

Department of Education
Office of Inspector General – Internal Audit
12-Month Management Status Report on: Division of Blind Services (DBS) Tracker
Application
Report #A-1718DOE-016 Issued: February 11, 2019
Status as of February 11, 2020

Finding 1: DBS did not have effective procedures in place to ensure that Tracker processed data from other systems completely, accurately, and timely

Recommendation(s)

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.

Management Response as of February 11, 2020:

All actions listed in the previous DBS Management Responses have been completed:

- **TRACKER has been updated to the latest version 3.1.8 which includes all requested record creation and audit fields.**
- **Record Creation and Update Audit fields have been added to the following tables:**
 - **Wage Response Records**
 - **SVES Response Records**
 - **VR Case Record Table**
 - **VR Expenditure Table**
- **The following new tables have been created with the appropriate audit fields:**
 - **Wage Request Records**
 - **SVES Request Records**
- **The following new on-demand SQL jobs have been added to load Wage Request and SVES Request information:**
 - **OnDemand SVES Request**
 - **OnDemand Wage Request**
- **The following on-demand reports have been added to our OPIS Reporting System:**
 - **TRACKER – Monitor Wage Requests and Responses**
 - **TRACKER – Monitor SVES File Processing**
 - **TRACKER – Weekly Import Validation**
 - **Verify TRACKER Expenditures by Case ID**

Anticipated Completion Date and Contact:

COMPLETE

Klaus Extine (klaus.extine@dbs.fldoe.org)

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Prior Responses:**

Management Response as of February 11, 2019

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 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.

Management Response as of August 11, 2019

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 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

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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.

Anticipated Completion: 12/31/2019

Finding 2: DBS did not utilize SVES data when identifying potentially eligible claims for submission to SSA.

Recommendation(s)

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.

Management Response as of February 11, 2020:

All actions listed in the previous DBS Management Responses have been completed:

- **The certification review of TRACKER for use with SSA data was completed and officially approved by SSA as of October 3, 2019.**
- **The processing of SVES IV data has been resumed:**
 - **The first SVES IV response file from DCF was processed on 1/15/2020.**
 - **A monthly SVES IV file process has been implemented to execute on the 1st business day of each month.**
- **Claims were filed for all cases singularly based on the achievement of 9 months of SGA during any quarter in 2017 and 2018 (all other filing criteria were disregarded). There are currently 136 outstanding FL DBS claims waiting to be processed by SSA.**

Anticipated Completion Date and Contact:

COMPLETE

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Management Response as of February 11, 2019

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.

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 solely upon achievement of 9 months of SGA.

Management Response as of August 11, 2019

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 by TRACKER.

Anticipated Completion: 12/31/2019

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Finding 3: DBS did not have an internal testing environment for the Tracker application.**

Recommendation(s)

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.

Management Response as of February 11, 2020:

All actions listed in the previous DBS Management Responses have been completed:

- 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 established a separate TEST TRACKER environment which has been updated to the latest version 3.1.8.

Anticipated Completion Date and Contact:

COMPLETE

Klaus Extine (klaus.extine@dbs.fldoe.org)

Prior Responses:

Management Response as of February 11, 2019

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.

Management Response as of August 11, 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.

Anticipated Completion: 8/31/2019

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**Report on: DBS Social Security Reimbursement Program
Report #A-1718DOE-009 Issued: June 15, 2018
Status as of December 15, 2019**

Finding 1: DBS did not submit all eligible claims to SSA for reimbursement.

Recommendation(s)

We recommend that DBS send all potentially eligible cases to SSA for reimbursement. We recommend sending claims to SSA for all cases in which the client has met SGA and is eligible for SSI or SSDI without a suspension or termination date. We additionally recommend moving cases to the SSRA application after the completion of the individualized plan for employment, rather than after case closure from AWARE, to ensure the system identifies all potential wage earnings for employment gained during the period DBS provided services.

Management Response as of February 11, 2020:

All actions listed in the previous DBS Management Responses have been completed:

- **Claims were filed for all cases singularly based on the achievement of 9 months of SGA during any quarter in 2017 and 2018 (all other filing criteria were disregarded). There are currently 136 outstanding FL DBS claims waiting to be processed by SSA.**
- **Cases are moved from AWARE to the TRACKER application upon completion of the IPE.**

Anticipated Completion Date and Contact:

COMPLETE

Klaus Extine (klaus.extine@dbs.fldoe.org)

Prior Response:

Management Response as of December 15, 2019

The SSRA Application is no longer operational (effective June 2019).

All actions listed in the DBS Management Response as of June 15, 2019 have been completed with one exception:

The SSA Security Evaluation Questionnaire Package for TRACKER Certification was approved by SSA on October 3, 2019 and we have been granted permission to utilize SVES IV data with

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TRACKER. We are in the process of making the necessary system changes to process the SVES IV data, but since this functionality now falls under the TRACKER application, we would like to move and provide updates on this item under the TRACKER IG Audit Report #A-1718DOE-016.