

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

# Special Master Findings Report

IV, et al.,

Plaintiffs,

-against-

NEW YORK CITY DEPARTMENT OF  
EDUCATION, et al.,

Defendants.

March 28, 2022  
Version 4.0

Prepared for

**Loretta A. Preska**

Senior United States District Judge

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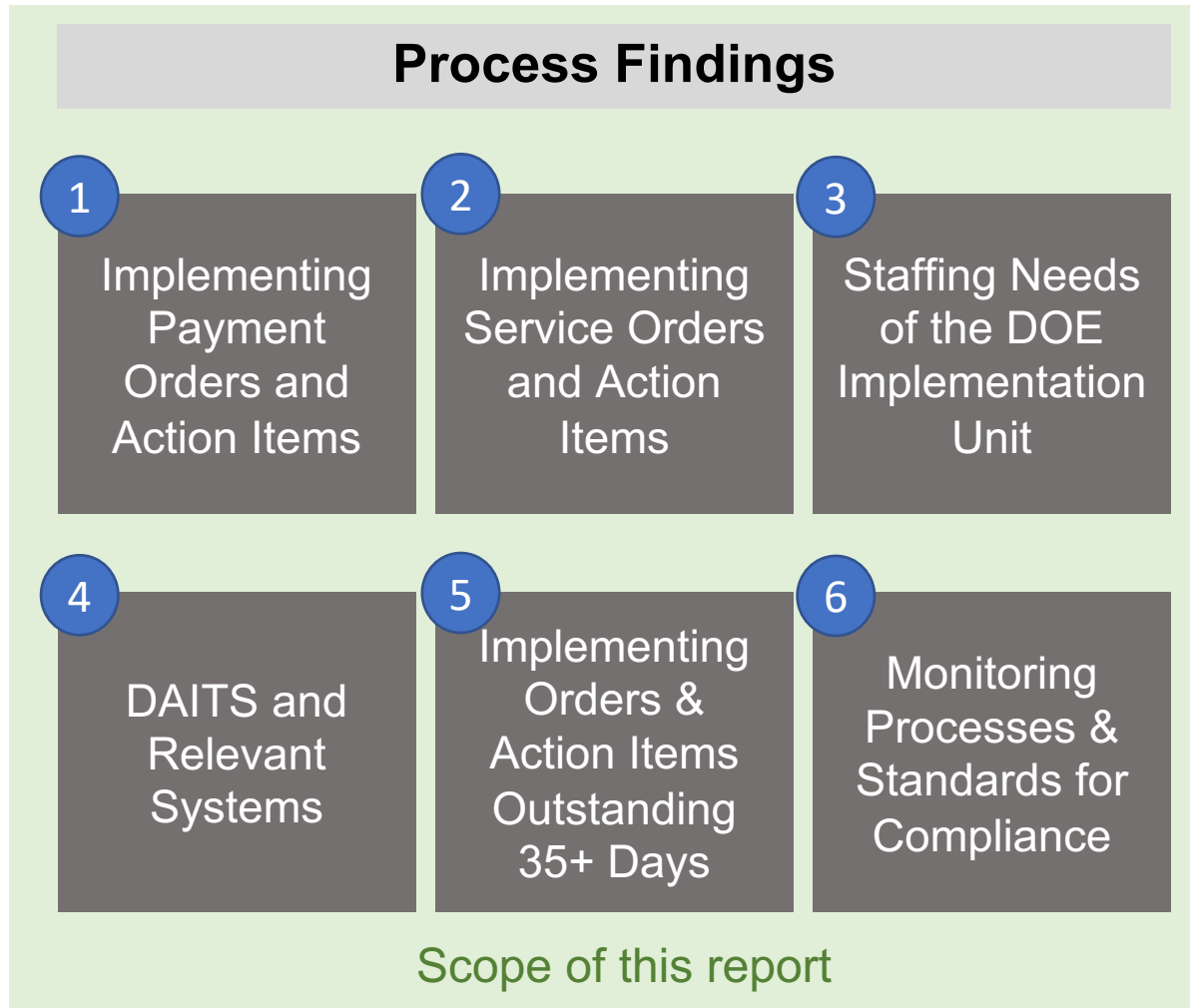
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# Introduction

This report was informed by a detailed assessment phase of New York City Department of Education (DOE) Implementation Unit processes ordered by the United States District Court, Southern District of New York. In the summer and fall of 2021, interviews were conducted with **40+** individuals, including DOE staff, Plaintiffs, parents/families, providers/school staff, NYS Education Department staff, NYC FISA staff, NYC Comptroller staff and members of the Education Law Task Force. Additionally, **90+** related reports, declarations, memorandums, process documentation, process forms (paper-based), and DOE data systems functions were reviewed. An understanding of the current processes was documented per the data collected and is represented on the following pages to illustrate them, highlight inefficiencies and identify areas of improvement.

# Scope of the Special Master



# Review Process of This Report

1/24/2022

Draft Report  
Issued



3/1/2022

Final version filed  
in court docket



# DOE Acronyms

**DAITS** Data system into which orders must be entered to delineate actions

**DCP** Division of Contracts and Purchasing

**DIIT** Division of Instructional and Information Technology

**DSISS** Division of Specialized Instruction and Student Support, (i.e., Special Education Office)

**DFO** Division of Financial Operations

**FAMIS** financial management system of the DOE

**FMS/3** financial management system of other NYC mayoral agencies

**IHO** Impartial Hearing Office/Officer

**IHS** Impartial Hearing System

**IU** Impartial Hearing Order Implementation (LV) Unit

**OLS** Office of Legal Services





**SEISIS** NYC DOE Special Education Student Information System

# Key Team and Role Definitions

**Administrator of Special Education (ASE)** DOE staff person designated as the Implementation Unit (IU) point of contact for all services requiring implementation by a public school pursuant to an order.

**Authorization Team** Account Specialists responsible for creating and managing an account for each action item requiring payment by the DOE pursuant to an order. This requires liaising with parents and families, special education advocates, attorneys, private schools, agencies, and independent providers to ensure payment for services, tuition and reimbursements can be processed pursuant to an order. Collect required information and documentation to support these payments.

**Implementation Liaison** DOE staff member (Regional and/or CSE) responsible for the action item required by the order.

	IU	Central / Regional	School
<b>Administrator of Special Education (ASE)</b>			
<b>Authorization Team</b>			
<b>Implementation Liaison</b>			



# Key Team and Role Definitions

**Implementation Manager** IU staff responsible to review all orders to identify and ensure the implementation of actions required by the DOE. Identify and assign action items to the appropriate Implementation Liaison within the DOE who is responsible for implementation of the item and provide continued support as needed to achieve implementation.



**Payment Processing Team:** Payment Specialists responsible for the review and processing of invoices submitted monthly for private services rendered pursuant to an order as well as the processing of tuition payments to private schools



IU	Central / Regional	School

# Key Definitions from the Stipulation

In 2007, the parties settled a class action lawsuit, resulting in a settlement which developed a governing document, *the Stipulation*, to measure compliance moving forward. The parties agreed to the Stipulation.

**Order** a decision, determination, order or statement of agreement and order issued by an Impartial Hearing Officer

**Action Item** a specific, identifiable action in an Order that, as determined by the Independent Auditor, requires implementation by the DOE

**Payment Order** an order requiring DOE to make a direct payment to a parent, private service provider, or private school

**Prospective/"Direct" Payment Order** pays for service not rendered or tuition not paid as of payment order

**Reimbursement Payment Order** pays expenses already paid

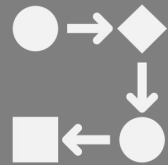
**Service Order** an order requiring DOE to take any action (other than make a payment directly)

# Findings

# Summary



**People** working in the Implementation Unit are trying their best with what they have and are passionate about helping students and families, but are deflated and burnt out.



**Processes** are manual, email-based, reactive, transactional and not customer-centered.



**Tools** are not intuitive, well-integrated, easy to use, and do not contain efficient and usable functionality to facilitate the implementation workflow.

# This report is organized by these areas.

## Overall Findings

1. Implementing Payment Orders and Action Items

2. Implementing Service Orders and Action Items

3. Staffing Needs of the DOE Implementation Unit

4. DAITS and Relevant Systems

5. Implementing Orders & Action Items Outstanding 35+ Days

6. Monitoring Processes & Standards for Compliance

The overall findings are general and apply to all areas reviewed; the six areas of DOE processes identified by the Court for the Special Master to review comprise the six key sections of this report. Each of the process areas includes specific findings and respective implications.

DOE's implementation processes, including staffing and systems were extensively reviewed; except in specific instances, business rules, City policy, and individual cases are not in the scope of this report.

## Overall Findings

Implementing  
Payment Orders  
and Action ItemsImplementing  
Service Orders  
and Action ItemsStaffing Needs of  
the DOE  
Implementation  
UnitDAITS and  
Relevant SystemsImplementing  
Orders & Action  
Items Outstanding  
35+ DaysMonitoring  
Processes &  
Standards for  
Compliance

## Finding

DOE's implementation processes were designed to quickly address the lawsuit at a time of relatively low volume (10+ years ago; hundreds of orders per year); they were not designed to facilitate the volume of orders/action items they now must manage (i.e., thousands of orders per year).

## Implications

Processes should be redesigned to minimize data entry, minimize touchpoints, streamline workflows, and improve overall efficiency.

Processes should be designed to centralize communications, monitor compliance, and include a core principle to empathize with the stakeholders', (i.e. families'), experience.

## Overall Findings

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Standards for  
Compliance

## Finding

The Stipulation places no ownership or accountability for monitoring compliance on the DOE. It is explicitly placed with the Independent Auditor.

## Implications

The parties have historically relied on the reports and data of the Independent Auditor to measure compliance. These reports are currently in arrears (due to volume/backlog of the Independent Auditor), and so there is virtually no current information available on DOE's implementation/compliance.

Other than reports of incoming orders and payment order volume, the DOE has not created any formal monitoring processes, because the role has historically been assumed by the Independent Auditor.

The DOE is not currently prepared to assume ownership of monitoring compliance, (i.e., no roles, processes, tools).

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Compliance

## Finding

The Implementation Unit's tools and technology are unsuited and insufficient for the workflow, collaboration and outreach that must be performed, (e.g. paper forms; no integration with SESIS; email-based everything).

## Implications

This leads to severe process inefficiencies (e.g., labor-intensive data entry of individual case details), backlogs (e.g., unpacking, invoices), errors/omissions/overpayments (e.g., from interpreting handwritten invoices), longer processing times (i.e., detailed, manual data entry), and widespread stakeholder frustration (e.g., no payee communications, "DOE is a black hole").

The process needs to be redesigned to eliminate redundancies, take advantage of available technology, and integrate with other systems, to the extent possible.



## Overall Findings

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## Finding

The core inputs to the implementation process (i.e. Orders issues by Impartial Hearing Officers) are composed of unstructured data (text) that require interpretation, judgment and translation (i.e. into Action Items) on the part of the Implementation Unit staff. This is the first gate in all implementation processes and the source of the first backlog point.

Impartial Hearing Officers are, by definition, impartial to any organization or party, but take direction from, and are employed by, NYSED.

## Implications

The lengthy activities involved with “unpacking” an Order are necessary as an element of the Implementation Unit's processes, because Orders may be made up of multiple action items. The lack of standardization in format from Hearing Officers to the IU creates extra work for staff. Standardization would facilitate implementation far more efficiently.

Related recommendations must involve collaboration with NYSED and IHO.

## Overall Findings

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## Finding

NYC DOE and its schools have finite resources and capacity to implement action items. This does not appear to be taken into account, by Impartial Hearing Officers when issuing Orders and making decisions.

The stipulation contains procedures for when the DOE believes that an Action Item is "impossible" to implement, requiring the DOE to appeal or offer an equivalent alternative.

## Implications

Actions ordered may lead to false expectations of timeframes among families, attorneys, and/or may not comply with DOE policy. The DOE is not permitted to avoid implementation of an order because it is against DOE policy or procedure. But orders are issued that cannot be implemented by DOE and/or left for the Implementation Unit to determine how to implement an action item not provided by DOE.

## Overall Findings

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Compliance

## Finding

With Hearing Officers conveying unstructured data in the format of their order, the need to then convert this into structured data in the form of action items is a key bottleneck. A standardized form of data capture for the Hearing Officers (action items) does not exist.

## Implications

We believe that in order to facilitate future implementations more efficiently and quickly, both, designing for standardization (in documenting orders) and ensuring FAPE, must be considered critical / complementary goals of future work. From an operations perspective, one cannot be done without the other.

## Overall Findings

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## Finding

The work of the Implementation Unit requires staff to possess authoritative knowledge of education law and local regulations (federal/IDEA, state and NYC), prior lawsuit settlements and Court orders, City policy, NYC DOE policy, NYC special education protocols and procedures, (e.g. IEPs, RSAs, evaluations), and internal operations (e.g. unpacking action items, authorization, etc.) in order to perform the duties required of implementing Orders.

Training of new staff is primarily experiential (i.e. on the job, side by side with an experienced staff member) and time-consuming.

## Implications

This creates a staffing and training challenge for the Implementation Unit, because there is simply a limited supply of individuals with this type of knowledge. (This knowledge is typically gained by working in other areas of NYC special ed law - not through traditional training.)

Complexity of processes and rules will create a huge challenge for re-engineering processes, fit-gap analysis, selection and implementation of technology solutions (just as it does for SESIS).

## Overall Findings

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## Finding

DOE's documented internal procedures around payment and service orders (LV Guidelines) were developed 10+ years ago and have not been updated or maintained. The DAITS User Guide was developed and last updated in 2009. There is no documented process or workflow at the City level, (i.e., across Agencies and Departments with a role in implementation)

## Implications

Awareness of the end-to-end order/payment process at the Department and City level is inconsistent. This is contributing to a lack of transparency and awareness of how the process works; individual interpretations of the official process; broader (external) stakeholder frustrations (i.e. no one in DOE is aware of all steps for making payments and it is not documented).

## Overall Findings

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## Finding

DOE's processes and tools have not been redesigned or re-engineered to improve operations or evolve with the times (needs). The findings that follow in this report may well have been reported previously - many of these findings are not new.

## Implications

The Special Master will develop recommendations to address the findings in this report. Recommendations will be based on new ideas and innovations as well as context and understanding for what prevented previous recommendations from being implemented. There are opportunities to remove barriers, streamline workflows, improve data and systems, and support a hard-working team in the IU.

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## Finding

The collective understanding of the service order process across DOE roles and offices is not aligned. Plaintiffs (via families) report processes being employed in the field that do not match DOE's stated processes. Examples:

- There isn't a single role that conveys the order to the school (Liaison (outside IU) vs IU)
- DOE and Plaintiffs disagree on role of who issues an RSA (school vs IU).
- DOE and Plaintiffs report opposing opinions on the extent and effectiveness of coordination across DOE offices, (e.g., OPT and OSH).

## Implications

We believe that this lack of a common understanding of the processes and lack of defined roles are at the root of a slower workflow and inability to keep up with the volume of orders. This could be a source of broken processes and missed communications in implementing service orders. This is one of the core problems identified through our data gathering.

Overall Findings

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and Action Items

Implementing  
Service Orders  
and Action Items

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the DOE  
Implementation  
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Relevant Systems

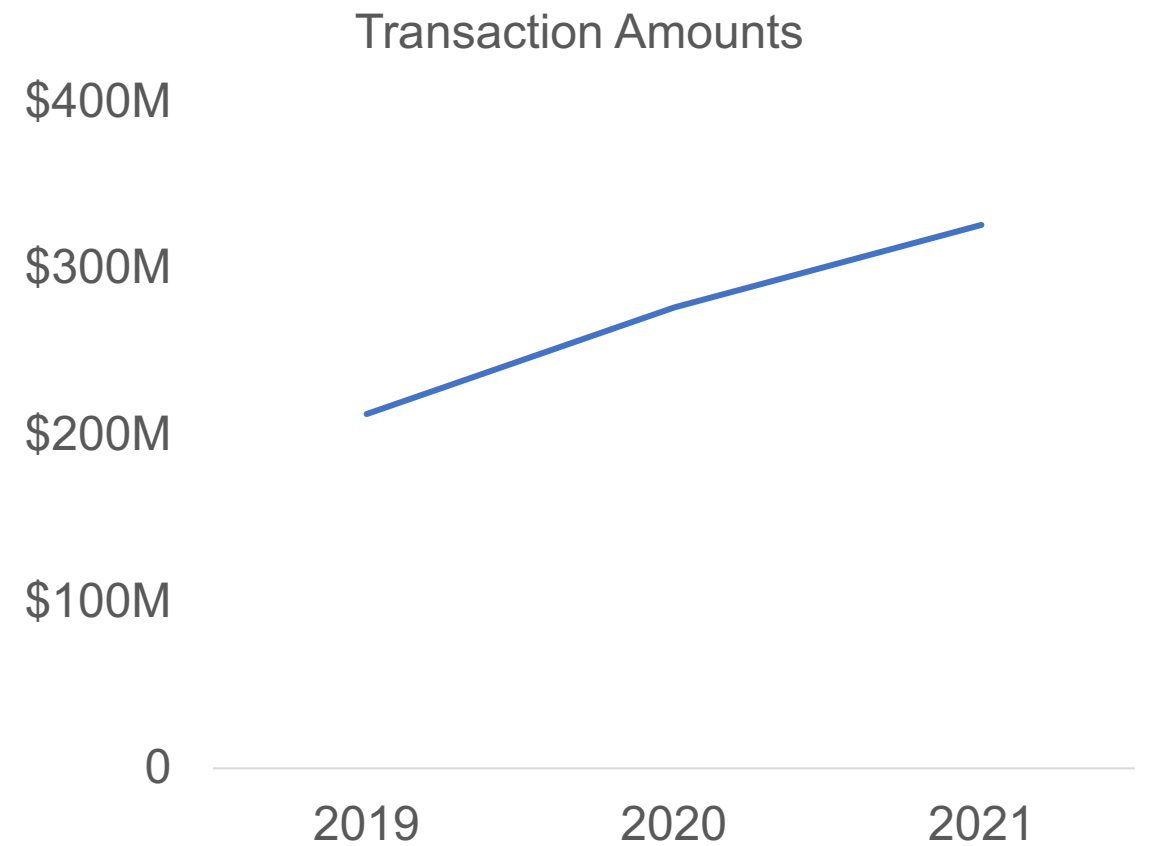
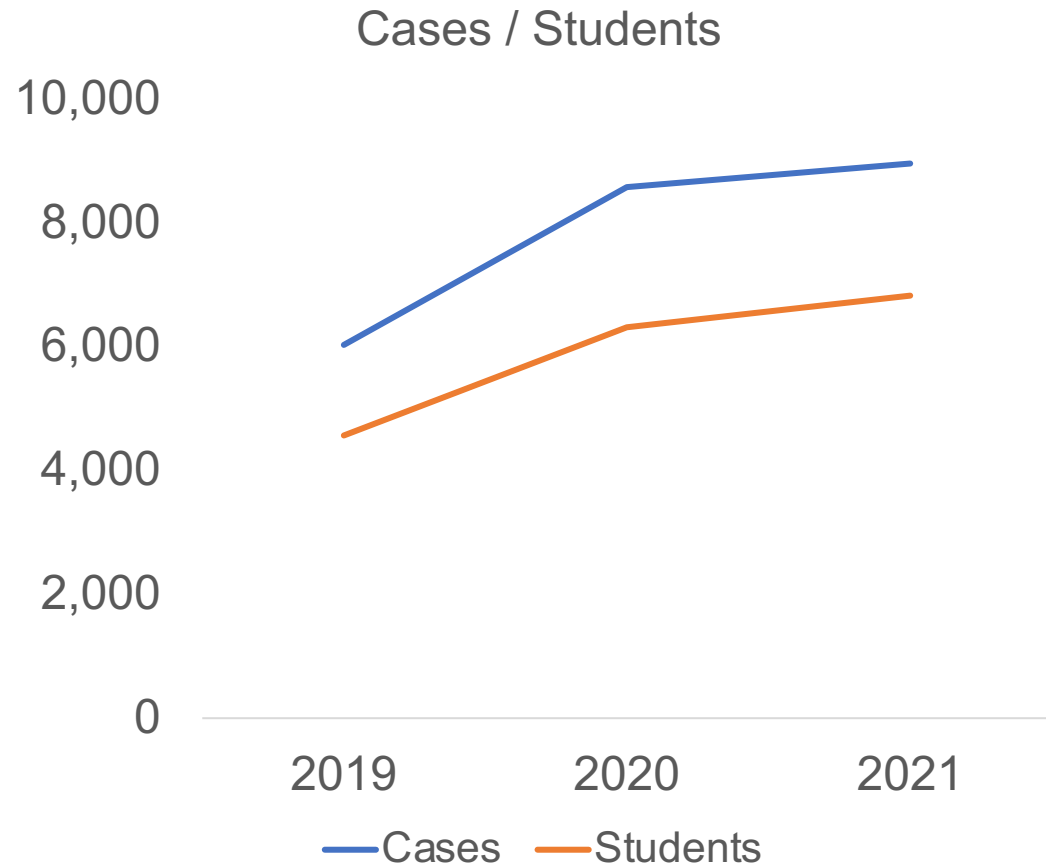
Implementing  
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# DOE's Processes for Implementing Payment Orders and Action Items

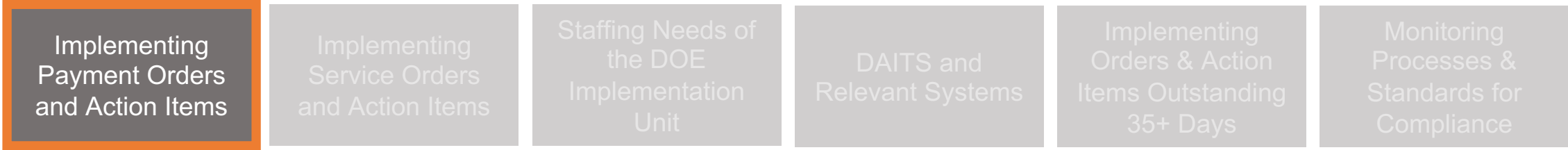


# FAMIS Impartial Hearing (IH) DAITS Decisions Posted Payment Transactions

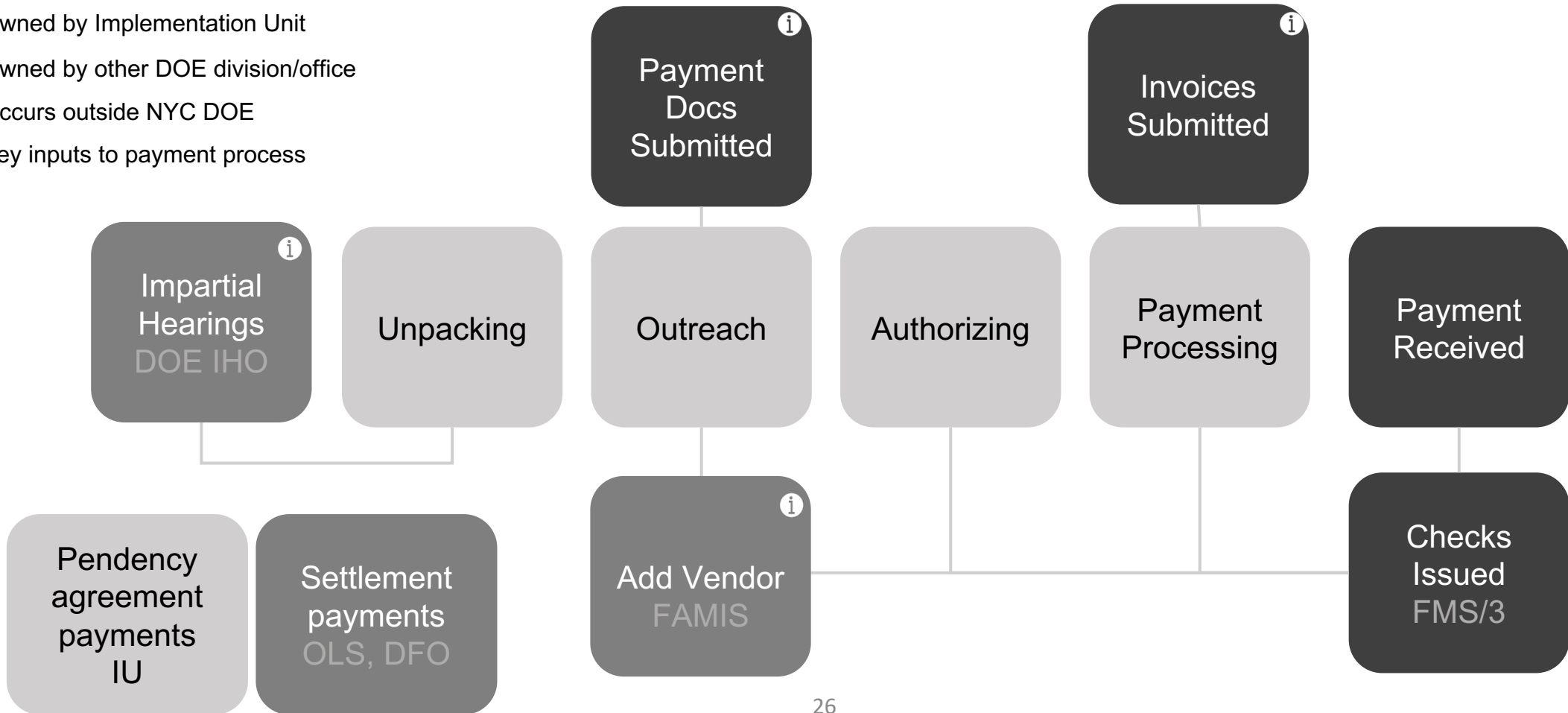


\*2021 data as of 9/8/21

Overall Findings



- Owned by Implementation Unit
- Owned by other DOE division/office
- Occurs outside NYC DOE
- i Key inputs to payment process





# Payment Orders and Action Items

Impartial  
Hearings  
DOE IHO

A-1 Impartial Hearing Officers collect some payment documentation from parents/attorneys or hearing representatives as evidence at the hearing, (as of 2019, per DOE). This documentation is uploaded to the Impartial Hearing System (IHS), but they are not fed into DAITS. Therefore, IU staff must look for the files in IHS manually (“cumbersome”) or collect them afterwards by requesting the documentation through outreach if it was not provided.

