

Audit Shield

The Audit Shield feature in GX is used to search for missing documents of a certain document type. For example, use the Audit Shield feature to find all the vendors who are missing a document with the document type of **W9**, or to find all the employees who are missing a document with the document type of **Social Security Card** or the document type of **Federal I9**. With the Audit Shield feature, the desired policies for which missing documents to find within an application are set up within GX and then can be accessed by generating the policies from within K12Docs.

Adding an Audit Shield Policy in GX:

1. Within GX, select the **Tools** menu and then **Audit Shield**.
2. On the Audit Shield screen, click the **Policy Editor** tab if not already selected. See **Diagram A**.
3. Complete the fields for the new policy:
 - a. In the Application field, select the desired application for which to define the new policy by clicking the **down-arrow** button and choosing the correct one.
 - b. In the Policy Name field, verify **<new>** displays in order to add a new policy; if needed, click the **down-arrow** button and select **<new>**. Then enter a unique name for the new policy in the Policy Name field by keying over the text (keying over **<new>**). The name can be alphanumeric and up to **50** characters long.
 - c. If desired, enter a longer description for the policy in the Policy Description field. The description can be up to **256** characters long.
 - d. Add a rule for the policy by completing the following:
 - The Rules field will be blank when adding the first rule, and then once a rule has been added, it will show as Rule 1, and if a second rule is added, it will show as Rule 2, etc.
 - In the Check Set section in the lower left side of the screen, select the criteria for which folders (and subfolders) to search for the missing documents, if desired. For example, if adding a new policy in the SUI_PR_Employees application and only the folders for the active employees need to be checked, click to expand the Active index field and then choose **Yes**; see **Diagram A**.

