



PAT FRANK
Clerk of the Circuit Court
13th Judicial Circuit

County Audit Department

Quarterly Status Report of Audit Recommendations and
Clerk of Circuit Court's Management Action Plans
Quarter Ending September 30, 2015

Report # 296

October 9, 2015



Date: October 9, 2015

To: Pat Frank, Clerk of the Circuit Court

From: Steve Hooper, CIA, CFE, CCSA, CGAP, Interim Director of County Audit

Subject: Quarterly status report of audit recommendations and Clerk of Circuit Court's management action plans

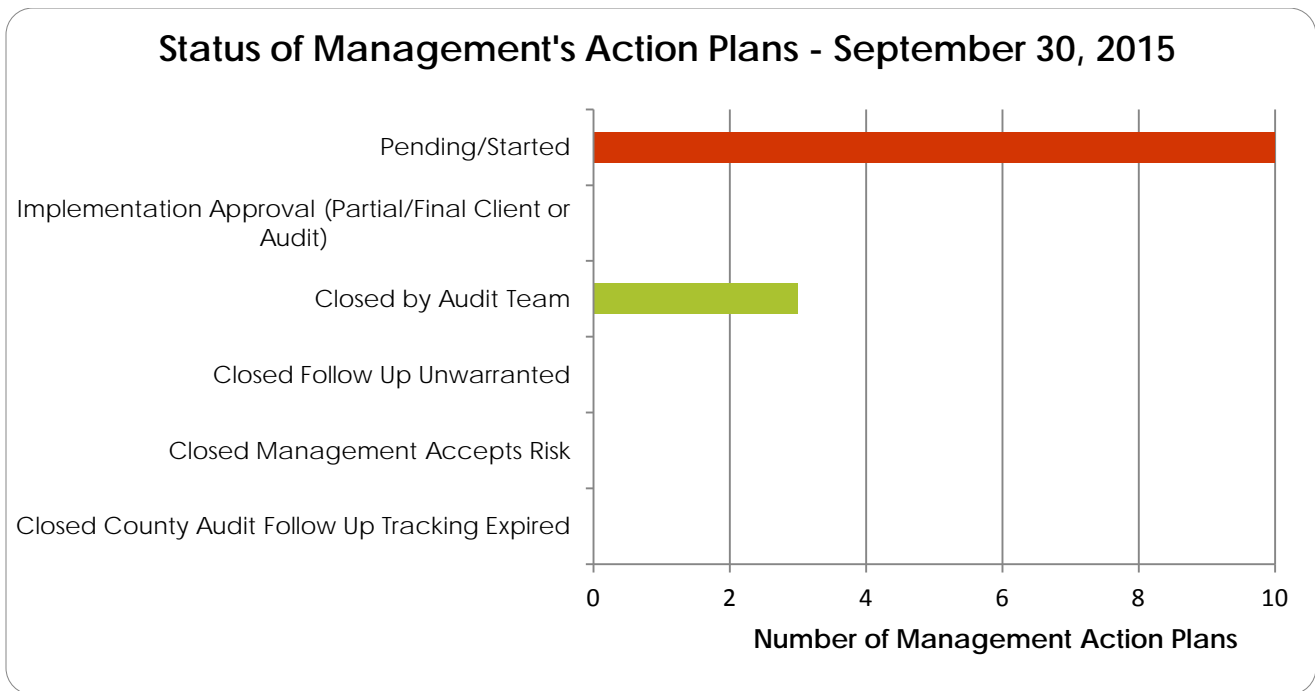
Dear Pat Frank:

The County Audit Department prepared the attached quarterly report on the status of audit recommendations and management action plans. Implementing the management action plans 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 management's action plans for up to 12 months after the audit report issuance date (or longer if authorized by the Director of County Audit). At the end of the monitoring time period, any management action plan whose implementation has not yet reached the "audit approved" step in the monitoring life cycle is reported as "closed County Audit follow up tracking expired."