## Implications

- This is a missed opportunity to streamline the payments process and lessen outreach efforts needed during the Authorization sub-process. Due to the current volume/backlog, outreach may not be conducted until months after the hearing.

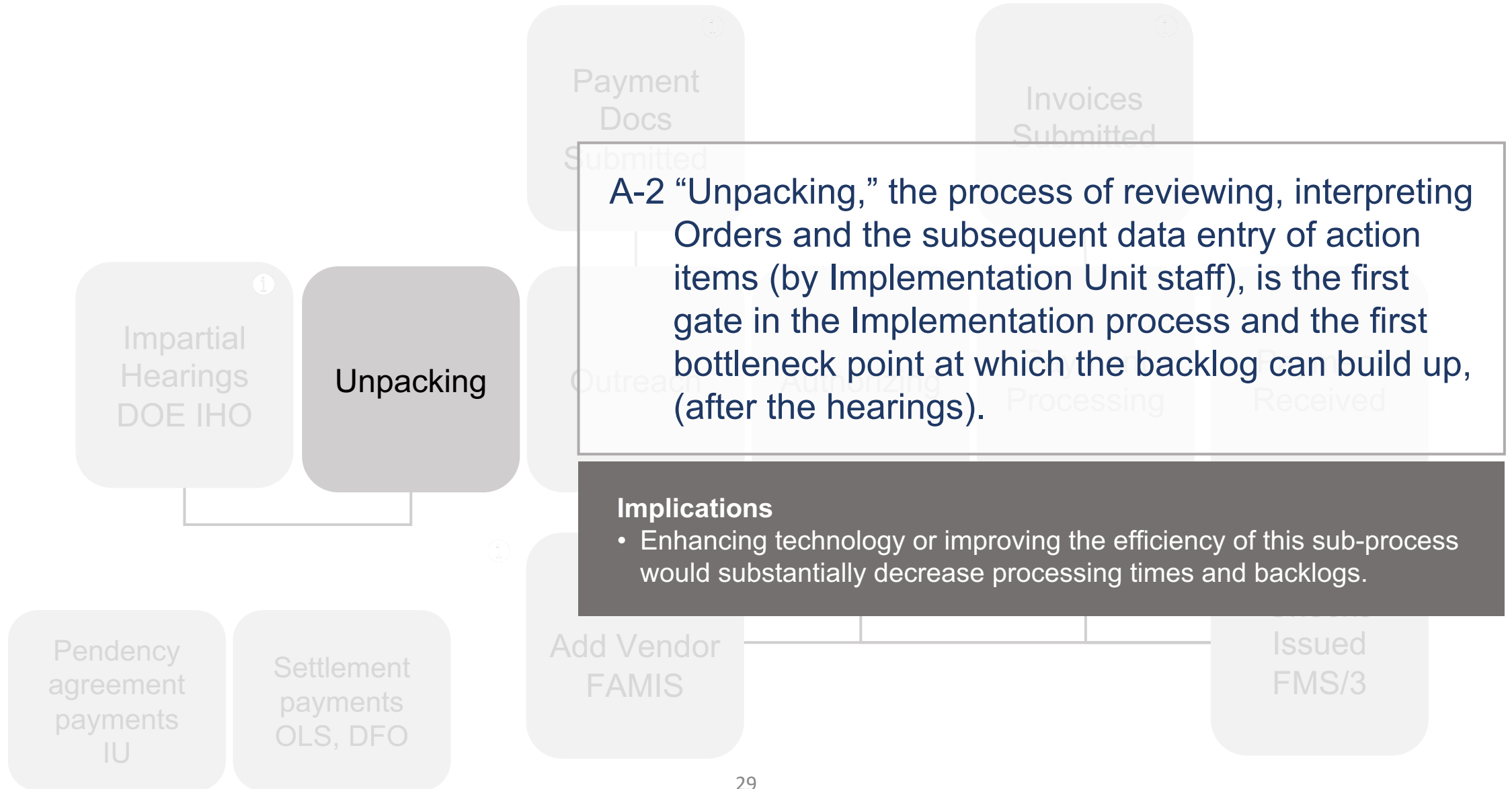
Pendency  
agreement  
payments  
IU

Settlement  
payments  
OLS, DFO

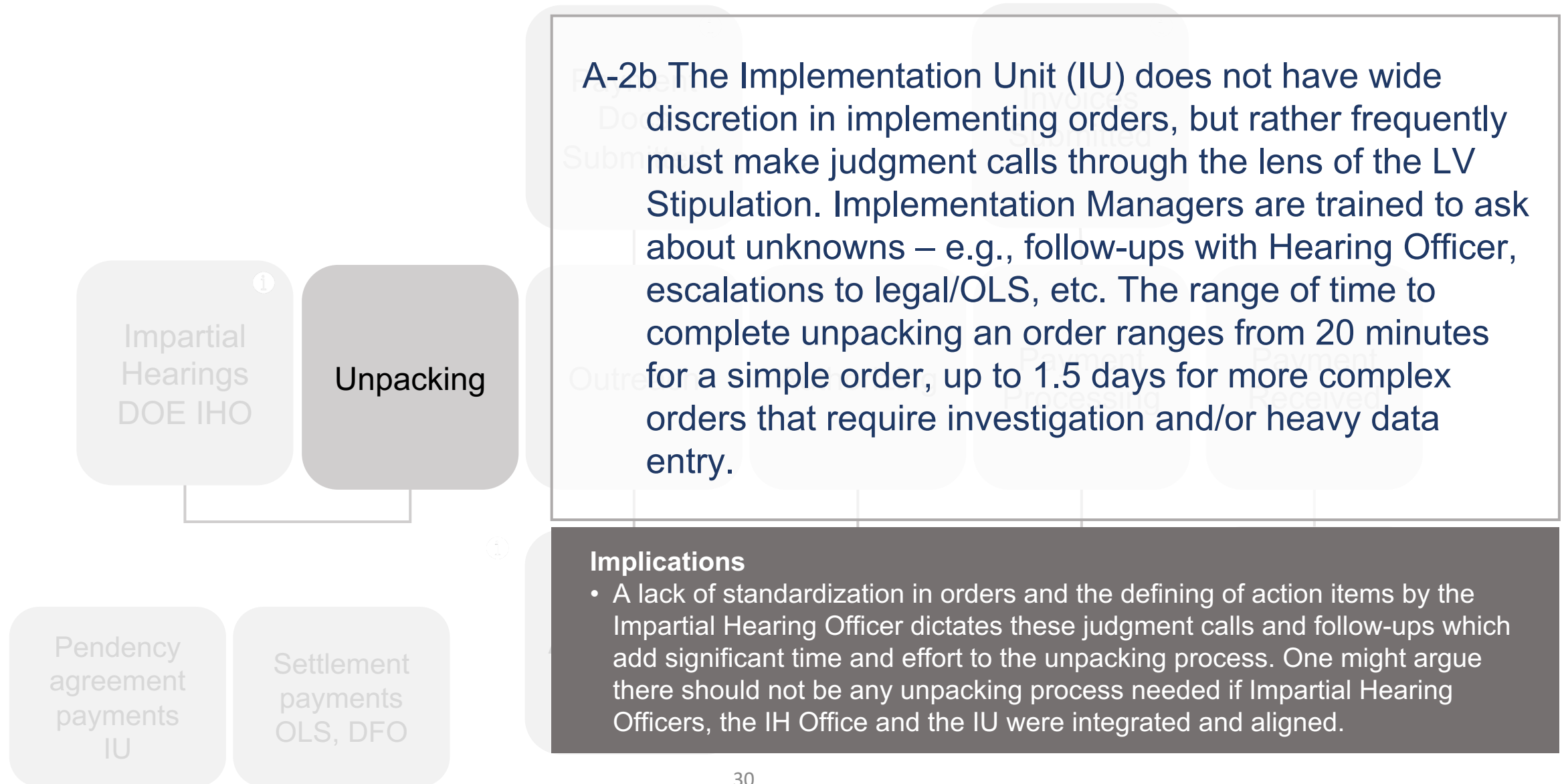
Checks  
Issued  
FMS/3

Payment  
Received

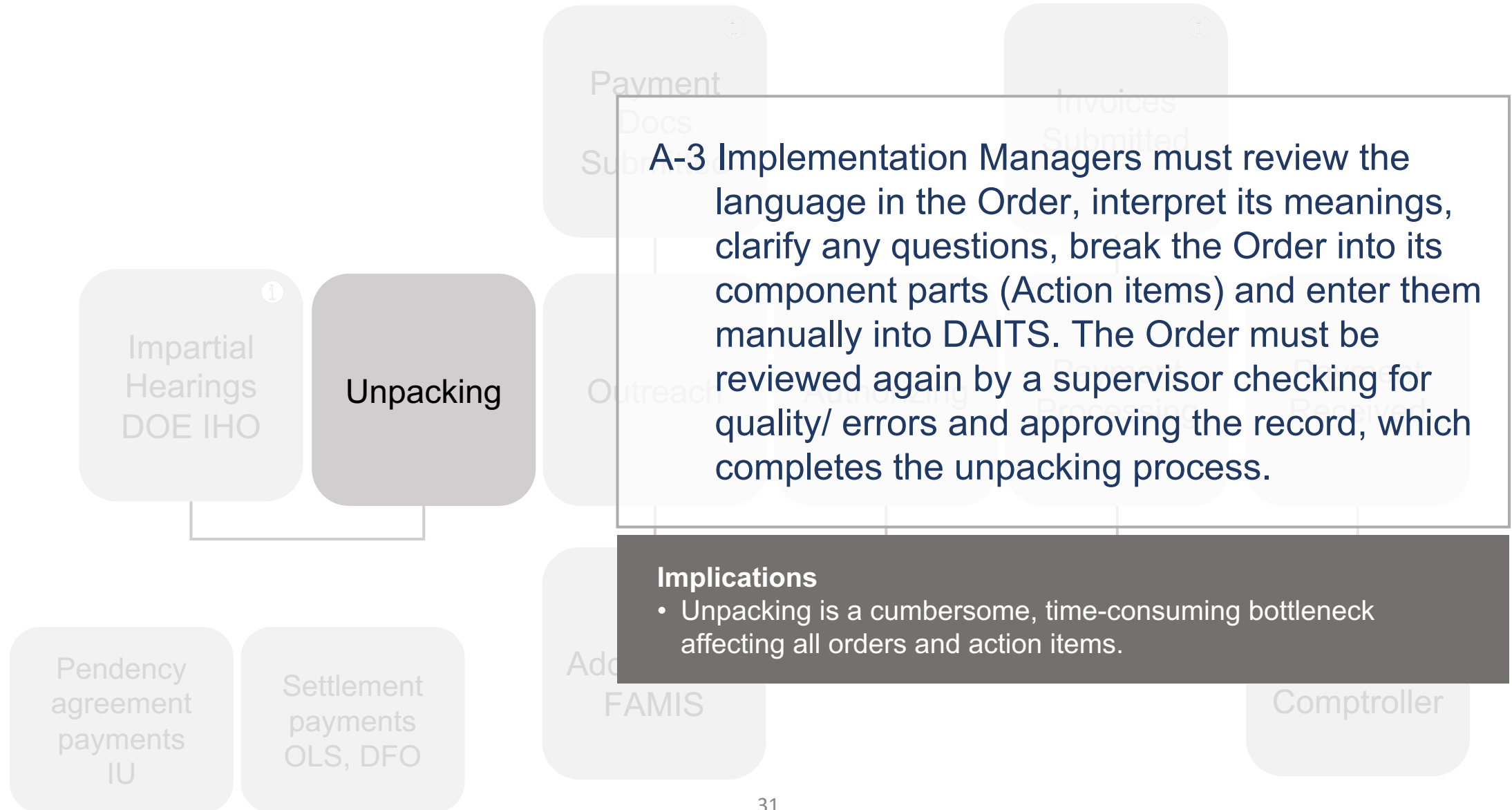
# Payment Orders and Action Items



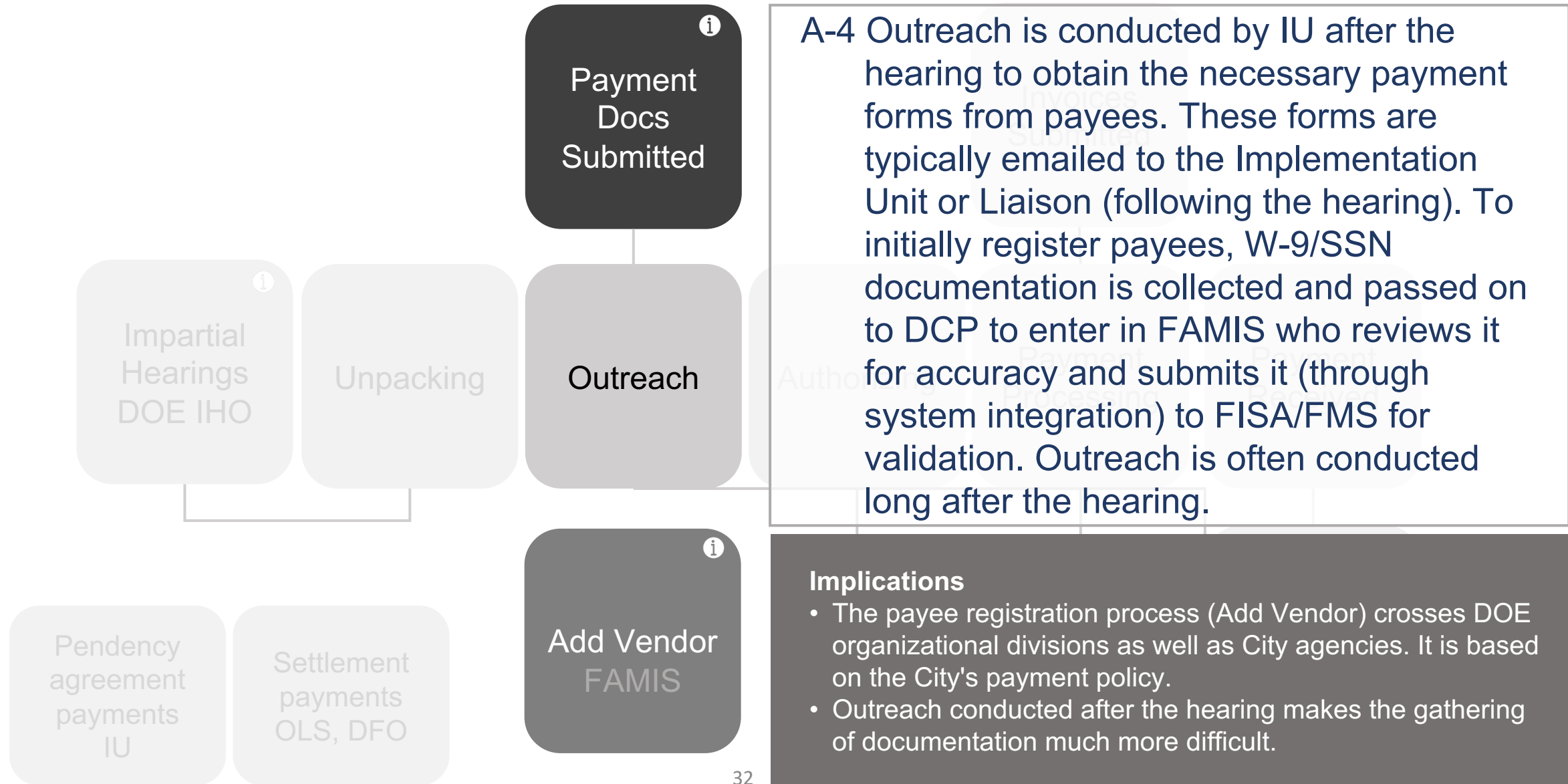
# Payment Orders and Action Items



# Payment Orders and Action Items



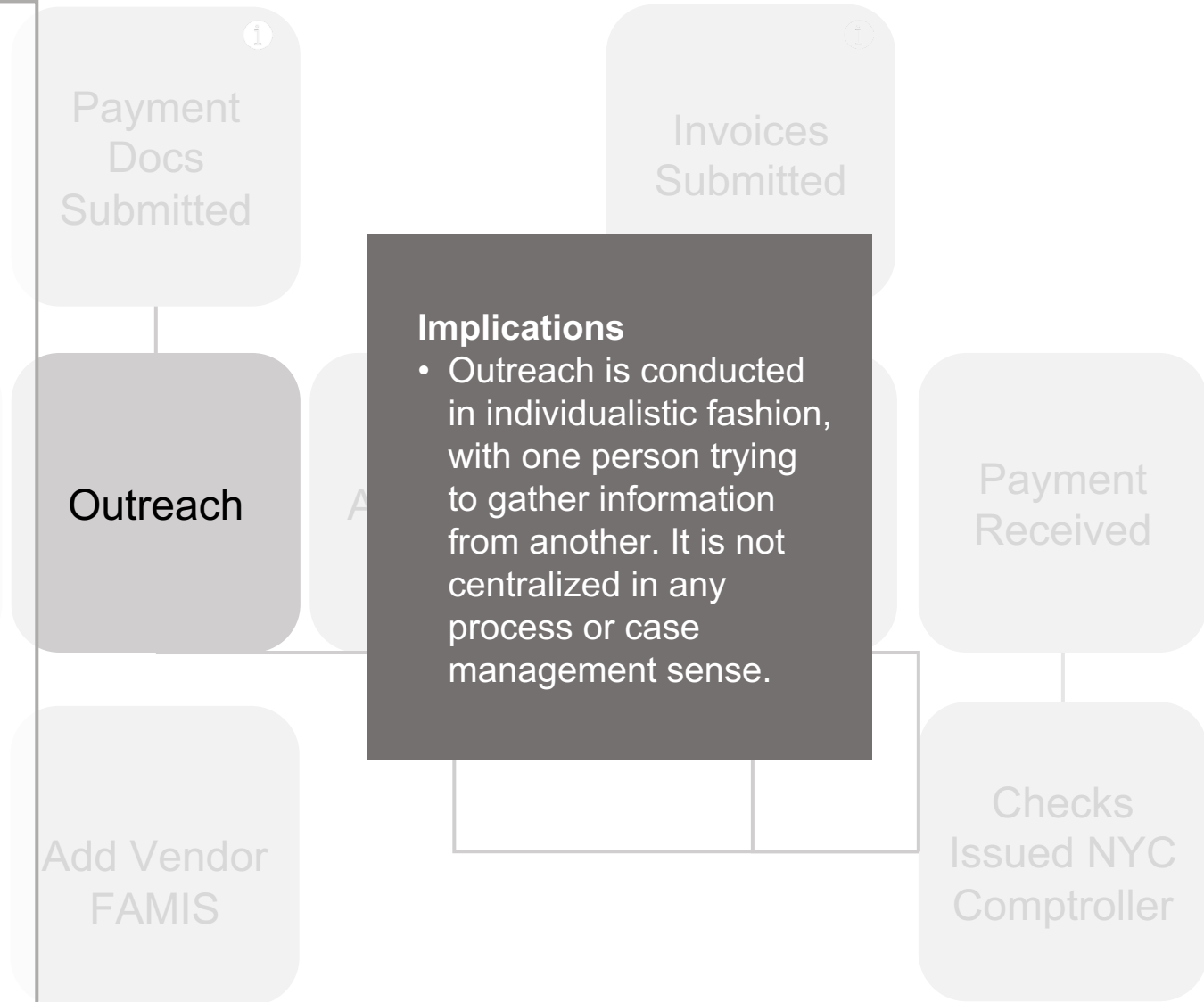
# Payment Orders and Action Items





# Payment Orders and Action Items

A-5 “Outreach” occurs when the Authorizer notices paperwork is missing (which is required in order to authorize) or when services have not been provided. The Implementation Unit does not have a function or role dedicated to outreach. In its current state, it is simply an informal, ad hoc duty of the authorizing individual. It is reactive, email-based, time-consuming and necessary due to the lack of central systems through which documentation is submitted.