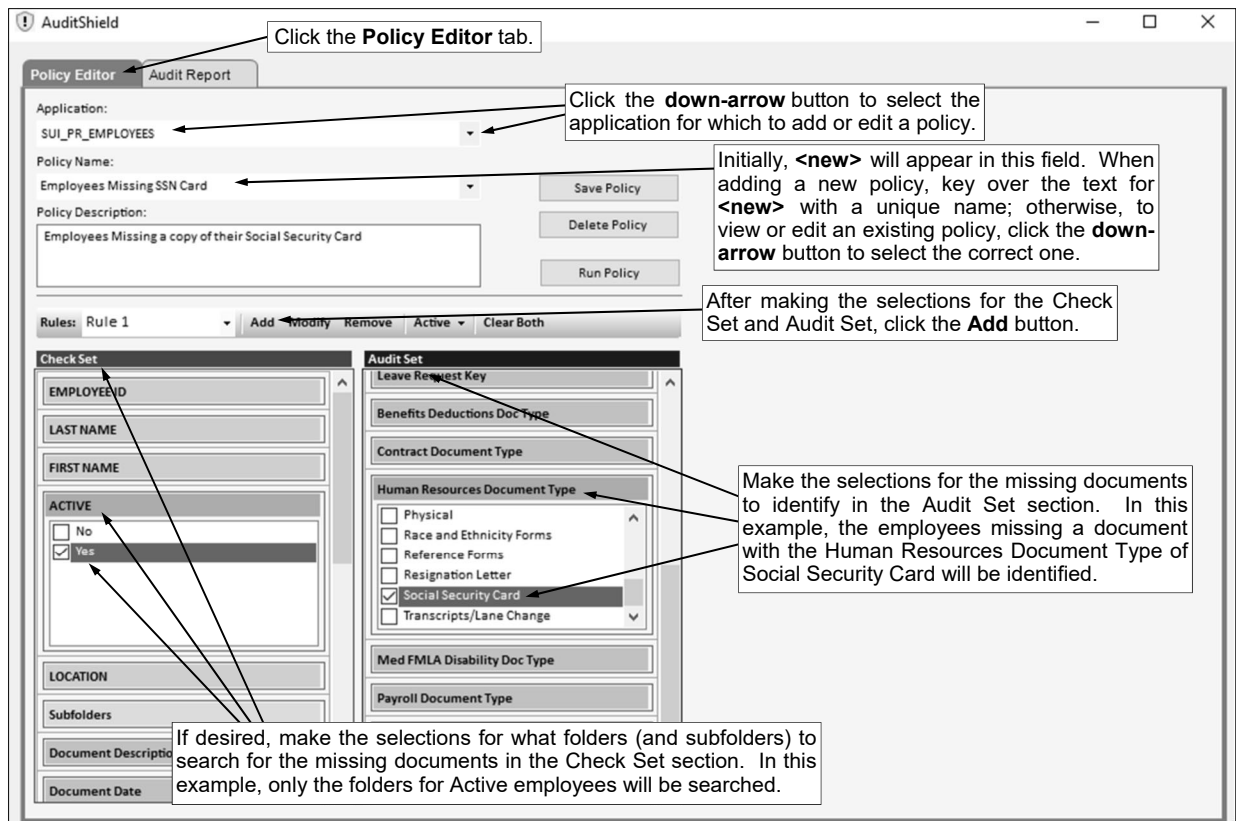


Diagram A

Tip: To search all the folders for the missing documents, do not make any changes to the Check Set section. Also, wildcard characters cannot be used with these fields.

- In the Audit Set section in the lower right side of the screen, select the criteria for which missing documents to search. For example, if adding a new policy in the SUI_PR_Employees application to find employees that are missing a document with the Human Resources Document Type of Social Security Card, click to expand the Human Resources Document Type attribute field and then choose **Social Security Card**; see **Diagram A**.

Tip: Wildcard characters cannot be used with these fields.

- Click the **Add** button located to the right of the Rules field to save the new rule.
 - If needed, repeat these steps to additional rules.
4. Click the **Save Policy** button.

Changing an Audit Shield Policy in GX:

1. Within GX, select the **Tools** menu and then **Audit Shield**.
 2. On the Audit Shield screen, click the **Policy Editor** tab if not already selected.
 3. In the Application field, select the application which includes the policy to edit by clicking the **down-arrow** button and choosing the correct one.
 4. Click the **down-arrow** button for the Policy Name field and select the policy to edit.
 5. Make the desired changes to the policy.
 - a. To add a new rule to the policy, complete the Check Set and Audit Set sections as desired, and then click the **Add** button located to the right of the Rules field to save the new rule.
 - b. To make changes to an existing rule for the policy, click the **down-arrow** button for the Rules field and select the rule to edit; then make the desired changes in the Check Set and Audit Set sections and click the **Modify** button.
- Tip:** If desired, to clear all the previous selections within the Check Set and Audit Set sections for the existing rule, click the **Clear Both** button; then complete the desired selections and click the **Modify** button.
- c. To delete an existing rule from the policy, click the **down-arrow** button for the Rules field and select the rule to delete; then click the **Remove** button.
6. Click the **Save Policy** button to save the changes.

Deleting an Audit Shield Policy in GX:

1. Within GX, select the **Tools** menu and then **Audit Shield**.
2. On the Audit Shield screen, click the **Policy Editor** tab if not already selected.
3. In the Application field, select the application which includes the policy to delete by clicking the **down-arrow** button and choosing the correct one.
4. Click the **down-arrow** button for the Policy Name field and select the policy to delete.
5. Click the **Delete Policy** button.

Generating an Audit Shield Policy in GX:

1. Within GX, select the **Tools** menu and then **Audit Shield**.
2. On the Audit Shield screen, click the **Audit Report** tab. See **Diagram B**.
3. Click the **Select Policy** button.
4. The Run Audit Policy screen displays listing all the existing policies defined in Audit Shield for the different applications. See **Diagram C**.
5. Select the policy to generate by double-clicking on the desired policy, or else by clicking once on the desired policy and then clicking the **Run** button.

