HRS Separation of Duties WED Register Process – HR2

Summary

The purpose of this document is to instruct individuals how to complete the compensating control for the Separation of Duties (SOD) report, HR2. Notification of reports to be signed is presented via the Workflow Exception Dashboard (WED).

Who completes the report?

Security recommends HR Directors review and sign reports as listed in this document. However, HR Directors can appoint designees who are also able to sign reports as long as they meet core requirements.

Report Frequency

Transactions which are potentially SOD conflicts are run and posted into the custom HRS page once per week. Every night, the WED will reload lists of reports which remain unsigned.

Process of Completing the Report Register

Report Scenario: HR2

Report Name: Job transactions to Direct Deposit Transactions

Description: Employee is Paid Prior to Official Start Date or Beyond Termination Date while Re-Routing their Direct Deposit. Listed transactions represent an SOD conflict resulting from HR Employee performing conflicting transactions e.g. create job record and Re-route the Direct Deposit on the same EMPLID before/after official start/end date.

Process:

1. Reports are automatically run Sunday night, and saved within HRS
2. Nightly, the WED will display the reports which have not yet been signed
3. Conduct management review of the report for discrepancies.
4. How to use/analyze:
    a. Procedure documented in KB 53881
    b. Rows appear in the WED for every conflicting transaction without a signature
    c. Following the steps in the KB, go to the Review/Signature page
    d. Review and Approve Page

      i. OPRID - EE who made change

      ii. Name/BusUnit/DeptID all relate to the OPRID

      iii. Report Date – Date the report was run

      iv. Signature ID – OPRID of the user who signed for the report

      v. Approval DateTime – Date stamp of the signature

    e. Report Details Page (after clicking 'Review/Sign')

      i. OPRID information appears in upper 'header' section, all data in grid below is for the employees impacted by the OPRID's entry

      ii. Audit Event - Shows where conflict was recorded

      iii. Audit Stamp – When the entry was made

      iv. Remaining data in grid (EMPLID, Empl Rcd, DT, etc) gives additional data about transaction.

5. Validation

      i. Was it legitimate for the originator to make these transactions?

      ii. Are the transactions legitimate?

      iii. Should you take any action to modify business processes to eliminate future conflicts?

6. Investigate any discrepancies.

7. Complete the remaining steps using [KB 53881](#).

Example Scenario:

- HR staff 1 creates new job record for Employee 1 and changes Direct Deposit information for Employee 2. No conflict. Change does not appear on SOD report.

- HR staff 1 creates new job record for Employee 1 and changes Direct Deposit information for Employee 1. This is the first instance of the conflict happening. Action is a discrepancy. Investigate and record outcome on Control Log.

- HR Staff 1 creates new job record for Employee 1 and changes Direct Deposit information for Employee 1. Business process/staff constraints prevent proper Separation of Duties. Occurrence represents a known, accepted SOD risk. Action is not a discrepancy. Record known, accepted risk in SOD Log one time, and reference in future entries into the SOD log.