During the second quarter ending September 30, 2015, the County Audit Department monitored 13 management action plans. The County Audit Department closed 3 of these plans. The remaining 10 plans that are in the pending/started or implementation stage of the monitoring life cycle are being carrying forward to the fourth quarter 2015. The table below shows a status summary as of September 30, 2015. The attached *Status of Audit Recommendations and Management Action Plans* report contains specific information about the management action plan.



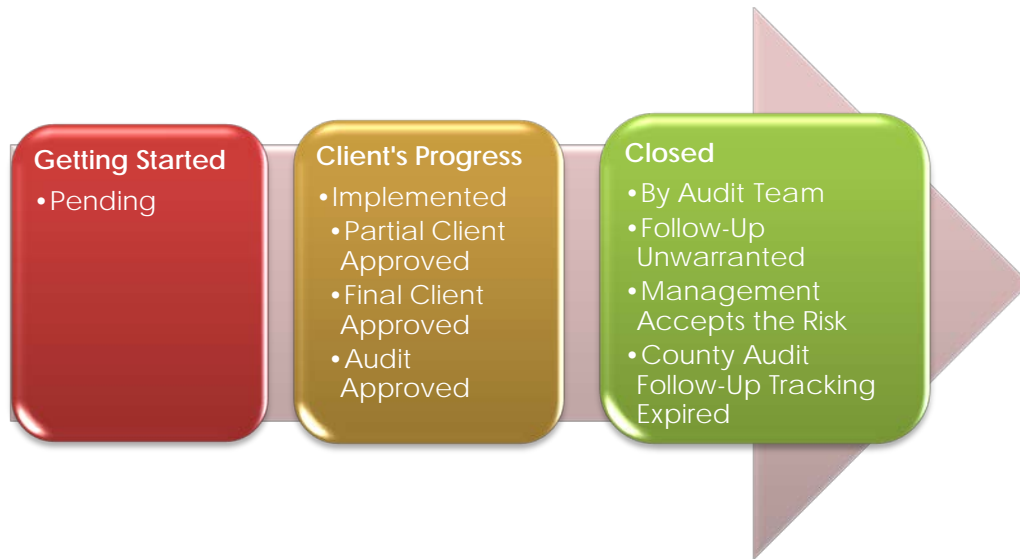
I appreciate this opportunity to be of service to the Clerk of the Circuit Court. I will be pleased to respond to any questions that you may have concerning the attached report and to furnish you with any desired information.

CC: Dan Klein, Chief of Staff
Doug Bakke, Chief Deputy, Courts
Rachel Diny, Chief Deputy, Administration
Julia Poupart, Chief Deputy, Records
Rick Van Arsdall, Chief Deputy, Finance & Budget
Chris Tluczek, Director, Enterprise Business Solutions

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Steps in the Management Action Plan Monitoring Process



DEFINITIONS:

Pending = Indicates that the recommendation was recently sent to TeamCentral and client management has not yet started implementation.

Implemented = Indicates that the recommendation was implemented but the recommendation has not yet been approved by the client and the Audit Team.

Partial Client Approval = Indicates that the recommendation received one or more client approvals, but not yet final client management approval.

Final Client Approval = Indicates that the recommendation received final client management approval and is now ready for the Audit Team to approve or reject the implementation.

Audit Approval = Indicates that the recommendation received the Audit Team's approval and is now ready to be tested and closed.

Closed = Indicates that the County Audit Department stopped monitoring.

By Audit Team = Indicates that the Audit Team reviewed or verified the actions taken to implement the recommendation and the recommendation is closed.

Follow-Up Unwarranted = Indicates that the recommendation was closed by the Audit Team because the concern is no longer applicable or no corrective action is needed.

Management Accepts Risk = Indicates that the recommendation was closed by the Audit Team because client management accepted the risk exposure and is not implementing the recommendation.

County Audit Follow-Up Tracking Expired = Indicates that the target completion date for implementing the recommendation has passed and no actions have been taken by client management during the monitoring period.