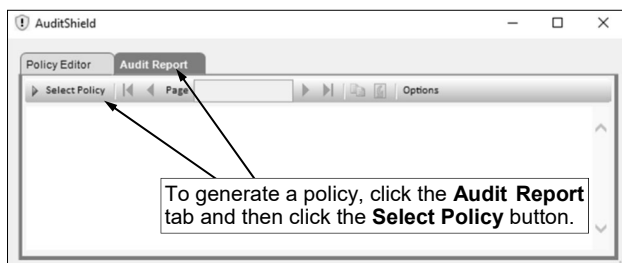


Diagram B

- The results of the folders missing the specified documents appear on the screen. See **Diagram D**. If needed, click the navigation buttons (**First Page**, **Previous Page**, **Next Page**, or **Last Page**) to scroll through all the pages of the results.

Tip: To change the number of results that appear on each page, click the **Options** button and select the number of folders to display per page; then click **OK**.

Note: To export the results to a file, click the **Export Report** button; then complete the Export Format section by selecting the desired file type for which to export the results, specify the correct path (drive and folders) and file name, and click **OK**.

- Repeat Steps 3-6 to generate a different policy.
- When finished generating the desired policies, click the **X** in the upper right-hand corner to return to the main GX screen.

Tip: If desired, a policy can also be generated on the Policy Editor tab of the Audit Shield screen by bringing up the desired policy and then clicking the **Run Policy** button.

