



Internal Audit Report

Audit Recommendations
Status Report
as of June 30, 2019



Date: July 22, 2019



LCCC Audit Recommendations Status Report As of June 30, 2019



To: The Honorable Linda Doggett, Lee County Clerk of the Circuit Court & Comptroller

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

Date: July 22, 2019

Re: Lee County Clerk of the Circuit Court & Comptroller (LCCC)
Audit Recommendations Status Report as of 6/30/2019

The Inspector General Department has completed its *LCCC Audit Recommendations Status Report as of 6/30/2019*, which reflects the implementation status of outstanding audit report recommendations for the Lee County Clerk of the Circuit Court & Comptroller as of June 30, 2019. The report fulfills the IG Department's accountability for reporting on issues through their resolution.

This audit activity conforms to the Institute of Internal Auditor's (IIA) *International Standards for the Professional Practice of Internal Auditing (Red Book)* and the Association of Inspectors General (AIG) *Principles and Standards for Offices of Inspector General*.

The follow-up covered the audit of the LCCC Court Intake Processing for which a report was issued in April 2019. A summary of the recommendation status is presented in the heading of the attached report.

Should you have any questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in blue ink that reads "Tim Parks".

Tim Parks, Chief Internal Audit Officer/Inspector General
Inspector General Department
TJP/GK



Lee County Clerk of Circuit Court & Comptroller Audit Recommendation Status Report As of June 30, 2019



**LCCC Court Intake Processing
(Project 2018.08, Issued April 2019)**

Training Checklists

Observation	Recommendation	Original Management Response
We noted that the Courts Department developed training checklists that were required to be completed and signed by employees in training and their training specialist. The checklists indicated the training start and completion dates. For warrants, the completed checklists generally did not include the signature of the Training Specialist. For dispositions, the Courts Department had developed some in-house procedures, but had not developed a training checklist.	We recommend that the Courts Department implement a training checklist for dispositions and ensure that all checklists completed for both warrants and dispositions be signed by both the employee and training specialist.	Courts Department is in agreement with the recommendation, therefore the Intake Manager has created the checklist a copy of which is incorporated to this response.
Estimated Implementation Date	Revised Implementation Date	Status
3/29/2019		Implemented
Last Status Update	Follow-up Management Response	IA Follow-up Notes
7/19/2019		The Court Department completed the training checklists.

Post Intake Review Process

Observation	Recommendation	Original Management Response
During the testing of warrants and dispositions, we noted for 4 of 20 (20 percent) of the dispositions tested, court minutes for the cases were not in agreement with information in Odyssey. For example, the court minutes showed a 364 day sentence and Odyssey reflected 361 days. Further, we noted that there were not any post intake procedures to include a review comparing court minutes with Odyssey to ensure agreement.	We recommend that the Courts Department implement procedures to include spot check comparisons of information obtained from court minutes with Odyssey to ensure accuracy of the system input.	Courts Department is in agreement with the recommendation; therefore, the Intake Manager facilitated the creation of an audit report with the assistance of Court Operations. Efforts are underway to determine recurrence and assign an employee to monitor the output.
Estimated Implementation Date	Revised Implementation Date	Status
5/1/2019		Implemented



Lee County Clerk of Circuit Court & Comptroller
Audit Recommendation Status Report
As of June 30, 2019



Last Status Update	Follow-up Management Response	IA Follow-up Notes
7/19/2019		The Court Department implemented procedures to spot check comparisons of information obtained from Court Minutes with Odyssey to ensure agreement.