Project Code	<u>275</u>
Entity	Chief Deputy - Courts
Project Name	<u>CLERK'S DOWNTOWN END OF DAY CASH CONTROLS</u>
Status	Closed - By Audit Team
Actual Issue Date	2/19/2015
Recommendation	<p>Consideration should be given to:</p> <ol style="list-style-type: none"> 1. Periodically reminding cashiers that cash drawers should be locked, and the key secured, during breaks and lunches. In addition, managers should perform occasional random spot-checks of cash drawers when cashiers are away from their workstations. 2. Reducing the number of managers who have access to the safe combination and/or have access to safe room keys; 3. Storing safe room keys in a more secure manner; 4. Implementing a dual-control cash handling process requiring at least two staff and/or managers to be present when the safe is accessed and when Clerk's Accounting performs the re-count of cash in the safe room.
Response	<p>In review of the recommendations, management will limit the number of touch points for cash and increase the control of the cashier's custody and responsibility. Management will also institute additional safeguards for cashiers and cashier functions.</p> <p>In order to achieve this effectiveness, the cashier and department management will need to take the following steps:</p> <ul style="list-style-type: none"> · Cashier counts the cash and totals the checks on hand at the end of the day. · Cashier completes the daily cash count form and reconciles to the system totals. · Cashier seals the cash and checks into a sealed bank envelope. · Cashier gives the sealed bank envelope to their manager. · Cashier and manager both sign a log with the date and the dollar amount confirming transfer of the sealed bank envelope. · Manager lists all cashier envelopes on a bank deposit form per cashiering system per day. · Manager seals the individual envelopes into one tamper resistant bank deposit bag with a duplicate deposit form. · Manager is responsible for cash and secures the cash in the safe. · Manager completes courier manifest and transfers deposit bag to courier the following business day.
Estimated Implementation	1/20/2015
Revised Implementation	0
Days from report Issue Date	223
Close Date	7/20/2015

Project Code	275 Cont'd
Entity	Chief Deputy - Courts
Project Name	<u>CLERK'S DOWNTOWN END OF DAY CASH CONTROLS</u>
Status	Closed - By Audit Team
Actual Issue Date	2/19/2015
Recommendation	<p>5. Implementing safe access logs where department managers sign, date, and timestamp the form any time they open the safe.</p> <p>6. Implementing a chain-of-custody control for the daily collections.</p> <p>7. Implementing a detective control to compare the ending manual receipt number from the previous deposit to the beginning manual receipt number of the next deposit to ensure there are no gaps in receipt usage after the prior end-of-day reconciliation was completed.</p>
Response	<ul style="list-style-type: none"> · All cashiers will consistently lock the cash drawer when the cashier is away from work station. Managers will regularly perform spot checks to ensure this is done. Will recommend that locking cash drawers is more explicitly addressed in the Directive and Guidelines for Cashiering Responsibilities · Only management (required persons) will have access to the safe combination. This together with cameras will more fully safeguard entrance into safe. Currently only Traffic and Circuit Criminal have cameras. Departments that don't have cameras will request them. · Departments cannot commit to two managers each time safe is opened. Again departments that don't currently have cameras will request them to achieve a better safeguard for entrance into the safe. · All safe combinations now have no less than three numbers. · These corrective steps along with a tight chain of custody of the cash will strengthen the Clerk's Policy Directive and Guidelines for Cashiering Responsibilities to include dual, preventative, monitoring, physical security, and chain of custody controls.
Estimated Implementation	1/20/2015
Revised Implementation	0
Days from report Issue Date	223
Close Date	7/20/2015

Project Code	<u>275 Cont'd</u>
Entity	Chief Deputy - Courts
Project Name	<u>CLERK'S DOWNTOWN END OF DAY CASH CONTROLS</u>
Status	Closed - By Audit Team
Actual Issue Date	2/19/2015
Recommendation	Continued from previous page.
Response	<p>Based on these changes the following will occur:</p> <ul style="list-style-type: none"> · Bank provides notification to CCC Accounting of cash over or shorts. · CCC Accounting processes the related cash over or short journal entries. · CCC Accounting provides notification to the cashier center of the adjustments. <p>For safe security related to CCC Accounting specifically, the following changes will occur:</p> <ul style="list-style-type: none"> · Safe access will be limited to supervisors and managers for areas that require access based on the area responsibilities. · Dual control will be applied in which no one person will have combinations to both the exterior vault door and the interior safe. Both individuals must be present while the safe area is accessible.
Estimated Implementation	1/20/2015
Revised Implementation	0
Days from report Issue Date	223
Close Date	7/20/2015

