

Internal Audit Engagements

The below roles should be assigned by the Security Administrator prior to an audit engagement, permitting the access necessary to collect audit data.

Security Administrators are requested to create an Internal Auditor profile granting the Internal Audit Department read-only access to all pages and the ability to run reports and queries by assigning the following three user roles:

- BOR PeoplesSoft User
- BOR View Only
- BOR Query Manager

Current list of Internal Audit Requests

NOTE: Institutional users should run the Refresh Employee Table (PER099) prior to the audit team running reports or queries to ensure current data is collected when processes are run.

Navigation: Setup HRMS>System Administration>Database Processes>Refresh Employees Table.

1. List of current employees to include name, address, position.

Custom Query developed: **BOR_INT_AUDIT_CURRENT_EMPLOYEE** – Public Query

Navigation: Reporting Tools>Query>Query Manager

Note: this query was designed to be run by pay group option.

Important note: Please do not make any modifications to the query.

If all employees are requested without regard to status (Full or Part-Time) the user may run PS delivered report: PER020 Employee home Address Listing

This report contains a complete listing of all employees with addresses and home phone numbers.

Navigation: Workforce Administration>Biographical>Home Address Report

2. Most recent payroll report showing who paid, amount, position, etc.

PS delivered report: **PAY002 Payroll Register**

Navigation: North American Payroll>Payroll Processing>Reports>Payroll Register

This report contains the name, employee ID, and department ID for all employees who receive a paycheck for a pay run and pay calendar.

Note: Institutional users will need to provide the most recent Pay Run ID to the audit team upon request

PS delivered report: **PAY004 Check Register**

Navigation: North American Payroll>Payroll Processing>Create Checks>Check Register Report

This report lists all check, in check number order, written in the pay period.

Note: institutional users will need to provide the most recent Pay Run ID to the audit team upon request

PS delivered report: **DDP004 Payroll Advice Register**

Navigation: North American Payroll Payroll>Payroll Processing>Create direct Deposits>Advice Register

This report contains payroll amounts paid directly into the employee's bank accounts as direct deposits.

Note: institutional users will need to provide the most recent Pay Run ID to the audit team upon request

3. List of recently hired employees for period of time X

PS delivered report: **PER015 Personnel Actions History**

Navigation: Workforce Administration>Job Information>Reports Personnel Actions History

This report lists all employees affected by each of the job actions requested.

4. List of terminated (retired, resigned, etc.) employees to include termination date.

PS delivered report: **PER015 Personnel Actions History**

Navigation: Workforce Administration>Job Information>Reports Personnel Actions History

This report lists all employees affected by each of the job actions requested.

5. List of retired employees receiving benefits

BOR created report: **BORR025 Comprehensive Benefits Report**

Navigation: Board of Regents>BOR Benefits>Benefits Maintenance>Comprehensive Benefits Report

This report provides detailed plan information and enrollment. This report is generated by plan and coverage.

Note: To obtain a listing of current Retirees only user should refer to request #1 on Page 1.

6. List of employees in "Positions of Trust"

Custom Query developed: **BOR_INT_AUDIT_POS_OF_TRUST** – Public Query

Navigation: Reporting Tools>Query>Query Manager

Note: this query will return results if institution has populated the Security Clearance field in Employment Data.

Important note: Please do not make any modifications to the query.

7. Leave Balances, leave taken, etc. by employee.

BOR created report: **BORR026B Leave Accrual Summary – Employee**

Navigation: Board of regents>BOR Benefits>Leave Accrual>Leave Accrual Summary – Employee.

This report provides a summary of leave taken, accrued and balances as of the specified month end date.

8. List of Students earnings.

BOR created report: **BORR029A Work Study Payroll Activity**

Navigation: Board of Regents>BOR Payroll>Payroll Processing>Work Study Report

This report provides student payment information for a specified period.

9. Position Listing

PS delivered report: **POS001 Position Status**

Navigation: Organizational Development>Position Management>Position Reports>Position Status

This report inventories the types of positions and lists all filled and vacant positions.