# Minneapolis
## City of Lakes

# Records Management Audit Addendum

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**Date:**      January 26, 2016

**To:**         Mayor Hodges, City Council Members, City Coordinator Spencer Cronk, Human Resource Director Patience Ferguson

**Re:**         Records Management Audit Addendum

## Background

Attached is the City of Minneapolis Internal Audit Department's Records Management audit report addendum. The objective of this work was to more adequately address the risk of timely PeopleSoft Human Resource access termination.  Our original analysis misquantified the data due to certain unknowns at the time of testing.  The analysis was re-designed to more appropriately test PeopleSoft HR access termination.

**Audit Results and Recommendations**

### 3.2 amended - PeopleSoft Terminated Users

Testing of user accounts within PeopleSoft HR, which hosted confidential, private and sensitive information identified that 1,057 or 79% of the security profiles for employees terminated between January 1st and November 30th 2015 were locked outside of the defined operations standard – more than 30 days from the employee termination date. As part of the off-boarding process, all access, both physical and logical, to city resources should have been removed. Allowing terminated user accounts to remain active created the risk that confidential, private or sensitive information was accessed by unauthorized users.

#### Terminated User Recommendations:
- Off-boarding policies and procedures should be recommunicated to supervisors throughout the City and Park and Recreation Board.
- Discontinue the access rights to any City systems, including PeopleSoft Self Service and provide terminated employees with a final pay stub and customer service resource for any additional post-employment needs.
- If system access cannot be immediately terminated, management should implement PeopleSoft HR Final Paycheck functionality. This feature will facilitate the distribution and accounting for final paychecks and accrued vacation for employees leaving the City of Minneapolis without leaving their security profiles active. Implementing this would permit user security profiles to be disabled or locked on the termination effective date and would no longer require cleansing the profile of any non-self-service roles.
- If current practices should remain, we would recommend that:
    - Management continues what appears to be removal of non-self-service access at the time of user termination. However, we would recommend enabling audit logging on this process so that a systematic log can be retained of what user access was revoked when from the user security profile.
    - The PeopleSoft HR web portal be restricted to employee self service functions only.
    - Automation of the removal of non-self-service roles from user security profiles on their termination effective date.
- Periodic system reviews should be conducted to detect accounts belonging to terminated users.

#### Terminated User Management Response: Human Resources

- The HR department is in full support of terminating all employee systems access on an employee's last day and have been working with partner departments towards that end for over two years. As an interim step until Final Paycheck functionality is implemented by the Finance department the Human Resources department is in the process of creating a workflow procedure for supervisors. This procedure will notify HR and other departments needing to know an employee is leaving prior to an employee's last day. As that process is put into place communications regarding off boarding policies and procedures will be embedded into supervisor training. Currently HR is not always notified of an employee departing until after the employee has left. This notification is critical for all systems shutoff and procedures with regard to off boarding an employee to occur in a timely manner.

- HR will continue advocating for the implementation of final check functionality within the COMET system in order to more systematically turn off system access and off board an employee utilizing delivered system functionality. It is a manual process currently after notification has been received from the supervisor that the employee has left the city.
- HR will continue to periodically review system access to ensure terminated user accounts are being locked and shutoff appropriately.
- We do disagree with the recommendation below to limit access. We would not want to limit our employee's access to systems they need to perform their duties. Securing the web portal can be done in ways other than limiting access. We strive to provide 24/7 access to systems from anytime/anywhere. That is a basic standard expectation we have of all Enterprise-Wide HR information systems:
    - The PeopleSoft HR web portal be restricted to employee self service functions only.