Project Code	<u>276</u>
Entity	Chief Deputy - Courts
Project Name	<u>Clerk's Plant City End Of Day Cash Counts</u>
Status	Closed - By Audit Team
Actual Issue Date	2/18/2015
Recommendation	<p>To mature the cash processing life cycle's internal control environment, consideration should be given to:</p> <ol style="list-style-type: none"> 1. Implementing a chain of custody control at two points in the life cycle: when cash is transferred from the cashier to the manager, and when the cash is transferred back from the manager to the cashier. Whenever money changes hands, the money should be counted and a signed receipt prepared for the transfer of funds from one individual to another. 2. Utilizing cash tray locking plate, tamper proof bags, or other tamper resistant mechanisms when cash is stored in the vault.
Response	<ol style="list-style-type: none"> 1. Procedure is now in place for manager and clerk to count till cash when transferred to the cashier each morning and back to manager in the evening. Manager and cashier will initial and date the cash count tape for each transfer. 2. The cashier and department management will need to take the following steps: <ul style="list-style-type: none"> · Cashier counts the cash and totals the checks on hand at the end of the day. · Cashier completes the daily cash count form and reconciles to the system totals. · Cashier seals the cash and checks into a sealed bank envelope. · Cashier gives the sealed bank envelope to their manager. · Cashier and manager both sign a log with the date and the dollar amount confirming transfer of the sealed bank envelope. · Manager lists all cashier envelopes on a bank deposit form per cashiering system per day. · Manager seals the individual envelopes into one tamper resistant bank deposit bag with a duplicate deposit form. · Manager is responsible for cash and secures the cash in the safe. · Manager completes courier manifest and transfers deposit bag to courier the following business day.
Estimated Implementation	1/5/2015
Revised Implementation	0
Days from report Issue Date	224
Close Date	7/20/2015

Project Code	<u>276 Cont'd</u>
Entity	Chief Deputy - Courts
Project Name	<u>Clerk's Plant City End Of Day Cash Counts</u>
Status	Closed - By Audit Team
Actual Issue Date	2/18/2015
Recommendation	<p>3. Practicing dual control when opening the safe.</p> <p>4. Strengthening the Clerk Policy Directive and Guidelines for Cashiering Responsibilities to include dual, preventative, monitoring, physical security, and chain of custody controls</p>
Response	<p>3. Departments cannot commit to two managers each time safe is opened. Departments that don't currently have cameras will request them to achieve a better safeguard for entrance into the safe.</p> <p>4. These corrective steps along with a tight chain of custody of the cash will strengthen the Clerk's Policy Directive and Guidelines for Cashiering Responsibilities to include dual, preventative, monitoring, physical security, and chain of custody controls.</p>
Estimated Implementation	1/5/2015
Revised Implementation	0
Days from report Issue Date	224
Close Date	7/20/2015

