

Status of Resolution of Audit Findings

December 2012

Office of Financial Management (OFM)

Agency: 105

Audit Report: 1006746

Finding Number: 006

Finding: An excessive number of employees at state agencies have access to critical functions in the Human Resource Management System (HRMS).

Resolution: Refer to page 34 for the joint response from the Department of Enterprise Services and the Office of Financial Management on this finding.

Status of Resolution of Audit Findings

December 2012

Office of Financial Management (OFM)

Agency: 105

Audit Report: 1006746

Finding Number: 007

Finding: An excessive number of employees in state payroll offices have conflicting duties in the Human Resource Management System (HRMS).

Resolution: Refer to page 36 for the joint response from the Department of Enterprise Services and the Office of Financial Management on this finding.

Status of Resolution of Audit Findings

December 2012

Office of Financial Management (OFM)

Agency: 105

Audit Report: 1006746

Finding Number: 008

Finding: Users can make unauthorized changes to data in the Human Resource Management System (HRMS).

Resolution: Refer to page 37 for the joint response from the Department of Enterprise Services and the Office of Financial Management on this finding.

Status of Resolution of Audit Findings

December 2012

Office of Financial Management (OFM)

Agency: 105

Audit Report: 1006746

Finding Number: 009

Finding: The Human Resource Management System (HRMS) is not supported by a disaster recovery backup site.

Resolution: Refer to page 39 for the joint response from the Department of Enterprise Services, Consolidated Technology Services, and the Office of Financial Management on this finding.

Status of Resolution of Audit Findings

December 2012

Office of Financial Management (OFM)

Agency: 105

Audit Report: 1006746

Finding Number: 010

Finding: A number of manual processes in the Human Resources Management System (HRMS) should be automated.

Resolution: Refer to page 41 for the joint response from the Department of Enterprise Services and the Office of Financial Management on this finding.

Audit Report: 2011 F

Finding Number: 050

Finding: The Washington Commission for National and Community Service at the Office of Financial Management does not properly monitor subgrantees to ensure expenditures of AmeriCorps grant funding are allowable and adequately supported.

Resolution: Based on areas identified for improvement, the Washington Commission for National and Community Service (Commission) has or will carry out a series of program monitoring enhancements to improve consistency and internal controls, as follows:

- On July 19, 2012, at the Statewide Director meeting, the Commission explained:
 - Its corrective action policy for all new and continuing AmeriCorps subgrantees. This policy states that each monitoring file contains details on any finding, including any follow up and resolution to ensure the corrective action is completed in a consistent and timely manner.
 - Its policy regarding the percentage of AmeriCorps member files to be reviewed during all site monitoring visits. The policy includes a random selection process for selecting AmeriCorps members' files for review. (The Commission does not require 100 percent member file verification as part of the monitoring process.)
- On August 31, 2012, the Commission completed all risk assessments for program year 2012-13. All new subgrantees are considered high risk and will be monitored within three months after their contract has started.
- By January 31, 2013, all AmeriCorps subgrantees will have submitted eligibility certification confirmation on their AmeriCorps member rosters, signed by authorized program officials, stating that the AmeriCorps members have met the eligibility requirements beginning with the 2012-13 program year.

The Commission expects some AmeriCorps subgrantees will not begin their first enrollment until the end of January 2013, so they cannot begin their eligibility certification confirmation process until then for the program year 2012-13.

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