

## Eastern Suffolk BOCES Corrective Action Plan

Risk Assessment Update January 19, 2022 Cullen & Danowski, LLP			
Findings and Recommendations	ESBOCES Response/Corrective Actions	Responsible Person(s)	Status
Reportable Conditions: None			
<p><b>Category: <u>New Hires – Maintain Employee Records Electronically</u></b></p> <p><b><u>Recommendation and Related Updates:</u></b> <u>Agreed-Upon Procedures – 2016</u></p> <p>We recommended that ESBOCES consider using software to maintain employee records electronically to enhance operational efficiency.</p> <p><u>Risk Assessment Update – 2017-2019</u></p> <p>We noted that the Human Resources (HR) Department and Management Services were in the process of reviewing software solutions that automate the hiring and on-boarding procedure, support electronic file retention and generate the personnel agenda for the Board meetings. We found that the HR Department had chosen a web-based program (SchoolFront) to facilitate the hiring process through automation and ESBOCES was negotiating the final terms and conditions of the agreement. We understood that SchoolFront integrates with the WinCap financial system. We noted that the procedures related to SchoolFront were not yet operational. We understood that the use of SchoolFront would start with recruiting and hiring, followed by the on-boarding process and this would become the starting point for paperless HR records.</p> <p><u>Risk Assessment Update – 2020</u></p> <p>We noted that SchoolFront, the software application that supports automation of recruitment, hiring and on-boarding functions, will also be used to store digital employee records. We were informed that ESBOCES planned to implement the on-boarding module, which included a file management component, after completing the current initiative related to the recruitment module.</p>			

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<p><u>Risk Assessment Update – 2021</u></p> <p><i>We found that ESBOCES has set up a phased approach related to the implementation of SchoolFront for recruitment and on-boarding that started with a pilot group during the summer of 2021. We understand that there were lessons learned as a result of this pilot group managing the new hire process in SchoolFront and ESBOCES set up training for staff during the fall of 2021. We were informed that the HR Department plans to move forward with rolling out the use of SchoolFront with other pilot groups during the 2021-22 year.</i></p>	<p>School Front, a software application that supports automation of recruitment and onboarding functions, will be used to store digital employee records. The onboarding module, which includes a file management component, will be implemented using a phased in approach. The software is scheduled to be fully implemented by June 2023.</p>	<p>Cook</p>	<p>Estimated Completion June 2023</p>
<p><b>Category: <u>New Hires – Background Summary Checklist</u></b></p> <p><b><u>Recommendation and Related Updates:</u></b> <u>Agreed-Upon Procedures – 2016</u></p> <p>We recommended that ESBOCES determine if the Background Summary Checklist should be included in the employee folder, since this provided details related to the background procedures performed by the clerks in the HR Department, or should be destroyed along with the <i>Background Check Report</i> due to privacy reasons.</p> <p><u>Risk Assessment Update – 2017-2019</u></p> <p>We noted that the HR Department and Management Services were in the process of reviewing software solutions that automate the hiring procedure, generate the personnel agenda and support electronic file retention. The Background Summary Checklist had been used as evidence that internal procedures were followed. We understood that ESBOCES planned to address this item in conjunction with the implementation of software (SchoolFront) as noted in the previous comment. The HR Department was using the Background Summary Checklist as part of the hiring process and files the checklist in the respective employee’s personnel folder. ESBOCES</p>			

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<p>planned to make a determination about this checklist after making a decision related to a software solution.</p> <p><u>Risk Assessment Update – 2020</u></p> <p>We found that the HR Department and Management Services were reviewing software solutions that automate the hiring and on-boarding processes, generate the personnel section of the Board agenda and support electronic file retention. The Background Summary Checklist was used as evidence that internal manual procedures were followed as required and the goal was to eliminate the need for this checklist with an automated system.</p> <p><u>Risk Assessment Update – 2021</u></p> <p><i>We found that ESBOCES plans to eliminate the Background Summary Checklist after the rollout of the SchoolFront program for on-boarding and recruitment, as noted above.</i></p>	<p>School Front, a software application that supports automation of recruitment and onboarding functions, will be used to store digital employee records. The onboarding module, which includes a file management component, will be implemented using a phased in approach. The implementation will eliminate the Background Summary Checklist.</p>	<p>Cook</p>	<p>Estimated Completion June 2023</p>