Project Code	<u>279</u>
Entity	System Support
Project Name	<u>Supplier Master File</u>
Status	Pending
Actual Issue Date	3/12/2015
Recommendation	<p>To help ensure that the supplier master file is maintained appropriately and remains up to date, consideration should be given to:</p> <p>Developing formal policies and procedures for the creation, modification, deactivation, and monitoring of the supplier master data. Implementing processes for supplier deactivation, quality assurance/ change management, TIN verification, and periodic review of supplier master data.</p> <p>Implementing and documenting formal standards for the formatting of data elements and documenting any variations to these standards to ensure monitoring and analytics tools can be effectively utilized.</p>
Response	<p>The Clerk's Systems Support Department concurs with the audit recommendation and has initiated action for their implementation.</p> <p>Recommendation 1: Developing formal policies and procedures for the creation, modification, deactivation, and monitoring of the supplier master data.</p> <p>Systems Support has implemented an ongoing project to document procedures related to the Oracle EBS system in a new ERP Operations Manual that includes Chapter 5 ERP Supplier/iSupplier Management. See chapter outline below.</p> <ul style="list-style-type: none"> 5. ERP Supplier/iSupplier Management <ul style="list-style-type: none"> 5.1. Supplier Management Overview 5.2. Coordinating with the BOCC, CTPA and CLRK 5.3. Supplier Organization Level Management <ul style="list-style-type: none"> 5.3.1. Adding New Suppliers 5.3.2. Supplier Site Management 5.3.3. iSupplier Management 5.4. Annual Supplier Status Review <ul style="list-style-type: none"> 5.4.1. TIN (W-9) Recertification 5.4.2. Inactive Supplier Deactivation
Estimated Implementation	7/31/2015
Revised Implementation	9/30/2015
Days from report Issue Date	202
Close Date	0

Project Code	279 Cont'd
Entity	System Support
Project Name	<u>Supplier Master File</u>
Status	Pending
Actual Issue Date	3/12/2015
Recommendation	Continued from previous page.
Response	<p>Recommendation 2: Implementing processes for supplier deactivation, quality assurance/change management, TIN verification, and periodic review of supplier master data. Systems support has implemented a TIN matching service (Taxport A/P from Convey Compliance Systems, Inc.) to support validation of new supplier TIN information and will utilize this service as part of an annual supplier status reviews to confirm that TIN information on file is still valid. Other recommendations including quality review and supplier deactivation are in various phases of implementation and will be documented in the ERP Operations Manual described above.</p> <p>Recommendation 3: Implementing and documenting formal standards for the formatting of data elements and documenting any variations to these standards to ensure monitoring and analytics tools can be effectively utilized. Systems Support is in the process of working with the City of Tampa supplier manager to finalize formal data standards for supplier data.</p> <p>Variations in existing data exist in part due to the consolidation of BOCC, City of Tampa and Clerk of Court legacy supplier master files in Oracle EBS and inadequate existing guidelines.</p>
Estimated Implementation	7/31/2015
Revised Implementation	0
Days from report Issue Date	202
Close Date	0

Project Code	279 Cont'd
Entity	System Support
Project Name	<u>Supplier Master File</u>
Status	Pending
Actual Issue Date	3/12/2015
Recommendation	Continued from previous page.
Response	<p>A process for correcting existing formatting deviations has not yet been determined but once implemented, will be included an annual review of the supplier master file.</p> <p>Note that some categories of supplier records such as payments for court orders and supplier records created from data coming from external batch interfaces like water department refunds will continue to include format deviations. At present there is no practical way to enforce data standards across external systems. However these suppliers are almost exclusively created as temporary suppliers and should not impact analysis of activities related to standard business purchasing and payment transactions.</p>
Estimated Implementation	7/31/2015
Revised Implementation	0
Days from report Issue Date	202
Close Date	0

Project Code	<u>282</u>
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Pending
Actual Issue Date	5/18/2015
Recommendation	1. Consideration should be given to defining a formal governance policy and procedure for security administration activities within Oracle EBS.
Response	The joint implementation (Project 1) of the new ERP system by the BOCC, City of Tampa and Clerk of Court introduced all three agencies to not only dramatically more complex functionality, but the increased complexity of operating in a multiagency, shared-tenancy software application hosted externally by a third-party on-demand service. This new system required adopting a new paradigm for supporting and managing application security that was not needed in traditional IT environments. Risks associated with any technology environment including controlling access, enforcement of business rules and data security are complicated by the multitenant environment that includes shared data files, common security administration, a single supplier and customer master file and a shared data warehouse application (OBIEE). Unlike in the former legacy world of single tenant applications where physical separation of data (air gaps) simplified the design of application and data security, multitenant application environments rely almost exclusively on application configuration and security settings to control the integrity and access to data and functionality between application tenants. For the Project 1 implementation, a formal project governance structure is in place. It includes senior management from the County, City of Tampa, Civil Service Board, and Clerk of Court providing oversight of the project. Each of the agencies provided required project management services related to their portion of the project. However, since the initial go live of the Oracle EBS financial applications in August 2013, the Clerk of Court ERP System Support department has assumed responsibility for the ongoing support and administration of system wide security and change control as well as functional and technical support of financial and payroll applications.
Estimated Implementation	9/30/2015
Revised Implementation	0
Days from report Issue Date	135
Close Date	0

