
Department of Personnel (DOP)

Agency: 111

Audit Report: 1000619

Finding Number: 001

Finding: An excessive number of employees at state agencies have access to critical functions in the Human Resource Management System (HRMS).

Resolution: Centralized Role Development: Department of Personnel (DOP) began to restrict access to critical functions through implementation of special “report tree” access for centralized payroll processing, replacing the assignment of roles with excess authorizations for three critical workgroups. Work is underway to create report tree profiles for the three remaining critical workgroups. Additionally, DOP began work to create a special “firefighting” role to allow expanded access for emergency payroll processing, to replace the current temporary assignment of roles with excess authorizations. The State Auditor’s Office is providing guidance in the development of these roles and profiles.

Automated Tools: DOP identified the resources and costs of implementing a third-party tool to facilitate the logging and monitoring of critical access as recommended by the auditors. DOP and the Office of Financial Management (OFM) are evaluating potential funding options.

Audit Log: As resources allow, DOP is researching and developing the associated cost estimates for implementing audit log tracking within the HRMS application. DOP is also undertaking efforts to work with the Department of Information Services to identify the resources required and the feasibility of enabling audit log functionality within the SAP application, of which HRMS is a part.

Security Training for Agency Users: At the conclusion of OFM’s assessments detailed in their corrective action plan, DOP will work with OFM where it is necessary to improve additional HRMS security training offered to agencies.

Refer also to the Office of Financial Management resolution for this finding on page 7.

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Department of Personnel (DOP)

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Audit Report: 1000619

Finding Number: 002

Finding: An excessive number of employees in state payroll offices have conflicting duties in the Human Resource Management System (HRMS).

Resolution: Centralized Role Development: Department of Personnel (DOP) began to restrict access to critical functions through implementation of special “report tree” access for centralized payroll processing, replacing the assignment of roles with excess authorizations for three critical workgroups. Work is underway to create report tree profiles for the three remaining critical workgroups. Additionally, DOP began work to create a special “firefighting” role to allow expanded access for emergency payroll processing, to replace the current temporary assignment of roles with excess authorizations. The State Auditor’s Office is providing guidance in the development of these roles and profiles.

Decentralized Role Maintenance Assessment: DOP collaborated with the Office of Financial Management (OFM) to identify the resources required to evaluate each of the decentralized roles and anticipates continuing this work in conjunction with OFM staff through calendar year 2010.

Support for OFM Efforts: DOP is providing guidance and input to OFM as they undertake the evaluation of separation of duties detailed in their corrective action plan. DOP is working collaboratively with OFM to identify possible solutions and with the Deputies’ Human Resource Management Group in prioritizing solutions and securing agency support for any identified solutions.

Refer also to the Office of Financial Management resolution for this finding on page 8.

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Finding Number: 003

Finding: Users can make unauthorized changes to data in the Human Resource Management System (HRMS).

Resolution: System-based Approvals: The Department of Personnel (DOP) is currently planning efforts to evaluate potential options within delivered, off-the-shelf functionality to require approval of transactions entered into HRMS. If these options exist, DOP will develop the associated cost estimates and work to identify impact to agency business processes. DOP will work with the Deputies' Human Resource Management Group in prioritizing solutions and securing agency support for any identified system-based solutions. DOP will also review the automated tool recommended by the auditors to determine if it will provide additional functionality to achieve system-based controls.

Report Usability: DOP collaborated with the Office of Financial Management (OFM) to provide additional information to state agencies regarding the utility of system reports available to track and monitor changes to HRMS data made by users. Efforts are underway to evaluate potential changes to the usability of these reports.

HRMS Data Monitoring Training for Agency Users: OFM and DOP are working together to improve training offered to agencies in using the existing reports and tools to monitor changes to HRMS data.

Refer also to the Office of Financial Management resolution for this finding on page 9.

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Status of Audit Resolution

December 2009

Department of Personnel (DOP)

Agency: 111

Audit Report: 1000619

Finding Number: 004

Finding: The Human Resource Management System (HRMS) is not supported by a disaster recovery backup site.

Resolution: The Department of Personnel (DOP) and the Department of Information Services completed consultation and planning efforts for a disaster recovery backup site. DOP is working with the Office of Financial Management to evaluate options to fund the cost of such a site.

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Status of Audit Resolution

December 2009

Department of Personnel (DOP)

Agency: 111

Audit Report: 1000619

Finding Number: 005

Finding: A number of manual processes in the Human Resources Management System (HRMS) should be automated.

Resolution: The Department of Personnel (DOP) developed a plan to explore additional opportunities for automating manual processes within delivered functionality and to develop the associated cost estimates. Where appropriate, DOP is working with other central service agencies to improve and/or automate shared processes. DOP will work with the Deputies' Human Resource Management Group to prioritize any opportunities for automation and implement improvements as resources become available.

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