
January 2016

Performance Audit
Recommendations and Corrective
Actions for Audit: 12-7

Human Resources Programs:

Eligibility System Contained
Some Deceased Beneficiaries

Dated: 09/12/2012

Overview

The SAO makes recommendations designed to improve the operations of state government. For our work to produce benefits, auditees or the General Assembly must implement these recommendations although, we cannot require them to do so. Nevertheless, a measure of the quality and persuasiveness of our performance audits is the extent to which these recommendations are accepted and acted upon. The greater the number of recommendations that are implemented, the more benefit will be derived from our audit work.

In 2010, the SAO began to follow-up on the recommendations issued in our performance audits. Experience has shown that it takes time for some recommendations to be implemented. For this reason, we perform our follow-up activities one and three years after the calendar year in which the audit report is issued. Our annual performance reports summarize whether we are meeting our recommendation implementation targets.

(http://auditor.vermont.gov/audits/recommendation_follow-up)

This report addresses the requirements of Act 155 to post the results of our recommendation follow-up work on our website. The report does not include follow-up on recommendations issued as part of the state's financial statement audit and the federally mandated Single Audit, which are performed by a contractor. However, our new contract for this work requires the contractor to provide the results of its recommendation follow-up in the future. Accordingly, we expect that future reports will contain this data.

Audit No., Name	Rec #	Recommendation	Follow- Up Date	Status & Date	Review Comments
12-7 HUMAN SERVICES PROGRAMS: Eligibility System Contained Some Deceased Beneficiaries 9/12/2012	1	The Department of Children and Families (DCF) should obtain death data from the Social Security Administration (SSA) quarterly and match this data to all active beneficiaries in ACCESS through, for example, use of the Death Master File (DMF) or the State Verification and Exchange System (SVES) process.	11/1/2014	Not Implemented	An Agency of Human Services IT manager reported that ACCESS does not check quarterly for all beneficiaries.
			2015	Not Implemented	The Department for Children and Families provided no evidence of any change since our audit.
	2	The Department of Children and Families (DCF) should develop and communicate requirements to DCF workers related to the permissible duration for the use of a temporary identification number in the place of an social security number (SSN).	11/1/2014	Not Implemented	The Department for Children and Families provided no evidence of any change since our audit.
			2015	Not Implemented	The Department for Children and Families provided no evidence of any change since our audit.
	3	The Department of Children and Families (DCF) should clarify and communicate requirements to DCF workers related to the permissible duration for resolving social security number (SSN) discrepancies and the evidence that must be presented if the beneficiary asserts that the disputed SSN is correct.	11/1/2014	Not Implemented	The Department for Children and Families provided no evidence of any change since our audit.
			2015	Not Implemented	The Department for Children and Families provided no evidence of any change since our audit.
	4	The Department of Children and Families (DCF) should modify the ACCESS computer program that validates social security numbers (SSN) to include seasonal fuel assistance beneficiaries.	11/1/2014	Implemented	SAO confirmed by reviewing program code that this recommendation has been implemented.
			The three-year recommendation/follow-up for this audit will not be necessary. Recommendation was implemented in 2014		

Audit No., Name	Rec #	Recommendation	Follow- Up Date	Status & Date	Review Comments
12-7 HUMAN SERVICES PROGRAMS: Eligibility System Contained Some Deceased Beneficiaries 9/12/2012	5	The Department of Children and Families (DCF) should modify the ACCESS computer program that receives the social security number (SSN) validation file from the Social Security Administration (SSA) to report individuals listed as deceased as a discrepancy and provide this data to workers for follow-up.	11/1/2014	Implemented	The Department for Children and Families provided the revised code showing the implementation of this recommendation, and informed us that this code has been put into the production environment.
	The three-year recommendation/follow-up for this audit will not be necessary. Recommendation was implemented in 2014				
	6	Department of Health should implement a process to verify social security numbers (SSN) with the Social Security Administration (SSA) for Ladies First beneficiaries.	11/1/2014	Not Implemented	The Department of Health reported that this recommendation has not been implemented.
				2015	Not Implemented
	7	The Department of Mental Health should implement a process to verify social security numbers (SSN) with the Social Security Administration (SSA) for beneficiaries of the Community Rehabilitation and Treatment (CRT) program that are not enrolled in Medicaid.	11/1/2014	Not Implemented	The Department of Mental Health reported that this recommendation has not been implemented.
			2015	Not Implemented	DMH reported that it has no control over the DCF eligibility system and as such is unable to facilitate any further change in the social security verification process. DMH is notified of CRT enrolled clients' death via the disenrollment process as well as the Critical Incident Reports from the Designated Agencies. However, DMH has not implemented a process to verify social security numbers with the Social Security Administration for beneficiaries of the Community Rehabilitation and Treatment (CRT) program that are not enrolled in Medicaid.