Project Code	282 Cont'd
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Pending
Actual Issue Date	5/18/2015
Recommendation	Continued from previous page.
Response	The City of Tampa performs its own security and application administration in the shared environment for their employees. In the absence of a formal joint agency operating governance structure, ERP System Support has operated under guidance and oversight of the Clerk's management structure and worked to keep the other agencies and Project 1 governance apprised of its practices and procedures. On behalf of the BOCC and Clerk organizations, the ERP System Support has adopted processes and procedures similar to those it employed for its legacy applications. To meet the more stringent demands of the multitenant environment, the department also looked to best practice recommendations from organizations like the U.S. Department of Commerce's National Institute of Standards and Technology (NIST), industry experts like SANS and Gartner and Oracle's application security recommendations to establish security management practices for EBS. ERP System Support also coordinated with the EBS support team at the City of Tampa on security administration activities. With the closeout of Project 1 activities imminent, senior management for the BOCC, City of Tampa and the Clerk of Court are working to define and establish an ongoing governance structure for shared ERP applications including Oracle EBS, OBIEE, Kronos, Hyperion and Tele-staff as well as the third-part hosting service. Once established, a principal role of governance will be to adopt uniform policies and practices for all aspects of controlling the health and security of the ERP environment. This process and it's time schedule is not under the control of the ERP System Support department or of the Clerk of Court alone. As Project1 is being closed out, senior management for the BOCC, City of Tampa, and Clerk of Court are working on defining an ongoing governance structure for the ERP Environment. ERP System Support recommends reviewing this issue in six months (9/30/2015).
Estimated Implementation	9/30/2015
Revised Implementation	0
Days from report Issue Date	135
Close Date	0

Project Code	<u>282</u>
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Pending
Actual Issue Date	5/18/2015
Recommendation	2. Consideration should be given to developing routine monitoring procedures and intervals for key system and security administration processes.
Response	While the ERP System Support department fully agrees with the recommendation, nearly all available resources have been fully engaged in stabilizing the new Oracle EBS application and developing processes to meet the day-to-day operating demands of the system. Select processes like security confirmations are in place, but even these will require additional work to make them more effective and efficient. Other process such as regularly scheduled reviews of inactive or stale user accounts, periodic analysis of the unsuccessful logon report, reviews of support team users with exceptional privileges, and periodic review and testing of security configurations and provisioning have not been implemented. The extent to which these practices can be fully implemented will depend on the availability of support resources to implement and carry them out. Until formal governance structure is in place that can weigh the cost of providing full security management versus the risk of not doing so is in place, progress will be made as time and resources allow by the current ERP System Support team. ERP System Support recommends reviewing this issue in six months (9/30/2015) to allow for formalization of a multiagency governance structure and its impact on the availability of support resources and governance standards.
Estimated Implementation	9/30/2015
Revised Implementation	0
Days from report Issue Date	135
Close Date	0

Project Code	<u>282</u>
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Pending
Actual Issue Date	5/18/2015
Recommendation	3. Consideration should be given to implementing advanced analytics and monitoring tools to aid in the review of key processes including master data changes, privileged user access, and segregation of duties.
Response	<p>As discussed above in the response to Recommendation 1, security administration for the Oracle E-Business Suite is complex for several reasons, but foremost is the overall complexity of the application's integrated functionality as well as the additional complexity introduced by the multiple agency shared-tenant environment. For the County (BOCC and Clerk) there are more than 6,000 active users in EBS. There are 240 assigned responsibilities which total more than 29,000 security configurations. In addition to security records, there are more than 23,000 workflow approval configurations active in EBS. The Clerk recognized that managing the risk associated with such complex security environment required an automated set of tools help enforce the integrity of the EBS environment. In July 2014, the Clerk approved a project to license and implement the Oracle Governance, Risk and Compliance (GRC) Application Suite. When operational, Oracle GRC will provide a set of tools that will assist the Clerk with automating current manual processes and provide administrators with a better understanding the status of compliance activities and manage compliance in a disciplined fashion.</p> <p>The implementation of the Oracle Governance, Risk and Compliance (GRC) application is in process. An estimated completion date is scheduled for September 30, 2015.</p>
Estimated Implementation	9/30/2015
Revised Implementation	0
Days from report Issue Date	135
Close Date	0

