CITY NATIONAL BANK

AN RBC COMPANY

AUDIT REPORTING

City National Business Suite® & Business Essentials User Guide

November 2020

Contents

Audit Reporting - Overview

The audit reporting function in City National Business Suite® and Business Essentials allows you to generate audit reports quickly and easily. With the report data, you can review any activities by all your users and generate data that solves questions like:

- Who made this change to Mr. Smith's permissions?
- What time did Ms. Jones send the wire payment?
- When did Ms. Martinez try logging in the last time?

Audit activity is available for 180 days after each activity.

There are two varieties of audit activity:
- **Audit – Login & Access** - login activity to City National Online portal
- **Audit – Activity** – activity specific to Business Suite or Business Essentials

Reports Available on the Login and Access to the System
There are many reports available in the Business Online Portal. Depending upon whether you are using Business Suite or Business Essentials, the reports available will vary. They are available in the following categories for Business Suite and Business Essentials users:

- Company maintenance
- User maintenance
- Authentication
- User self-administration
- Home page
- Reporting
- Service access
- Token*

 Business Suite only; not applicable to Business Essentials

Within each of these categories are various event types. Audit reporting functions allow you to select all activities, or all within a category, or specific event types.

After generating a report, you will be able to download the results as a Comma Separated Value (CSV) file for off-line analysis or archiving, as needed.

Generating Audit Reports

To generate reports for auditing, proceed as follows:

1. Click the **Admin** tab on the top menu.
2. Select **Audit - Login & Access** from the drop-down menu. The Audit Report page will be displayed.

3. Select the date and times for the range of activities you are auditing. Clicking the calendar icon allows you to select the day. Clicking the clock icon allows you to specify the times. (If you do not select times, the system will default to 12:01 a.m. for the start time and 12:00p.m. as the end time for the start and end dates, respectively.)

4. Click the **Select User** box, and then click the name of the first user to be audited, and then click each additional user from your list of users. Click **All Users** if you wish to generate the report for all your users.

5. Select the **Event Category** you wish to audit, or click **All** if applicable. After you click the category, the applicable **Event Types** will appear. Click the event type or **All** if applicable.

Event Category
- ☐ All
- ☐ Company Maintenance
- ☐ User Maintenance
- ☐ Authentication
- ☐ Self-Administration
- ☑ Home Page
- ☐ Reporting
- ☑ Service Access
- ☐ Token

Event Type
- ☐ All
- ☐ Access Home Page
- ☐ Access Service

Generate Report

3/1/2020 2:29 PM   3/31/2020 2:29 PM

Select User

All Users

Event Category
- ☐ All
- ☐ Company Maintenance
- ☐ User Maintenance
- ☐ Authentication
- ☐ Self-Administration
- ☐ Home Page
- ☑ Reporting
- ☐ Service Access
- ☐ Token

Event Type
- ☐ All
- ☑ Access Reporting
- ☑ Generated Audit Report
- ☐ View Audit Report
- ☑ Export Client Audit Report
- ☑ Generate User Report
- ☑ View Client User Report
- ☑ Export Client User Report

Generate Report

6. When all the selections are completed, click **Generate Report** as shown above. The report screen will appear as shown below.

View Audit

Export to CSV

| Date & Time	User Name & ID	User Role	Event Type	Event Details	Event Category	Se
3/13/2020 10:06:08 AM	cnbtc39	ClientAdmin	Export Client Audit Report	Exported Client Audit Report with 2 total records	Reporting	
3/13/2020 10:06:08 AM	cnbtc39	ServiceAdmin	Export Client Audit Report	Exported Client Audit Report with 2 total records	Reporting	
3/13/2020 10:06:08 AM	cnbtc39	ServiceUser	Export Client Audit Report	Exported Client Audit Report with 2 total records	Reporting	
3/13/2020 10:05:10 AM	cnbtc39	ClientAdmin	Generated Audit Report	Generated Audit Report with the following criteria:11/1/2019 10:04 AM to 12/31/2019 10:04 AM 3168484000537859451 or All Companies or All Users or All Bank Colleagues User Maintenance - Create User	Reporting	
3/13/2020 10:05:10 AM	cnbtc39	ServiceAdmin	Generated Audit Report	Generated Audit Report with the following	Reporting	

