**PURPOSE:**

To provide instructions for auditing OnBase accounts of staff who have access to Non-Public documents in Adult Court cases.

**OBJECTIVE:**

* Provide direction to ensure that audits are completed accurately and on time.

**EVENT DRIVER:**

* Adult audits are performed every September, January, and May.

**PROCEDURES:**

1. Create a new folder named **Month Year** (for example, **May 2020**) for the current month’s audit under **S:\Non-Public Document Accounts\OnBase Audit\Adult-Audits**.
2. Save the current **Clerk-Access to Non-Public Documents** and **Court-Access to Non-Public Documents**Excel lists into the new months’ audit folder to use as the draft audit worksheets.
3. Using **Hyland Report Services**, under **OnBase Groups and their Users**, generate reports for each of the following OnBase user groups:
	1. Clerk – Access to Non-Public documents
	* CON
	* CONF-CR
	* COURTROOM SERVICES
	* Exhibits – MH/MS
	* Grand Jury Users Only
	* Grand Jury Supervisors Only
	* HOLD CLERK
	* IA / PSA ONLINE (iCIS) **\*\* See 5 below**
	* ITG **\* See 4 below**
	* JTOP
	* JURY CLERK
	* JUV COREDEL
	* MENTAL HEALTH (VIEW ONLY – COSC-A A-MH CLERK)
	* CONF-PB (Probate PIF CLERK)
	* PRO CLERK
	* CONF-FC Clerk (Family Court CONF-FC Clerk)
	* SEALED CLERK
	* SEALEDJUV
	* SEALEDJUVVIEW
	* SEALEDVIEW
	* SUPERSEALED
	* SUPERSEALEDJUV - Clerk
	* SWW Clerk
	1. Court – Access to Non-Public documents
	* MC1 – AZ Attorney General
	* BENCH COSC-A
	* CONF-CR
	* CTS BUSINESS ANALYST TEAM
	* JUDICIAL ASSISTANTS and BAILIFFS
	* MENTAL HEALTH (VIEW ONLY – COSC-A A-MH COURT)
		+ Includes accounts for trusted agencies as well as superior court
		+ Correctional Health \_MCHS
		+ Legal Defender \_MCLD
		+ Legal Advocate \_OLA
		+ Public Defender \_MCPD
		+ Public Advocate \_MCPD
		+ Staff at Public Defender and Public Advocate have the same user name suffix, \_MCPD. To distinguish between groups, check user name in Hyland Report Services for JUV MC-Public Advocate, or verify email address department designation in Outlook.
	* CONF-PB (PROBATE PIF Court)
		+ Includes accounts for trusted agencies as well as superior court
		+ County Attorney \_MCAO
		+ AOC \_AOC
		+ Public Defender \_MCPD
		+ Public Advocate \_MCPD
		+ Staff at Public Defender and Public Advocate have the same user name suffix, \_MCPD. To distinguish between groups, check user name in Hyland Report Services for JUV MC-Public Advocate, or verify email address department designation in Outlook.
	* PRO COURT
	* Family Court CONF-FC Court
	* SEALEDVIEWCOURT
4. Paste each user group report into the corresponding page in the draft audit worksheet.
	1. Update the date in the header of each sheet
5. **\*** ITG Admin and Service Accounts – Access to non-public documents, server, and/or database. Review the list from the last audit, remove individuals who are no longer employed, and send to the ITG Director/IT Division Manager for review.

Accounts:

* + Administrator
	+ MANAGER
	+ COCAPPUSER
	+ Release
	+ TrueSign
	+ WAVE
	+ Individual Admin Accounts (ZTREJOR, etc)
1. **\*\*** IA Online Accounts – Review the *UT Security Groups and Users* report from Court Technology Services for the following applications in iCIS:
	* IA COC Direct Files
	* IA View Only
* CTS generates the report on the 1st of January, May, and September, and JUVProdReport@superiorcourt.maricopa.gov emails it to Chris Cerrato, Merriel Reynolds, Stephanie Valenzuela, and Derek Steinmetz.
* If the Clerk of Court auditor for this function changes, the distribution list for this report must also change to include the new auditor.
* Contact CTS Technical Support to update the distribution list.
1. Email each report to the approving authority for their review.
	1. See **PRO-EDMQC-1036: Granting Access to Adult Court Non-Public Documents in OnBase** for the list of approving authorities.
	2. Include reports that share the same approving authority in the same email, including Juvenile reports. For example, all sealed security groups can be sent together, or the JUV MC Legal Defender and Adult Legal Defender can be sent in the same email.
	3. BENCH COSC-A user group: Do not email. Compare to the current phone list of Judges and Commissioners.
	4. COURT CLERK COSC-A user group: Do not email. Compare to the current COC Employee list.
	5. SEALEDVIEWCOURT user group:
		1. Confirm users with the Probate Court Administrator.
		2. Confirm with ITG and the Probate Court Administrator that the members of this user group who work remote from the Court have access to the system by use of Virtual Private Network (VPN) access.
		3. ITG will confirm that the VPN accounts are current
2. Use the following language in the email to the approving authorities:

**Attached is the current list of (Name of Agency) users with access to (Type of Confidential Security) documents in OnBase. The Clerk’s Office reviews OnBase accounts three times each year to confirm the people who have confidential access are authorized for that access.**

**Will you please respond if the attached list is correct, or if anyone should be removed?**

**Please respond by (allow two weeks to respond).**

1. Track the dates when the audits are emailed to the approving authorities on the **Adult Audit Tracking Table***.*
	1. Save the **Adult Audit Tracking Table** to S:\Non-Public Document Accounts\OnBase Audit\Adult-Audits.
2. Track the response dates.
	1. If responses are not received by the requested date, send a second request to the approving authority.
3. When you receive requests to remove or add access from the approving authorities:
	1. Send updates to the ITG Help Desk
	2. When requesting confidential access to be removed, specify:
		1. Delete the account, **or**
		2. Keep the account but remove the confidential access.
	3. Note the changes on the draft audit worksheet by lining through names or adding names on the individual sheets.
4. If any approving authorities have changed:
	1. Update the **Agency Contact Information Table – TABLE-EDMQC-1001**
	2. Note the change on the **Adult Audit Tracking Table**.
5. Save all responses from the approving authorities to the **Audit Email Responses** folder for the month and year of the audit, located at **S:\Non-Public Document Accounts\OnBase Audit\Adult Audits\Adult – Month Year\Audit Email Responses***.*
6. Once all changes have been made, save the updated **Adult Court – Access**Excel reports for both the Clerk and the Court to the secured folder at **S:\Non-Public Document Accounts\Adult Court – Access.**
7. Forward the Clerk and Court final audits to D&C as follows:
	1. Files Confidential – CSC – COSCX
	2. D&C Public Records Supervisor
	3. D&C Public Records Manager
8. Send an email message to the Innovation Delivery Manager with the following information:
	1. Confirmation that the Adult audit for (month and year) has been completed
	2. Date audit was completed
	3. User groups that were audited
	4. Any inconsistent or notable information

**POLICIES / RELATED DOCUMENTS:**

* [PRO-SPA-1004:](file:///S%3A%5CDocument%20Control%5CProcedures%5CPRO-SPA-1004.doc) *Removing Access to Adult Court Non-Public Documents in OnBase.*
* [PRO-EDMQC-1036](file:///%5C%5Ccoscdsm4400%5Cshare%5CNon-Public%20Document%20Accounts%5Cvenablek%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CDocument%20Control%5CProcedures%5CPRO-EDMQC-1036.doc): *Granting Access to Adult Court Non-Public Documents in OnBase*
* *Adult Audit Tracking Table*
* *Sample Email to Approving Authority*

**OTHER PARTIES INVOLVED:**

* Court Operations Administrators and Managers
* Approving Authorities from PRO-EDMQC-1036.

**TIME / VOLUME:**

* Completion of the Adult audit is approximately 35-40 hours.

**FREQUENCY:**

* Audit is conducted three times each year.

**PERFORMANCE MEASURE:**

* N/A

**SYSTEM ACCESS REQUIRED:**

* Hyland Report Services
* OnBase

**REPORTS / FORMS:**

* [N/A](file:///%5C%5Ccoscdsm4400%5Cshare%5CNon-Public%20Document%20Accounts%5Cvenablek%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CTemporary%20Internet%20Files%5Cmonickm%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CTemporary%20Internet%20Files%5CContent.Outlook%5CReports%5CGraphic%5CCHART-EDM-0005.pptx)

**DEFINITIONS:**

* VPN – Virtual Private Network – Enables a secure connection to the County network from a remote location through use of an RSA SecurID Key Fob.

**APPLICABILITY:**

This procedure applies to all employees of the Clerk of the Court.

**REVISION HISTORY:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Revision Number** | **Revision Author** | **Summary of Changes** | **Approval Date** |
| - | Chris Cerrato | Document Origination | 07/18/2014 |
| A | Chris Cerrato | Changes to Audit and User Groups | 12/26/2017 |
| B | Chris Cerrato | Minor terminology and process changes | 01/18/2018 |
| C | Chris Cerrato | Updated language throughout | 02/13/2018 |
| D | Chris Cerrato | Updated language for SEALEDVIEWCOURT user group | 03/19/2018 |
| E | Chris Cerrato | Added PRO CLERK and PRO COURT. Changed audit frequency to 3 times / year | 08/03/18 |
| F | Chris Cerrato | Numerous changes to substance of audit re KPMG audits | 9/26/19 |
| G | Chris Cerrato | Added Public audit information | 10/29/19 |
| H | Chris Cerrato | Minor language changes on page 3 | 12/5/19 |
| I | Chris Cerrato | Minor language changes throughout – 7/14/2020 – 9/11/2020 | 9/11/2020 |