Project Code	<u>282</u>
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Pending
Actual Issue Date	5/18/2015
Recommendation	4. Consideration should be given to automating the existing change management process and logging procedures.
Response	The Clerk of Court has approved a project to implement a new support management system using the Clerk's existing OnBase application. This system will be developed on a phased basis and will eventually replace both an outdated HP Service Desk (SM7) application used for supporting the Clerk's OnBase and internal systems and the SharePoint based tracking system used to support the Oracle EBS Financial applications. The new application will also fully support automation of the change management process including required approvals.
Estimated Implementation	6/30/2016
Revised Implementation	0
Days from report Issue Date	135
Close Date	0

Project Code	<u>282</u>
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Pending
Actual Issue Date	5/18/2015
Recommendation	5. Consideration should be given to implementing controls or monitoring activities to ensure that security request forms and user access changes are requested, applied, reviewed and maintained consistently.
Response	ERP System Support is in the process of updating all security request forms to include better workflow tracking included QA reviews. Together with updating security administration procedures the issues identified in the security review should be resolved. In addition, as the Project 1 implementation process winds down and the system continues to be stabilized, security administration resources are able to focus more time and attention toward maturing its processes.
Estimated Implementation	7/31/2015
Revised Implementation	3/31/2016
Days from report Issue Date	135
Close Date	0

Project Code	<u>282</u>																				
Entity	The Citizens of Hillsborough County																				
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>																				
Status	Closed - By Audit Team																				
Actual Issue Date	5/18/2015																				
Recommendation	6. Consideration should be given to end dating the unused responsibilities within the Oracle EBS system so that they are not erroneously assigned to an active user account.																				
Response	<p>ERP System Support is in the process of reviewing all available EBS responsibilities to determine those that should be end dated. There are currently 2,239 responsibilities in the EBS Application. 1750 of these are currently available for assignment. Of these, 1341 responsibilities that have never been used and 23 are inactive. These 1364 are currently being considered for end dating. ERP System Support will coordinate this activity with the City of Tampa and BOCC support teams. The following tables summarize the current responsibility statuses.</p> <table border="0"> <tr> <td>All EBS Responsibilities</td> <td>Number</td> </tr> <tr> <td>End Dated Responsibilities Never Used</td> <td>486</td> </tr> <tr> <td>End Dated Responsibilities Inactive</td> <td>3</td> </tr> <tr> <td>Available Responsibilities</td> <td>1750</td> </tr> <tr> <td>Total Responsibilities in EBS</td> <td>2239</td> </tr> <tr> <td>Available Responsibilities</td> <td>Number</td> </tr> <tr> <td>Available Responsibilities in Use</td> <td>386</td> </tr> <tr> <td>Available Responsibilities Inactive</td> <td>23</td> </tr> <tr> <td>Available Responsibilities Never Used</td> <td>1341</td> </tr> <tr> <td>Total Available Responsibilities</td> <td>1750</td> </tr> </table>	All EBS Responsibilities	Number	End Dated Responsibilities Never Used	486	End Dated Responsibilities Inactive	3	Available Responsibilities	1750	Total Responsibilities in EBS	2239	Available Responsibilities	Number	Available Responsibilities in Use	386	Available Responsibilities Inactive	23	Available Responsibilities Never Used	1341	Total Available Responsibilities	1750
All EBS Responsibilities	Number																				
End Dated Responsibilities Never Used	486																				
End Dated Responsibilities Inactive	3																				
Available Responsibilities	1750																				
Total Responsibilities in EBS	2239																				
Available Responsibilities	Number																				
Available Responsibilities in Use	386																				
Available Responsibilities Inactive	23																				
Available Responsibilities Never Used	1341																				
Total Available Responsibilities	1750																				
Estimated Implementation	5/29/2015																				
Revised Implementation	6/15/2015																				
Days from report Issue Date	135																				
Close Date	7/24/2015																				

