

Loy, Norman

From: Magnuson, Linda S
Sent: Monday, August 22, 2016 2:00 PM
To: Loy, Norman; Smitke, Arlene L
Cc: Collazo, Hector
Subject: BOARD RECORDS - Agenda Item - 2016 Peer Review Report
Attachments: 2016 Peer Review Compliance Letter 8-15-2016.pdf

Attached is the following report to be placed on the BCC Agenda, as follows:

2016 Peer Review Report

If you have any problem opening or viewing the attachment, please let me know.

Also, please let me know the date this Agenda Item will be placed on the Agenda.

Thank you.

Linda Magnuson

Administrative Secretary
Division of Inspector General

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**Association of Inspectors General
524 West 59th Street, 3532N
New York, New York 10018**

August 15, 2016

Hector Collazo
Inspector General
Division of Inspector General
Pinellas County Clerk of Court & Comptroller
510 Bay Avenue
Clearwater, FL 33756

Dear Inspector General Collazo,

The Association of Inspectors General (AIG) performed a Peer Review of the Pinellas County Clerk of Circuit Court & Comptroller Division of Inspector General (COC OIG) Audit Division (AD) and Investigations Division (ID) at your request. The Peer Review Team (Team) evaluated the work of these two Divisions covering November 2011 through August 2016. The Team performed the review during the week of August 1, 2016 at your offices at 510 Bay Avenue, Clearwater, FL 33756. The Peer Review assessed the work of the AD and ID Divisions for compliance with the Institute of Internal Auditors' (IIA) International Standards for the Professional Practice of Internal Auditing (Red Book) and the AIG Principles and Standards for Offices of Inspector General (Green Book). These standards are consistent with the qualitative standards under which your office's Audit and Investigations Divisions have operated throughout the review period.

The three-person Peer Review Team consisted of the following individuals:

Team Leader	Flora Tran Regional Investigator / Co-Accreditation Manager Office of Inspector General Florida Department of Children & Families
AD Review	Randy Duke Consultant Office of the Mayor, Harahan Parrish, Louisiana

ID Review Neil Cohen
 Deputy Director of Audit, Oversight, and Investigations
 Massachusetts Office of Inspector General

On behalf of the Team, I am pleased to advise that we found no reportable instances of failure to meet these standards. There are no limitations or qualifications on our opinion. It is the unanimous conclusion of the Team that both the AD and ID Divisions met all relevant IIA and AIG standards for the period under review.

The remainder of this letter sets forth the purpose, scope, and methodology of the Peer Review.

Purpose

The Team conducted an independent, qualitative review of the operations of the AD and ID Divisions of the Pinellas County Clerk of Circuit Court & Comptroller Division of Inspector General focusing on compliance with agreed-upon standards.

Scope

The Peer Review covered AD and ID operations, resulting work products, and related file materials chosen from closed audits and investigations between November 2011 and August July 2016 for both Divisions. The Peer Review's scope also covered the Divisions' compliance with their relevant policy and process manuals and procedural guides; staff qualifications; and professional training requirements. Lastly, the Peer Review assessed supervisory review and quality control over the work product, reporting of results, and the COC OIG's relationship and communications with outside agencies. For this last step, the Peer Review Team met with external stakeholders with whom the COC OIG frequently work, or who are the recipients of the COC OIG's work products.

Method

The Peer Review Team generally followed the Peer Review/Qualitative Assessment Review Checklists developed by the COC OIG for the AD and ID Divisions. These Checklists are based on the IIA and AIG Quality Standards. The Team also called upon their own professional experience as senior managers of various Offices of Inspectors General and through their knowledge of and familiarity with best practices within the Inspector General community.

Prior to the actual on-site review, the Team requested information from both AD and ID, including but not limited to policy and procedures manuals, closed case logs, a list of

issued reports, and a list of external stakeholders. The Team used this information to select the work products and related case materials that were ultimately reviewed.

On August 2, 2016, the Team held an entrance conference with you and your executive leadership, during which time we explained the Peer Review scope, methodology, limitations, and proposed schedule. During that morning, we also delivered our request for sample review materials. During the week, the Peer Reviewers conducted their fieldwork through examination of the selected case files. Peer Reviewers also interviewed staff from AD and ID.

The Team also reviewed the personnel files of current AD and ID employees and reviewed their Training and Continuing Education files and all relevant policy and process manuals and procedural guides. All file requests were met fully and timely.

The Team conducted all interviews in confidence and without any limitation on scope or time. Reviewers requested follow-up interviews and explanations, as well as any supplemental documentation, and COC OIG staff graciously accommodated the Team.

The two Peer Review Teams also independently chose several external stakeholders to interview. Meetings were arranged between the Peer Reviewers and the external stakeholders for the purpose of evaluating agency cooperation, effectiveness, and responsiveness. Stakeholders included the following representatives from the:

- Ken Burke, Clerk of the Circuit Court and Comptroller, Pinellas County
- Connie Daniels, Director, Court and Operational Services
- Doyle Jourdan, Chief Investigator, Office of the State Attorney, 6th Judicial Circuit, in and for Pasco and Pinellas Counties
- Sgt. Adam Kinzel, Pinellas County Sheriff's Office
- Administrative Judge Linda Allan, Probate Division, 6th Judicial Circuit, in and for Pasco and Pinellas Counties
- Director Bill Berger, Office of Management and Budget, Pinellas County
- Bureau Director Paul Cozzi, Parks and Conservation Department, Pinellas County

Finally, the Team held an exit conference with you and your team on August 2, 2016, during which time the Team shared its conclusion that the two Divisions fully met IIA and AIG standards. Team members provided you with our observations and opinions gathered during the review. We also held a separate exit conference with you. During this exit conference, Peer Review Team members elaborated on the observations made during the week of review. Team members provided several observations that did not limit or qualify the opinion of the Peer Review, but were shared with you as possible areas of consideration going forward. Throughout the week, we had productive discussions with COC OIG members (from the leadership to professional staff) regarding their positive

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experiences from past Peer Reviews and their affirming opinions about the Peer Review process.

As noted above, it is the unanimous conclusion of the Peer Review Team that AD and ID met all current and relevant IIA and AIG standards for the review period.

On behalf of the AIG, I want to thank you for the confidence placed in the Association by requesting that we conduct this review. On behalf of the Peer Review Team, we would like to acknowledge and thank Inspector General Hector Collazo, as well as Inspector General Managers Ava Jurek and Melissa Dondero, and Administrative Secretary Linda Magnuson for all of their efforts in the coordination and planning of this event and for ensuring that we were provided with the necessary records and tools for a thorough and smooth review. Lastly, on behalf of the Team, we would like to recognize that in all of our interactions with your staff, we were shown the respect and cooperation that is the hallmark of a professional staff truly interested in a full and open review of their work. At the same time, this has been a learning experience for each member of the Peer Review Team, for which we wish to convey our sincerest thanks.

Please feel free to contact me or any member of the Peer Review Team if you have any questions.

Yours truly,



Flora Tran
Team Leader, AIG Peer Review for Pinellas County Clerk of the Circuit Court &
Comptroller Division of Inspector General, August 2016
Peer Review Committee, Association of Inspectors General

cc:

Neil Cohen, Team Member, AIG Peer Review for Pinellas County Clerk of the Circuit
Court & Comptroller Division of Inspector General, August 2016
Randall Duke, Team Member, AIG Peer Review for Pinellas County Clerk of the Circuit
Court & Comptroller Division of Inspector General, August 2016