

# 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**.

The screenshot shows the 'Policy Editor' tab in the AuditShield application. The interface includes the following sections and annotations:

- Policy Editor Tab:** The top-left tab, selected.
- Application:** A dropdown menu showing 'SUI\_PR\_EMPLOYEES'. An annotation points to the dropdown arrow: 'Click the **down-arrow** button to select the application for which to add or edit a policy.'
- Policy Name:** A text field containing 'Employees Missing SSN Card'. An annotation points to the text: 'Initially, **<new>** will appear in this field. When adding a new policy, key over the text for **<new>** with a unique name; otherwise, to view or edit an existing policy, click the **down-arrow** button to select the correct one.'
- Policy Description:** A text field containing 'Employees Missing a copy of their Social Security Card'.
- Buttons:** 'Save Policy', 'Delete Policy', and 'Run Policy' are located to the right of the description field.
- Rules:** A section showing 'Rule 1' with buttons for 'Add', 'Modify', 'Remove', 'Active', and 'Clear Both'. An annotation points to the 'Add' button: 'After making the selections for the Check Set and Audit Set, click the **Add** button.'
- Check Set:** A section on the left with various criteria:
  - EMPLOYEEID**, **LAST NAME**, **FIRST NAME**: Text input fields.
  - ACTIVE**: A checkbox section with 'No' and 'Yes' options. The 'Yes' option is checked. An annotation points to it: 'If desired, make the selections for what folders (and subfolders) to search for the missing documents in the Check Set section. In this example, only the folders for Active employees will be searched.'
  - LOCATION**, **Subfolders**: Text input fields.
  - Document Description**, **Document Date**: Text input fields.
- Audit Set:** A section on the right with various document types:
  - Leave Request Key**, **Benefits Deductions Doc Type**, **Contract Document Type**: Text input fields.
  - Human Resources Document Type**: A list box with options: 'Physical', 'Race and Ethnicity Forms', 'Reference Forms', 'Resignation Letter', 'Social Security Card' (checked), and 'Transcripts/Lane Change'. An annotation points to it: 'Make the selections for the missing documents to identify in the Audit Set section. In this example, the employees missing a document with the Human Resources Document Type of Social Security Card will be identified.'
  - Med FMLA Disability Doc Type**, **Payroll Document Type**: Text input fields.

**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.

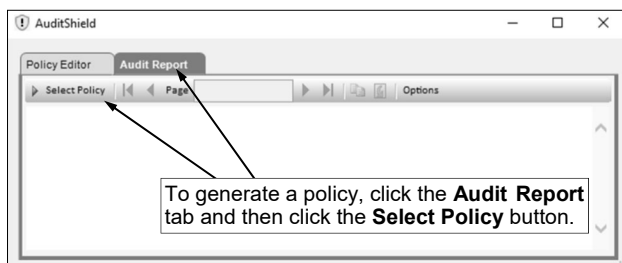
  - c. To delete an existing rule from the policy, click the **down-arrow** button for the Rules field and select the rule to delete; then click the **Remove** button.
6. Click the **Save Policy** button to save the changes.

#### **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**

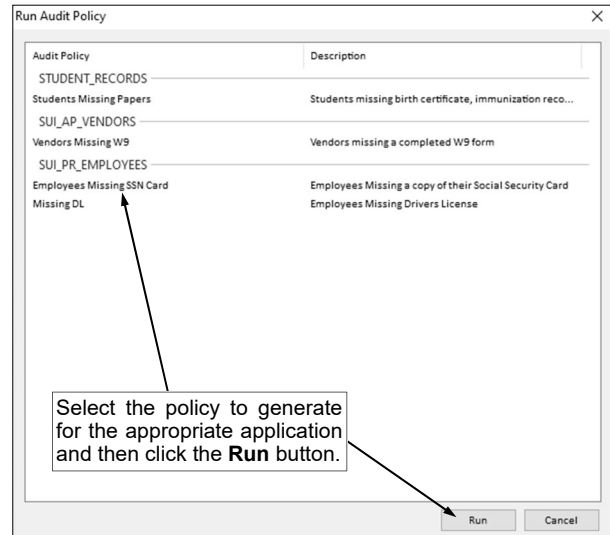
6. The results of the folders missing the specified documents appear on the screen. See **Diagram D**. If needed, click the navigation buttons (**First Page**, **Previous Page**, **Next Page**, or **Last Page**) to scroll through all the pages of the results.