View Audit

Export to CSV

ent Type	Event Details	Event Category	Session ID	IP Address	Device Type & OS Version	Browser Version
xport Client Audit teport	Exported Client Audit Report with 2 total records	Reporting	vbM2wjqQPhC8jSSxmSvm	10.21.72.16	desktop&Windows 10	Internet Explorer 7.0
xport Client Audit teport	Exported Client Audit Report with 2 total records	Reporting	vbM2wjqQPhC8jSSxmSvm	10.21.72.16	desktop&Windows 10	Internet Explorer 7.0
xport Client Audit teport	Exported Client Audit Report with 2 total records	Reporting	vbM2wjqQPhC8jSSxmSvm	10.21.72.16	desktop&Windows 10	Internet Explorer 7.0
Generated Audit teport	Generated Audit Report with the following criteria:11/1/2019 10:04 AM to 12/31/2019 10:04 AM 3168484000537859451 or All Companies or All Users or All Bank Colleagues User Maintenance - Create User	Reporting	vbM2wjqQPhC8jSSxmSvm	10.21.72.16	desktop&Windows 10	Internet Explorer 7.0
Generated Audit teport	Generated Audit Report with the following	Reporting	vbM2wjqQPhC8jSSxmSvm	10.21.72.16	desktop&Windows 10	Internet Explorer 7.0

7. To navigate within your report, click the page numbers and other controls at the bottom of the screen as shown below. **Note:** The default display shows 10 events per page. Click the drop down arrow to choose larger numbers of events for each report page.
The slider control at the bottom allows you to shift from left to right on reports that do not fit on a single screen.
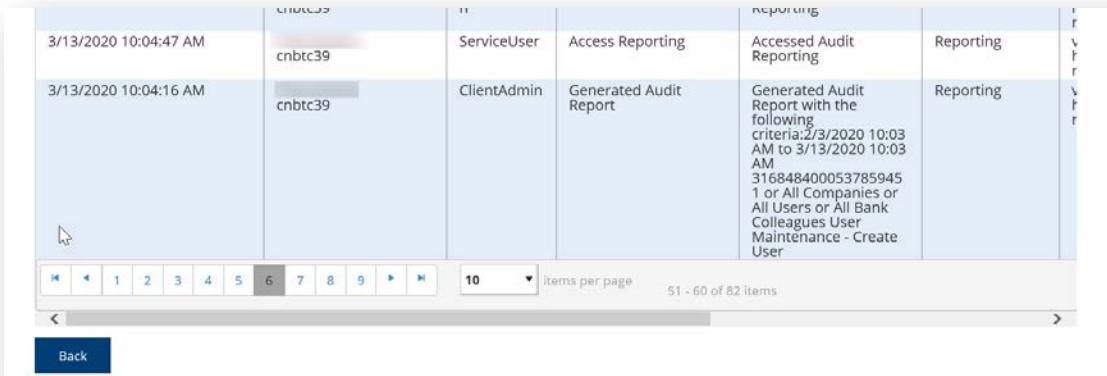
Note: The filter symbol at the top of each column allows you to select up to two conditions for your search, and you can choose the "and"/"or" Boolean operators, as applicable to refine your search.

Downloading Results of Audit Report

To download the results of your audit report, the system allows the data to be downloaded in CSV format.

1. After generating your report, click the **Export to CSV button** to download.

2. The download function prompts the download save/open box at the bottom of the page, as shown below. Click **Open** to view the report immediately. Click **Save**, **Save As**, or **Save/Open**, as applicable. When saving, you will need to navigate to the location in your directory where you would want to save the report.
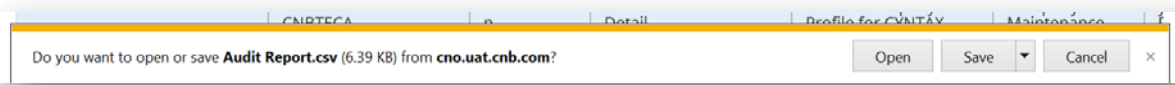
3. The report will then appear as shown below, with the column headings as the on-screen report. You will want to adjust the column width or other format controls to make the report viewable.