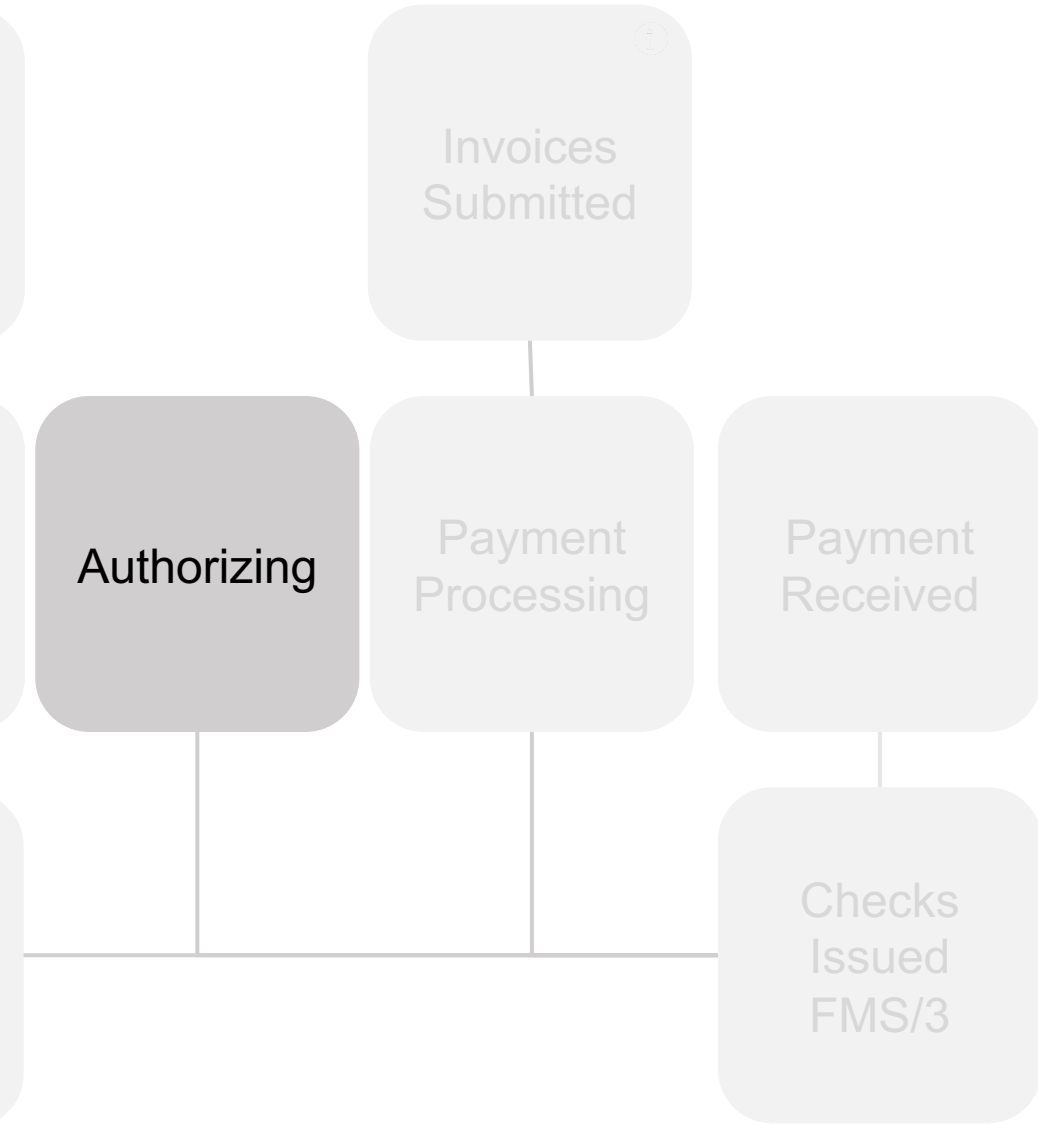


# Payment Orders and Action Items

A-6 Payment documentation (e.g. proof of payment) must be on file in DAITS to authorize the payment. When this documentation is not captured at the hearing, it must be tracked down (e.g., from parents) in ad hoc manner through correspondence (typically email), termed "outreach," and uploaded to DAITS before payment can be authorized.

## Implications

- Outreach is a significant level of effort in Authorizers' daily work. See previous finding, A-5.

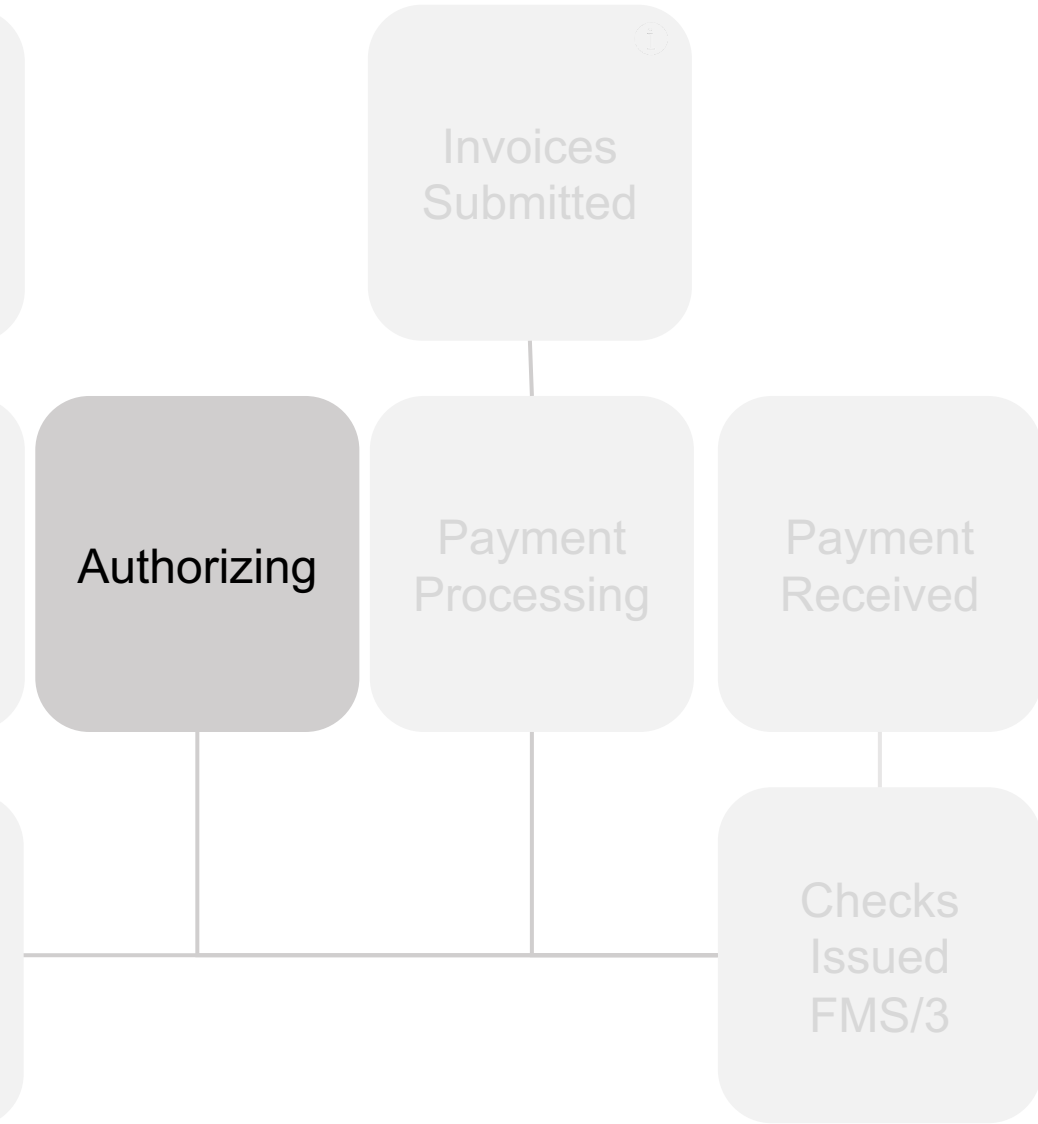


# Payment Orders and Action Items

A-6b As of 2/23/2022, there are 7 Authorizers on staff to process payments, and 5 openings for the role. It was conveyed that the average caseload is 2,100 action items per Authorizer, and the goal is a minimum of 12 per day.

## Implications

- Adding new staff as a long term strategy is not the way to address the core problem of broken processes, misaligned roles and inadequate tools. As a near term strategy, it might be appropriate until the backlog is remediated and/or processes and tools can be re-engineered.

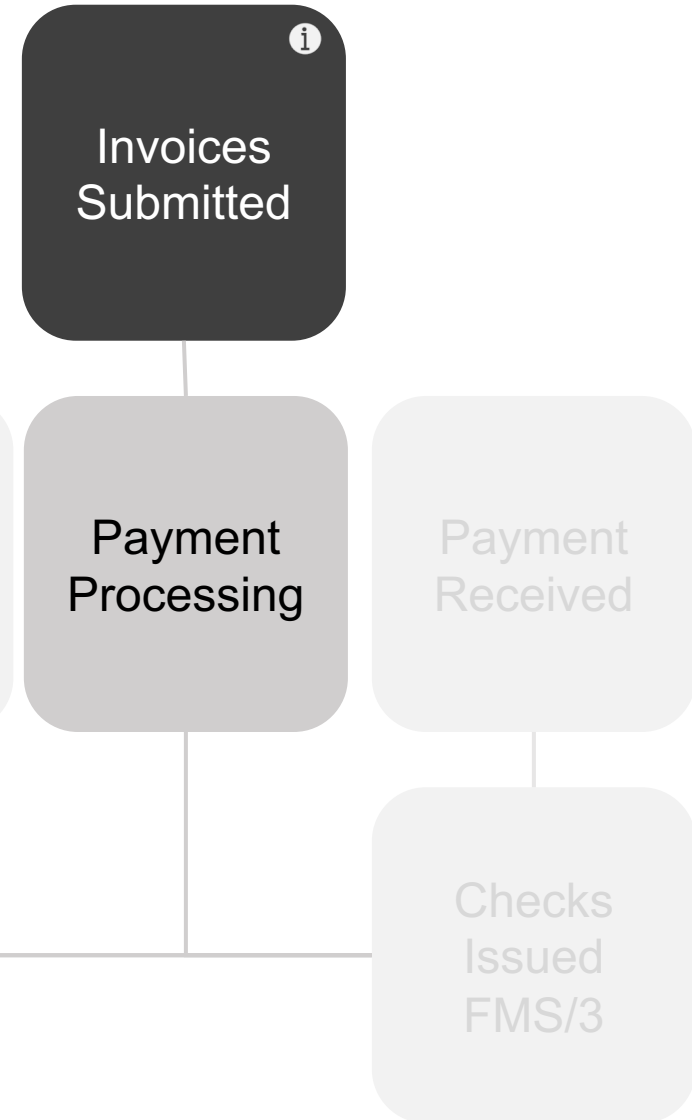


# Payment Orders and Action Items

A-7 Invoices are paper-based and until the pandemic were physically mailed to the IU. The pandemic required the conversion from paper to electronic communications for submissions of invoices. This led to a slightly easier submission process, but an exponential increase in electronic communications for IU staff, (without any system to manage or centralize the information).

## Implications

- This is still a manual and reactive process. It results in longer processing times, heavy data entry upon receipt (which creates a backlog and need for more staff), and errors.
- Electronic correspondence seems to create a false expectation that all orders and payments will be implemented faster than before.



# Payment Orders and Action Items

A-8 Invoices must be reviewed and manually entered (data entry) into the Impartial Hearings Financial (IHF) system. They require pre-existing knowledge of the types of services and that staff individually assess if the invoice is for the appropriate services ordered.

## Implications

- Payment Processing is another area in which a backlog has built up due to higher volume and time/effort for data entry.

Invoices Submitted

Payment Processing

Payment Received

Checks Issued FMS/3

Add Vendor FAMIS

Pendency agreement payments IU

Settlement payments OLS, DFO

# Payment Orders and Action Items

A-9 Invoicing for provided services is still a paper-based process. Invoices for services ordered must be filled out and signed by the provider and the parent (or designee) and submitted to the DOE. Invoices received must then be individually and manually data entered into FAMIS/IHF and approved for payment.

## Implications

- This is a highly inefficient business process that should be digitized to speed processing times and reduce manual effort.

**Invoices Submitted**

**Payment Processing**

**Payment Received**

**Checks Issued FMS/3**

Pendency agreement payments IU

Settlement payments OLS, DFO

Add Vendor FAMIS

# Payment Orders and Action Items

A-10 FAMIS payment requests are integrated with the City's FMS/3 in real-time from FAMIS. FMS/3 processes the request the same day it receives it, running an automated budgetary (cash management) check and verifies the vendor is on file with the City.

## Implications

- FISA considers the payment requests "pre-approved," and performs no manual check or approval. Checks and direct deposits are scheduled to be sent as soon as they pass the above checks and are posted to the ledger, (automated; nightly batch).

A-11 If a vendor's status has changed, such as a recent lien, a notification from FMS/3 is automatically sent back to DOE notifying of the discrepancy.

## Implications

- Although the IU's process requires a TIN when authorizing, there is no systematic way to know if the vendor's status with the City has changed, (e.g. a lien, invalid TIN)

Payment  
Received

Checks  
Issued  
FMS/3

# Payment Orders and Action Items

A-12 All payees interviewed report irregular and heavily delayed payments.

## Implications

- Many schools and providers are financially impacted by the delays having to scale back services to NYC DOE, build contingency funds, request emergency funding, etc. This also often causes providers to increase their rates to compensate for the fact that DOE is always delayed in making payments.

A-13 All payees report that submitting paperwork and invoices results in no reply or any acknowledgement by any DOE staff or system, (until a check is eventually received). Several interviewees referred to it as a “black hole.”

## Implications

- Relationships with providers are damaged. Trust in the NYC DOE as a responsible institution is essentially non-existent among stakeholders.

Payment  
Received

Checks  
Issued  
FMS/3



# Pendency Payments

X-1 DOE has changed from requiring orders on pendency to use of pendency agreements where pendency is not disputed. Pendency Agreement payments are processed by the IU via DAITS, even though they are not typically ordered by an Impartial Hearing Officer. (Pendency Order payments follow the same process as other payment orders.)

Impartial Hearings  
DOE IHO

## Implications

- DOE should explore if this process can be simplified and automated to ease the volume of cases the IU must process.

X-2 Pendency Agreement payments for tuition are made in increments (half up front) - there is no scheduling of payments so all increments need to be individually authorized.

Pendency agreement payments  
IU

## Implications

- There is an opportunity to lower the volume of authorizations by scheduling payments that must be processed by the implementation unit.

# Pendency Payments

Invoices  
Submitted

Impartial  
Hearings  
DOE IHO

X-3 Pendency payments for services are dependent on submission of invoices by vendors after the provision of services, and so cannot be scheduled. Vendors can submit invoices per their own desired frequency and the process is still paper-based.

Payment  
Processing

Payment  
Received

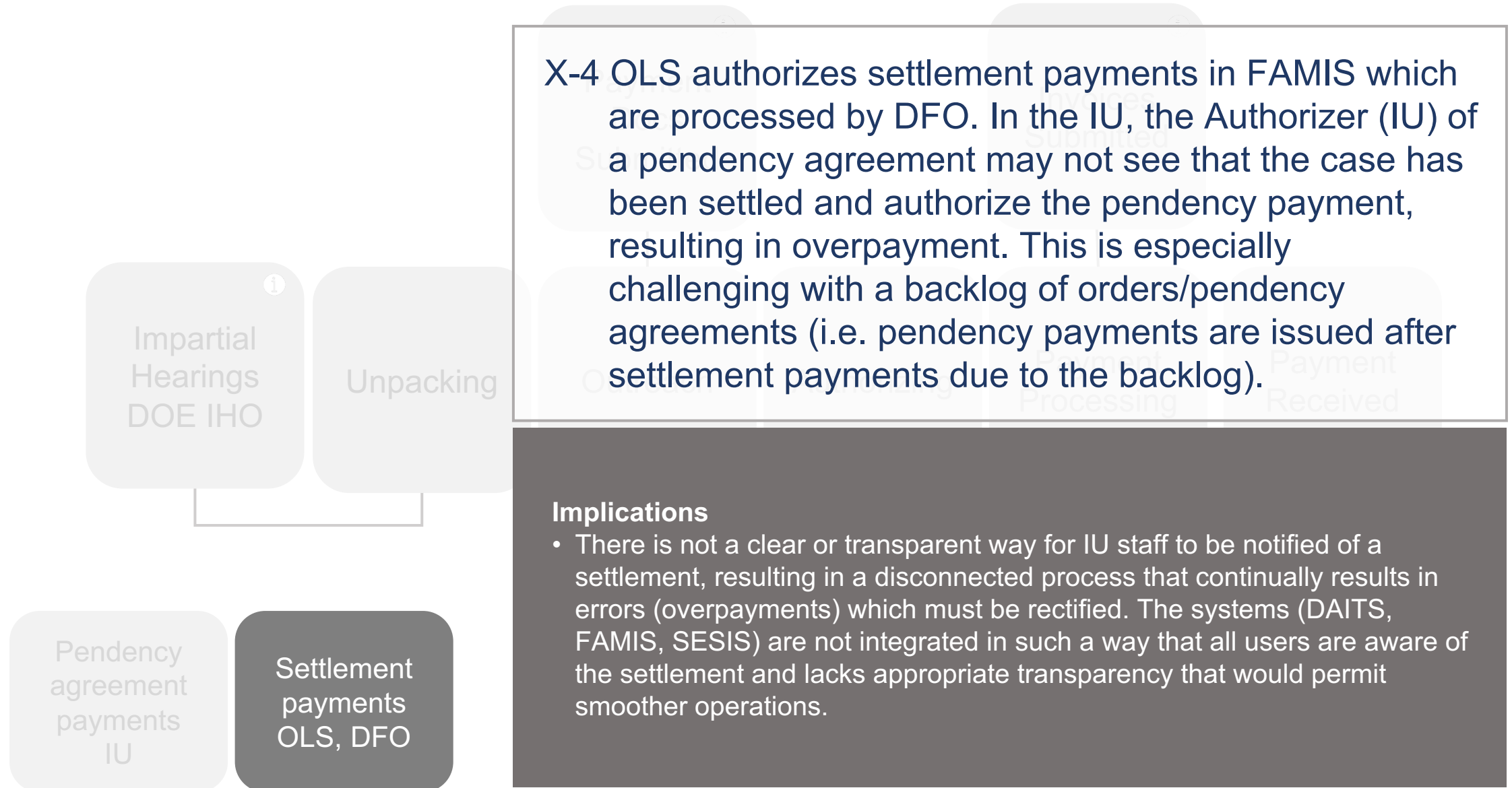
Pendency  
agreement  
payments  
IU

## Implications

- There is an opportunity to standardize (automate) the vendor invoice submission process to process these payments for services more efficiently.

Checks  
Issued NYC  
Comptroller

# Settlement and Pendency Payments



Overall Findings

Implementing  
Payment Orders  
and Action Items

Implementing  
Service Orders  
and Action Items

Staffing Needs of  
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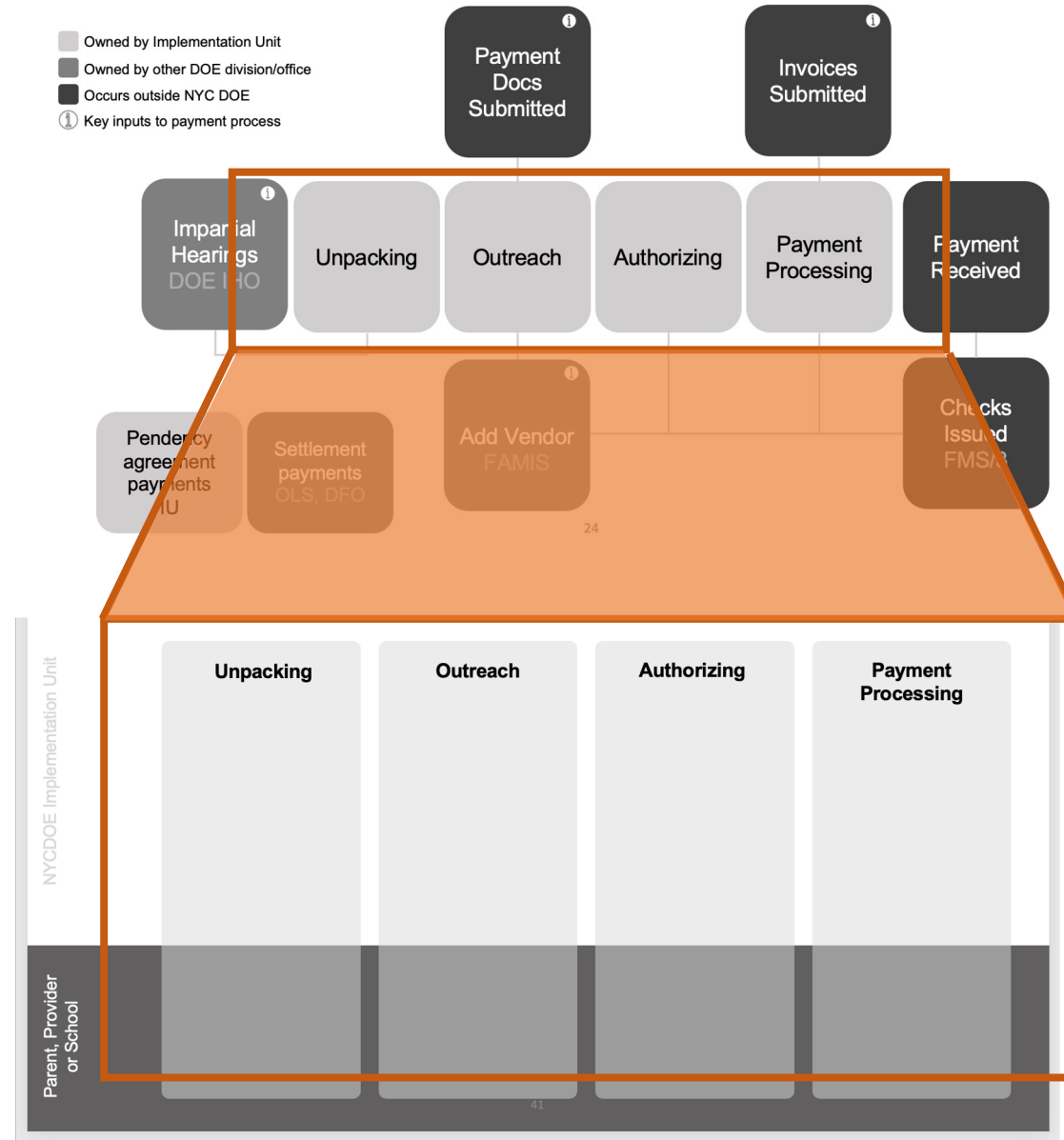
Implementing  
Orders & Action  
Items Outstanding  
35+ Days

Monitoring  
Processes &  
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# Detailed Payment Order Processes of the Implementation Unit

# Detailed Payment Processes of the IU

The four major sub-processes of the Implementation Unit described in the previous section is outlined here in further detail. The intent of this section is to capture the detailed flow and review the specific steps in the next phase of this work (recommendations) to identify areas to improve the process, improve data and systems, and improve the experience of IU staff. These recommendations will be presented in the next report.



