

Memorandum

Date: July 13, 2015

To: Jennifer Savage-Ingole

From: Tim Parks, Chief Internal Audit Officer/Inspector General



Re: Follow-up Audit of Guardianships

As part of our continuing program of follow-up audits, the Lee County Clerk of Courts Internal Audit/Inspector General Department has conducted a follow-up review of the audit of the Clerk of Courts Guardianships. David Rollman, CIA completed the review. The issues identified in the audit report issued in August 2014 were reviewed to determine whether corrective action has been taken.

Most of the issues raised in the original audit have been addressed. Some items remain to be discussed with the judiciary prior to their implementation.

The following is a listing of the findings from the original audit and their current status.

Issue	Current Status
Deficiency letters are to be sent when documents are not received when required. Many deficiency letters were not sent in a timely manner or were not sent at all. Follow-up actions need to be taken in a timelier manner.	New procedures and reports have been implemented to ensure that delinquent cases are addressed in a timely manner. A new Probate supervisor has been hired.
Written procedures state that deficiency letters and show cause letters are to be sent. What is actually sent are deficiency letters and orders to file letters. Written procedures should be updated to include the documents actually sent.	The new procedures have been updated to show the documents actually sent, including Guardianship Deficiency Notice, Order to File Required Documents, Order Disapproving Report, and Order to Show Cause.
It was recommended that written procedures be updated to include a timing goal for sending deficiency letters, orders to file required documents, and show cause letters.	Written procedures have been updated to include a timing goal. The deficiency letters are sent out immediately after a deficiency appears on the Event Review Report.

Many of the reviews of plans, inventories, and accountings were not conducted in a timely and thorough manner. Steps need to be taken to ensure that the timelier, more thorough reviews are conducted.	Procedures have been changed. Both guardianship clerks now process all guardianship cases, rather than one handling minor cases and one handling adult cases. In addition, a new supervisor has been hired who is taking steps to ensure timelier, more thorough reviews.
Many plans had not been approved by a court order. Procedures should be implemented to ensure that plans, inventories, and accountings are properly approved by a court order.	Discussions with the judiciary are ongoing. One item to be discussed is a procedure to ensure that the appropriate court orders are prepared and approved.
More detailed, comprehensive checklists should be developed for reviewing plans, inventories, and accountings. Many suggested additions to the checklists were included in the audit report.	The various checklists have been consolidated in to two basic checklists, one for adults and one for minors.
It was recommended that a guardianship auditor position be established in the IA/IG Department to conduct second tier audits of guardianship cases.	A guardianship auditor position has been established in the IA/IG Department. An auditor has been hired in this position to conduct audits primarily second and third tier audits of guardianship cases.
Consideration should be given to requesting an administrative order requiring the use of standardized forms for the plans, inventories, and accountings. This would ensure that all of the issues were addressed.	Discussions with the judiciary are ongoing. The standardization of guardianship forms is one of the items to be addressed.
In some cases in a sample, evidence of the guardian receiving the required education had not been received and not followed up on. Steps should be taken to ensure that this requirement is met.	A new procedure has been implemented to alert Probate staff when the education requirement has not been met.
A few filings and postings errors were found in the paper files and Odyssey. Care needs to be taken to ensure that paper case files are maintained properly and all documents uploaded into the correct case in Odyssey.	Probate is moving towards paperless records without paper guardianship files. This is one item to be discussed with the judiciary.
Some sections of the written operating procedures need to be updated.	Many of the written procedures have been updated. Written procedures continue to be revised and updated.

cc: Don Murphy