

ID	Date	Audit ID
12	10/7/2008	09-C007-4

Audit Team - 1	Audit Team - 2:	Audit Team - 3
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Name of Department
Human Development

Purpose

1. Query the database
2. Identify anomalies
3. Analyze database information
4. Make inquiries
5. Present to management for explanations
6. Make recommendation in report format
7. Obtain managements' response for corrective action

Name of Report
Continuous Monthly Query Runs - September, 2008

Number of Exception **Total Amount of Exceptions:**

Details on Exceptions

Exceptions

- Employees listed without:
 - i) A supervisor: 375 active employees were listed without a Supervisor.
 - ii) A listed address: 82 active employees were listed without an address.
 - iii) A Pay Grade or Pay Step: 2143 active employees don't have listed a grade step or pay grade.
 - iv) A Timecard: 187 active employees were listed without 'Y' or 'N' in the 'Timecard Required' field. There were 11 DISD hourly employees with 'Time required' field set to 'N'.

Results

- Some employee records in the Human Development(HD) database are incomplete. Currently these fields are not a required field to complete a record and the timecard fields have Yes/No (Y/N) options to complete the record of hourly employees.

Exceptions

- Employees without listed paychecks:
 - i) In the September pay cycle (9 2008 Calendar Month): 1627 active employees did not received a pay check in last payroll
 - ii) From first date of hire: 3303 active employees did not receive a pay check.

Results

- Employee's status was not kept current in the HD database to reflect weather employee has active or inactive status. Inactive employees cannot receive payroll checks.

Exceptions

- Employees VS Contractors:

Results

- There is no separation of employees and vendors (contractors) setup in the HD database: 117 active vendors (contractors) listed in the HD database.

Exceptions

- Invalid Social Security numbers:

Results

- Social Security numbers were entered in HD database with invalid numbers: 4 invalid social security numbers

Exceptions

- Employees with HR Oracle Superusers Rights:

Results

- There too many HR Superusers. Some are in HD and in other departments: 80 DISD employees with HR Oracle Superuser capabilities.

Exceptions

- Employees listed with FTE (Full Time Equivalent) not Equal to 100%:

Results

- Employees were listed with less than 50% FTE(part time) and more than 100% FTE(full time): 265 active employees have multi

assignments, one listed as full time with another assignment listed as sub or part time.

Attachments

Attachments.FileData



Action Taken

STEPS TO DO EVERY MONTH

Due by the 25th of each month

1. Submit report name:
DISD Audit Compensatory Time Balances” this report will send an email with the attached excel file.

Responsible person will send emails to the Office Manager or Timekeeper of the employees in the file, to advise that those employees have Compensatory time. The email will stipulate what the policy states and will encourage the Office Managers or Timekeepers to code employees that are absent with COMP USED instead of using the PTO.

These emails should go out by the 25th of each month, so any absence during the period can be taken into consideration on the Campus or Org to let the employee know that they should be coded as COMP USED.

Replies to these emails should be kept in a folder as backup documentation.

A sign off confirming that the task has been completed will be provided by the responsible person to the Supervisor.

Email to be sent to approvers will read:
DISD policy allows employees to convert overtime to Compensatory time in order for the employee to use the time in a future date. The employee should be coded as COMP USED when any absence occurs before using any other absence code. Please make sure that employees are coded correctly. If you have any questions, please contact notifypayroll@dallasisd.org.

Recommendation

We recommend the following:

1. The 'Supervisor name' fields become a required field to be completed for each employee.
2. The 'Employee address' fields become a required field to be completed for each employee. We also recommend to encourage physical address instead of PO Boxes
3. The 'Timecard Required' field becomes a required field to be completed for each employee. A DISD hourly employee must have Timecard Required' field as 'Y'
4. To remove active employees that are not currently working for DISD. The 'Termination Reason' and 'Termination Date' fields to be become required fields when employee become inactive.
5. HD remove active employees that are not currently working for DISD. If a paycheck was not received 2 months from first date of hire, employee should be made inactive.
6. Since contractors are not employees and are paid through A/P, they should not be entered into Oracle HD Database. The Oracle Administration should issue guest login IDs. The Oracle Administration should set an expiration date for contractors based on contact terms. Their passwords should expire every 30 days.
7. Social Security cards be checked to the names entered into the system by the applicant or HD personnel. We also recommend that we attach crucial documents to employees' oracle profiles, such as copies of SSN and DL cards including a photo of the employee.
8. Oracle Superuser rights should only be granted to HD supervisors and above. Oracle HR Superuser inquiry should be restricted to HD employees. Other departments need to request

Managers Response

HD agrees with the recommendation as stated.

Conclusion:

With the agreed upon implementations, these issues will be resolved.

Followup Date