



R. B. "Chips" Shore

CLERK OF THE CIRCUIT COURT AND COMPTROLLER OF MANATEE COUNTY

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MEMORANDUM

To: Brenda Rogers, Director of Community Services Department
From: R. B. "Chips" Shore, Clerk of the Circuit Court and Comptroller
Date: January 22, 2014
Subject: Probation Supervision Follow-up Audit #1

The Internal Audit Department has completed a follow-up audit based on the Clerk of the Circuit Court's Probation Supervision Audit Report issued on January 20, 2012. The follow-up audit consisted of reviewing the management action plans included in the original report to ensure corrective actions have been implemented by the Probation Division's management. The follow-up audit scope incorporated the six-month period ending May 31, 2013.

We are pleased with the corrective actions taken on the issues identified in the original audit report. The Probation Division has made significant improvements to its policies and procedures as they relate to documenting Probation Officer interactions with clients. These guidelines provide detailed instructions for documenting probationer visits in the JustWare system and for obtaining proper identification from all probationers. In addition, quarterly case reviews are now required and provide for supervisors to periodically check case files to ensure accuracy and completeness of information in the JustWare system.

We have identified two areas that continue to require Management's attention. These outstanding issues include the following:

1. Improvements are still needed for the documentation of probationer visits. Instances were found where probationer appearances recorded in JustWare were not supported with corresponding signatures on the sign-in sheets. Instances were also found where probationer office visits, as evidenced by signatures found on the sign-in logs, were not recorded in the case notes contained in the JustWare system.

Management Action Plan

Management will ensure Probation Division staff receives additional training through a recently assigned training officer. In addition, quality control will be included as part of the Division's quarterly case reviews. Implementation is expected by May 2014.

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Clerk of the Circuit Court – Clerk of Board of County Commissioners – County Comptroller – Auditor and Recorder

2. Policies and procedures for the Probation and Supervised Release Sections are not consistent with current operations. The following specific areas were identified where improvements are recommended:
- The Probation Policies and Procedures have been updated to include requirements for obtaining and documenting a probationer's proof of identification on a "Social Data Form". However, the Probation Section is not using the "Social Data Form," and instead, is using the "Personal Social History Form," which does not include an area to document a probationer's identification.
 - According to the Probation Policies and Procedures and inquiries with management, Probation Officers are required to maintain copies of probationers' identification in JustWare or in the paper case files. Test work found that identification is not being consistently obtained or maintained.
 - The Supervised Release Policies and Procedures do not contain any instructions for obtaining and documenting a probationer's identification. It was noted that the Section does have a "Supervised Release Social Data" form, which does include an area for the probation officer to document a probationer's identification, however it did not appear to be consistently completed.

Management Action Plan:

Intake forms for both the Probation and Supervised Release Sections were recently updated and are currently being used by both Sections. Probation Division management has drafted a new policies and procedures manual which is currently being reviewed by the County Attorney's Office. The draft manual incorporates procedures which are common to the entire Division, as well as separate procedures which are unique to the individual Probation and Supervised Release Sections. Management will ensure that the areas for improvement identified above are addressed in the new policies and procedures manual. Implementation is expected by May 2014.

We would like to thank you and your staff for the attention given to the audit findings and for the cooperation and assistance extended to the Internal Audit Staff during this follow-up audit. Another follow-up will be scheduled after implementation of the Management Action Plans.

RBS/LJS/BJW

cc: Board of County Commissioners
Ed Hunzeker, County Administrator