NYCDOE Implementation Unit

**Unpacking**

**Outreach**

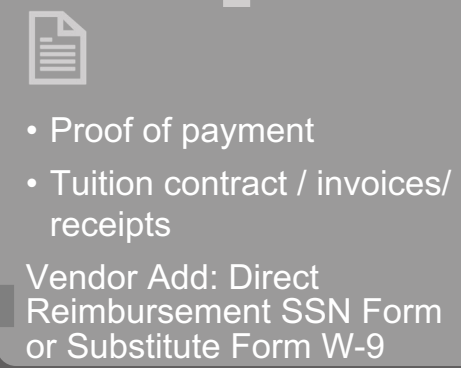
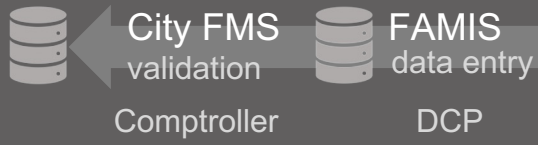
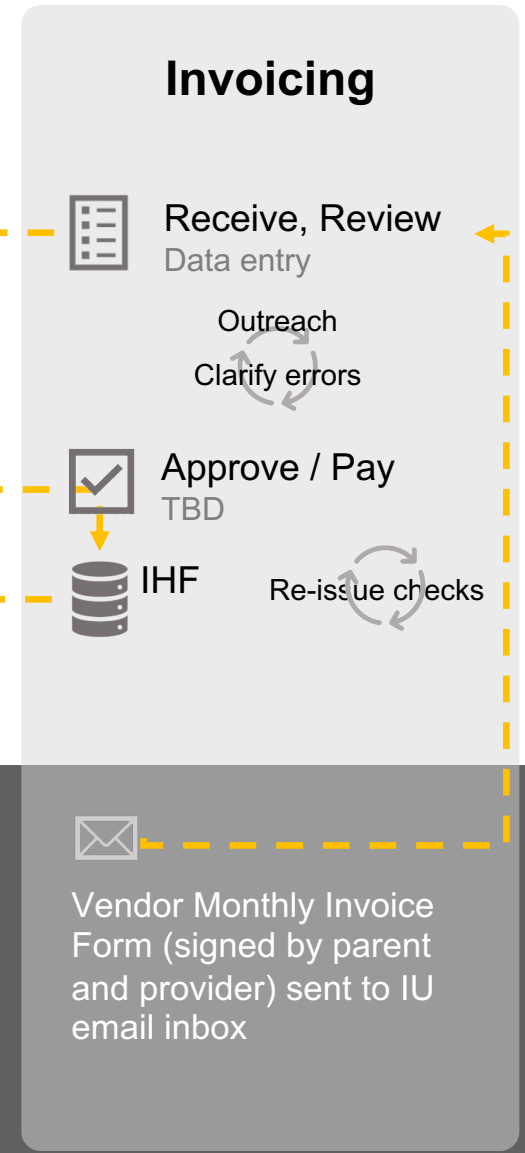
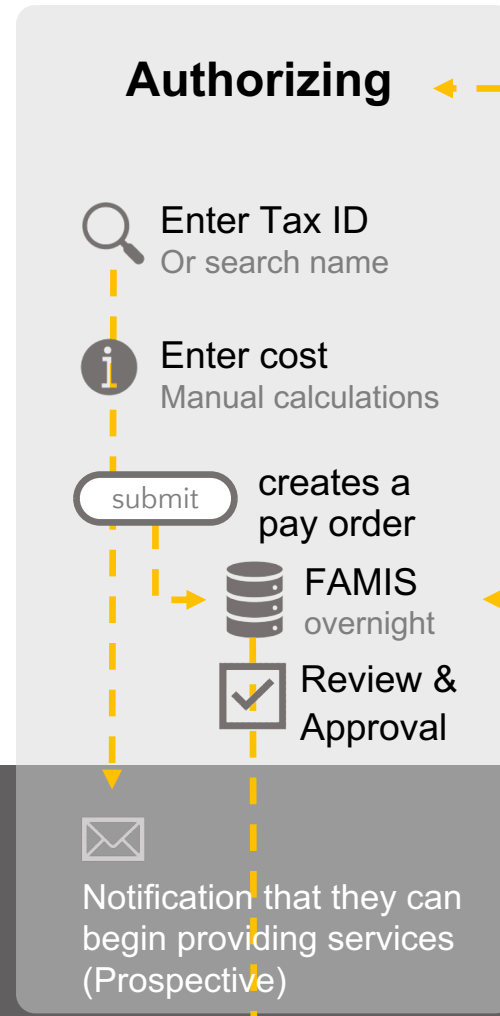
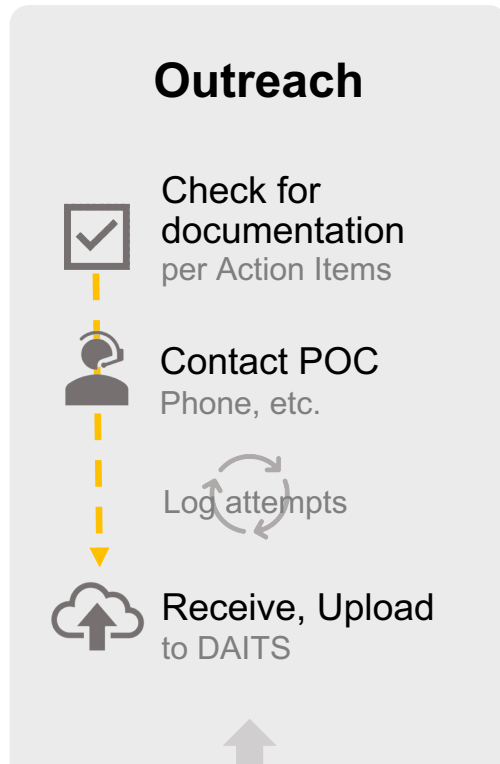
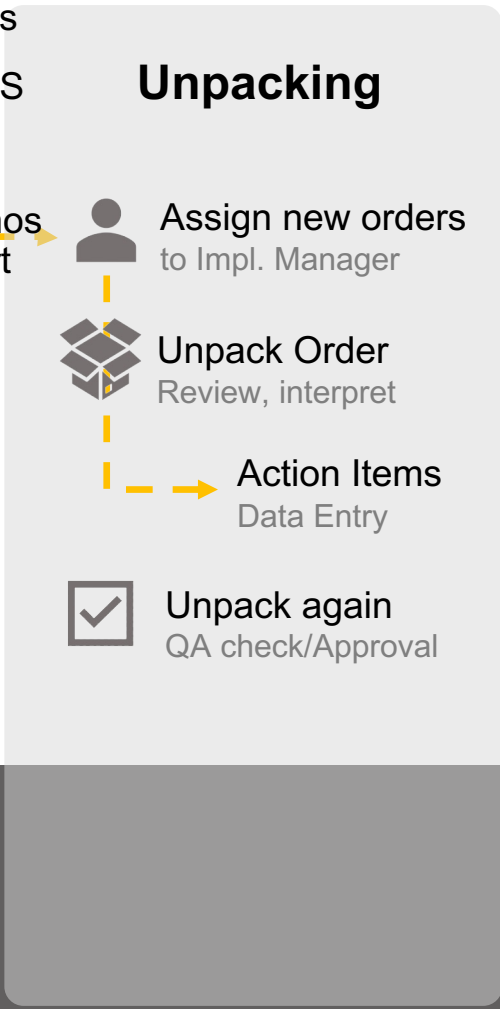
**Authorizing**

**Payment  
Processing**

Parent, Provider  
or School

NYCDOE Implementation Unit

Parent, Provider or School



# Approval steps in the Payment Order process

NYCDOE Implementation Unit



### Unpacking

- Assign new orders to Impl. Manager
- Unpack Order  
Review, interpret
- Action Items  
Data Entry
- Unpack again**  
QA check/Approval

### Outreach

- Check for documentation**  
per Action Items
- Contact POC  
Phone, etc.
- Log attempts
- Receive, Upload to DAITS

Vendor Add: Direct Reimbursement SSN Form or Substitute Form W-9

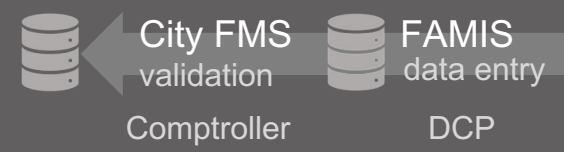
### Authorizing

- Enter Tax ID  
Or search name
- Enter cost  
Manual calculations
- submit creates a pay order
- FAMIS overnight
- Review & Approval**
- Notification that they can begin providing services (Prospective)
- FMS/3 Error checks

### Invoicing

- Receive, Review  
Data entry
- Outreach  
Clarify errors
- Approve / Pay**  
TBD
- IHF Re-issue checks
- Vendor Monthly Invoice Form (signed by parent and provider) sent to IU email inbox

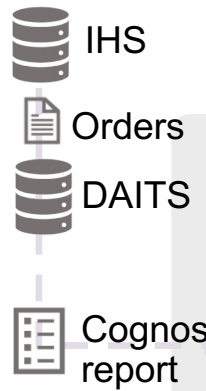
Parent, Provider or School





# Areas of the payment process subject to clerical error or misinterpretation.

NYCDOE Implementation Unit



### Unpacking

Assign new orders to Impl. Manager

**Unpack Order**  
Review, interpret

Action Items Data Entry

**Unpack again**  
QA check/Approval

### Outreach

Check for documentation per Action Items

Contact POC  
Phone, etc.

Log attempts

Receive, Upload to DAITS

• Proof of payment  
• Tuition contract / invoices/ receipts

Vendor Add: Direct Reimbursement SSN Form or Substitute Form W-9

### Authorizing

Enter Tax ID  
Or search name

**Enter cost**  
Manual calculations

submit creates a pay order

FAMIS overnight

Review & Approval

Notification that they can begin providing services (Prospective)

FMS/3 Error checks

### Invoicing

**Receive, Review**  
Data entry

Outreach  
Clarify errors

Approve / Pay  
TBD

IHF Re-issue checks

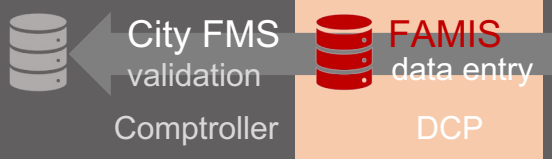
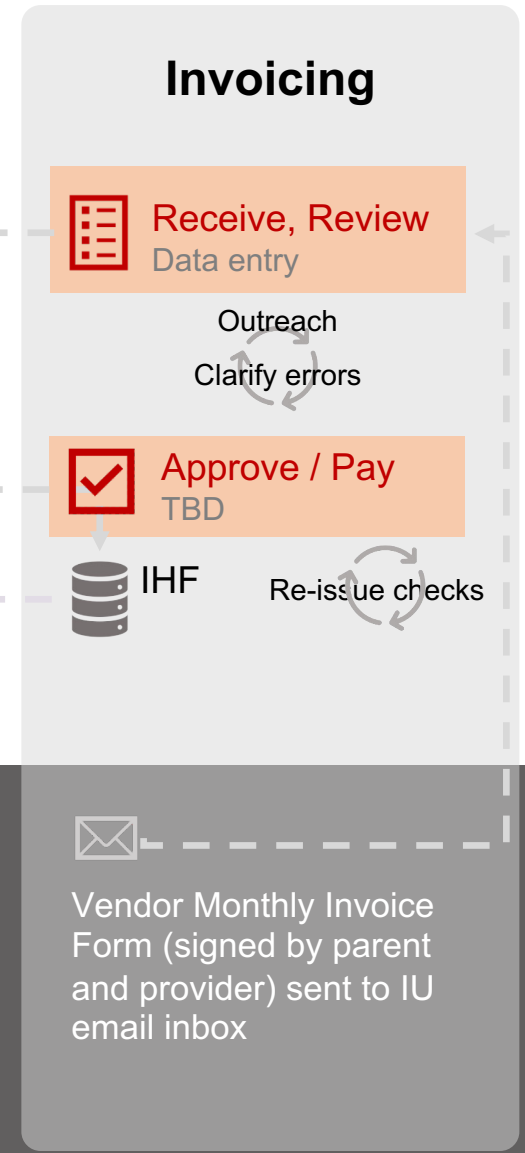
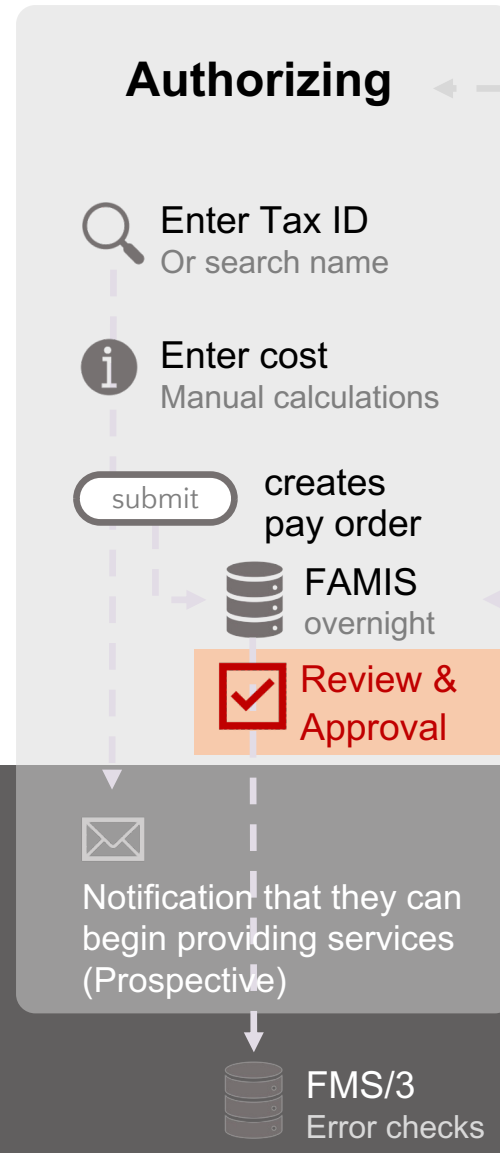
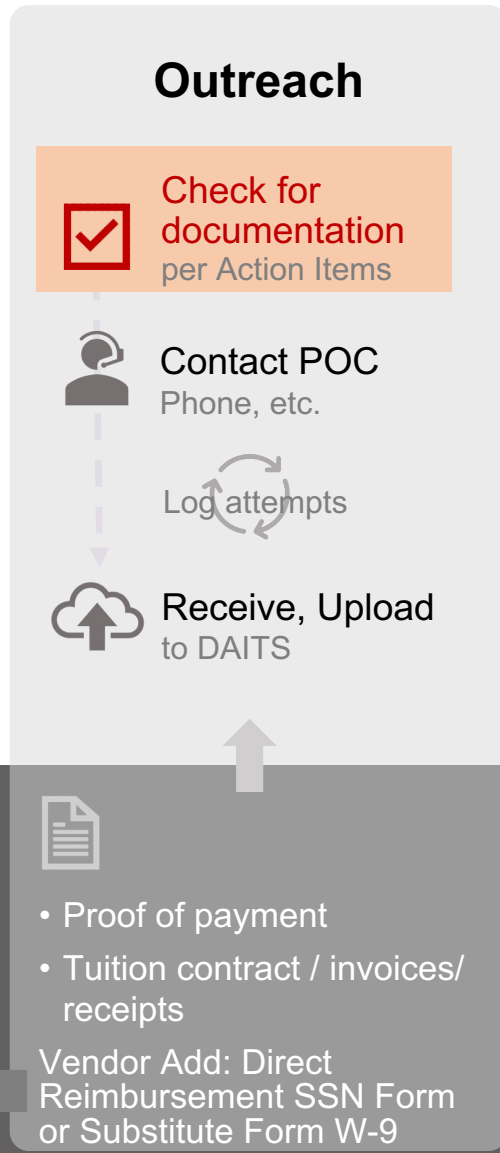
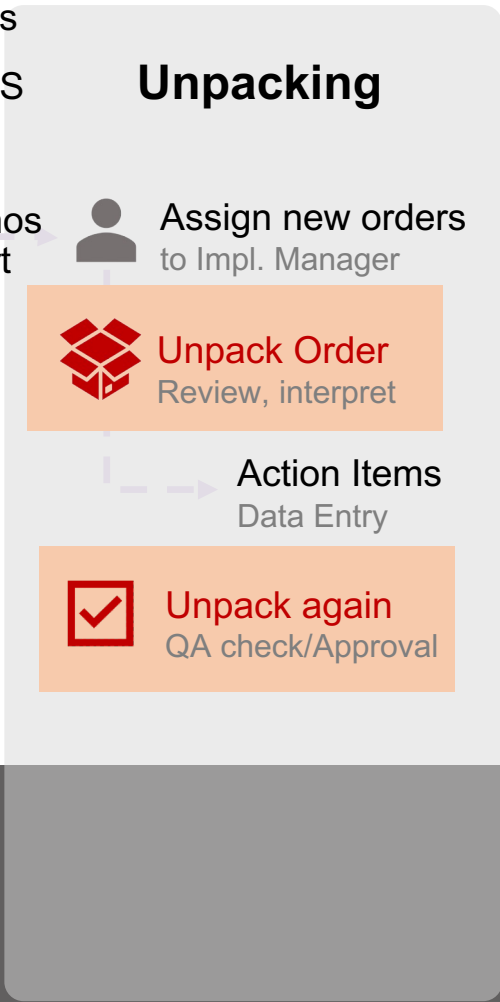
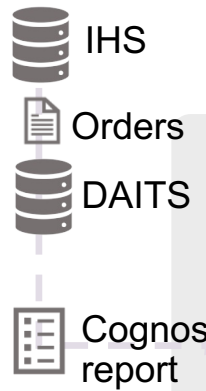
**Vendor Monthly Invoice Form (signed by parent and provider) sent to IU email inbox**

Parent, Provider or School



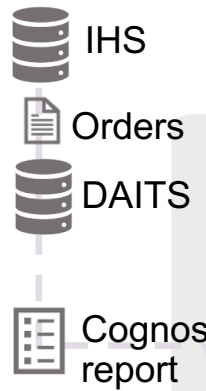
NYCDOE Implementation Unit

Parent, Provider or School



NYCDOE Implementation Unit

Parent, Provider or School



### Unpacking

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Action Items  
Data Entry

**Unpack again**  
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### Outreach

Check for documentation per Action Items

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Receive, Upload to DAITS

• Proof of payment  
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### Authorizing

Enter Tax ID  
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**Enter cost**  
Manual calculations

submit creates a pay order

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Review & Approval

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### Invoicing

**Receive, Review**  
Data entry

Outreach  
Clarify errors

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**Vendor Monthly Invoice Form** (signed by parent and provider) sent to IU email inbox



Overall Findings

Implementing  
Payment Orders  
and Action Items

Implementing  
Service Orders  
and Action Items

Staffing Needs of  
the DOE  
Implementation  
Unit

DAITS and  
Relevant Systems

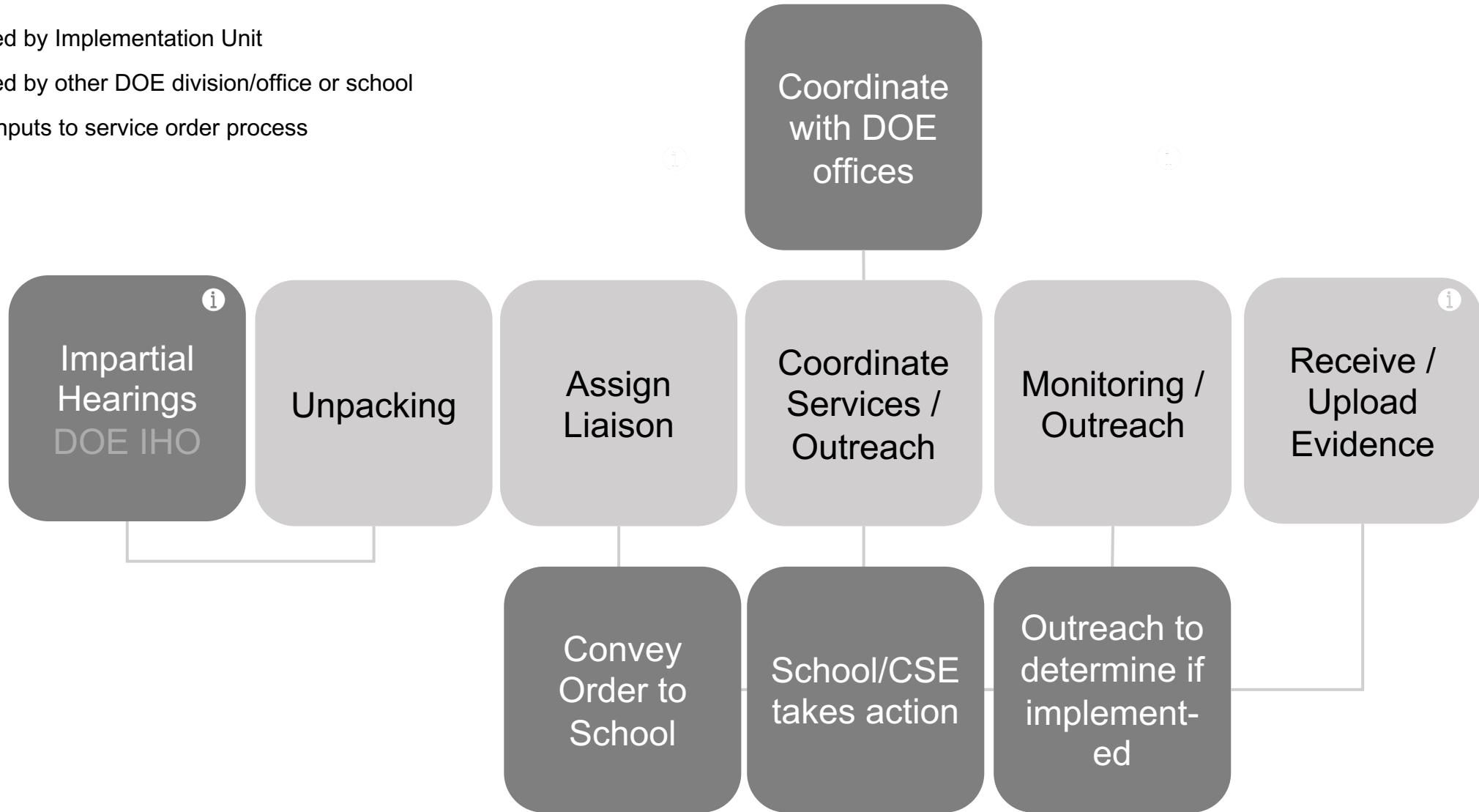
Implementing  
Orders & Action  
Items Outstanding  
35+ Days

