



Office of Internal Audit

Audit Report

*Audit of Personnel Actions for
Unclassified Staff
09-09*

May 5, 2009

To: Dr. John Crain, President
From: Stephen R. Sparks *SR*
Senior Internal Auditor, Office of Internal Audit
Date: May 5, 2009
Subject: Audit of Personnel Actions for Unclassified Staff
09-09

PURPOSE, SCOPE AND METHODOLOGY

The Office of Internal Audit performed an Audit of Personnel Actions for Unclassified Staff for the fiscal year ending June 30, 2008. The objective of the audit was to determine compliance with University of Louisiana System (ULS) board rules, University policies, and State Civil Service policies regarding personnel actions for unclassified staff. The audit was performed in accordance with professional standards for internal auditing and accordingly, included tests of human resource records and other procedures that were considered necessary in the circumstances. The conclusions were based on a review of relevant supporting documentation obtained during the audit and discussions with Human Resources Department personnel.

The audit scope included reviewing 117 of 1204 (10%) randomly selected unclassified personnel actions for fiscal year ending June 30, 2008. The reviewed actions were additional duties, promotions, replacements/rehires, retirements/terminations/resignations, new hires, and leaves of absence.

In determining the adequacy of controls, there are inherent limitations that result in reasonable, but not absolute, assurance of the potential effectiveness of a system of internal controls. It is important to recognize that this report is intended to be constructive in nature.

BACKGROUND

The mission of the Southeastern Human Resources Office is to enhance and provide human resource related support services for post-secondary education, research and service for the University community.

The role of the Human Resources Office is to assist the university in recruiting, employing, training, and retaining faculty and staff and by maintaining official agency personnel records, administering benefits, classification and staff development programs. Services are provided to faculty, staff and retirees. Additionally, services are also provided to the public regarding employment opportunities with the University and the State Civil Service system.

ULS Board Rules Chapter III, Sections B, C, and D govern employment actions for unclassified personnel. However by order of the President of the ULS system, the requirements of PPM #FS.III.II.B.C.D-1 except as it relates to Deans, Vice-Presidents, Provosts and Athletic Directors were waived for fiscal year ending June 30, 2008.

AUDIT SUMMARY

Nothing came to the office of internal audit's attention that would indicate the University was not in compliance with ULS board rules, University policies, and State Civil Service policies concerning employment actions for unclassified staff.

Distribution:

Dr. Tammy Bourg, Interim Provost & Vice President for Academic Affairs
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