**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**.

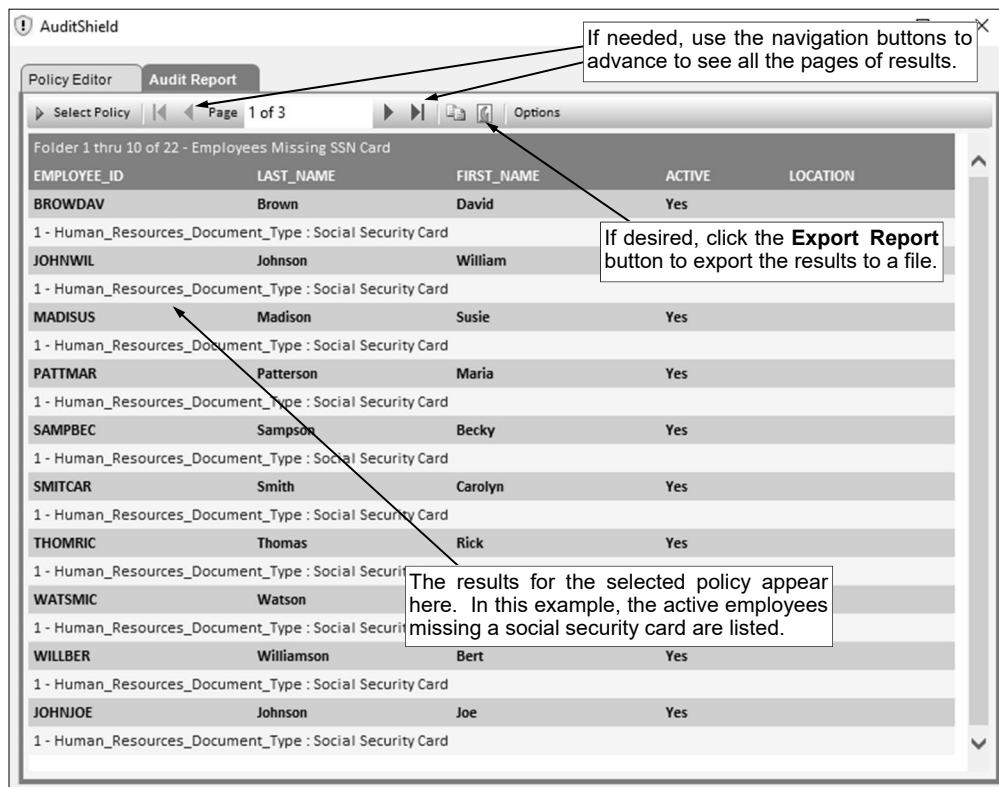
**Note:** To export the results to a file, click the **Export Report** button; then complete the Export Format section by selecting the desired file type for which to export the results, specify the correct path (drive and folders) and file name, and click **OK**.

7. Repeat Steps 3-6 to generate a different policy.
8. 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**

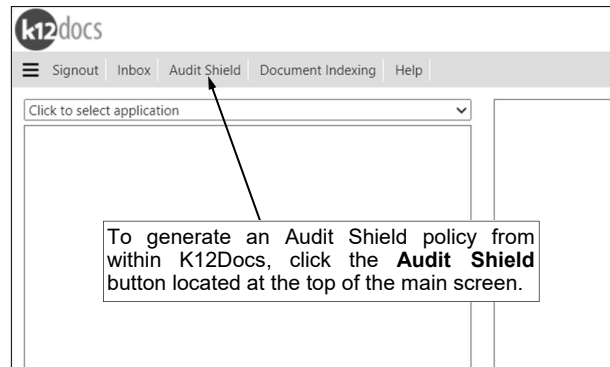
### Generating an Audit Shield Policy in K12Docs:

1. From the main screen of K12Docs, select the **Audit Shield** button located at the top of the screen. See **Diagram E**.