Project Code	<u>282</u>
Entity	The Citizens of Hillsborough County
Project Name	<u>Oracle E-Business Suite Security Administration Activity</u>
Status	Started
Actual Issue Date	5/18/2015
Recommendation	7. Consideration should be given to further limiting the access to the responsibility titled Application Administrator to only appropriate members of the security administration team.
Response	On 03/06/2015 ERP Support Issue No 2563 was created to replace the Application Administrator into two separate administrator responsibilities. One will contain only security and workflow configuration functionality and the other will include all other administration functionality required for production support except for security. After the new responsibilities have been created, Application Administrator will be end dated and no longer available for day-to-day use in either production or non-production instances.
Estimated Implementation	6/30/2015
Revised Implementation	11/30/2015
Days from report Issue Date	135
Close Date	0

Project Code	<u>293</u>
Entity	Chief Deputy Courts
Project Name	<u>Odyssey Case Manager System</u>
Status	Pending
Actual Issue Date	9/30/2015
Recommendation	Consideration should be given to implementing monitoring controls for adjusted or reversed fees and fines in Odyssey. These controls could include routine monitoring of any fine and fee adjustments and/or a quality assurance process.
Response	The Business Analytics and Intelligence Service Center (BAISC) will be assigned the task of generating and reviewing daily/weekly reports, which will capture the fine and fee adjustments. Periodic random desktop process audits will be conducted by BAISC with the respective employees/management teams to ensure established procedures are being followed.
Estimated Implementation	3/31/2016
Revised Implementation	0
Days from report Issue Date	0
Close Date	0

Project Code	<u>293</u>
Entity	Chief Deputy Courts
Project Name	<u>Odyssey Case Manager System</u>
Status	Pending
Actual Issue Date	9/30/2015
Recommendation	Consideration should be given to creating and maintaining some form of standardization or crosswalk between the FCCC fee distribution schedule and the Odyssey fee tables. Doing so would help to ensure that timely and complete reconciliation/updates are made to the fees charged in Odyssey and to ensure that fees remain in compliance with statutory requirements.
Response	The creation of a crosswalk document would be very beneficial to ensure our office is compliant with all current and future assessment and collection related statutory requirements. This will require the combined efforts of IT, Accounting and Court staff. Due to the significant effort this will require and competing priorities, this process may take up to one year to complete.
Estimated Implementation	12/31/2015
Revised Implementation	0
Days from report Issue Date	0
Close Date	0

Project Code	<u>293</u>
Entity	Chief Deputy Courts
Project Name	<u>Odyssey Case Manager System</u>
Status	Pending
Actual Issue Date	9/30/2015
Recommendation	Consideration should be given to developing a means to reasonably ensure that fee distributions remain aligned during the transfer from Odyssey to the Oracle general ledger and throughout the disbursement process. Potential solutions could include additional spot checks, or the reconciliation of fees and fines in the Oracle general ledger accounts based on a periodic review or correlating metrics such as caseload, transaction types, etc.
Response	Separate fee codes for one general ledger account makes identification of the amount transferred to the general ledger difficult since the interface process summarizes the total for all the fee codes related to the account into one total for interfacing. Daily review of the fee codes and related general accounts are performed regularly on a random selection basis by the Detail Audit team of Clerk's Accounting. The account totals as reported from Odyssey are also verified against the postings to the general ledger on a daily basis. Clerk's Accounting will perform random spot checks based on the Odyssey Receipt Journal and verify the postings in the general ledger on a daily basis.
Estimated Implementation	12/31/2015
Revised Implementation	0
Days from report Issue Date	0
Close Date	0