	A	B	C	D	E	F	G	H	I	J	K
1	CreatedDa	User N	User Role	Event Typ	Event Det	Event Cate	Session ID	IP Addres	Device Typ	Browser Version	
2	########	TERRY	ClientAdm	View ORG	Viewed Cc	D6sbHJDq	10.21.72.1	desktop&\	Mozilla 5.0		
3	########	TERRY	ServiceAd	View ORG	Viewed Cc	D6sbHJDq	10.21.72.1	desktop&\	Mozilla 5.0		
4	########	TERRY	ClientAdm	View ORG	Viewed Cc	sc3gJ1U3il	10.21.72.1	desktop&\	Mozilla 5.0		
5	########	TERRY	ServiceAd	View ORG	Viewed Cc	sc3gJ1U3il	10.21.72.1	desktop&\	Mozilla 5.0		
6	########	TERRY	ClientAdm	View ORG	Viewed Cc	yGhx4nRh	10.21.72.1	desktop&\	Mozilla 5.0		
7	########	TERRY	ServiceAd	View ORG	Viewed Cc	yGhx4nRh	10.21.72.1	desktop&\	Mozilla 5.0		
8	########	Amber	ClientAdm	View ORG	Viewed Cc	38tADnRjY	10.21.72.1	desktop&\	Mozilla 5.0		
9	########	Amber	ServiceAd	View ORG	Viewed Cc	38tADnRjY	10.21.72.1	desktop&\	Mozilla 5.0		
10	########	Amber	ClientAdm	View ORG	Viewed Cc	1jzbUd0gF	10.21.72.1	desktop&\	Mozilla 5.0		
11	########	Amber	ServiceAd	View ORG	Viewed Cc	1jzbUd0gF	10.21.72.1	desktop&\	Mozilla 5.0		
12	########	Terry	ClientUser	View ORG	Viewed Cc	CU2mVRn	10.21.72.1	desktop&\	Mozilla 5.0		
13	########	Terry	ServiceUse	View ORG	Viewed Cc	CU2mVRn	10.21.72.1	desktop&\	Mozilla 5.0		
14	########	Amber	ClientAdm	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		
15	########	Amber	ServiceAd	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		
16	########	Amber	ClientAdm	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		
17	########	Amber	ServiceAd	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		
18	########	Amber	ClientAdm	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		
19	########	Amber	ServiceAd	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		
20	########	Amber	ClientAdm	View ORG	Viewed Cc	FpxZglOx8	10.21.72.1	desktop&\	Mozilla 5.0		

Audit Report

Audit Activity

Audit Activity provides a variety of information for your company on processes that users undergo while using Business Suite or Business Essentials. The Audit Activity function allows you to filter the information that appears, as well as export and print it.

To perform an audit activity search:
1. Select **Audit – Activity** from the Admin menu. The Audit Activity screen will be displayed as shown below.
2. In the **Date/Time**, **Product Code**, **Function Code**, **Type Code**, **Action Mode**, **Entry Method, Description, User** and **Affected User** fields, select the type of audit records you want to search for. You can select a single field or multiple fields. For example:
    o To return all the available audit records for **ACH**, select **ACH** from the **Product Code** list.
    o To return all audit records for the last 60 days, for Jane Smith, select :
        ▪ **Last 60 Days** from the Date/Time field.
        ▪ **Jane Smith** from the User list.

Product Code	Function Co...	Type Code	Action Mode	Entry Method	Date/Time	User	IP Address	Description	Affecte
ACH	Reports	Payment Audit History Report	View	FreeForm	05/12/2020 10:43:31	JSMITH			

Viewing 1-1 of 1 records   Display 50 ▾ per page ‹ Page 1 ▾ of 1 ›

- o To return all audit records for approved wire payments created from a template, select all of the following:
  - **Wire – Payments** from the **Function Code** list.
  - **Approve** from the **Action Mode** list.
  - **Template** from the **Entry Method** list.
3. Click **Search**. The relevant search information appears at the bottom of the screen as shown below.

Audit - Activity

* Date/Time

04/03/2020 - 06/01/2020   🗓

Product Code

Wires ✖

Function Code

Wires - Payments ✖

Type Code

Action Mode

Entry Method

Template ✖

Product Code	Function Code	Type Code	Action Mode	Entry Method	Date/Time	User	IP Address	▼
Wires	Payments	Wire - Domestic	Modify	Template	05/26/2020 18:10:57	JSMITH		
Wires	Payments	Wire - Domestic	Add	Template	05/26/2020 17:56:13	JSMITH		
Wires	Payments	Wire - Domestic	Add	Template	05/26/2020 17:55:50	JSMITH		
Wires	Payments	Wire - Domestic	Modify	Template	05/26/2020 17:49:05	JSMITH		
Wires	Payments	Wire - International	Modify	Template	05/26/2020 17:47:54	JSMITH		
Wires	Payments	Wire - Domestic	Modify	Template	05/26/2020 17:46:55	JSMITH		
Wires	Payments	Wire - International	Modify	Template	05/26/2020 17:38:13	JSMITH		
Wires	Payments	Wire - Domestic	Modify	Template	05/26/2020 17:37:48	JSMITH		

All Audit Information ▼

Viewing 1-8 of 8 records

Display 50 ▼ per page ‹ Page 1 ▼ of 1 ›