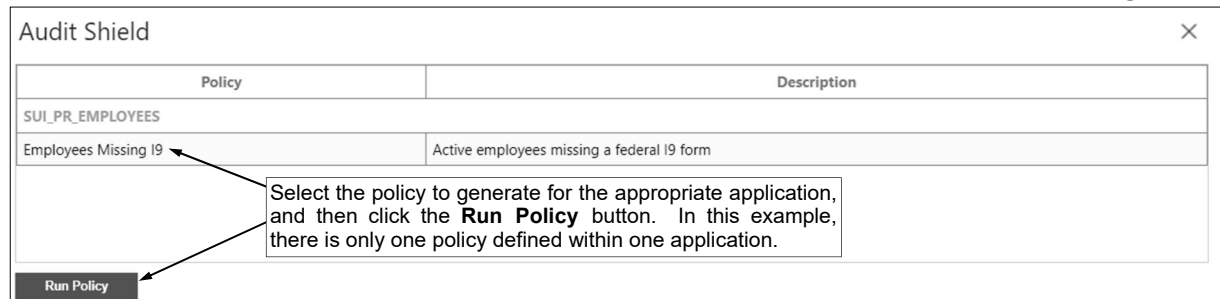
2. The Audit Shield screen displays listing all the existing policies defined in Audit Shield for the different applications. See **Diagram F**.
3. Select the policy to generate and then click the **Run Policy** button.
4. The results of the folders missing the specified documents appear on the screen.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

**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.

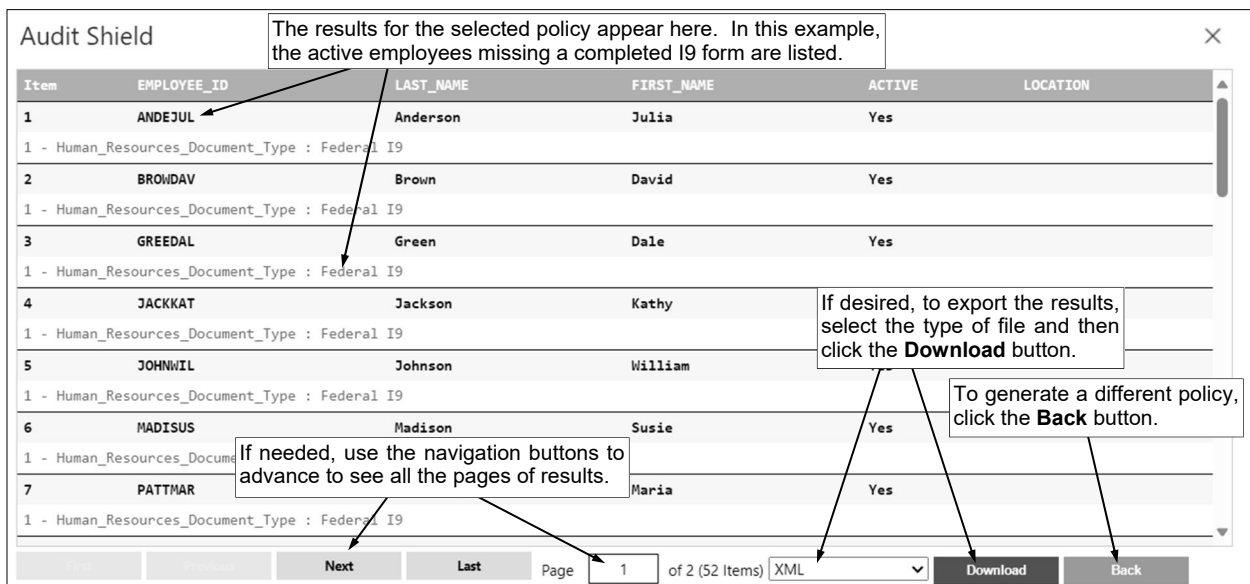
5. To generate a different policy, click the **Back** button and then repeat Steps 3-4.
6. When finished generating the desired policies, click the **X** in the upper right-hand corner to return to the main K12Docs screen.