Monitoring  
Processes &  
Standards for  
Compliance

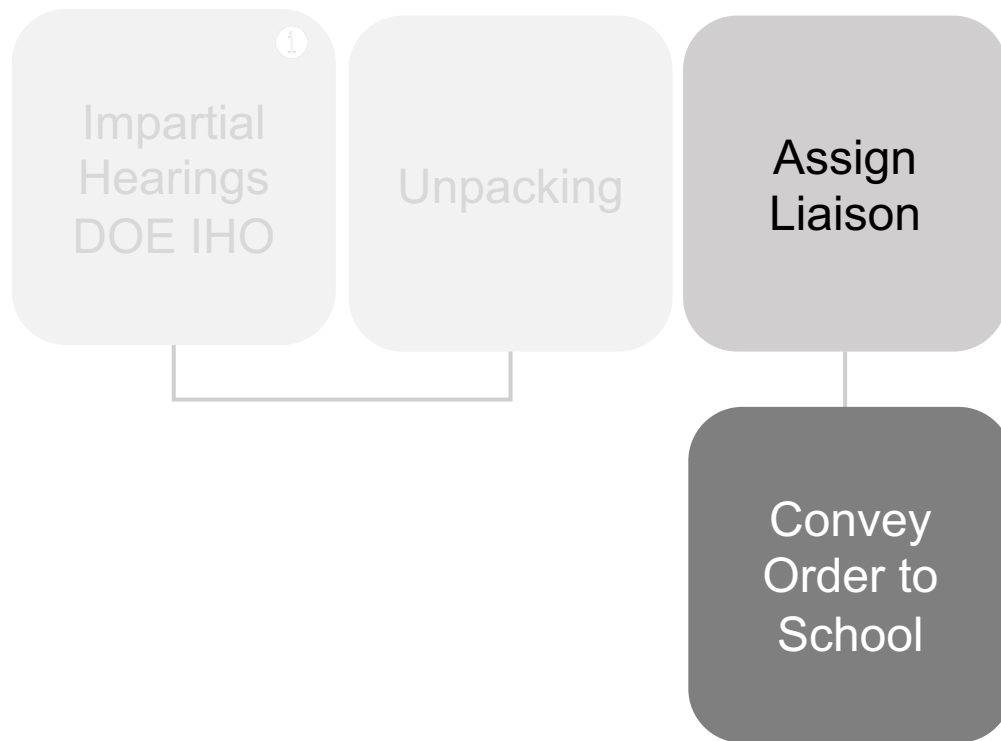
# DOE's Processes for Implementing Service Orders and Action Items

# Service Orders and Action Items

- Owned by Implementation Unit
- Owned by other DOE division/office or school
- Key inputs to service order process



# Service Orders and Action Items

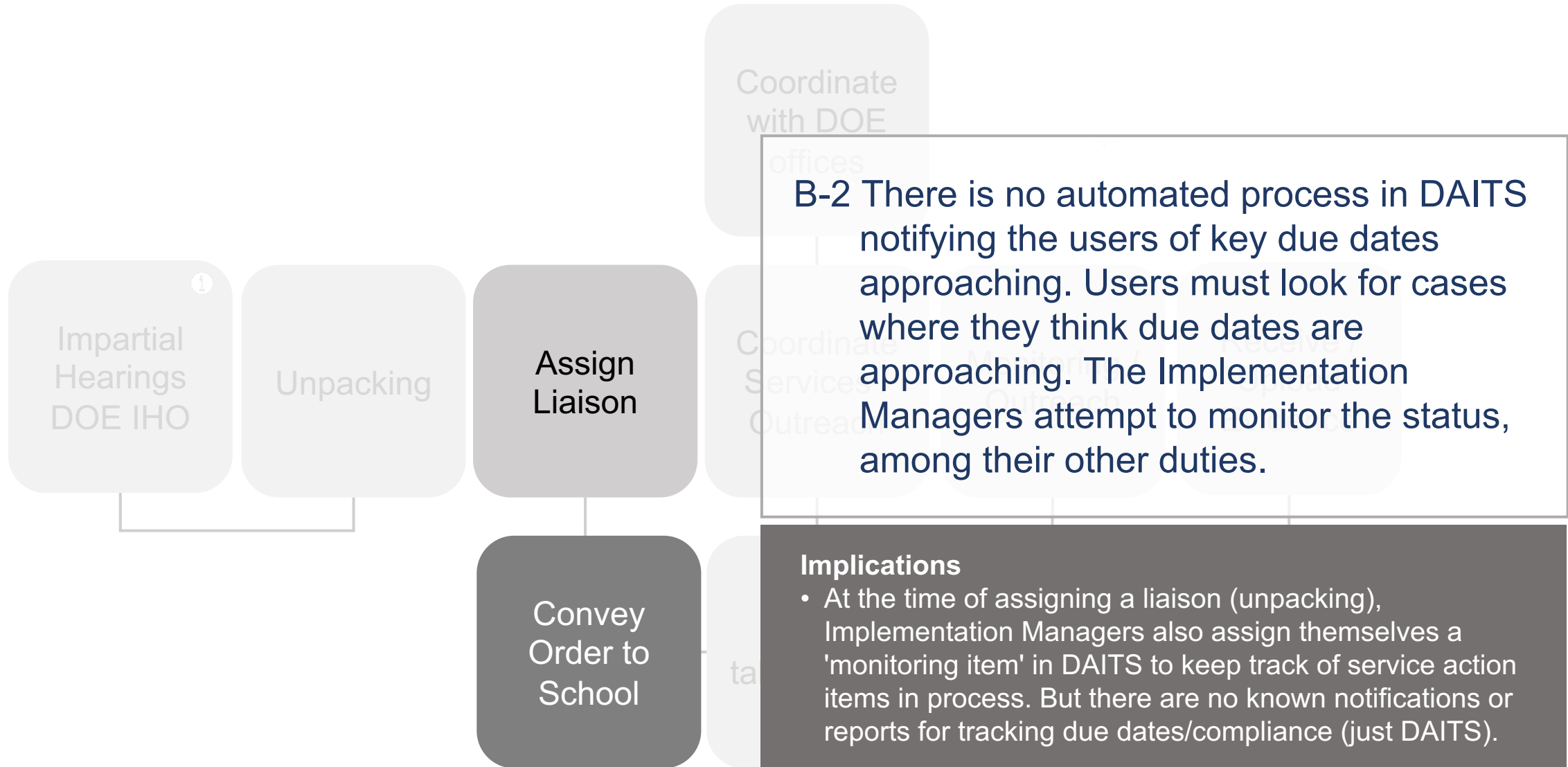


B-1 Implementation Liaisons are assigned an action item (in DAITS), and then notified of the incoming order via email. They are provided instructions about documentation needed, requiring them to convey the Order to the school. Due to the current backlog, these assignments are often coming after the child needs services, (e.g. a nurse is needed for the child within days, but the Order backlogged and not unpacked into DAITS for months so the assignment does not come to the Liaison for months).

## Implications

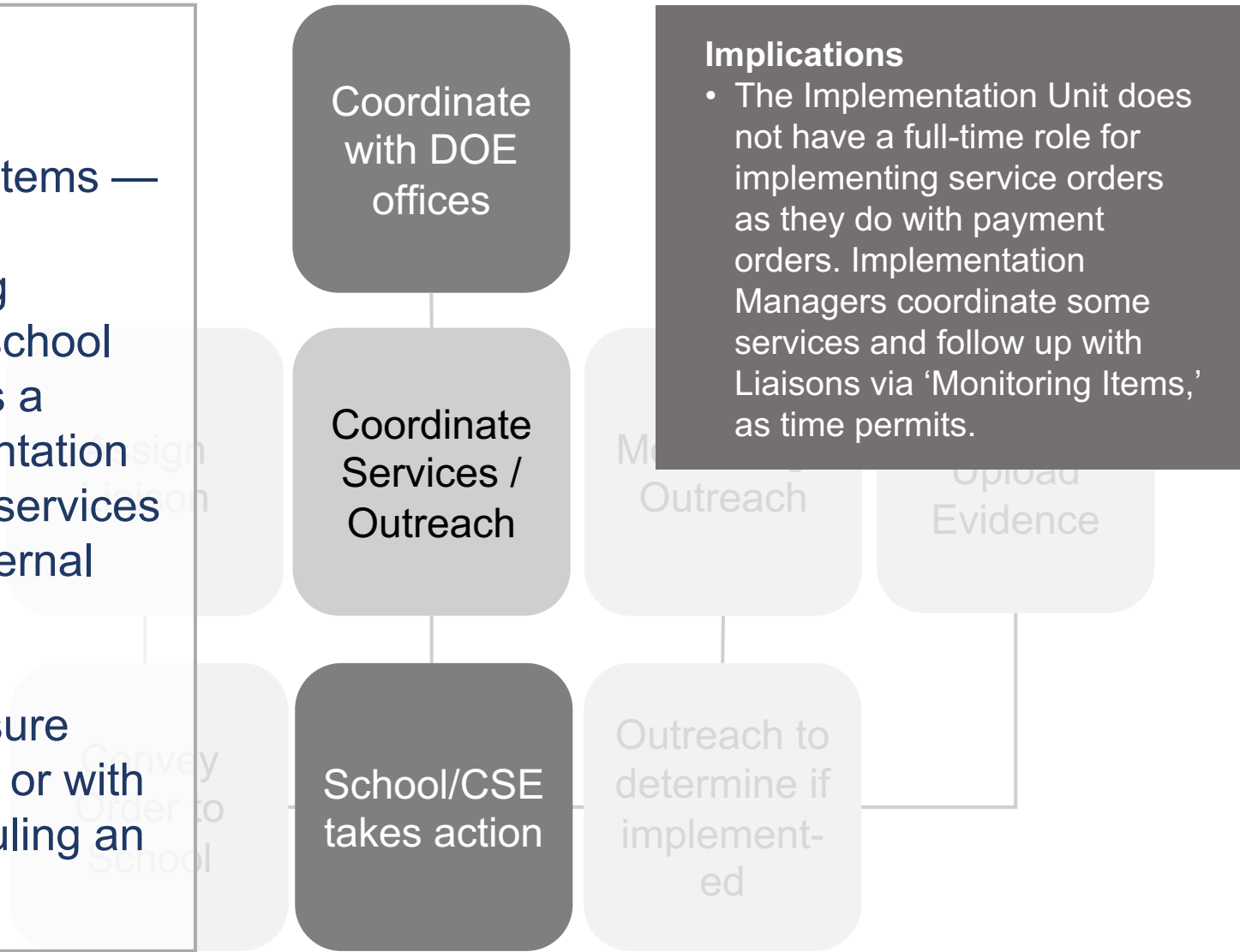
- Implementation Liaisons act as the intermediary and messenger between the Implementation Unit and the school as the action item is carried out, (i.e., word of mouth). Automation of this process and integration of systems would greatly improve the Liaisons' process, and transparency overall.

# Service Orders and Action Items



# Service Orders and Action Items

B-3 The Implementation Unit is responsible for ensuring implementation of all action items — Implementation Liaisons are responsible for implementing Service Action Items at the school level, (per LV guidelines). As a matter of roles, the Implementation Unit and/or CSE coordinate services that must be arranged by internal offices (e.g., Office of Pupil Transportation) and the Implementation Liaisons ensure action is taken by the school or with their CSE team, (e.g. scheduling an IEP meeting).



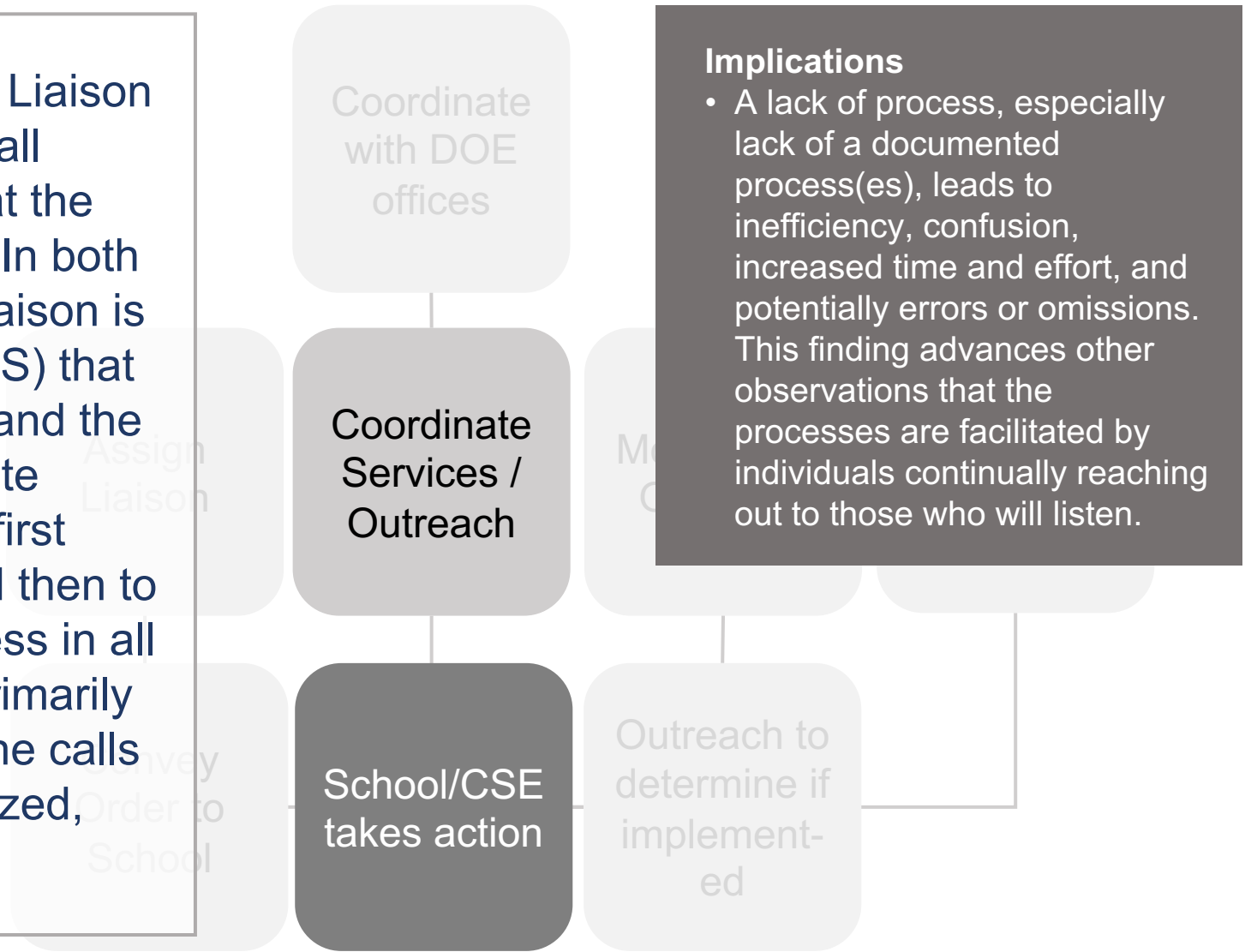
## Implications

- The Implementation Unit does not have a full-time role for implementing service orders as they do with payment orders. Implementation Managers coordinate some services and follow up with Liaisons via 'Monitoring Items,' as time permits.



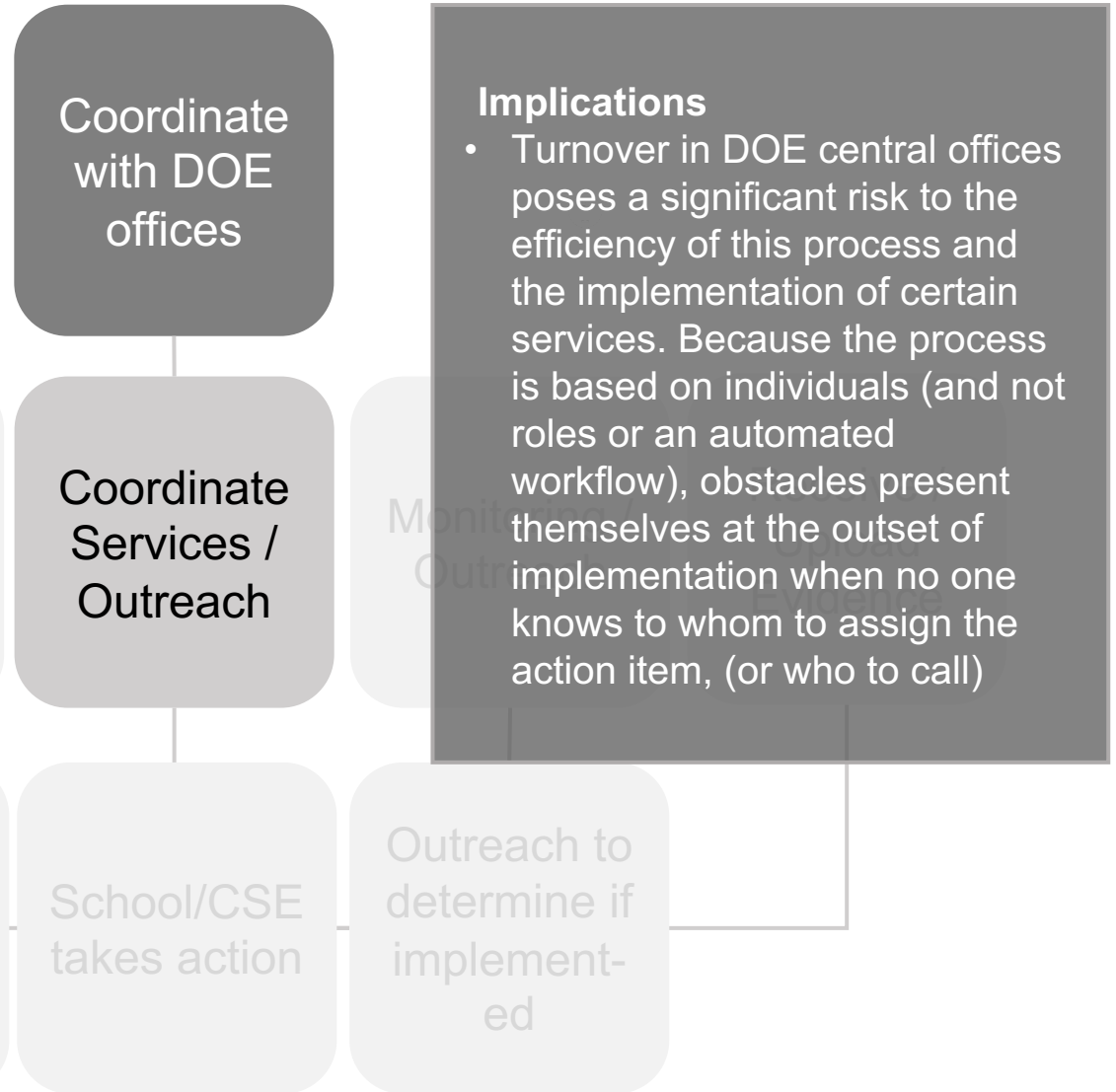
# Service Orders and Action Items

B-3b The role of Implementation Liaison coordinates action items for all types of schools (i.e. either at the CSEs or for public schools). In both instances, the designated Liaison is notified via email (from DAITS) that a service has been ordered and the individual begins to coordinate arrangement of the service, first looking to their own staff and then to outside providers. The process in all cases (public and CSE) is primarily based on exchanges of phone calls and emails (i.e. not a formalized, documented “process”)



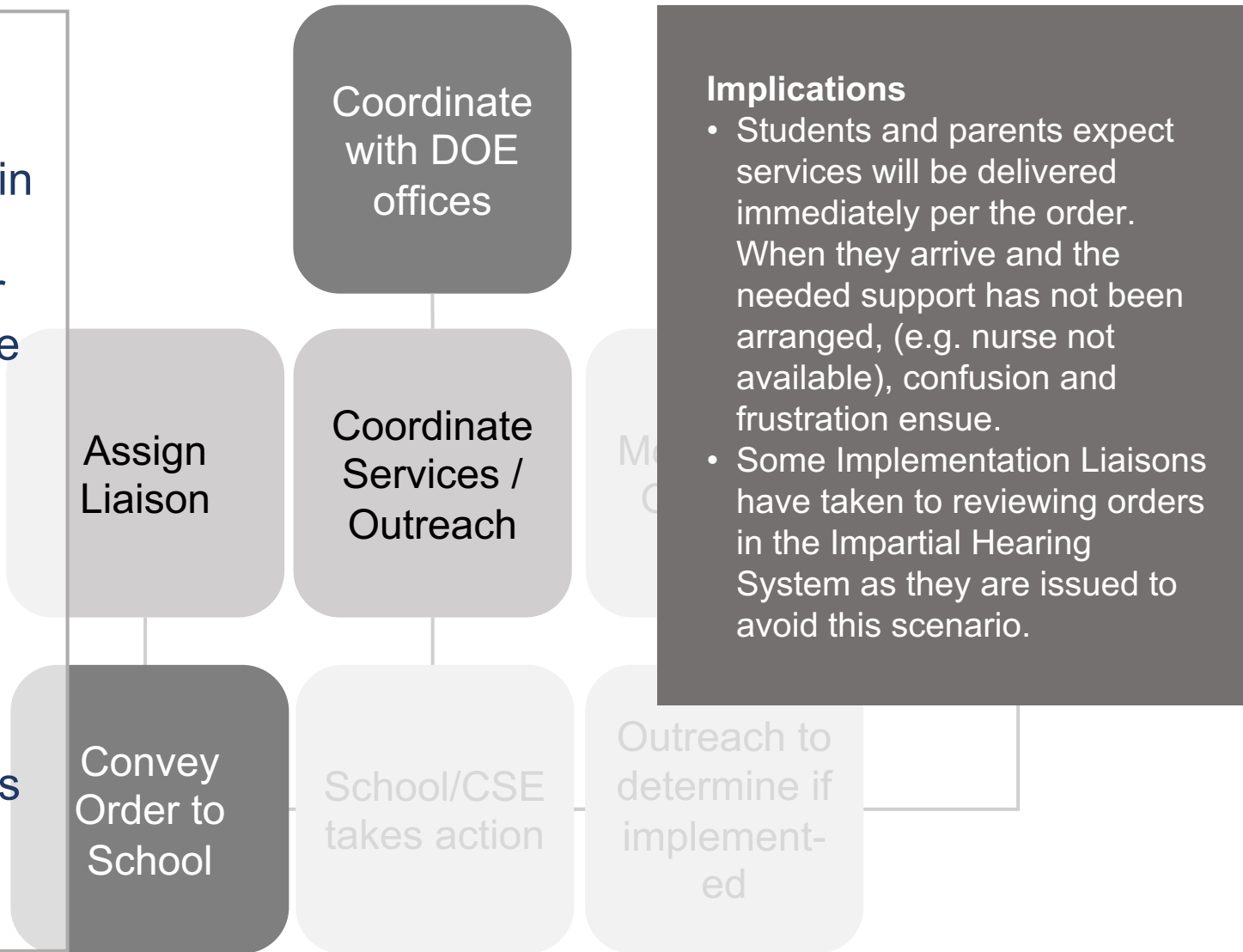
# Service Orders and Action Items

B-3c Service Orders arranged by DOE central offices, (such as transportation), follow a similar high-level process as the Implementation Liaison process for other service orders (both CSE and public schools): (1) the service action item is created; (2) a Liaison or point of contact is identified in the respective office; (3) emails are exchanged among one or several offices; (4) services are arranged or an alternative is identified, (primarily over email or phone calls); and (5) evidence is ultimately uploaded to DAITS.



# Service Orders and Action Items

B-3d The backlog in the process of data entry / approving orders may result in a delay in notifying the Liaison of the order. For example, an order is issued for the student to be placed in a school immediately with a need for nursing service; the student arrives, however, the order from DAITS has not been entered and received yet by the Liaison; therefore, the need for nursing services has not yet been communicated to the school.

