

**SIX MONTH STATUS OF CORRECTIVE ACTIONS FOR AUDITOR GENERAL REPORT NO. 2019-186,
STATE OF FLORIDA – COMPLIANCE AND INTERNAL CONTROLS OVER FINANCIAL REPORTING AND FEDERAL AWARDS
FOR THE FLORIDA DEPARTMENT OF ECONOMIC OPPORTUNITY (FDEO)**

September 16, 2019

<u>Finding No.</u>	<u>Program/Area</u>	<u>Brief Description</u>	<u>Status of Finding</u>	<u>Comments</u>
2018-012	Unemployment Insurance (UI) CFDA No. 17.225	Information technology controls for CONNECT, disclosed in information technology operational audit report No. 2019-183, need improvement.	Partially Corrected	<p>Finding No. 4: Application edits have been identified to ensure the accuracy and integrity of the dates in the RA System during the scanning and indexing process. These edits are expected to be implemented by the end of 2019.</p> <p>Finding No. 5: This four-phased project continues to be an on-going priority for the Department and is expected to be completed by the end of 2020.</p> <p>Finding No. 6: The Department continues to identify and develop improved procedures for the document intake and indexing processes.</p> <p>Finding No. 7: The Department continues efforts to identify and correct RA System issues preventing the timely distribution of written claimant and employer claim notices.</p> <p>Finding No. 8: The Department has identified a potential system enhancement to address the appropriate generation of claim issues. However, due to competing priorities the enhancement has not been implemented.</p> <p>Finding No. 13: RA System access authorization forms, ISU-37 (for internal users) and ISU-38 (for external users), have been updated to identify specific roles. Also, the procedures for conducting Department Security investigations to identify theft and misuse have been updated. Completed June 2019.</p>

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				<p>Finding No. 14: This finding has been resolved. There is now a script that sends the users to the Chief of Reemployment Assistance IT each quarter.</p> <p>Finding No. 15: The Department has identified a project-level effort to establish procedures to restrict users to only those functions necessary for their assigned job duties.</p> <p>Finding No. 16: This finding has been resolved.</p> <p>Finding No. 17: The Department continues to strive to improve security controls to ensure confidentiality, integrity, and availability of the RA System data and related IT resources.</p>
2018-013	Unemployment Insurance (UI) CFDA No. 17.225	Internal controls for the Electronic Payment Card (EPC) Processing and Settlement System need improvement.	Fully Corrected	Remediation has been performed and corrective action has been taken for each of the findings, per Conduent. Conduent is subject to an independent audit and their audit report will be made available to FDEO in September 2019.
2018-014	Unemployment Insurance (UI) CFDA No. 17.225	DEO records did not always evidence that employer responses to UI benefit claims were considered in making benefit eligibility determinations.	Fully Corrected	A process change was implemented in June 2019.
2018-015	Unemployment Insurance (UI) CFDA No. 17.225	DEO could not provide accurate data demonstrating that benefit overpayments were properly identified and handled or that debts resulting from overpayments were appropriately offset. In addition, DEO could not demonstrate that the reported overpayment amounts on Federal Financial Reports were accurate.	Partially Corrected	<p>FDEO is taking appropriate steps to validate the data reported on the ETA 227 and is working with USDOL to re-transmit first quarter 2018 data. Monthly updates are provided to USDOL.</p> <p>Some enhancements have been identified that would resolve overpayment issues within CONNECT. A testing effort is scheduled that will identify all other defects.</p>

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2018-017	Unemployment Insurance (UI) CFDA No. 17.225	DEO case investigation records did not always include all required documentation evidencing compliance with DEO and Federal requirements.	Fully Corrected	A process change that requires the retention of all hard files was implemented March 2019.