

COUNTY AUDIT DEPARTMENT

REPORT # 385

QUARTERLY COCC FOLLOW- UP REPORT

July 17, 2020



Pat Frank INTEGRITY. TRANSPARENCY. ACCOUNTABILITY.

CLERK OF COURT & COMPTROLLER • HILLSBOROUGH COUNTY, FLORIDA



Date: July 17, 2020

To: Pat Frank, Clerk of Court and Comptroller

From: Heidi Pinner, CIA, CISA, CRMA, CFE, Senior Director, County Audit

Subject: Quarterly status of Clerk audit recommendations and management action plans

Dear Ms. Frank:

Attached is the quarterly report on the status of Clerk audit recommendations as of June 30, 2020. Due to the COVID emergency a status report for the second fiscal quarter was not issued. This report takes into account all corrective actions taken by management for both the second and third quarter of fiscal year 2020.

In compliance with the Institute of Internal Auditors Standard 2500, the County Audit Department monitors the implementation of management's corrective action plans in response to audit recommendations. Recommendations remain active and monitored until remediated or deemed obsolete.

For the quarter ended June 30, 2020, the County Audit Department monitored seven (7) management action plans. Two of these had corrective actions implemented in the second quarter and have been closed. The remaining five will remain open and will be carried forward to the fourth quarter.

I appreciate this opportunity to be of service and am happy to respond to any questions that you may have concerning the attached report or to furnish you with any additional information desired.

CC: Dan Klein, Chief Executive Officer
Tim Simon, Deputy Comptroller
Kimberly Richards, Chief Deputy Administration

STATUS OF AUDIT RECOMMENDATIONS as of June 30, 2020

Report # Project Name	Recommendation Title	Recommendation State	Entity	Estimated Implementation Date	Actual Implementation Date	Recommendation Close Date
366 Clerk HR Recruitment & Hiring Processes	Hold a recruitment workshop with all hiring managers to facilitate a discussion and collaborate on the current recruitment process and any improvement opportunities.	Started	Clerk HR	9/30/2020		
366 Clerk HR Recruitment & Hiring Processes	Implement a more current and useful recruitment management system.	Closed	Clerk HR	9/30/2020	2/3/2020	4/8/2020
366 Clerk HR Recruitment & Hiring Processes	Formalize a process flow to identify key milestones and expected timeline for recruitments in the Clerk's Office. Also, capture data for key milestones in a manner that can be easily reviewed and analyzed for exceptions or efficiency opportunities	Closed	Clerk HR	9/30/2019	2/3/2020	4/9/2020
366 Clerk HR Recruitment & Hiring Processes	Enhance the consistency of the recruitment process across departments: 1) Explore whether new training opportunities/requirements are needed to set expectations for hiring managers and ensure that the recruitment process is being carried out in a consistent manner across the organization. 2) Leverage the hiring manager workshop recommended in Audit Comment 1 to develop strategies for any identified process inefficiencies.	Started	Clerk HR	9/30/2020		
381 Dependents Benefits Eligibility	Review the remaining employee files for completeness and obtain supporting documentation for any dependents with missing documentation, including those enrolled prior to 2016	Pending	Clerk HR	9/30/2020		
381 Dependents Benefits Eligibility	Remove any dependents from the healthcare plan whose eligibility cannot be verified and supported	Pending	Clerk HR	9/30/2020		
381 Dependents Benefits Eligibility	Consider performing periodic re-certifications of dependents eligibility or at a minimum having employees formally attest to the eligibility of their enrolled dependents annually.	Pending	Clerk HR	10/30/2020		