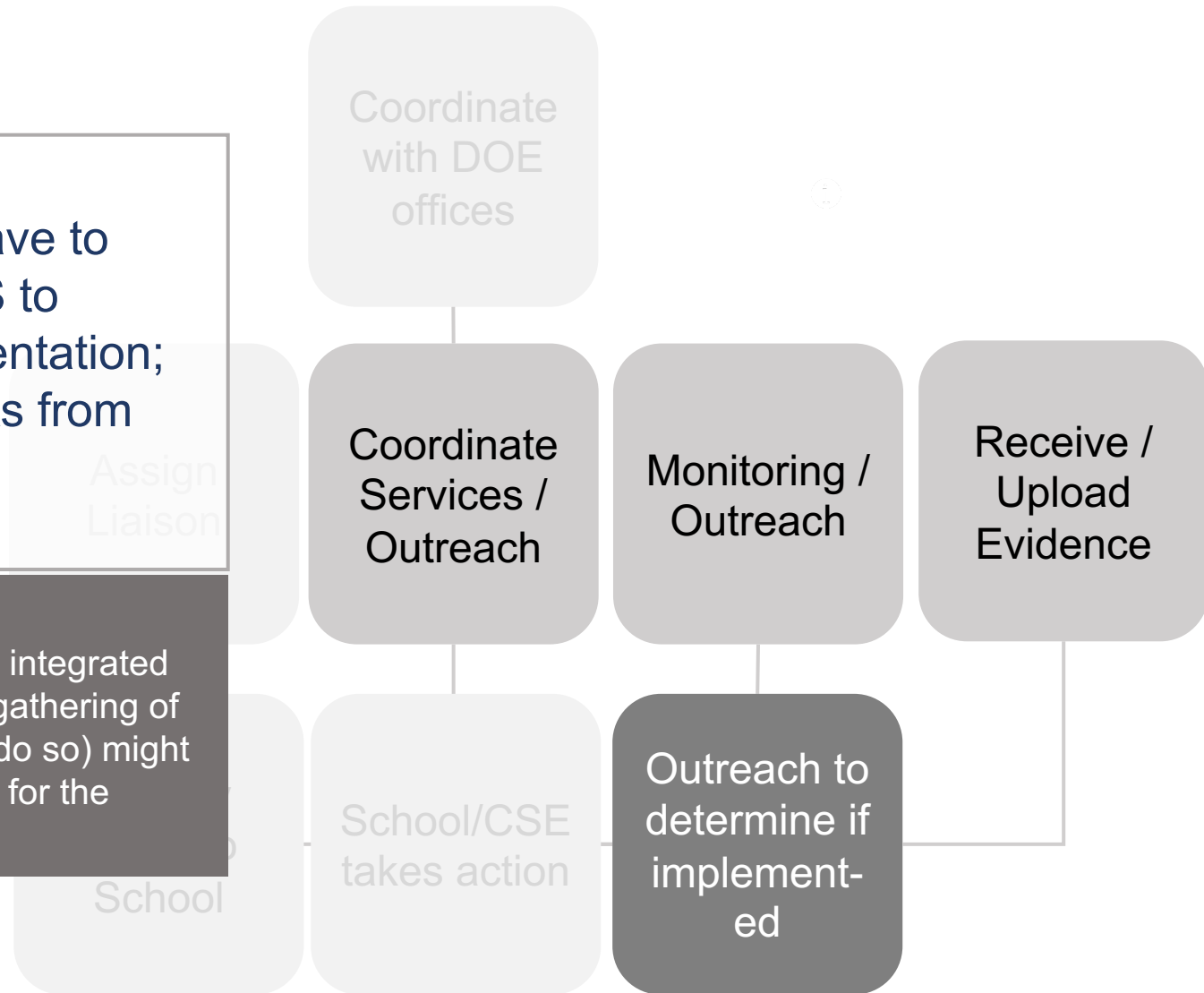


# Service Orders and Action Items

B-4 Implementation Liaisons have to use both SESIS and DAITS to gather evidence of implementation; and often upload documents from SESIS into DAITS.

## Implications

- The two systems are not synchronized, integrated or connected in any way. If they were, gathering of evidence (and the outreach needed to do so) might be rendered moot by simply monitoring for the necessary evidence in SESIS.

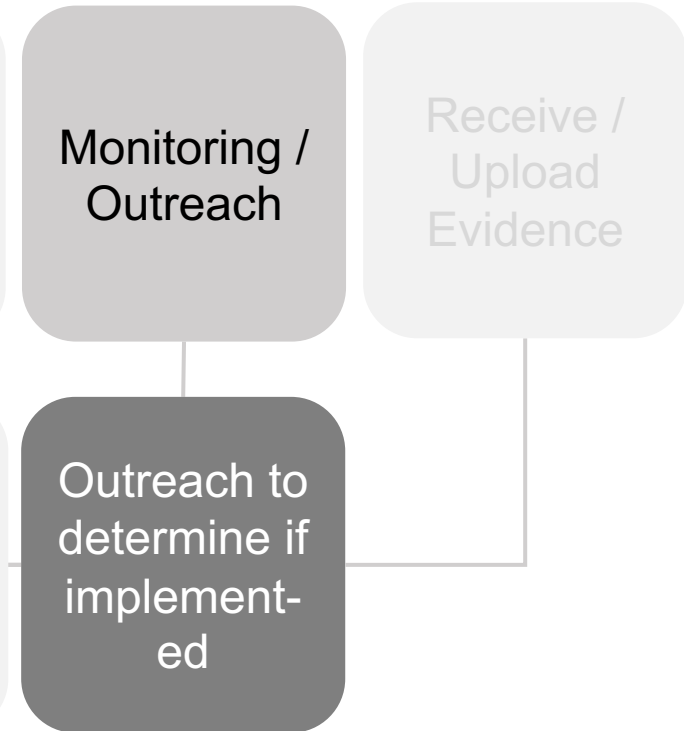


# Service Orders and Action Items

B-5 As opposed to a workflow system, email is the system used to gather evidence of implementation of service action items, including tracking details of current status, key documents needed, key documents collected, etc. Evidence of implementation is gathered through this correspondence by Liaisons and Implementation Managers. The Implementation Liaison's primary role is to conduct outreach, (e.g., they may need to contact the parent or work with the school to fulfill an action item).

## Implications

- NYC DOE lacks a workflow system to facilitate the service action item process and centralize documentation.



# Service Orders and Action Items

B-6 The Implementation Liaison data-gathering process is manual and reactive. Once gathered via email, the Implementation Liaison or Implementation Manager will manually upload the necessary documentation to DAITS (showing the action has been completed; implemented).

## Implications

- All relevant email correspondence and attachments (for all service action items) are manually uploaded to DAITS where they serve as evidence of implementation. This leaves room for human error (e.g., incorrect documentation).

Monitoring /  
Outreach

Receive /  
Upload  
Evidence

Outreach to  
determine if  
implem-  
ed

# Service Orders and Action Items

B-7 DAITS is inconsistently used by Liaisons outside the IU for monitoring their action items. Some Implementation Liaisons use DAITS to maintain their list of action items, and some maintain their own spreadsheet.

## Implications

- There is not a standard way Liaisons monitor the status of their assigned action items. This leads to inconsistent and varied monitoring operations.

# Service Orders and Action Items

B-8 The Implementation Liaison data-gathering process is manual and reactive. Once gathered via email, the Implementation Liaison will manually upload the necessary documentation to DAITS (showing the action has been completed; implemented). This is essentially redundant with SESIS because the systems/processes are not linked.

Impartial  
Hearings  
DOE IHO

Receive /  
Upload  
Evidence

## Implications

- All relevant email correspondence and attachments (for all service action items) must be manually uploaded to DAITS where they serve as evidence of implementation



Overall Findings

Implementing  
Payment Orders  
and Action Items

Implementing  
Service Orders  
and Action Items

Staffing Needs of  
the DOE  
Implementation  
Unit

DAITS and  
Relevant Systems

Implementing  
Orders & Action  
Items Outstanding  
35+ Days

Monitoring  
Processes &  
Standards for  
Compliance

# Detailed Service Order Process

**Unpacking**

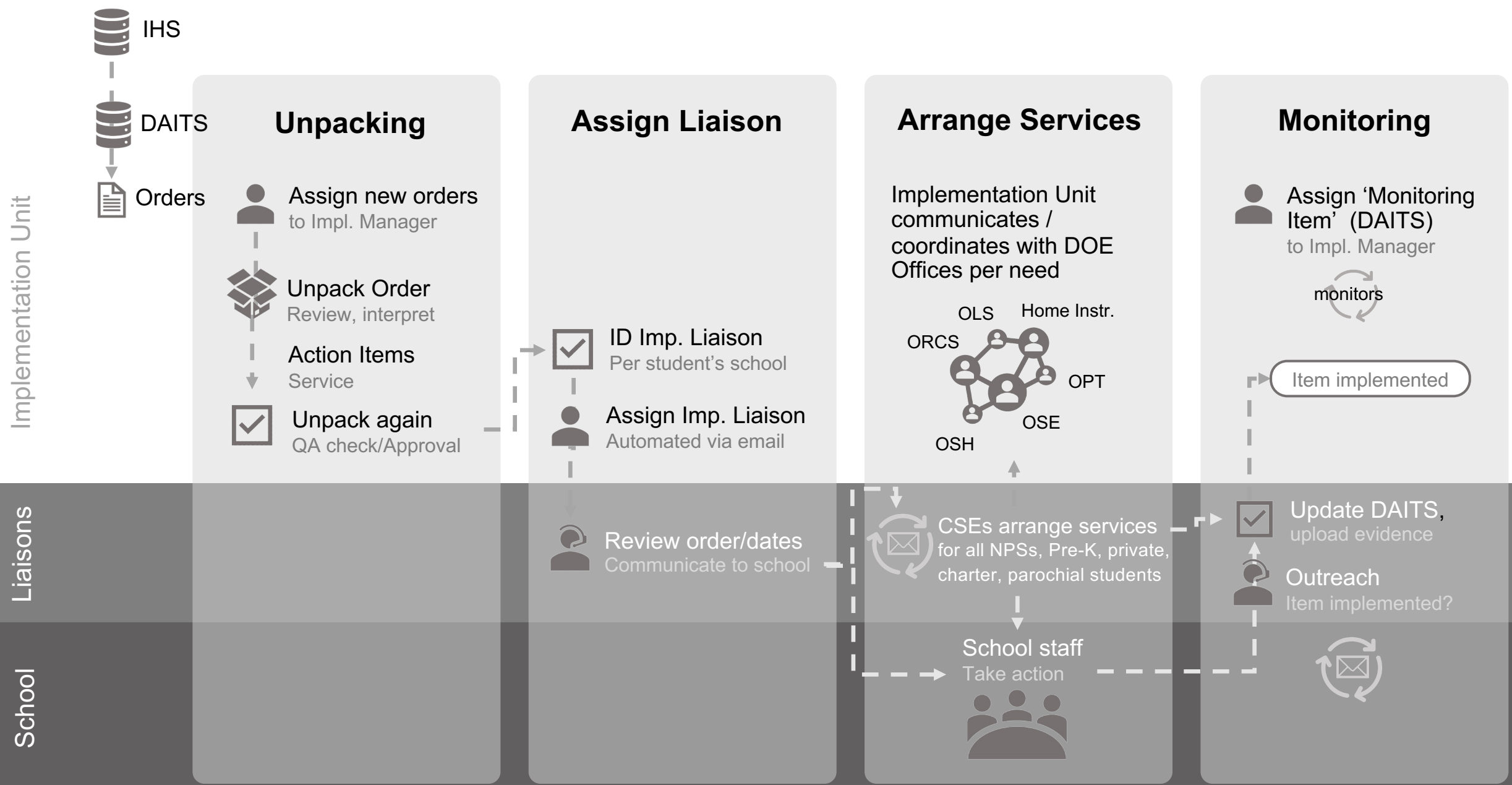
**Assign  
Liaison**

**Arrange  
Services**

**Monitoring**

**Implementation Unit  
Service Order Sub-Processes**

Service Orders (Current State)



Overall Findings

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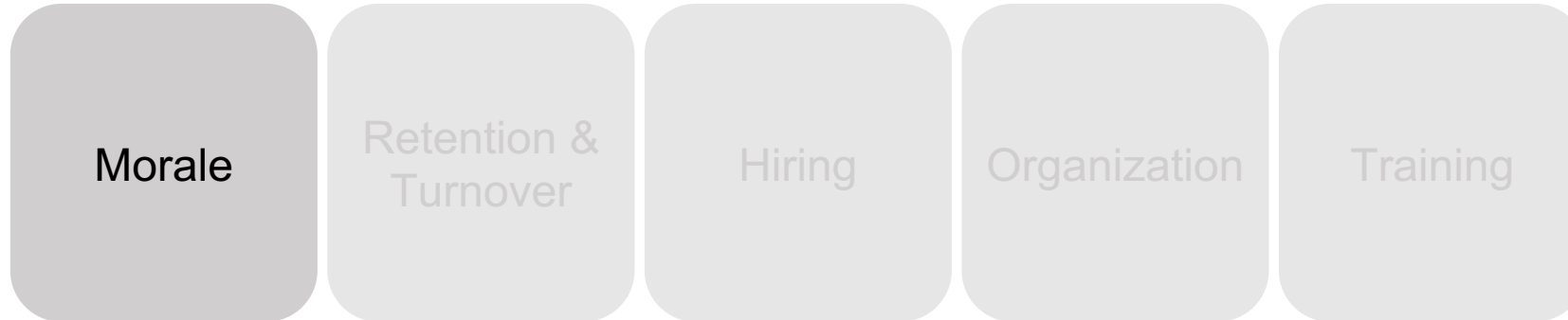
# Staffing Needs of the DOE Implementation Unit

# Staffing of the Implementation Unit



The above categories of talent and human resources were reviewed to inform the following findings related to the staffing of the Implementation Unit.

# Staffing of the Implementation Unit

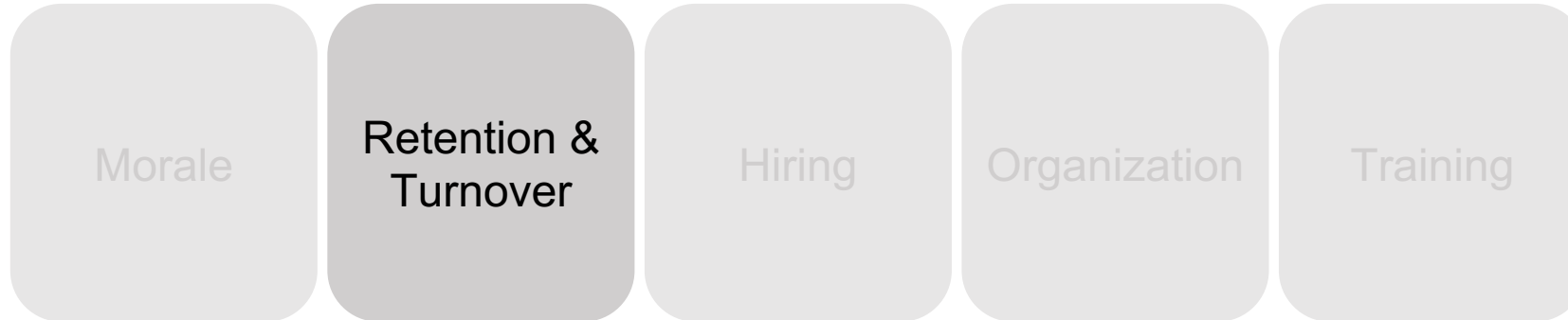


C-1 The extensive backlog of action items and invoices is overwhelming to staff. Many staff members in the Implementation Unit are frustrated, overworked, burned out, or generally feel unsupported by the broader DOE.

## Implications

- Morale is generally low and Implementation Unit staff are hopeful of major changes.
- There is a large risk of losing long-tenured staff and leaders with institutional knowledge.

# Staffing of the Implementation Unit



C-2 Recently, the Implementation Unit has had a high number of staff leave/quit, consultants' P.O.s expire, staff reassigned (6), or staff redeployed (e.g. to a school, due to pandemic).

## Implications

- This is highly disruptive to Implementation Unit operations and negatively impacts the backlog of payments.
- This requires increasing amounts of time, effort spent on reviewing candidates CVs, interviews, hiring, training, etc. by Implementation Unit leadership.

# Staffing of the Implementation Unit



C-3 Hiring has been an immense challenge for the Implementation Unit due to a variety of factors, such as (a) the competitive hiring process of the DOE is constrained by archaic rules (e.g. rankings, interview protocols (2 questions), "1 in 3" rule); (b) uncompetitive salaries offered to candidates, (c) civil service regulations severely limit the candidate pool.

## Implications

- There have been several unfilled positions for 1+ year, (e.g., Associate Director). 20 positions just approved, which will be a huge challenge given hiring constraints.
- Qualified candidates cannot apply to positions in most cases if they are not members of the civil service (competitive class).
- IU leadership is presented with limited or no qualified candidates through the competitive civil service hiring process.
- Due to the depth of expertise needed, along with a lack of automation and workflow (which would simplify the process), DOE must rely on the limited external candidate pool of individuals with the requisite knowledge of NYC special ed law.



# Staffing of the Implementation Unit

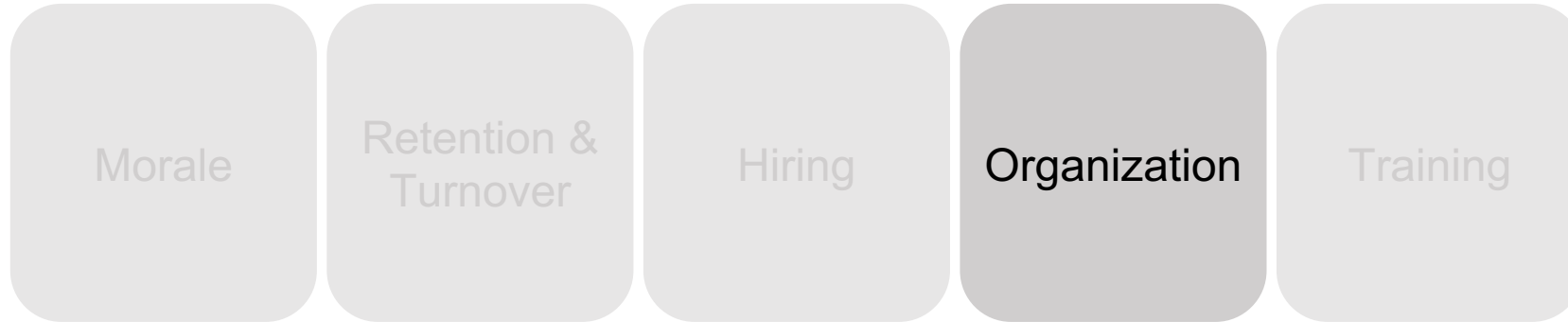


C-4 Most interviewees believe that additional staffing is the answer to the current backlog and issues with volume.

**Implications**

- Additional staffing is a short-term solution that does not get at the root of the problem, inefficient processes and insufficient enabling technologies to support the IU's work.

# Staffing of the Implementation Unit

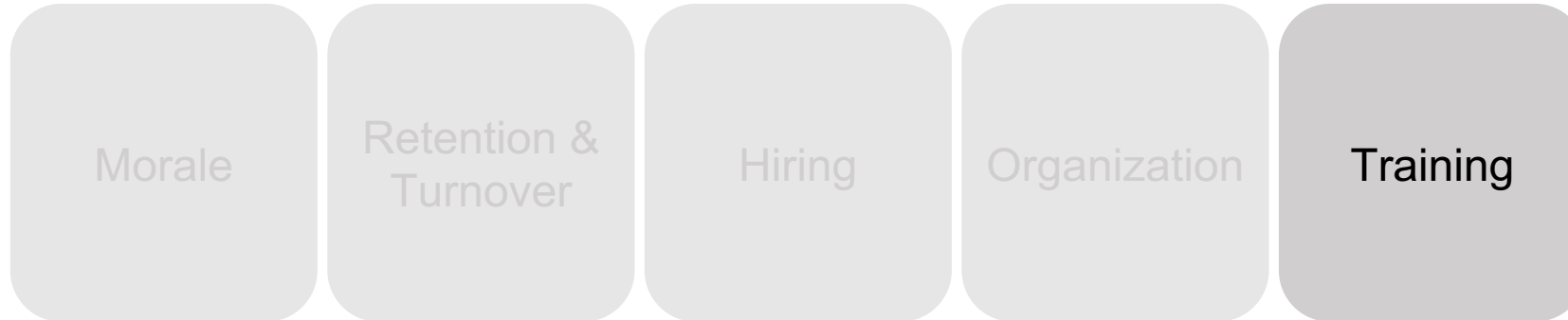


C-5 The Implementation Unit is not organized as a team, but rather operates as individuals performing functions in silos.

## Implications

- This does not create ideal conditions (trust, collaboration) for knowledge sharing, coordination and communications (internal and external).

# Staffing of the Implementation Unit



C-6 Training is conducted primarily through experience and coaching. There is not a formal Training program for the LV work, nor any recent training materials.

## Implications

- Given the complexity of the processes, a lack of adequate training/program leads to a longer onboarding process for staff.
- Training is complicated by the existing disjointed and undocumented processes.

Overall Findings

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Payment Orders  
and Action Items

Implementing  
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Staffing Needs of  
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Unit

**DAITS and  
Relevant Systems**

Implementing  
Orders & Action  
Items Outstanding  
35+ Days

Monitoring  
Processes &  
Standards for  
Compliance

# DAITS and Relevant Systems

# DAITS and Relevant Systems



The above categories regarding the management and life cycle of information systems were reviewed to inform the following findings related to DAITS and relevant systems.

# DAITS and Relevant Systems



D-1 DAITS is a custom application built over a decade ago to support the Implementation Unit, and has not been significantly enhanced since, (i.e., no product life cycle processes), despite requests.

## Implications

- A lack of enhancements means it has not kept up with the business and workflow demands of the Implementation Unit.
- Built over 10 years ago on an older development framework (.NET 3.5) means future challenges and obstacles to leveraging more modern web-based technologies, (e.g. cloud, analytics, mobile). It will not run on modern web browsers, like Chrome and Firefox.

# DAITS and Relevant Systems



D-2 DOE has not prioritized the resources needed to maintain DAITS over the years. DAITS has been neglected from a resource perspective for years (no funds or staff, despite requests). There has been no technical/development team or staff dedicated to DAITS.

## Implications

- There is not an existing and dedicated DAITS development team prepared to make any necessary upgrades.
- Institutional knowledge of the system's technical architecture and business logic resides with a single DOE staff person who is currently engaged full-time on several other DOE systems teams.

# DAITS and Relevant Systems



D-3 DAITS is mired in technical debt, which is the effect of cutting corners on maintenance and investments, (e.g., outdated user interface, runs on an unsupported web browser).

- Implications**
- Internet Explorer is no longer supported by Microsoft which means it will cease to receive security updates, potentially opening the DOE to vulnerabilities. "Implementation Unit staff have trouble accessing IE because DOE IT (DIIT) no longer supports the outdated browser (and keeps deleting it off their operating systems).
  - The estimate to modernize DAITS and bring it up to a fully functioning, web-based application is significant, (1+ yrs, 1+ FTEs); i.e., just maintenance, not enhanced functionality.



# DAITS and Relevant Systems



D-4 DAITS regularly crashes (causing the user to restart their work), times out (after seconds, causing the user to restart their work), and is generally slow to process data.

