

Status of Resolution of Audit Findings

December 2012

Employment Security Department (ESD)

Agency: 540

Audit Report: 2011 F

Finding Number: 008

Finding: The Employment Security Department did not comply with U.S. Department of Labor requirements for determining the accuracy of Unemployment Insurance benefit payments.

Resolution: The Department has made the necessary improvements to ensure all benefit accuracy measurement (BAM) investigations are accurate, complete, and compliant with U.S. Department of Labor requirements.

Improvements completed include the following:

- Revised processes to improve claimant and employer response rates.
- Continued increase in supervisory case review and oversight.
- Enhanced staff knowledge through training, sharing of best practices, and peer case file reviews.
- Retention of experienced and knowledgeable investigators.
- Increased communication and cooperation with other units in the Department, BAM staff in other states, and external regulators.
- Increased reference resources available within the Department.
- Updated the BAM procedural manual and unit forms.

All corrective actions were completed or implemented by September 30, 2012.

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Status of Resolution of Audit Findings

December 2012

Employment Security Department (ESD)

Agency: 540

Audit Report: 2011 F

Finding Number: 051

Finding: The Employment Security Department did not ensure all background checks were performed for AmeriCorps members as required by federal regulations.

Resolution: The Department has revised processes for ensuring all background check documentation for AmeriCorps members is properly retained and on file prior to enrollment in the program. Improvements include the following:

- Created background check policy and procedures to ensure compliance with program documentation requirements.
- Revised records retention processes by maintaining all background check documentation centrally in the program headquarters office.
- Improved internal controls by ensuring independent reviews are conducted on all member files.
- Increased staff and subrecipient awareness of documentation requirements through training, ongoing communication, and increased monitoring and technical assistance.
- Hired an additional staff member to focus on compliance monitoring and assist in implementing new procedures.

The Department does not agree that members served under this grant were ineligible and will work with the grantor agency on resolving the issue of questioned costs.

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