**Diagram E**



**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.

The screenshot shows the 'Policy Editor' tab of the AuditShield application. The 'Application' dropdown is set to 'STUDENT\_RECORDS'. The 'Policy Name' is 'Students Missing Papers'. The 'Policy Description' is 'Students missing birth certificate, immunization records, and/or demographics information'. The 'Rules' section shows 'Rule 1' is active. The 'Check Set' and 'Audit Set' panels are visible. In the 'Check Set', 'STUDENT NUMBER', 'STATE STUDENT NUMBER', 'LAST NAME', 'FIRST NAME', 'SCHOOL', 'STATUS' (with 'Active' checked), 'GRADUATION DATE', and 'Document Type' are listed. In the 'Audit Set', the same fields are listed, and the 'Document Type' dropdown is expanded, showing 'Birth Certificate', 'Immunization Records', and 'Registration Info/Demographics' checked.

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

The screenshot shows the 'Policy Editor' tab of the AuditShield application. The 'Application' dropdown is set to 'STUDENT\_RECORDS'. The 'Policy Name' is 'HS Students missing transcripts'. The 'Policy Description' is 'High School Students missing transcripts'. The 'Rules' section shows 'Rule 1' is active. The 'Check Set' and 'Audit Set' panels are visible. In the 'Check Set', 'STUDENT NUMBER', 'STATE STUDENT NUMBER', 'LAST NAME', 'FIRST NAME', 'SCHOOL' (with 'High School' checked), 'STATUS' (with 'Active' checked), and 'Document Type' are listed. In the 'Audit Set', the same fields are listed, and the 'Document Type' dropdown is expanded, showing 'Transcripts' checked.

**Policy 3:** For use with the SUI\_PR\_Employees application; identifies active employees who are missing a Federal I9 form in their folders.

**AuditShield**

**Policy Editor** | Audit Report

Application: SUI\_PR\_EMPLOYEES

Policy Name: Employees Missing I9

Policy Description: Active employees missing federal I9 form

Save Policy | Delete Policy | Run Policy

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

**Check Set**

- EMPLOYEE ID
- LAST NAME
- FIRST NAME
- ACTIVE
  - ☐ No
  - ☒ Yes
- LOCATION
- Subfolders
- Document Description
- Document Date
- Created By
- Leave ID

**Audit Set**

- Leave ID
- Leave Request Start Date
- Leave Request Key
- Benefits Deductions Doc Type
- Contract Document Type
- Human Resources Document Type
  - ☒ Federal I9
  - ☐ Fingerprint Results
  - ☐ Immunizations
  - ☐ Licenses/Certificates
  - ☐ Military - Certs/Discharge
  - ☐ Performance Evaluation
- Med FMLA Disability Doc Type
- Payroll Document Type
- Transportation Document Type

**Policy 4:** For use with the SUI\_PR\_Employees application; identifies active employees who are missing a drivers license in their folders.

**AuditShield**

**Policy Editor** | Audit Report

Application: SUI\_PR\_EMPLOYEES

Policy Name: Missing DL

Policy Description: Employees Missing Drivers License

Save Policy | Delete Policy | Run Policy

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

**Check Set**

- EMPLOYEE ID
- LAST NAME
- FIRST NAME
- ACTIVE
  - ☐ No
  - ☒ Yes
- LOCATION
- Subfolders
- Document Description
- Document Date
- Created By
- Leave ID