## Implications

- The system is counterproductive, at best. Trust has been eroded, and it is not viewed as a reliable system by the user community.
- The system's performance causes extreme frustration to the user community, results in lost work (rework), and squanders hundreds (if not thousands) of hours in lost productivity annually.

# DAITS and Relevant Systems



D-5 DAITS was designed over 10 years ago and has not been redesigned or enhanced since. This, not surprisingly, leads to an outdated user interface (UI), a lack of common UI standards, (e.g. selecting multiple documents upon upload), and is generally inefficient at facilitating the IU's processes of the present day. See Appendix IV for sample screenshots.

## Implications

- Most users are frustrated with DAITS.
- DAITS does not reflect the IU processes as they've evolved over the last decade.
- The system's poor usability adds to the time/effort needed to process Orders.

# DAITS and Relevant Systems



D-6 DAITS often requires that users remember detailed information from a previous screen, defying a basic usability principle.

## Implications

- This often requires users to have two windows open to be able to retrieve necessary information and cut and paste it from screen to screen. This is a significant obstacle to a usable and efficient system.

# DAITS and Relevant Systems



D-7 DAITS requires that users manually calculate pro-rated amounts in authorizing prospective or pendency payments. Users are forced to use a desk calculator to determine the appropriate payment amount.

## Implications

- A web-based application would ideally have this logic and ability to calculate such payment amounts built into the functionality of the system. The current system leads to longer processing times and the potential for error.

# DAITS and Relevant Systems



D-8 DAITS lacks useful reporting features and notifications commonly expected of web-based applications, which would be very helpful in managing daily IU operations. For example, the system does not display a list of incoming orders (i.e., those that came in the previous day).

## Implications

- IU staff must rely on spreadsheets and Cognos reports generated daily by DIIT to monitor new orders and assign them to Implementation Managers.
- Another example is neither DAITS nor FAMIS notifies IU leadership of final approval of a payment order needed in FAMIS. The current protocol is to review the Cognos report for pending approvals and then to search for the pay order in FAMIS.

# DAITS and Relevant Systems



D-9 DAITS and FAMIS contain very detailed business rules, calculations, and required functionality of NYC/Due Process/LV, which are almost certainly not inherent to any existing category of software product ("off the shelf").

## Implications

- Developing a new system to replace DAITS and quickly deploying it is unfortunately not a realistic scenario to remedying the current situation.
- The move to a case management process might be facilitated by a CRM system, but would require a change of DOE/IU business processes/rules.

Overall Findings

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Payment Orders  
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and Action Items

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Implementing  
Orders & Action  
Items Outstanding  
35+ Days

Monitoring  
Processes &  
Standards for  
Compliance

# Implementing Orders & Action Items Outstanding 35+ Days

# Implementing Orders & Action Items Outstanding 35+ Days

E-1 The DOE handles all cases and students the same and in the sequence in which Orders are received. As a result, there are no DOE processes specifically for implementing Orders and Action Items beyond the 35-day threshold.

## Implications

- There is no fast track or alternative workflow to facilitate outstanding orders, orders and action items beyond the 35-day threshold are not treated differently than any other case.

E-2 The manual and decentralized processes result in a time-consuming workflow (even for relatively simple orders), along with increasing volume, which results in orders not being implemented in a timely manner.

## Implications

- If the process (especially for payments) continues to employ a multi-stage approval process across various Divisions and NYC agencies that do not talk to each other, the process will always take more than 35 days.



Overall Findings

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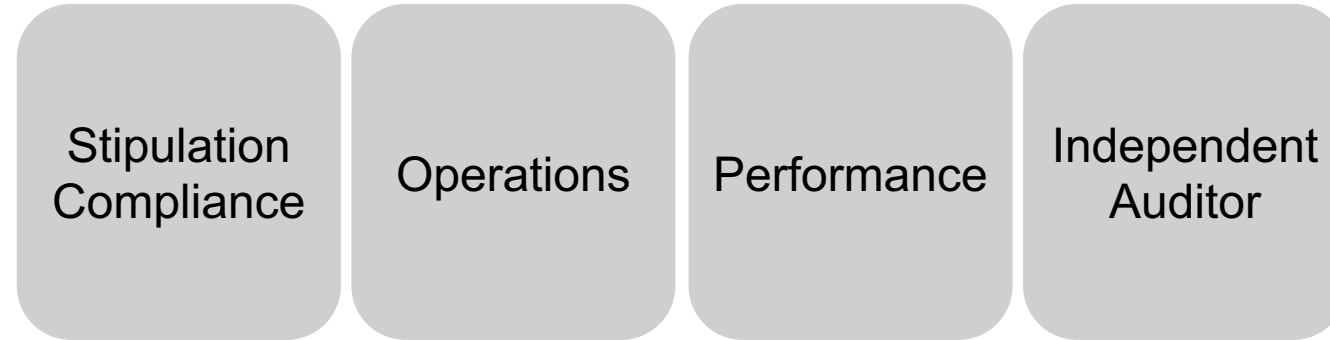
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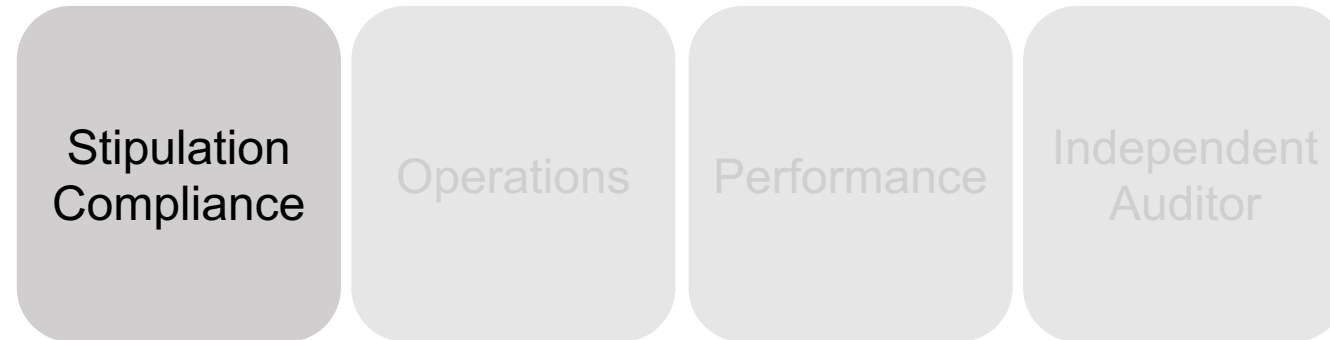
# Monitoring Processes & Standards for Compliance

# Monitoring Processes & Standards for Compliance



The above categories regarding the DOE's processes for monitoring LV compliance and their own performance were reviewed to inform the following findings.

# Monitoring Processes & Standards for Compliance

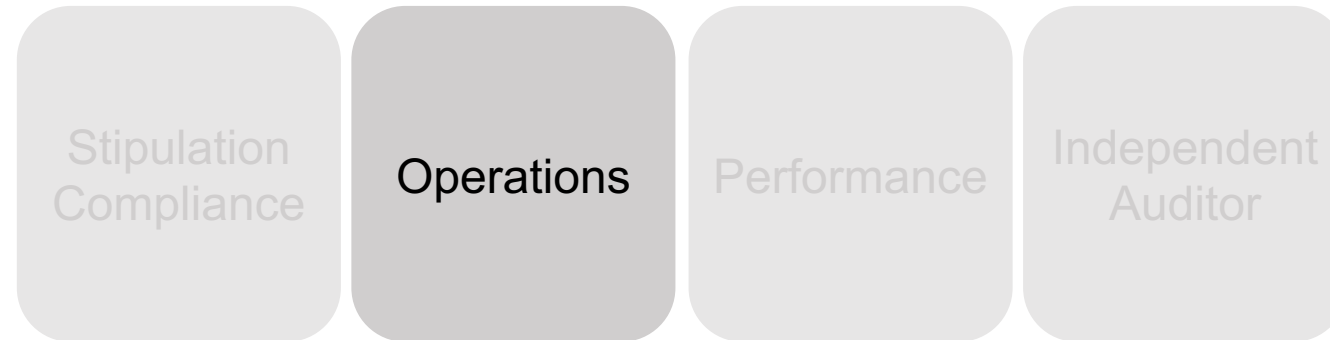


F-1 The Stipulation puts ownership of monitoring for compliance on the independent auditor and puts none on the NYC DOE (other than providing the data to the IA). As a result, NYC DOE has not historically employed its own internal resources in monitoring for compliance specifically with LV. On a case-by-case basis, Implementation Managers monitor for service compliance, but current volume makes this impractical and highly inconsistent.

## Implications

- The DOE does not have any people, processes or tools dedicated to monitoring outstanding action items and/or LV compliance. The DOE has inadequate tools and data to report the total/current volume of orders and payment items.

# Monitoring Processes & Standards for Compliance

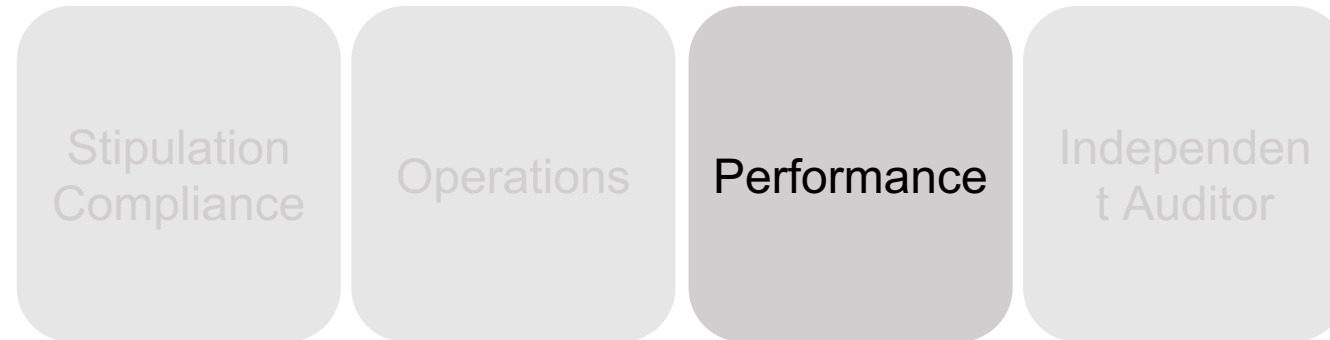


F-2 The Implementation Unit monitors data on incoming orders daily (via a Cognos report; outside of DAITS) as a means of assigning Orders to Implementation Managers, but, due to system/data constraints, cannot proactively monitor outstanding orders (35+ days), calculate the backlog volume, or generally measure LV compliance (the IA's role).

## Implications

- There is a lack of authoritative data on LV compliance and DOE progress because a formal monitoring process has not been established by DOE. DOE does not know the number, aging, or time to completion of total outstanding orders at any given time

# Monitoring Processes & Standards for Compliance

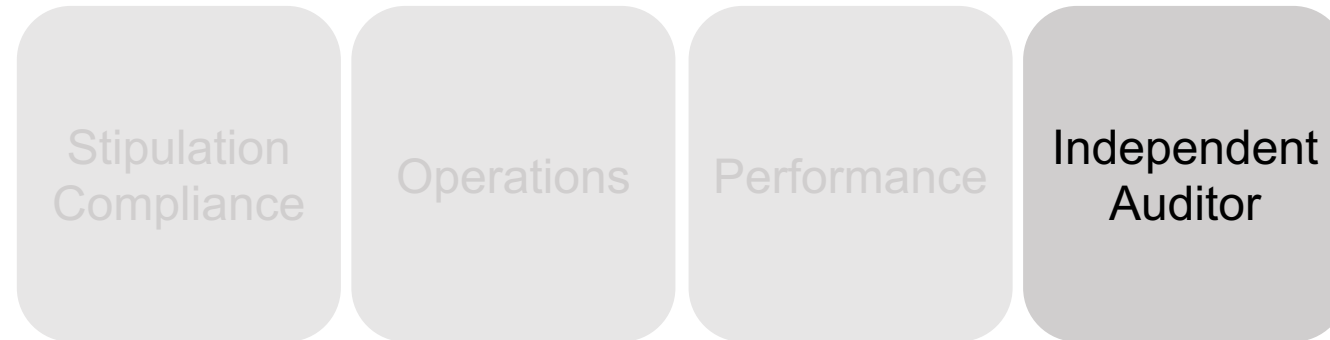


F-3 The Implementation Unit recently (in 2021) started monitoring the caseloads and performance of Authorizers (Payment Specialists), but has not historically had a tool or process to monitor performance of staff or the Implementation Unit overall.

## Implications

- Generally, the DOE does not monitor performance of IU staff or the goals of the Implementation Unit (outside the IA/Stipulation).

# Monitoring Processes & Standards for Compliance



F-4 The IA (Guidehouse) follows a near-identical, parallel process of unpacking orders (see Appendix III for IA’s specific workflows): reviewing, data entry, approval by team leaders, examination of evidence and due dates, etc. This is done using DAITS data, but is wholly independent of DOE processes. This is performed by about 15 staff members of Guidehouse, which is not enough as they are experiencing a significant backlog, as well.

## Implications

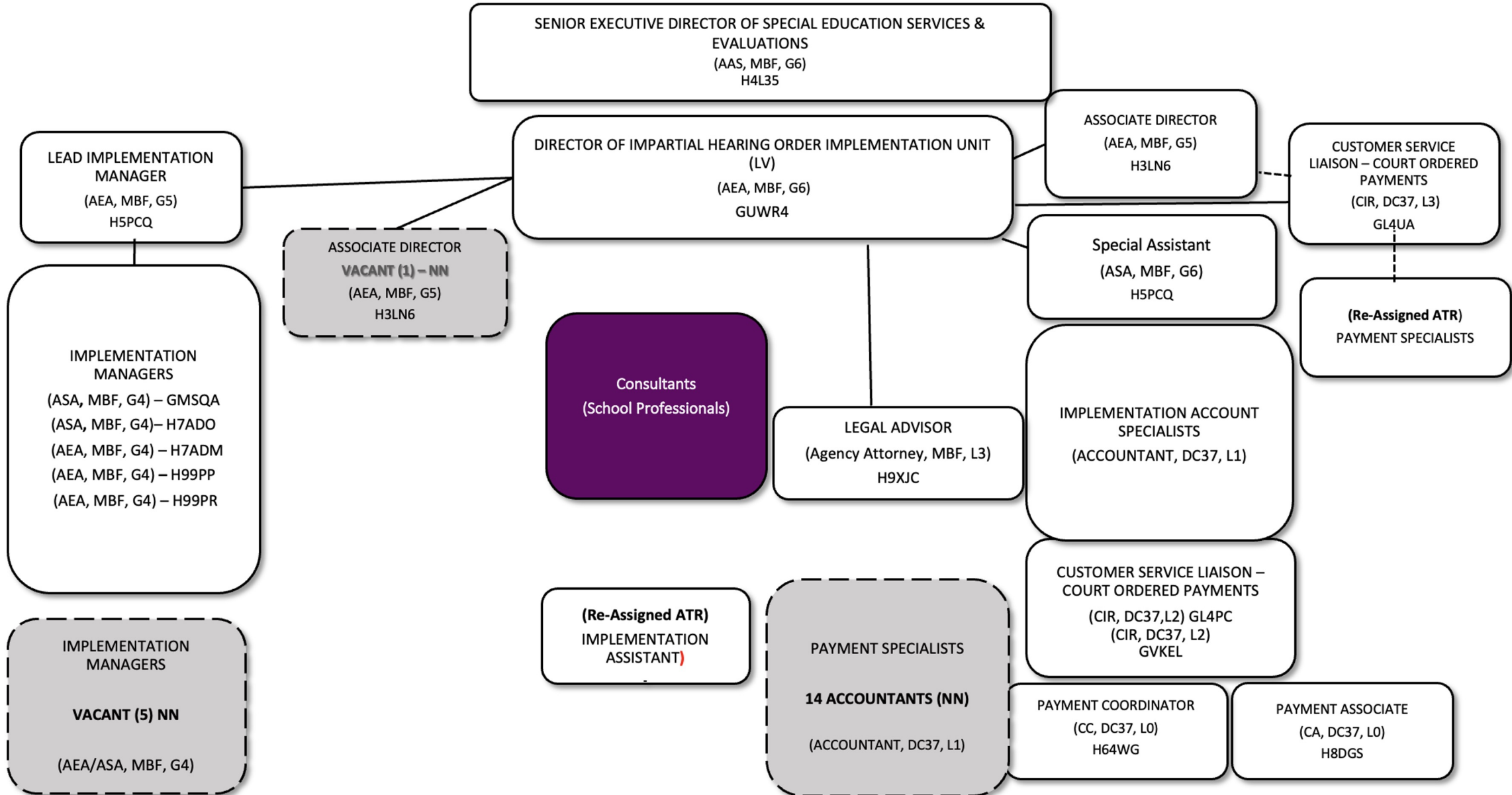
- This is not the typical function of an auditor. In the LV case, the IA is acting more as third party oversight, accounting for the measurement of compliance. This is time-consuming, expensive, and does not promote DOE accountability to measure itself.

# Appendix

# Appendix I: IU Organizational Chart



# Organizational Chart of the Implementation Unit




# Appendix II: Historical Context


## From the Stipulation



On December 12, **2003**, Lead Plaintiffs filed a class action alleging violations of the due process clause of IDEA and NYS law.



On April 14, **2004**, Lead Plaintiffs filed their second complaint alleging DOE's failure to comply is a systemic problem, as the orders are not enforced or implemented in a timely, effective and comprehensive manner – and alleges DOE lacked effective policies and procedures and did not develop or maintain a system to effectuate the orders.



On May 22, **2007**, the DOE filed their response denying any liability, wrongdoing, or violation.

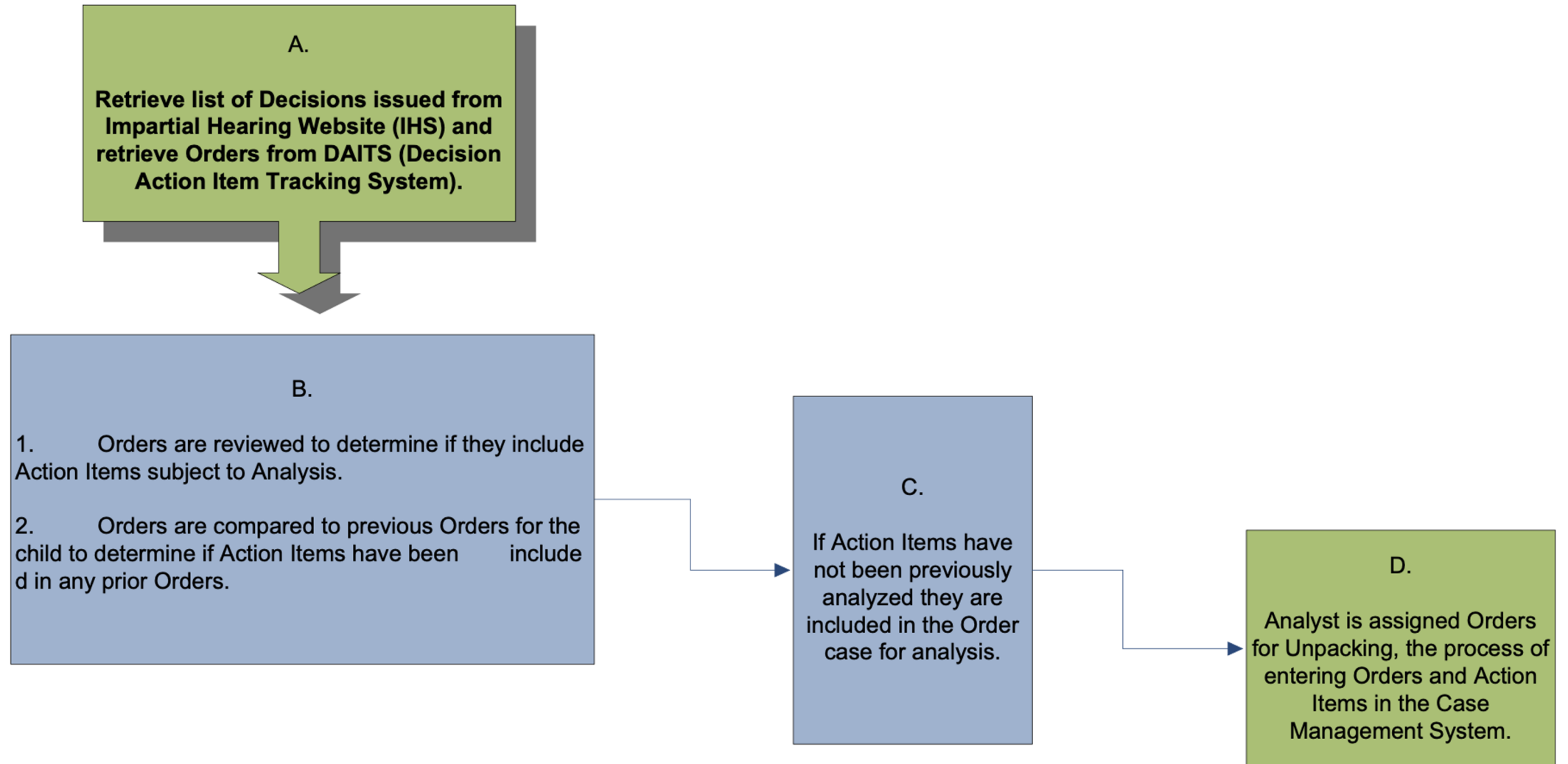
Parties engaged in extensive assessment.