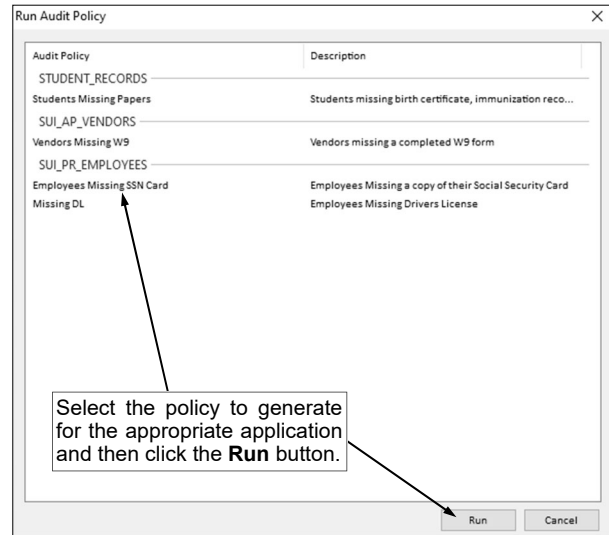


Diagram C

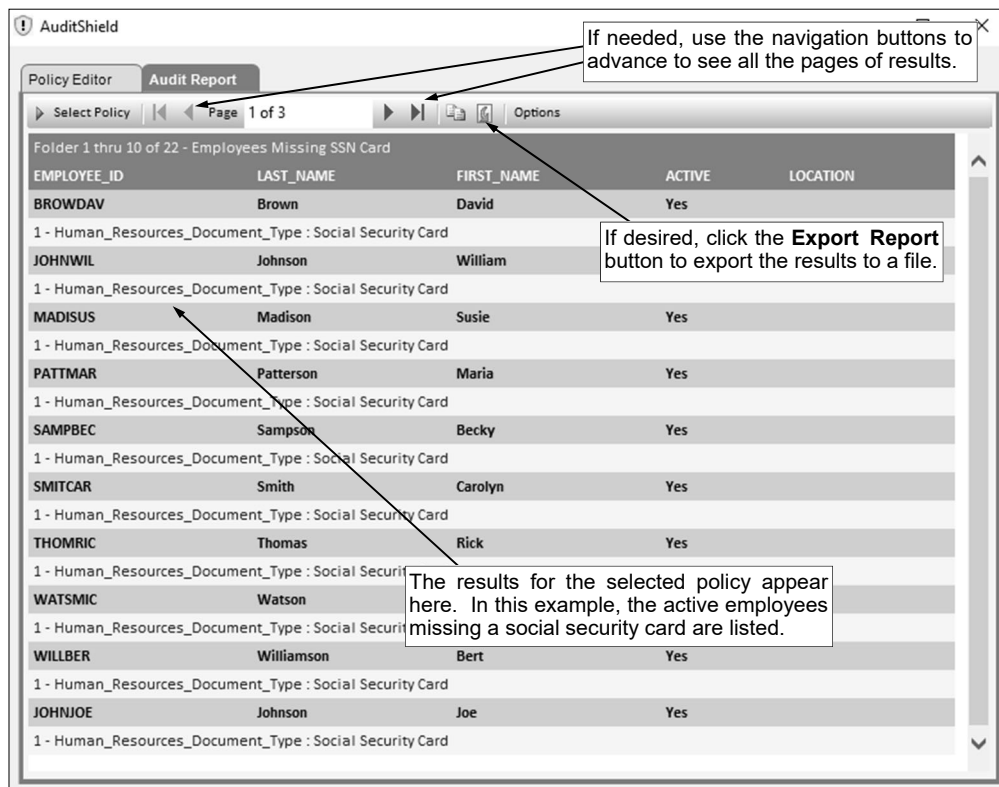


Diagram D

Generating an Audit Shield Policy in K12Docs:

1. From the main screen of K12Docs, select the **Audit Shield** button located at the top of the screen. See **Diagram E**.
2. The Audit Shield screen displays listing all the existing policies defined in Audit Shield for the different applications. See **Diagram F**.
3. Select the policy to generate and then click the **Run Policy** button.
4. The results of the folders missing the specified documents appear on the screen. See **Diagram G**. If needed, click the navigation buttons (**First**, **Previous**, **Next**, or **Last**) to scroll through all the pages of the results.

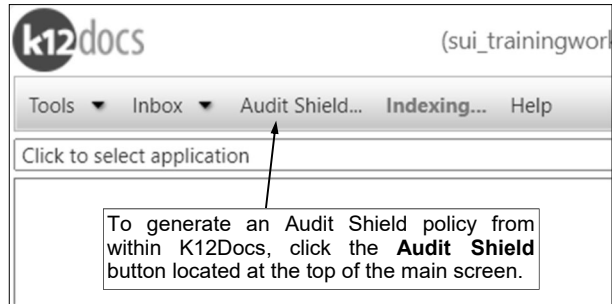


Diagram E

Tip: To change the number of results that appear on each page, click the **down-arrow** button located to the right of the current number of folders to display per page and select the correct number.

Note: To export the results to a file, select the type of file for which to save the results and then click the **Download** button.

5. To generate a different policy, click the **Back** button and then repeat Steps 3-4.
6. When finished generating the desired policies, click the **X** in the upper right-hand corner to return to the main K12Docs screen.

