

Florida Department of Economic Opportunity (DEO)
Six-month Status of Audit Findings

Reemployment Assistance Claims and Benefits Information System Audit
Auditor General Report No. 2019-183
September 2019

Finding No. 1: Application Design Documentation	
Auditor Recommendation	We recommend that Department management continue to update and maintain the RA System application design documentation, related artifacts, and dataflow diagrams to help management ensure that the RA System continues to align with management's business requirements.
DEO Response	The Department will continue to update RA System design documentation and complete dataflow diagrams of the RA System.
Six Month Status	The Department continues to update RA System design documentation and dataflow diagrams are created with any new system enhancements.

Finding No. 2: Use of Social Security Numbers	
Auditor Recommendation	We again recommend that, in the absence of establishing an imperative need for the use of SSNs as RA System claimant user IDs and to reset claimant PINs, Department management take appropriate steps to eliminate the use of SSNs for these purposes.
DEO Response	The Department will continue to evaluate system enhancements to potentially eliminate the use of SSNs for login purposes and to reset claimant PINs.
Six Month Status	Due to competing priorities, the Department is still evaluating system enhancements to potentially eliminate the use of SSNs for login purposes and to reset claimant PINs.

Finding No. 3: Passwords	
Auditor Recommendation	We again recommend that Department management establish appropriate authentication controls for RA System claimants to help ensure the confidentiality, integrity, and availability of RA System data and related IT resources.
DEO Response	The Department is currently developing additional criteria to require claimants to use passwords with more complexity. Passwords would meet the requirements to be defined as complex passwords.
Six Month Status	Due to competing priorities, the Department has identified but not implemented an enhancement to require claimants to use passwords with more complexity.

Finding No. 4: Application Edits	
Auditor Recommendation	We again recommend that Department management improve application edits to help ensure the accuracy and integrity of the dates in the RA System.
DEO Response	The Department will continue to evaluate system enhancements to eliminate the need for a manual process when scanning and indexing documents into the RA System.

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Six Month Status	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.
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Finding No. 5: Input Forms, Documents, and Messages	
Auditor Recommendation	To help ensure the completeness, accuracy, and validity of the RA System input data, we again recommend that Department management continue efforts to implement effective controls related to language translations on forms and documents and enhance the appropriateness of error messages.
DEO Response	The Department continues to review and update language translations on forms and documents as needed, as well as address the appropriateness of error messages. This project has been prioritized to be completed in 2019.
Six Month Status	This four-phased project continues to be an ongoing priority for the Department and is expected to be completed by the end of 2020.

Finding No. 6: Timely Review and Processing of Received Documents	
Auditor Recommendation	We again recommend that Department management improve procedures for the document intake and indexing processes to help ensure that all documents received for processing in the RA System are timely and accurately indexed to the appropriate claimant, claim, and claim issue to improve the accuracy of claim determinations, benefit payments, and employer charges.
DEO Response	The Department will continue to develop improved procedures for the document intake and indexing processes.
Six Month Status	The Department continues to identify and develop improved procedures for the document intake and indexing processes.

Finding No. 7: Timely Distribution of Claim Notices	
Auditor Recommendation	We recommend that Department management continue efforts to identify and correct RA System defects and improve the controls over the distribution of written claimant and employer claim notices to help ensure that claim notices are timely distributed.
DEO Response	The Department will continue to develop improved procedures and identify and correct RA System defects regarding distribution of written claimant and employer claim notices. The Department has identified a manual process for distribution of claim notices. This manual process does not negatively impact RA claimants or employers.
Six Month Status	The Department continues efforts to identify and correct RA System issues preventing the timely distribution of written claimant and employer claim notices.

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Finding No. 8: Generation of Claim Issues	
Auditor Recommendation	We again recommend that Department management continue efforts to identify and correct RA System processes related to the appropriate generation of claim issues to help ensure that claims are accurately and timely processed.
DEO Response	The Department will continue to identify and correct any RA System processes related to the appropriate generation of claim issues as encountered.
Six Month Status	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.

Finding No. 9: Analysis of Technical System Errors	
Auditor Recommendation	We recommend that Department management continue efforts to identify and correct technical system errors and other RA System defects and implement procedures for analyzing system error and exception data to facilitate a root cause analysis of underlying system issues.
DEO Response	The Department is continuing to establish and implement procedures for identifying systems errors when they occur.
Six Month Status	The Department will formalize the current process of monitoring the systems daily and the database weekly.

