



AUDIT REPORT

DALLAS COUNTY

HUMAN RESOURCES ICQ

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Dallas County Auditor
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HUMAN RESOURCES ICQ

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This report is intended for the information and use of the agency/department. While we have reviewed internal controls and financial reports, this review will not necessarily disclose all matters of a material weakness. It is the responsibility of the department to establish and maintain effective internal control over compliance with the requirements of laws, regulations, and contracts applicable to the department



DALLAS COUNTY
COUNTY AUDITOR

MANAGEMENT LETTER

Mr. Robert Wilson
Human Resource Director
Dallas, Texas

Attached is the County Auditor's final report entitled "**Human Resources ICQ**" Report. In order to reduce paper usage, a hard copy will not be sent through in-house mail except to the auditee.

If you prefer that released reports be emailed to a different (or additional) recipient, please inform me of the name and the change will be made.

Respectfully,

A handwritten signature in blue ink that reads "Darryl D. Thomas". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

Darryl D. Thomas
County Auditor

EXECUTIVE SUMMARY

The Dallas County Human Resources Department actively assists employees and their supervisors with personnel procedures, job performance issues, employee rights, workplace problems and resolutions. Human Resources offers monthly employee training on work-related topics such as goal-setting, time-management and policies and best practices related to the supervision of employees. In addition to performing background checks and salary analyses on all newly hired employees, the department also has the task of recommending modifications to the total compensation package offered to employees and applicants. A review of the department's fiscal year 2020 responses to the Internal Control Questionnaire and observation/utilization of the Taleo Recruitment system revealed the significant observations below:

Summary of Significant Observations

- Taleo did not mask applicant Social Security numbers from users with the configuration profile Hiring Manager.

Repeat Observations from Previous Audits:

- Not applicable

INTRODUCTION

Dallas County Auditor's Office mission is to provide responsible, progressive leadership by accomplishing the following:

- Comply with applicable laws and regulations
- Safeguard and monitor the assets of the County utilizing sound fiscal policies
- Assess risk and establish and administer adequate internal controls
- Accurately record and report financial transactions of the County
- Ensure accurate and timely processing of amounts due to County employees and vendors
- Set an example of honesty, fairness and professionalism for Dallas County government
- Provide services with integrity
- Work in partnership with all departments to resolve all issues of the County
- Strive to utilize the latest efficient and effective technology in the performance of tasks
- Provide technical support and training in the development, implementation, and maintenance of information systems
- Hold ourselves accountable to the citizens of the County at all times
- Be responsive to the elected officials and department heads of Dallas County

The objectives of this audit are to:

1. Ensure compliance with statutory requirements
2. Evaluate internal controls
3. Review controls over safeguarding of assets

This Internal Control Questionnaire (ICQ) covered the processes in place during fiscal year 2020.

The audit procedures will include interviews with key process owners, observation of processes, and review of responses to ICQ.

DETAILS

Taleo Talent Management System

A review of the responses to the Human Resources Internal Control Questionnaire (ICQ) and observations/utilization of the Taleo Talent Management System revealed that the personally-identifiable information, including social security numbers, of nine out of 51 (17.64%) applicants on one requisition was visible to those with the "Hiring Manager" system configuration and the department did not periodically review employment applications to ensure that the Taleo system was filtering out applicants who did not meet the minimum job qualifications.

Per the Department of Labor, *Guidance on Personally-Identifiable Information* Personal Identifiable Information (PII) is defined as any representation of information that permits the identity of an individual to whom the information applies to be reasonably inferred by either direct or indirect means. Further, PII is defined as information: (i) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email address, etc.) or (ii) by which an agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. (These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptors). Additionally, information permitting the physical or online contacting of a specific individual is the same as personally identifiable information. This information can be maintained in either paper, electronic or other media. Access to personally-identifiable information should be restricted to those with a bonafide business responsibility related to the data. Additionally, the Taleo Talent Management system should be configured to ensure applicants not meeting the minimum employment qualifications are filtered out.

Limited system roles and configurations increased the potential liability to Dallas County for the misuse or fraudulent activity related to the exposure of personally-identifiable information. Furthermore, incomplete system controls have resulted in additional time spent by hiring managers to sort through numerous applications from candidates that do not meet the minimum job requirements.

Recommendation

Taleo Talent Management System

Management should:

- Address the visibility of full social security numbers by those with the Hiring Manager system configuration as part of the pending Optimization Review of the Taleo Talent Management System. (Agenda Briefing January 21, 2020)
- Request system configurations that restrict the full visibility of social security numbers to those with a bonafide business responsibility related to the data.
- Periodically review the Taleo system to ensure applicants who are not qualified for a position are properly filtered out.

Management Action Plan

- The Human Resources (HR) Department met with the Information Technology department (IT) regarding the visibility of Social Security numbers. In the meeting, the HR department requested IT to disable the function for displaying social security numbers for Hiring Managers. based on our request, IT will immediately move forward with disabling the function and social security numbers will no longer be visible to the Hiring managers.
- The HR Department is in the process of reviewing our current TALEO system for an upgrade. This upgrade would include changes to user types and user permissions. The permission controls would allow HR to limit visibility of information only to users who had a business need to view.
- If the TALEO system is upgraded, the applicants would receive pre-screening populated questions and scoring that would automatically rank and filter out unqualified applicants. Based on the auto-disposition, non-qualified candidates would not be visible to the Hiring Managers.

Auditors Response

None

cc: Darryl Martin, Commissioners Court Administrator