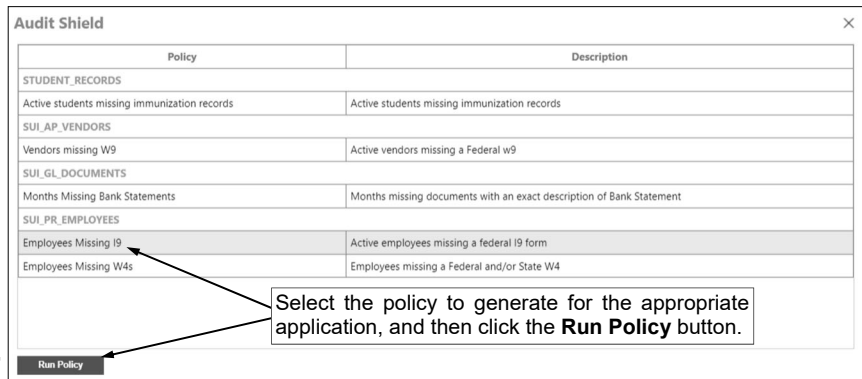


Diagram F

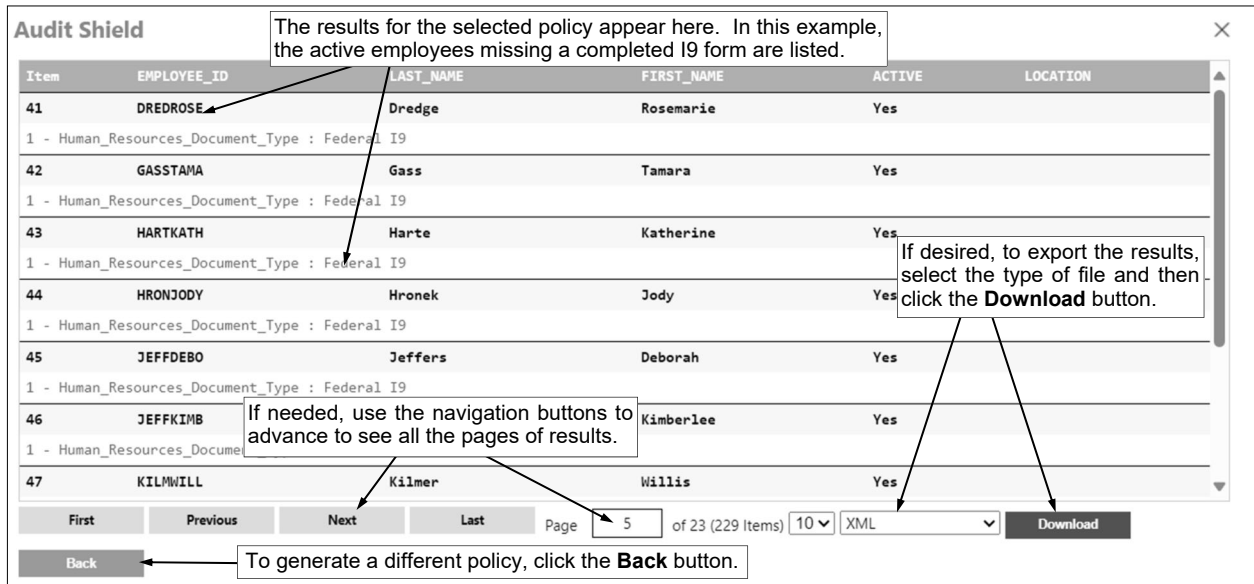
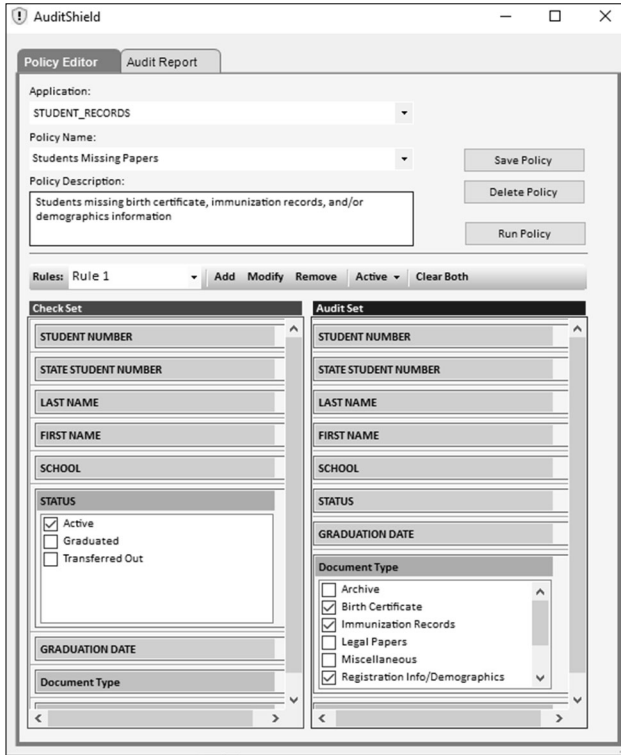


