COUNTY AUDIT DEPARTMENT

REPORT # 377

QUARTERLY COCC FOLLOW- UP REPORT

FEBRUARY 5, 2020

Date: February 5, 2020

To: Pat Frank, Clerk of Court and Comptroller

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

Subject: Quarterly status report of audit recommendations and Clerk of Court and Comptroller's
Management Action Plans

Dear Ms. Frank:

Attached is the quarterly report on the status of audit recommendations. Addressing these
recommendations will enhance the Clerk's overall operations and mitigate risks to the
organization.

As a result of audit testing, it is common practice for the County Audit Department to make a
recommendation based on the auditor's observations and conclusions. The recommendation calls
for action to correct an existing condition or improve operations. The recommendation may
suggest an approach to correct or enhance performance as a guide for management in achieving a
desired result.

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

For the quarter ended December 31, 2019, the County Audit Department monitored seven (7)
management action plans. Three of these had corrective actions implemented and have been
closed. The remaining 4 will remain open and will be carried forward to the second quarter of
FY20. The attached Status of Audit Recommendations report contains additional detail.

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, Chief Financial Officer
     Michelle Decker, Chief Information Officer
     Kimberly Richards, Chief Deputy Administration

STATUS OF AUDIT RECOMMENDATIONS as of January 31, 2020

Report #	Project Name	Recommendation Title	Recommendation State	Entity	Estimated Implementation Date	Actual Implementation Date	Recommendation Close Date
348	Oracle Security Administration	Implement an advanced data analytics tool to improve the security and continuous monitoring capabilities of the Oracle EBS system.	Closed	Clerk IT	12/30/2018	1/2/2020	1/6/2020
366	Clerk HR Recruitment & Hiring Processes	Hold a recruitment workshop with all hiring managers to facilitate a discusssion and collaboroate on the current recruitment process and any improvement opportunities.	Pending	Clerk HR	9/30/2020		
366	Clerk HR Recruitment & Hiring Processes	Make JobApps training and operational manuals available to hiring managers to assist in the navigation of the system.*	Closed	Clerk HR	8/31/2019	1/16/2020	1/28/2020
366	Clerk HR Recruitment & Hiring Processes	Restrict user access in the JobApps system based on need.*	Closed	Clerk HR	7/15/2019	1/16/2020	1/28/2020
366	Clerk HR Recruitment & Hiring Processes	Implement a more current and useful recruitment management system. Once implemented, ensure training and operational manuals are available to hiring managers to assist in the navigation of the system.	Started - Partially Implemented	Clerk HR	9/30/2020		
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	Past Due - Started but not completed	Clerk HR	9/30/2019		
366	Clerk HR Recruitment & Hiring Processes	Enhance the consistency of the recuitment 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 accross the organization. 2) Leverage the hiring manager workshop recommended in Audit Comment 1 to develop strategies for any identified process inefficiencies.	Pending	Clerk HR	9/30/2020		

* = JobApps is being replaced with Taleo.