

**Civil Service, Audit 99-14  
Risk Analysis Work Sheet  
December 21, 1999**

<u>Risk</u>	<u>Control</u>	<u>Control In Place</u>	<u>Assessment</u>
New hire and promotion transactions are not consistent with Civil Service Law. Creates exposure to legal action against the City.	In place standards consistent with Civil Service Law new hire and promotion criteria. Structured methodology that includes authorizations at each process stage.	Yes. Prior audits revealed no material deficiencies in this area.	Low to Medium
Improper documentation of new hire and promotion transactions. Creates potential exposure to legal action against the City.	In place standards consistent with Civil Service Law new hire and promotion criteria. Structured methodology that includes authorizations at each process stage.	Yes. Management oversight, review and approval required at each stage of the process.	Medium
Reclassification transactions were not adequately supported. Minimizes assurance that employees meet training, education and experience guidelines.	Consistent application of standards previously developed in the Classification Study implemented in FY 1998. Structured methodology that includes authorizations at each process stage.	Yes. Prior audits revealed no material deficiencies in this area.	Low to Medium
Processing of Position Transaction forms (DA263) is not timely impacting negatively on the efficiency and effectiveness of personnel transactions.	Position transactions involve a structured process with management oversight at each stage of the process.	Standards for each stage of the process are in place. However, no objective relating to timely processing has been established.	High