Department of Education
Office of Inspector General – Internal Audit
6 Month Status for Report # A-1718DOE-016 issued February 11, 2019
Division of Blind Services (DBS) Tracker Application
Status as of August 11, 2019

Finding	Recommendation(s)	Management Response as of February 11, 2019	Management Response as of August 11, 2019	Anticipated Completion Date & Contact
DBS did not have effective procedures in place to ensure that Tracker processed data from other systems completely, accurately, and timely.	We recommend that DBS implement procedures to verify the applicable records from the FETPIP and AWARE systems are completely and accurately transferred to Tracker in a timely manner. We recommend that DBS request Morrow Consulting, LLC improve the data import log to provide more detailed information, which would allow DBS to track the specific records updated and added to the Tracker application.	DBS concurs with the finding and corresponding recommendations. While Tracker does provide Data Import logs for various data imports into Tracker from external sources, the information provided is a high-level summary and does not provide the detailed information needed to confirm that all data from external sources is completely and accurately imported and processed by the Tracker application. DBS will work with the vendor to implement audit fields and records for each imported file and record type. These new audit fields and records will provide the data needed to produce new data import audit reports. DBS will work with the vendor to implement new data import audit reports directly within the Tracker application itself. If needed, DBS also has the ability to create and implement new data import audit reports outside of Tracker. These external reports, however, would be dependent on the new audit fields and	Upon request from Florida DBS, the TRACKER vendor has added several audit fields to TRACKER database tables that store imported data from FETPIP and AWARE. These new audit fields will help to ensure that TRACKER has received and processed all applicable data from FETIP and AWARE: **dbo.tbl_wages**: record_created **dbo.tbl_vr**: record created record updated **dbo.tbl_vr_expenditures:** record created record updated These changes were added in the newest release of	12/31/2019 – Klaus Extine

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		records that must be implemented within Tracker. The preferred method is to completely build the data import audit process within the Tracker application. DBS will immediately initiate discussions with the vendor to design and implement the processes described above. The completion timeframe of all described actions is dependent on the availability of the vendor. *Anticipated Completion Date: June 30, 2019*	Tracker version 3.1.8, and Florida DBS is currently in the process of updating TEST TRACKER to version 3.1.8 in our new TEST TRACKER environment. Florida DBS has also created several draft SQL queries to track the import into TRACKER of Quarterly UI Wage Data from FETPIP and the import of AWARE VR Cases and updated AWARE VR Expenditures. Upon completion and validation of the final SQL queries, Florida DBS will utilize the final queries to produce new data import audit reports in QPIS.	

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DBS did not utilize SVES data when identifying potentially eligible claims for submission to SSA.	We recommend DBS complete the federal SVES review and approval process and utilize SSI and SSDI information to determine reimbursement eligibility. We further recommend that, upon receipt of SVES data, DBS review all cases that were not submitted to SSA from August 1, 2016, through the date of SVES receipt, to ensure all eligible claims not previously identified are submitted to SSA.	DBS concurs with the finding and corresponding recommendations. The receipt of SSI or SSDI benefits in Tracker is tracked via three separate methods: 1. The SVES file from SSA which includes SSI and SSDI benefit data. 2. The data import from the AWARE Case Management System which tracks the assignment of SSI/SSDI benefits by client as recorded by DBS staff. 3. The 'In Use' Response file from SSA which only allows the assignment of an individual as 'in-use' to DBS if that individual is receiving SSI or SSDI benefits.	Florida DBS completed the TRACKER Certification package and submitted to SSA for review on 5/27/2019. We also asked to schedule a TRACKER Certification Review in September 2019, but have not yet received a response from SSA. Florida DBS is currently working to update TEST TRACKER to version 3.1.8 in our new TEST TRACKER environment, and we expect to have completed the upgrade in PRODUCTION TRACKER before our TRACKER Certification Review by SSA. Upon certification by SSA to utilize SVES IV data in TRACKER, FLORIDA DBS will resume the processing of SVES IV data	12/31/2019 – Klaus Extine

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		While the lack of SVES file data in Tracker does not prevent cases from being submitted for reimbursement (as long as the other two methods are used to record and track SSI/SSDI benefits), DBS acknowledges that it is preferable to utilize all three methods, and has decided to initiate the review and approval process with SSA for the use of the SVES file within Tracker. DBS plans to complete and submit to SSA the necessary paperwork to initiate the SVES file approval process in early 2019. Upon the receipt and import of SVES data into Tracker, DBS will review all cases in Tracker to ensure that any eligible claims not previously identified are submitted to SSA for reimbursement consideration. Lastly, the vendor is currently considering adding a configuration option to Tracker which would allow Tracker to ignore whether or not an individual was receiving SSA benefits, and would create a reimbursement claim based	by TRACKER.	

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		solely upon achievement of 9 months of SGA. *Anticipated Completion Date: June 30, 2019*		
DBS did not have an internal testing environment for the Tracker application.	We recommend DBS follow the established approval/change management process for modifications or updates made to the Tracker application. In addition, we recommend the DBS create an internal testing environment for the Tracker application.	DBS concurs with the finding and corresponding recommendations. DBS will immediately utilize the established DBS IT approval/change management process for all modifications or updates made to the Tracker application. DBS will also establish a separate test environment for Tracker that is totally independent of Production Tracker in order to fully test each modification to Tracker for errors or design flaws prior to implementing the change in Production. *Anticipated Completion Date: March 30, 2019*	Florida DBS now utilizes the established DBS IT approval/change management process for all modifications or updates made to the Tracker application. Florida DBS has also established a separate TEST TRACKER environment that is totally independent of PRODUCTION TRACKER. We are currently working to upgrade TEST TRACKER to the latest version of TRACKER 3.1.8.	8/31/2019 – Klaus Extine