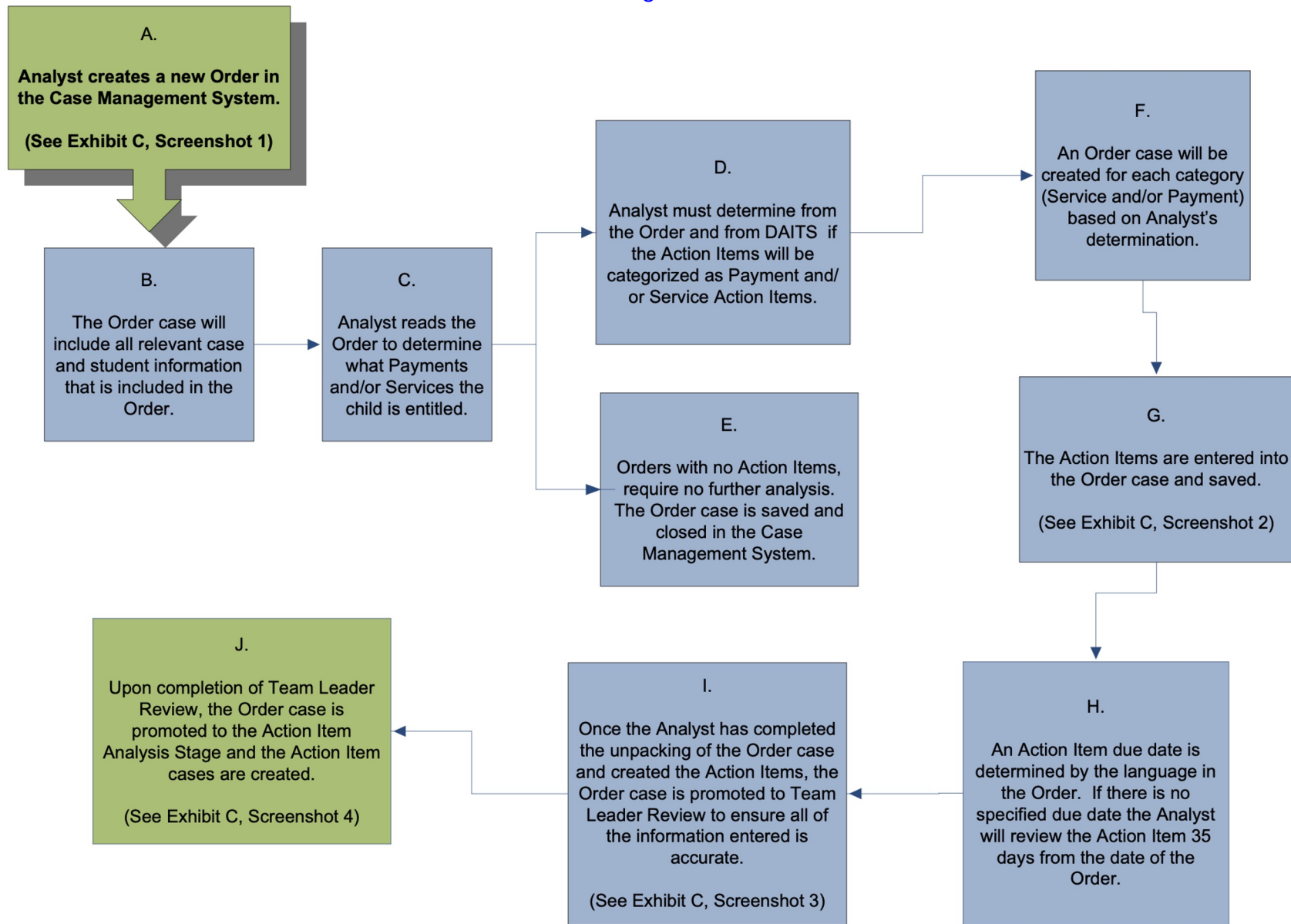
December **2007** – Parties entered into the Stipulation  
April 2008, court approved Stipulation

# Appendix III: Independent Auditor Processes

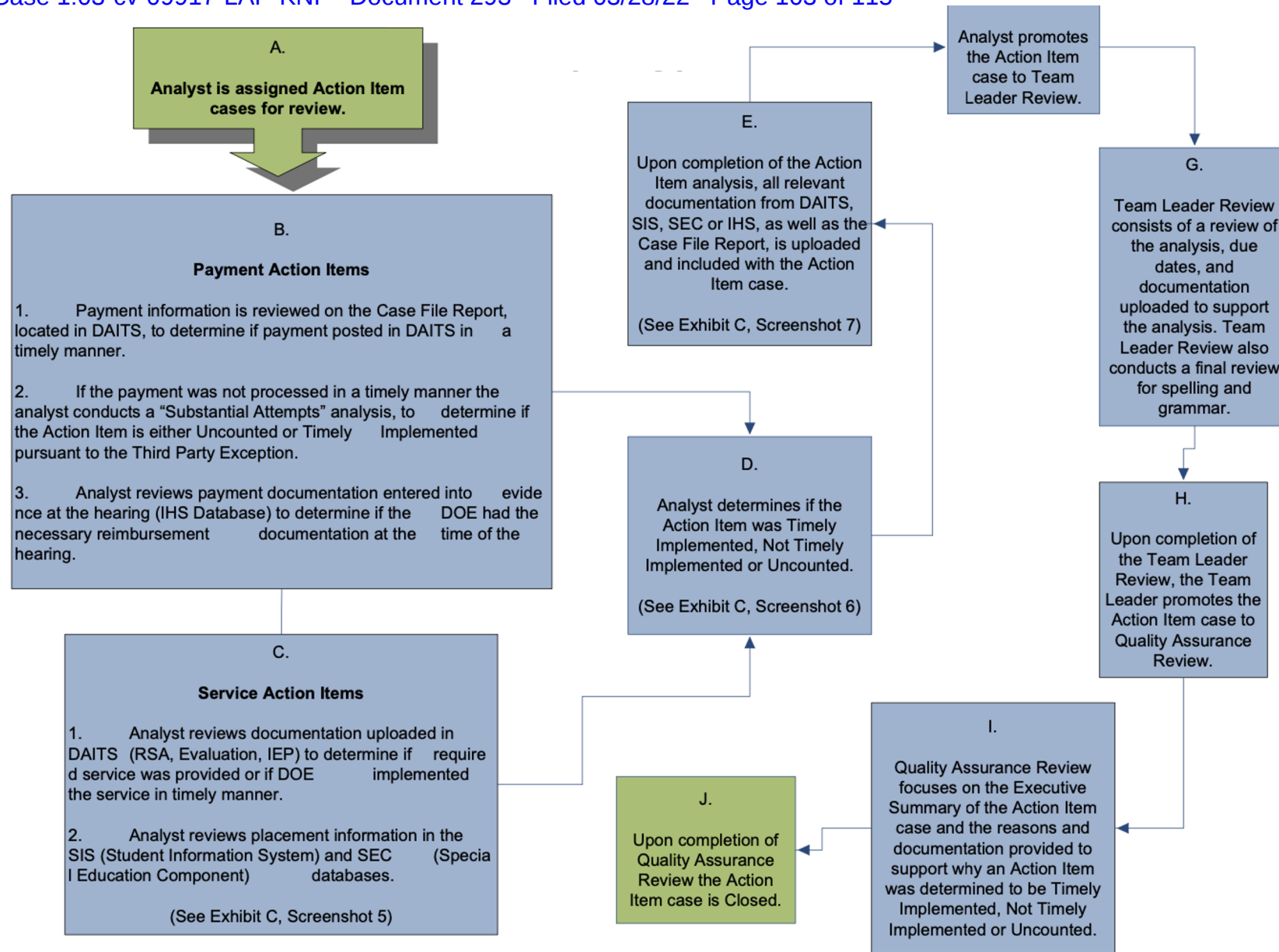
## Independent Auditor: Initial Order Review (weekly)



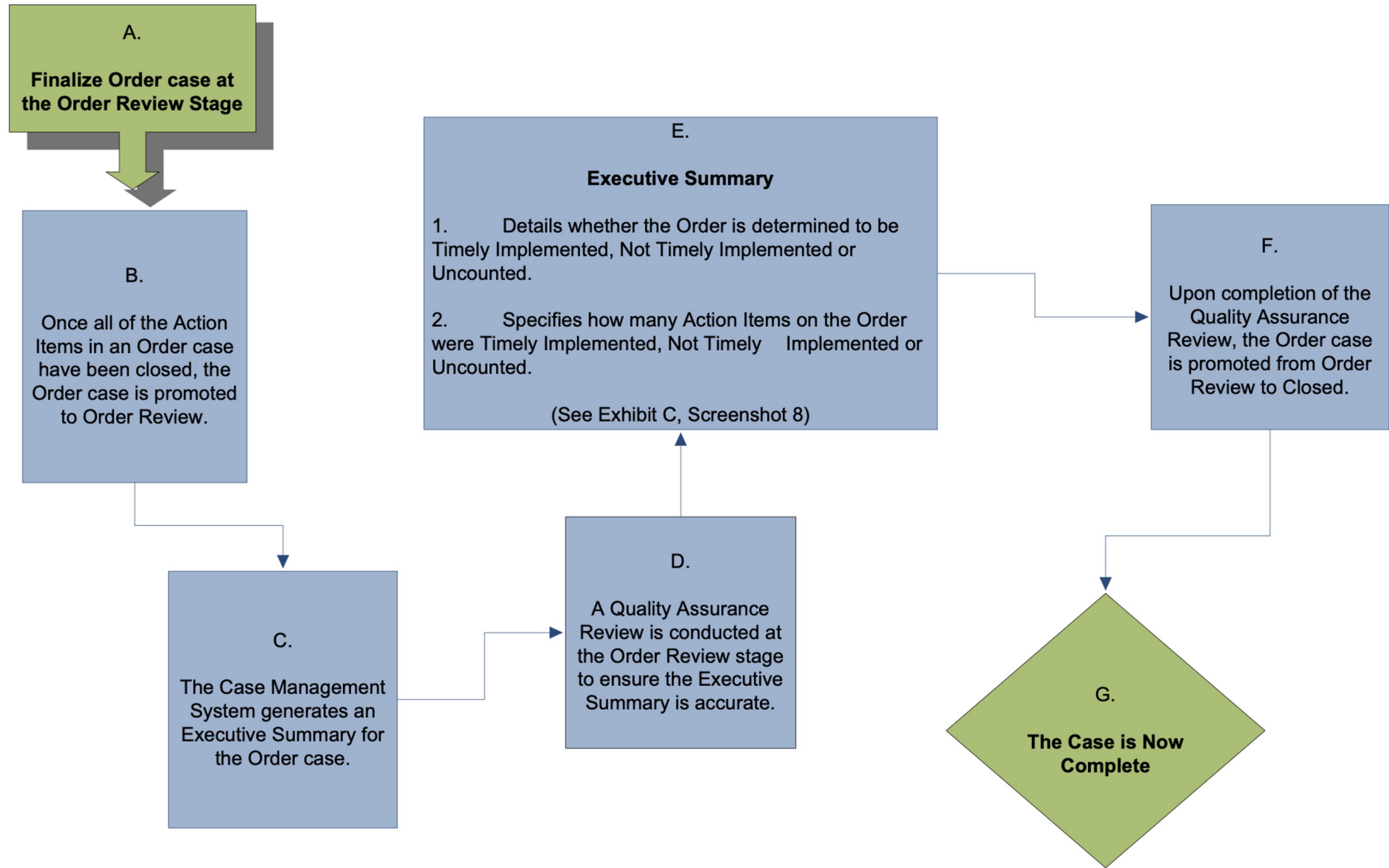
# Independent Auditor: Unpacking Orders / Creating Action Items (daily)



# Independent Auditor: Action Items Analysis (daily)



# Independent Auditor: Final Order Review (weekly)





# Appendix IV: Sample System Screenshots

Browser address bar: <https://vendor.finance360.org/standalone/daits/StudentCaseSearch.aspx>

Search Case | This website works better in Mi...

# NYC Department of Education

## DAITS

Home, Patrick Sullivan | Logout

### Action Item Add

**ACTION ITEM**

Case Number : [REDACTED]

Implementation Liaison : \*\*\*Select\*\*\*

Action Item Type : \*\*\*Select\*\*\*

Sub Type : \*\*\*Select\*\*\*

Due Date : 01/17/2022

Implementation Status : Open

Compensatory :

Action item detail : [Text Area]

Implementation Comment : [Text Area]

Decision Documents : \*\*\*Select\*\*\*

[Add a decision Document](#)

Case #
216432
202063
<b>ACTION ITEM</b>
3
4
1
2

Search

Links

[Enter Financial Transaction](#)

https://vendor.finance360.org/standalone/daits/StudentCaseSearch.aspx

Search Case | Daitis Case Files | Welcome to NYC Payee Infor...

**NYC Department of Education**

**DAITS**

Welcome, Mia Gurley | Logout

DAITS - Prospective Form -- Webpage Dialog

https://vendor.finance360.org/standalone/famapp/IHO/DAITSProspective.aspx?params=95B1glkeDENjMzaOBu51m3T2zVIUHfzLyyV/uaia6llhw5bHHuowceCuitzU77ZDtpI4dOhzajUnsWcDBV2zyQKSMF

**General**      **Prospective Form**      **Assessment Date : 12/13/2021**

**IHO Case # :** [REDACTED]      **OSIS # :** [REDACTED]      **Student Name :** [REDACTED]      **Current Pendency Status:** **Yes**

**Tuition** [v]

**Services (Related, Compensatory or Other)** [x]  [v]

**Decision Date :**  [v]

**Payee Tin Number :** [REDACTED] [magnifying glass]

**Payee Email Address :** [REDACTED] [magnifying glass]

**Vendor Code :** [REDACTED] [v]

**Identify RS Provider :** [REDACTED]

**Payee Name :** [REDACTED]

**Total Cost :** [REDACTED]

**Payee Type:**  [v]

**Duration of Service (mm/dd/yyyy):** [REDACTED] [REDACTED]

**Not to Exceed Service Rate :** [REDACTED]

**Number of Sessions/Not to Exceed :** [REDACTED]

**Minutes Per Session :** [REDACTED]

**The Following Proof was submitted :**

- Invoice on school/provider letterhead
- Notarized affidavit from provider indicating parent's verification of service
- Acceptance letter with service start dates
- Attendance records

**Assessment Fee :** [REDACTED]

**Registration Fee :** [REDACTED]

**Comments :** [REDACTED] [v]

**Add**

**Student Case** | Case History | Action Item Reassignment | Reports | Supervisor Mapping

Refresh Search

Case #	Student Name	Student #	Dist.	Office of Multiple Origin Decisions	DAITS Case Status	Latest Decision Sent Date	Due Date	Days left	Waiting for 3rd Party	Links
[Redacted]	[Redacted]	[Redacted]	03	CSE 10	N	Implementing	12/08/2021	01/12/2022	30	[Icons]
ACTION ITEM	IMPLEMENTATION LIAISON	ACTION ITEM TYPE	DECISION DATE	DUE DATE	IMPLEMENTATION STATUS	COMPLETION DATE	PAYMENT STATUS	WAITING DAYS	DAYS LEFT	Links
1	Michael Dan Aymar Blair	Prospective Payment	12/08/2021	01/12/2022	Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
2	Michael Dan Aymar Blair	Prospective Payment	12/08/2021	01/12/2022	Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
3	Michael Dan Aymar Blair	Prospective Payment	12/08/2021	01/12/2022	Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
4	Michael Dan Aymar Blair	Prospective Payment	12/08/2021	01/12/2022	Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
5	<b>Action Item Detail:</b>				Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
6	Per the Pendency Order, the DOE shall fund the student's receipt of 5 hours per week of 1:1 SLT on a 12-month basis. Pendency is effective from 3/15/21 until the conclusion of the case.				Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
7					Ready to Be Implemented		Pendency - No Authorization		30	<a href="#">Enter Financial Transaction</a>
8	Blair				Ready to Be Implemented				30	

1 - 1 / 1 Records

Case #	Student Name	Student #	Dist.	Office of Multiple	DAITS Case	Latest Decision	Due Date	Days Waiting for 3rd	Links
--------	--------------	-----------	-------	--------------------	------------	-----------------	----------	----------------------	-------

Case Number [REDACTED] Student Number : [REDACTED] Student Name : E [REDACTED] - DOB : [REDACTED]

Home Phone # : Work Phone # :

**CASE INFO**

Org Compliance Date : **12/17/2020** School Number : **840** Case date : **11/17/2020**  
 New Compliance Date : **12/10/2021** Decision Date : **11/06/2021** District : **14**  
 District Representative : **Colene Morton Scott** Closed : **Not Closed** BOE Lawyer :  
 Parent Lawyer : **Elissa Stern** Withdrawn Date : Office of Origin : **CSE 8**  
 Parent Lawyer's Firm : **Law Offices of Neal H. Rosenberg** IHS Case Status : **Hearing Scheduled**  
 Parent Lawyer Phone # : **(212) 732-9450** Translator Required Language :

**EDITABLE**

Case Status :  Case Type :   
 Current Pendency Status :  Start Date :  End Date :   
 Private/Public :  Prevailing party :   
 Involves pre-school services :  Notice To Appeal :   
 Approve OLS Changed By : GHoward5 on 12/06/2021

[REDACTED]	15	CSE 8	N	Implementing	11/05/2021	12/10/2021	0	
------------	----	-------	---	--------------	------------	------------	---	--

Refresh Search

Case #	Student Name	Student #	Dist.	Office of Multiple	DAITS Case	Latest Decision	Due Date	Days	Waiting for 3rd	Links
Case Number : [REDACTED]	Student Name : [REDACTED]	Student Number : [REDACTED]								

Case Number : [REDACTED] Student Number : [REDACTED] Student Name : [REDACTED] - DOB : [REDACTED]

Case Info Document Communication

**DOCUMENTS** [Add](#)

No Records Found.

IHS DECISION DOCUMENTS	DATE DECISION MAILED TO PARENT ON	PAYORDER PARENT LETTER FOR OUTREACH			
		2ND LETTER		3RD LETTER	
		GENERATED BY	GENERATED DATE	GENERATED BY	GENERATED DATE
<a href="#">204082_BERLINER_OP_110621.pdf</a>	11/06/2021		2		3

**VENDOR OUTREACH NO W-9**

[Generate Vendor Outreach No W-9 Email](#)

[REDACTED] 15 CSE 8 N Implementing 11/05/2021 12/10/2021 0

1 - 20 / 59610 Records [Next](#)



Refresh Search

	<u>Case #</u>	<u>Student Name</u>	<u>Student #</u>	<u>Dist.</u>	<u>Office of Origin</u>	<u>Multiple Decisions</u>	<u>DAITS Case Status</u>	<u>Latest Decision Sent Date</u>	<u>Due Date</u>	<u>Days left</u>	<u>Waiting for 3rd Party</u>	<u>Links</u>
	[REDACTED]	[REDACTED]	[REDACTED]	14	CSE 8	N	Implementing	11/06/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	01	CSE 9	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	25	CSE 3	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	02	CSE 9	Y	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	21	KFSS	N	Implementing	11/06/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	15	CSE 8	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	21	CSE 7	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	08	XFSC	N	Implementing	10/20/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	03	CSE 10	Y	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	13	CSE 8	Y		11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	03	CSE 10	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	14	CSE 8	Y	Dismissed	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	02	CSE 9	Y	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	22	CSE 6	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	02	CSE 9	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	15	CSE 8	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	02	CSE 9	N	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	02	CSE 9	Y	Implementing	11/05/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	22	CSE 6	Y	Implementing	11/23/2021	12/10/2021	0		
	[REDACTED]	[REDACTED]	[REDACTED]	15	CSE 8	N	Implementing	11/05/2021	12/10/2021	0		

1 - 20 / 59610 Records

Next

# FAMIS Approval Mailbox



[Purchasing / Payments](#) | [Approval](#) | [Inquiry](#) | [Miscellaneous](#)

[Home](#) | [Help](#) | [Logoff](#)

**Approval Box** | [Rejection Box](#) | [Approval Tracking](#)

If you are looking for Core Curriculum orders to approve, click the 'Core Curriculum' link under 'Purchasing/Payments'.

Action:  Signature:  [Sign](#) [Signature Reset](#)

District/ Location:  Doc Type:  View Level:  Document:  [Go](#)

[Download Excel Spreadsheet](#)

Preview	Doc #	Init Dist/Loc	Total \$	Doc Type	App Type	Level	Track Code	Notes	Item List	Changed	Created	Days Out	Days In Box
---------	-------	---------------	----------	----------	----------	-------	------------	-------	-----------	---------	---------	----------	-------------

No documents found.



# IMPARTIAL HEARING FINANCIAL



- Purchasing / Payments
- Approval
- Inquiry
- Miscellaneous

**Daits Case Files Search**

- Open Daits Pay Orders
- Partial Daits Pay Orders
- Closed Daits Pay Orders

**Settlements**

- IHS Open Settlements
- IHS Partial Settlements
- IHS Closed Settlements
- IHS SEIT Settlements
- IHS Pendency 'Yes' Cases
- Ten Day Notice

**ERS Authorizations**

- Open Authorizations
- Partial ERS Authorizations
- Closed Authorizations
- Holiday Calendar

**Security Maintenance**

**Service Type List**

**Daits Case Files Search**

Case No [v] : [REDACTED] x [Search]

Case #	AI #	Service Type	Auth. Cost	Tin #	Payee Name	Provider	Student Name	P/F	Service Date	Referral Date	Status	Case Report	Docs	Due Date	Days Left
196535	1	Tuition	72369.03	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	P	07/17/2020 - 06/17/2021	12/08/2021	Closed	[i]	[d]	12/04/2020	
188571	2	Tuition	110000.00	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	P	09/01/2018 - 06/25/2019	12/10/2021	Closed	[i]	[d]	10/20/2021	
185012	1	Tuition	110000.00	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	P	09/01/2018 - 06/25/2019	12/10/2021	Closed	[i]	[d]	07/27/2021	
204968	1	Tuition	53700.00	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	P	09/01/2021 - 06/22/2022	12/10/2021	Partial	[i]	[d]	03/01/2021	
216768	1	Tuition	74725.00	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	P	09/13/2021 - 06/16/2022	12/10/2021	Partial	[i]	[d]	12/02/2021	
188571	4	Tuition	110000.00	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	P	09/01/2019 - 06/25/2020	12/10/2021	Closed	[i]	[d]	10/20/2021	
211001	1	Tuition	153814.52	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	N P	07/30/2021 -	12/10/2021	Partial	[i]	[d]	08/26/2021	

# IMPARTIAL HEARING FINANCIAL



^ Purchasing / Payments ^ Approval ^ Inquiry ^ Miscellaneous

- o **Daits Case Files Search**
  - o Open Daits Pay Orders
  - o Partial Daits Pay Orders
  - o **Closed Daits Pay Orders**
- o **Settlements**
  - o IHS Open Settlements
  - o IHS Partial Settlements
  - o IHS Closed Settlements
  - o IHS SEIT Settlements
  - o IHS Pendency 'Yes' Cases
  - o Ten Day Notice
- o **ERS Authorizations**
  - o Open Authorizations
  - o Partial ERS Authorizations
  - o Closed Authorizations
  - o Holiday Calendar
- o **Security Maintenance**
- o **Service Type List**

**PROSPECTIVE PAY FORM**

**Payment Disbursement Approval**  
**Current Pendency Status : Yes**

Case # : **196529**  
 Service Type : **SETSS 1**  
 OSIS [REDACTED]  
 Student Name [REDACTED]  
 Service Date : **07/06/2020 - 04/16/2021**  
 Email Address : **FINANCIAL@alphasupport.org**

Decision Date : 2/1/2021  
 Not to exceed Rate : 195.00  
 Amt of Sessions Not to Exceed : 185.00  
 Total Cost : 36075.00  
 Invoiced Amount : 0.00  
 Balance Amount : 36075.00



The Following Proof Was Submitted :

- Invoice on school/provider letterhead
- Notarized affidavit from provider indicating parent's verification of service
- Acceptance letter with service start dates
- Attendance records

Fee Description	Payee TIN	Fee	Date	PymtServ StartDate	PymtServ EndDate	0.00	Inv. Recd. Dt.	Inv.No	Voucher #
Registration	464809603	0.00				0.00			
Assessment	464809603	0.00				0.00			

Payee TIN	Date	Dist. Amount	Not to Exceed Rate	No. of Sessions	PymtServ StartDate	PymtServ EndDate	Inv. Amount	Inv. Recd. Dt.	Docs	IHO Invoice #	Voucher #	Actions	AI #	Submitted
[REDACTED]	07/01/2020	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	08/01/2020	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	09/01/2020	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	10/01/2020	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	11/01/2020	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	12/01/2020	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	01/01/2021	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	02/01/2021	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	03/01/2021	3607.50	195.00	0.00			0.00			Invoice			1	
[REDACTED]	04/01/2021	3607.50	195.00	0.00			0.00			Invoice			1	

OTHER ISSUED PAYMENTS BY OSIS ID FOR SERVICE TYPE: SETSS 1

# Contacts

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