Diagram G

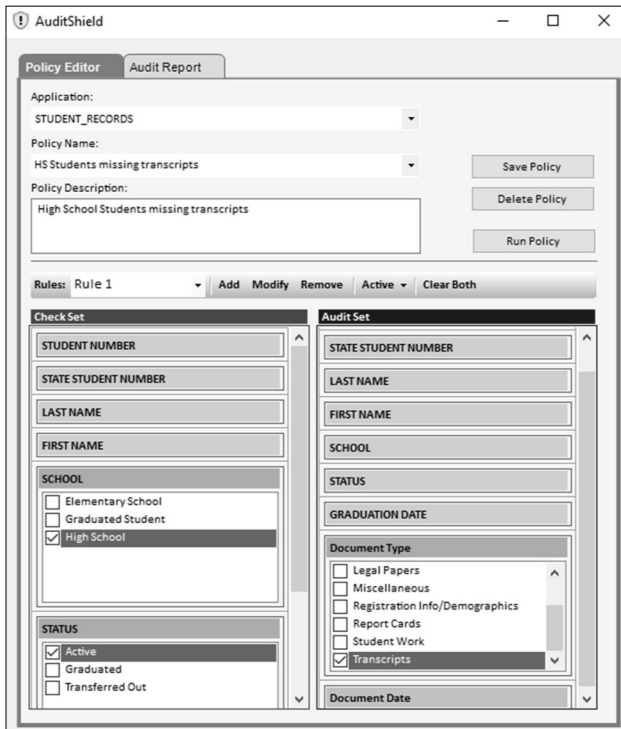
Additional Samples of Audit Shield Policies:

Below are additional examples of Audit Shield policies that can be defined for use with K12Docs.

Policy 1: For use with the Student_Records application; identifies active students who are missing a birth certificate, immunization records, and/or registration/demographic information in their folders.



Policy 2: For use with the Student_Records application; identifies active high school students who are missing transcripts in their folders.



Policy 3: For use with the SUI_PR_Employees application; identifies active employees who are missing a Federal I9 form in their folders.

Policy Editor | Audit Report

Application: SUI_PR_EMPLOYEES

Policy Name: Employees Missing I9

Policy Description: Active employees missing federal I9 form

Buttons: Save Policy, Delete Policy, Run Policy

Rules: Rule 1 | Add | Modify | Remove | Active | Clear Both

Check Set	Audit Set
EMPLOYEE ID	Leave ID
LAST NAME	Leave Request Start Date
FIRST NAME	Leave Request Key
ACTIVE <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes	Benefits Deductions Doc Type
LOCATION	Contract Document Type
Subfolders	Human Resources Document Type <input checked="" type="checkbox"/> Federal I9 <input type="checkbox"/> Fingerprint Results <input type="checkbox"/> Immunizations <input type="checkbox"/> Licenses/Certificates <input type="checkbox"/> Military - Certs/Discharge <input type="checkbox"/> Performance Evaluation
Document Description	Med FMLA Disability Doc Type
Document Date	Payroll Document Type
Created By	Transportation Document Type
Leave ID	

Policy 4: For use with the SUI_PR_Employees application; identifies active employees who are missing a drivers license in their folders.

Policy Editor | Audit Report

Application: SUI_PR_EMPLOYEES

Policy Name: Missing DL

Policy Description: Employees Missing Drivers License

Buttons: Save Policy, Delete Policy, Run Policy

Rules: Rule 1 | Add | Modify | Remove | Active | Clear Both

Check Set	Audit Set
EMPLOYEE ID	Document Description
LAST NAME	Document Date
FIRST NAME	Created By
ACTIVE <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes	Leave ID
LOCATION	Leave Request Start Date
Subfolders	Leave Request Key
Document Description	Benefits Deductions Doc Type
Document Date	Contract Document Type
Created By	Human Resources Document Type <input type="checkbox"/> Background Check <input checked="" type="checkbox"/> Drivers License <input type="checkbox"/> Employee Contact and Policy Form <input type="checkbox"/> Employee Info Form <input type="checkbox"/> Employment Application <input type="checkbox"/> Employment Verifications