Finding No. 10: Interface Controls	
Auditor Recommendation	We recommend that Department management continue to review reconciliation procedures for the RA System data exchange interfaces and, as appropriate, implement changes.
DEO Response	The Department will continue working to implement reconciliation reports for key data exchange interfaces with the RA System.
Six Month Status	The Department continues to review reconciliation procedures for the RA System data exchange interfaces.

Finding No. 11: RA System Screens and Reports	
Auditor Recommendation	We recommend that Department management continue efforts to identify and correct defects related to the accuracy and completeness of information included in RA System screens and reports.
DEO Response	The Department will continue efforts to identify and correct any inaccurate or incomplete information included in screens and reports.
Six Month Status	The Department continues to correct any identified inaccurate or incomplete information included in screens and reports.

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Finding No. 12: Overpayments and Charges	
Auditor Recommendation	To prevent inaccurate and erroneous claimant benefit payments, claimant overpayment charges, and excess employer charges from being generated by the RA System, we continue to recommend that Department management enhance RA System automated controls and improve the processing of data.
DEO Response	The Department will continue to identify and implement enhancements to the RA System's automated controls to improve the processing of data. This project has been prioritized to be completed in 2019.
Six Month Status	Due to competing priorities and the large-scale efforts identified to resolve this finding, the system enhancements have not been completed.

Finding No. 13: Security Control Documentation and Procedures	
Auditor Recommendation	We again recommend that Department management enhance the access authorization forms used to authorize RA System access roles to ensure that the access authorized is sufficiently documented. In addition, Department management should enhance security guides and procedures to identify the access roles applicable to each position as well as the access roles that cannot be combined for the purpose of maintaining an appropriate separation of duties. We also recommend that Department management continue efforts to develop procedures for performing security investigations of suspicious events that may be indicative of claimant fraud.
DEO Response	The Department is updating the authorization forms for RA System access and continues to enhance procedures to identify the access roles for RA positions. The Department will continue working to implement procedures and review processes to identify fraudulent activities.
Six Month Status	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.

Finding No. 14: Periodic Access Reviews	
Auditor Recommendation	We again recommend that Department management document the procedures for periodic reviews of privileged network user accounts within the Department and RA System domains and retain evidence of all review activities.
DEO Response	The Department continues working to establish and implement procedures that will provide a monthly review of privileged network user accounts, which will include documenting the review process and steps taken during each monthly review.
Six Month Status	This finding has been resolved. There is now a script that sends the users to the Chief of Reemployment Assistance IT each quarter.

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Finding No. 15: Appropriateness of Access Privileges	
Auditor Recommendation	We again recommend that Department management limit access privileges to the RA System to promote an appropriate separation of duties and to restrict users to only those functions necessary for their assigned job duties.
DEO Response	The Department continues working to establish and implement procedures that will document the review process and limit access privileges in the RA System.
Six Month Status	The Department has identified a project-level effort to establish procedures for restricting users to only those functions necessary for their assigned job duties.

Finding No. 16: Change Management Controls	
Auditor Recommendation	We recommend that Department management improve change management controls to ensure that only authorized, tested, and approved RA System program and data changes are implemented into the production environment and that reconciliations of the implemented program and data changes are documented.
DEO Response	The Department will continue working to improve change management controls by implementing a change process that captures approval of the deployment package prior to migration. These approvals will be stored, and the Department will continue to improve our documentation throughout the system change process.
Six Month Status	This finding has been resolved.

Finding No. 17: Other Security Controls – Logical Access, User Authentication, and Logging and Monitoring	
Auditor Recommendation	We recommend that Department management improve certain security controls related to logical access, user authentication, and logging and monitoring for the RA System and related IT resources to ensure the confidentiality, integrity, and availability of RA System data and related IT resources.
DEO Response	The Department will continue efforts to ensure that the current security measures are reviewed and tested on a regular schedule. The Department strives to improve security controls to ensure confidentiality, integrity, and availability of RA System data and related IT resources.
Six Month Status	The Department continues striving to improve security controls to ensure confidentiality, integrity, and availability of the RA System data and related IT resources.

End of Six Month Status Report