	Log Na <u>m</u> e: Source: Event ID: Level: <u>U</u> ser: <u>O</u> pCode: More Information:	21CfrPart11 UV Express 1006 Information N/A Event Log Online Help	Logge <u>d</u> : Task Categor <u>y:</u> <u>K</u> eywords: Compute <u>r</u> :	6/5/2015 9:21:03 AM Login Audits Classic TEST-PC		Event IU00, UV Express     2       Is Event Properties     3       Match Task To This Event     1       Copy     1       Save Selected Events     1       Refresh     1       Help     1
Opens an existing log file.						

 The event logs of the windows applications related to the UV Express Security Software are listed in the 21CfrPart11 section. Select a particular event log in the list.

21CfrPart11 Number of events: 72					
Level	Date and Time	Source		^	
<ol> <li>Information</li> </ol>	6/5/2015 9:25:04 AM	UV Express		Ξ	
<ol> <li>Information</li> </ol>	6/5/2015 9:23:09 AM	UV Express			
<ol> <li>Information</li> </ol>	6/5/2015 9:22:52 AM	UV Express			
<ol> <li>Information</li> </ol>	6/5/2015 9:21:03 AM	UV Express			
<ol> <li>Information</li> </ol>	6/5/2015 9:21:00 AM	UV Express			
<ol> <li>Information</li> </ol>	6/5/2015 8:19:56 AM	Security Administrati			
<ol> <li>Information</li> </ol>	6/5/2015 8:19:46 AM	Security Administrati			
<ol> <li>Information</li> </ol>	6/5/2015 8:19:04 AM	Security Administrati			
(i) Information	6/5/2015 8:18:53 AM	Security Administrati		Ŧ	
<b>1</b>	III		•		

You can see more detailed information (Username, software, event, date, time, etc.).
 Some of types of the events are described as follows.

Event 1006, UV Expre	ess			×
General Details				
Username: user1	, LogOn: LOGON SUCCE	EDED.		
Log Name: Source: Event ID: Level: User: OpCode: More Information	21CfrPart11 UV Express 1006 Information N/A n: Event Log Online Hel	Logge <u>d</u> : Task Category: <u>K</u> eywords: Compute <u>r</u> :	6/5/2015 9:21:03 AM Login Audits Classic TEST-PC	

#### a) Description of Security Server

Account and Permission modified : Change the account settings.

Ex.1) Username: Administrator. Added "UV Express" to Application Software.

Ex.2) Username: Administrator. Deleted "UV Express" from Application Software.

Ex.3) Username: Administrator. Changed the Lockout Setting.

Ex.4) Username: Administrator. Changed the password : "user1".

Ex.5) Username: Administrator. Added "user1: in the users list.

Ex.6) Username: Administrator. Deactivated the user account: "user1".

Ex.7) Username: Administrator. Activated the user account: "user1".

Ex.8) Username: Administrator. Unlocked : "user1".

Ex.9) Username: Administrator. Added "user1" to "Review" Signature Permission.

Ex.10) Username: Administrator. Deleted "user1" from "Review" Signature Permission.

Ex.11) Username: Administrator. Added "user1" to "Wavelength Program" Access Permission.

Ex.12) Username: Administrator. Deleted "user1" from "Wavelength Program" Access Permission.

#### b) Description of UV Express

**Performance** : Note the serial number of instrument with every operation.

Ex.) Username: user 1. "Scan" was performed. Instrument : Lambda 365. Serial number : 365K5050403.

Account modified : Change the account settings.

Ex.) Username: user1, Scan: Password successfully changed.

#### Logon : Execute the UV Express software.

- Ex.1) Username: user1, LogOn: LOGON SUCCEEDED.
- Ex.2) Username: user1, LogOn: LOGON FAILED.
- Ex.3) Username: user1. Scan(Log On) : The ID is not registered.
- Ex.4) Username: user1. Scan(Log On) : Incorrect password. The remaining allowable attempt number is 1.
- Ex.5) Username: user1. Scan(Log On) : User has entered wrong password over the lock out number and account is disabled.
- Ex.6) Username: user1. Quantification : User does not have permission to access the Quantification.

Re-logon : Re-access UV Express software after lockout time.

- Ex.1) Username: user 1, Scanning Kinetics : RELOGON SUCCEEDED.
- Ex.2) Username: user 1, Scanning Kinetics : RELOGON FAILED.
- Ex.3) Username: user1. Scan(Relog On) : Incorrect password. The remaining allowable attempt number is 2.
- Ex.4) Username: user1. Scan(Relog On) : User has entered wrong password over the lock out number and account is disabled.
- Ex.5) Username: user 1, Scanning Kinetics : RELOGON succeeded for change the method.

Created : Save data to new file or create the sample.

- Ex.1) Username: user1. The file "C:\UV Express\Data\time.dkdt" was created.
- Ex.2) Username: user1. The data "Sample1" was **created**. The file "C:\UV Express \Data\Untitled-1.dgdt".
- Ex.3) Username: user 1. The data "Sample1 + 1.0000" was created. The file "C:\UV Express\Data\data1.dgdt".

Modified : Save the modified data or save as different name.

- Ex.1) Username: user1. The file "C:\UV Express\Data\time2.dkdt" was modified.
- Ex.2) Username: user1. Protein Analysis : The delete all was undone. The file "C:\UV Express\Data\Untitled-1.dpdt".

- Ex.3) Username: user1. Protein Analysis : The data Sample 1 was pasted. The file "C:\UV Express\Data\Untitled-1.dpdt".
- Ex.4) Username: user1. Protein Analysis : The data Sample 1 was copied. The file "C:\UV Express\Data\Untitled-1.dpdt"
- Ex.5) Username: user1. The data "Sample 1 + Sample 2" was modified. The original data is "Sample 1, Sample 2". The file is "C:\UV Express\Data\Untitled-1.dgdt".
- Ex.6) Username: user1. The file "C:\UV Express\Data\Untitled-1\_Approval.dgdt" was modified. The original file is "C:\UV Express\Data\Untitled-1.dgdt".
- Ex.7) Username: user1. Scan : Method change reason Test.

[Internal Reference Use] Old : No, New : Yes [Internal Reference Type] New : Single Point [Internal Reference Wave.] New : 300.

**Deleted** : Save the delete a single data or all the data.

- Ex.1) Username: user1. The data "sample 1" was **deleted**. The file C:\UV Express \Data\data1.dgdt.
- Ex.2) Username: user1. The data "Sample 1" was deleted. The file is Untitled-1.
- Ex.3) Username: user1. Deleted all data. The file is Untitled-1.

Signature : Provide the electronic signature.

Ex.) Username: user 1. The file "C:\UV Express\Data\time.dkdt" was **signed.** Reason : Review.

**Log off** : Close the UV Express software.

Ex.) Username: user 1, successfully exited or logged off the application.

Validation: Check the instrument's status (Wavelength, Photometric, Resolution, Stray Light, Noise and Stability) only in Validation software.

Ex.) Username : user 1. The data "Noise" was created. The file Untitled-1