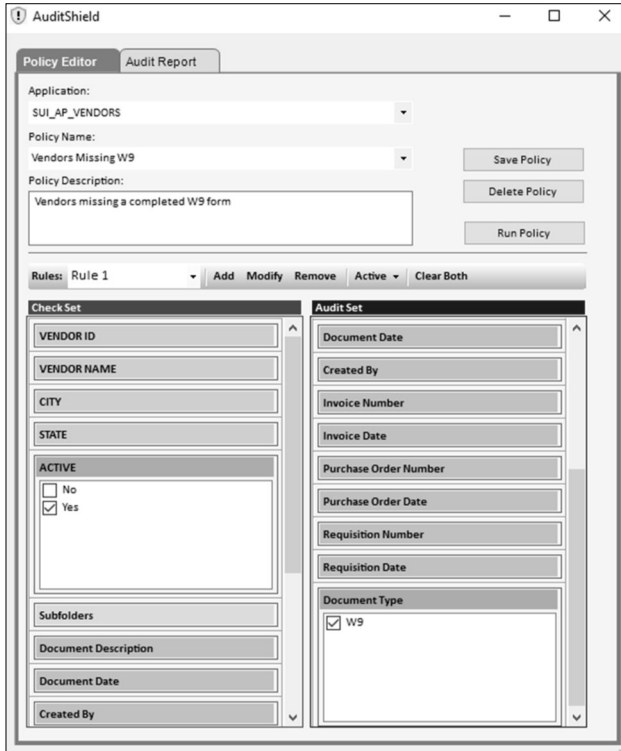
Policy 5: For use with the SUI_PR_Employees application; identifies active employees who are missing a Federal and/or State W4 form in their folders.

The screenshot shows the AuditShield Policy Editor window. The 'Application' is set to 'SUI_PR_EMPLOYEES'. The 'Policy Name' is 'Employees Missing W4s' and the 'Policy Description' is 'Employees missing a Federal and/or State W4 form'. The 'Check Set' includes fields for EMPLOYEE ID, LAST NAME, FIRST NAME, ACTIVE (with 'Yes' checked), LOCATION, Subfolders, Document Description, Document Date, and Created By. The 'Audit Set' includes Contract Document Type, Human Resources Document Type, Med FMLA Disability Doc Type, Payroll Document Type (with 'W4 - Federal' and 'W4 - State' checked), Transportation Document Type, Workers Compensation Doc Type, Expiration Date, Document Status, and Claim Number.

Policy 6: For use with the SUI_PR_Employees application; identifies active employees who are missing a contract with an exact description of **2024-2025 Teacher Contract** in their folders.

The screenshot shows the AuditShield Policy Editor window. The 'Application' is set to 'SUI_PR_EMPLOYEES'. The 'Policy Name' is 'Missing 2024-2025 Teacher Contract' and the 'Policy Description' is 'Employees missing 2024-2025 teacher contract'. The 'Check Set' includes fields for EMPLOYEE ID, LAST NAME, FIRST NAME, ACTIVE (with 'Yes' checked), LOCATION, Subfolders, Document Description, Document Date, Created By, Leave ID, and Leave Request Start Date. The 'Audit Set' includes EMPLOYEE ID, LAST NAME, FIRST NAME, ACTIVE, LOCATION, Subfolders, Document Description (with '2024-2025 Teacher Contract' entered), Document Date, Created By, Leave ID, and Leave Request Start Date.

Policy 7: For use with the SUI_AP_Vendors application; identifies active vendors who are missing a W9 form in their folders.



Policy 8: For use with the SUI_GL_Documents application; identifies which months in a year are missing a document with an exact description of **Bank Statement** in their subfolders.

Note: For this sample policy, nothing is selected in the Check Set section; and in the Audit Set section, all the subfolders for 01-January through 12-December are selected, in addition to entering a specific document description of **Bank Statement**.

