



9100 Purdue Road, Suite
200 Indianapolis, IN 46268

April 19, 2021

MEMORANDUM FOR: Jim Garner
Acting Administrator
Office of Unemployment Administration
Employment and Training Administration

FROM: Tom Byers
Senior Vice President and Managing Director
GenTech Associates, Inc

SUBJECT: Audit of States' Information Technology Systems Capability
in Processing Unemployment Insurance Claims

Please be advised the Office of Inspector General is initiating a performance audit of the States' Information Technology (IT) Systems Capability in Processing Unemployment Insurance Claims. Therefore, our focus will be on the IT systems used by the states to process UI claims. We will contact your audit liaison to schedule a meeting to discuss the following:

Objective: To determine to what extent the capability of states' IT systems impacted their ability to process timely and accurate UI claims, including the CARES Act and the Continued Assistance Act.

Scope: States' processing of regular UI claims and those under the CARES Act and the Continued Assistance Act from March 27, 2020, to April 6, 2021.

Fieldwork Location(s): California, Florida, Georgia, Kansas, New Jersey, and Virginia

Mandatory Timeframe: The performance period of these audits end on December 31, 2021

We plan to begin work immediately after our meeting and would appreciate your notifying appropriate agency officials of our plans. Attachment A below provides an initial document and data request to facilitate the starting process of the audit, and we would appreciate you provide these items during the meeting. If you have questions,

please contact Tom Byers, Senior Vice President, and Managing Director, at (571) 330-8397 or tbyers@gentechassociates.com and Juan A. Lasanta Camacho, Senior Manager at (703) 675-8791 or jcamacho@gentechassoates.com.

cc: Subri Raman
Chief, Division of Performance Management
Julie Cerruti, ETA Liaison
Greg Hitchcock, ETA Liaison

We will be auditing the following States' Information Technology Systems related to the processing of regular UI claims as well as those under the CARES Act and the Continued Assistance Act:

State Name

1. California
2. Florida
3. Georgia
4. Kansas
5. New Jersey
6. Virginia

Please provide:

<u>Item #</u>	<u>Description</u>
1.	The current list of ETA and state personnel included above responsible for States' processing of regular UI claims and those under the CARES Act and the Continued Assistance Act. Please also include phone numbers, e-mail addresses, and a brief description of their responsibilities.
2.	Provide information of prior grants or funds received by US DOL, or any other Federal agency, to improve the State UI IT System. The information should include: <ol style="list-style-type: none">a. The total amount grantedb. Period of performancec. Status (Completed, in process, start-up)
3.	Copies of ETA regulations applicable to the States' IT System under the CARES Act and the Continued Assistance Act, if any.
4.	Copies of memorandum of understanding related to the CARES Act and the Continued Assistance Act of all the states included above.
5.	A list of any known deficiencies or deviations that ETA is aware of related to the IT system of all the states included above.
6.	A list of both internal and external complaints submitted that ETA is aware of related to the IT system related to processing UI Claims for all the states included above.

Attachment A
Document and Information Request

7. Provide any reports of unusual events that ETA is aware of since the last audit (e.g., security breaches, failed access attempt reports, and improper practices).
 8. Provide a list of reports that either were not submitted or submitted to ETA as required by the Acts.
 9. Identify the current stage of the IT modernization process
 10. Provide any contract extensions issued from the audited period of March 27, 2020, to April 6, 2021.
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