**Audit Set**

- Document Description
- Document Date
- Created By
- Leave ID
- Leave Request Start Date
- Leave Request Key
- Benefits Deductions Doc Type
- Contract Document Type
- Human Resources Document Type
  - ☒ Background Check
  - ☒ Drivers License
  - ☐ Employee Contact and Policy Form
  - ☐ Employee Info Form
  - ☐ Employment Application
  - ☐ 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' dropdown is set to 'SUI\_PR\_EMPLOYEES'. The 'Policy Name' dropdown is 'Employees Missing W4s'. The 'Policy Description' text box contains 'Employees missing a Federal and/or State W4 form'. On the right, there are buttons for 'Save Policy', 'Delete Policy', and 'Run Policy'. Below the description, there's a 'Rules' section with 'Rule 1' selected and buttons for 'Add', 'Modify', 'Remove', 'Active', and 'Clear Both'. The main area is divided into two columns: 'Check Set' and 'Audit Set'. The 'Check Set' column includes fields for 'EMPLOYEE ID', 'LAST NAME', 'FIRST NAME', 'ACTIVE' (with 'Yes' selected), 'LOCATION', 'Subfolders', 'Document Description', 'Document Date', and 'Created By'. The 'Audit Set' column includes 'Contract Document Type', 'Human Resources Document Type', 'Med FMLA Disability Doc Type', 'Payroll Document Type' (with 'W4 - Federal' and 'W4 - State' selected), '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 the type of **Contract - Employment** and an exact description of **2020-2021 Teacher Contract** in their folders.

The screenshot shows the AuditShield Policy Editor window for Policy 6. The 'Application' dropdown is 'SUI\_PR\_EMPLOYEES'. The 'Policy Name' dropdown is 'Missing 2020-2021 Teacher Contract'. The 'Policy Description' text box contains 'Employees missing 2020-2021 teacher contract'. The 'Rules' section shows 'Rule 1' selected. The 'Check Set' column includes 'EMPLOYEE ID', 'LAST NAME', 'FIRST NAME', 'ACTIVE' (with 'Yes' selected), 'LOCATION', 'Subfolders', 'Document Description', 'Document Date', 'Created By', and 'Leave ID'. The 'Audit Set' column includes 'Document Description' (with '2020-2021 Teacher Contract' entered), 'Document Date', 'Created By', 'Leave ID', 'Leave Request Start Date', 'Leave Request Key', 'Benefits Deductions Doc Type', and 'Contract Document Type' (with 'Contract - Employment' selected).

**Policy 7:** For use with the SUI\_AP\_Vendors application; identifies active vendors who are missing a W9 form in their folders.

The screenshot shows the AuditShield Policy Editor window. The 'Application' dropdown is set to 'SUI\_AP\_VENDORS'. The 'Policy Name' dropdown is 'Vendors Missing W9'. The 'Policy Description' text box contains 'Vendors missing a completed W9 form'. There are buttons for 'Save Policy', 'Delete Policy', and 'Run Policy'. Below this, a 'Rules' section shows 'Rule 1' with options to 'Add', 'Modify', 'Remove', 'Active', and 'Clear Both'. The 'Check Set' section on the left includes fields for 'VENDOR ID', 'VENDOR NAME', 'CITY', 'STATE', 'ACTIVE' (with 'Yes' selected), 'Subfolders', 'Document Description', 'Document Date', and 'Created By'. The 'Audit Set' section on the right includes fields for 'Document Date', 'Created By', 'Invoice Number', 'Invoice Date', 'Purchase Order Number', 'Purchase Order Date', 'Requisition Number', 'Requisition Date', and 'Document Type' (with 'W9' selected).

**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**.

The screenshot shows the AuditShield Policy Editor window. The 'Application' dropdown is set to 'SUI\_GL\_DOCUMENTS'. The 'Policy Name' dropdown is 'Months missing bank statements'. The 'Policy Description' text box contains 'Months missing bank statements'. There are buttons for 'Save Policy', 'Delete Policy', and 'Run Policy'. Below this, a 'Rules' section shows 'Rule 1' with options to 'Add', 'Modify', 'Remove', 'Active', and 'Clear Both'. The 'Check Set' section on the left includes fields for 'YEAR', 'Subfolders', 'Document Description', 'Document Date', and 'Created By'. The 'Audit Set' section on the right includes fields for 'YEAR', 'Subfolders' (with '08-August', '09-September', '10-October', '11-November', and '12-December' selected), 'Document Description' (with 'Bank Statement' entered), and 'Document Date'.