February 21, 2013

Inspector General Hector Collazo Jr.
Pinellas County Clerk of Court
Office of Inspector General
510 Bay Avenue
Clearwater, FL 33756

Dear Inspector General Collazo Jr:

Congratulations!

We are pleased to inform you Pinellas County Clerk of Court, Office of Inspector General has met the required standards to become reaccredited by the Commission for Florida Law Enforcement Accreditation.

Your reaccredited status is official as of this date and will remain in effect for a period of three years. Compliance with any future standards approved by the Commission that may be applicable to your department is part of maintaining your accredited status.

You and your agency are to be commended for your continued diligence, professionalism, and commitment in maintaining this highest recognition among Florida’s law enforcement community.

We look forward to working with you and your agency in your continuous pursuit of excellence. On behalf of the Commission, we extend our thanks for your participation and congratulations on a job well done!

Sincerely,

Lori Mizell
Executive Director

Julie Jones
Chairperson
February 4, 2013

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

Dear Inspector General Collazo:

Enclosed you will find a copy of the team leader’s final report from your reaccreditation assessment.

The Commission’s next general meeting with agency reviews is scheduled for Thursday, February 21 at the Mission Inn Resort & Club, 10400 County Road 48, Howey-in-the-Hills, FL 34737, telephone (800) 874-9053. The Commission meeting agenda is enclosed for your review.

Your agency will be reviewed by a committee of Commissioners prior to the regular business meeting. You have been assigned for review by Committee A. Committee reviews will begin at 8:00am, followed by the general business meeting at 10:00am. At the beginning of your agency’s review, you will be given the opportunity to give a brief description of your agency size and service community. Please keep your comments to no more than two minutes. You will also be given the opportunity to make additional remarks after the Committee vote is taken. At the general business meeting, your agency’s reaccreditation will be voted on by the full Commission.

If you have any questions, or require any additional information, please do not hesitate to contact me.

We look forward to seeing you in Howey-in-the-Hills!

Sincerely,

Lori Mizell
Executive Director

Enclosures
To: Commission for Florida Law Enforcement Accreditation  
From: Juli Brown, Team Leader  
Date: December 14, 2012  
Re: Full Compliance On-Site Assessment Report  
Pinellas County Clerk of the Circuit Court and Comptroller, Division of Inspector General (PC-IG)  
Standards Manual Version: 1.0

A. Date of On-Site Assessment: December 4, 2012

Key Agency Personnel
Inspector General: Mr. Hector Collazo Jr.
Accreditation Manager: Ms. Ava Jurek

B. Assessment Team:

Team Leader: Ms. Juli Brown (JB)
Accreditation Manager
Florida Fish and Wildlife Conservation Commission
Division of Law Enforcement
620 South Meridian Street
Tallahassee, FL 32399-1600
(850) 617-9401
Juli.Brown@myfwc.com

Team Member: Erin Romeiser (ER)
Investigations Manager
Office of Inspector General
Florida Office of Financial Regulation
200 East Gaines Street, Suite 121E
Tallahassee, FL 32399-0400
(850) 410-9674
Erin.Romeiser@flofr.com

C. Standards Summary Tally:

<table>
<thead>
<tr>
<th>Total Number of Standards</th>
<th>Number of Standards Not Applicable (By Function)</th>
<th>Number of Standards Waived</th>
<th>Number of Applicable Standards in Compliance</th>
<th>Percent of Applicable Standards in Compliance</th>
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<tr>
<td>42</td>
<td>2</td>
<td>0</td>
<td>40</td>
<td>100%</td>
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</table>
D. Agency Profile:

The Clerk of the Circuit Court and Comptroller (Clerk) is an elected Constitutional Officer and Public Trustee and thus responsible to the citizens and taxpayers of Pinellas County. The Clerk is considered independent of the Board of County Commissioners, and derives his authority and responsibility from constitutional and statutory provisions. One of the Clerk's responsibilities enumerated in law is to act in the capacity of Auditor. Toward this end, the Internal Audit Division was established as an independent agency in 1983. In June 2009, a formal Inspector General charter was adopted resulting in a title change from Internal Audit Division to Division of Inspector General (Division). The Division is organized into two units, the Public Integrity Investigations Unit and Audit Services. Investigations and Audits are conducted in accordance with the Florida Inspectors General Standards Manual, Principles and Standards for Offices of Inspector General of the Association of Inspectors General (OIG) and the International Standards for the Professional Practice of Internal Auditing of the Institute of Internal Auditors. The OIG Quality Assurance Review in November 2011, determined that the Division met or exceeded the intent of the Association of Inspectors General's Principles and Standards for Offices of Inspector General, which is the highest affirmation.

To provide for the independence of the Inspector General activity, staff report to the Director (Inspector General/Chief Audit Executive), who reports administratively to the Clerk. The Division has no direct responsibility to or authority over any area subject to its investigations, audits, and reviews. Therefore, the Division is organizationally independent from those areas that it will be investigating, auditing, and reviewing. The Director, as Inspector General and Chief Audit Executive, has the authority and responsibility to conduct investigations/audits of all agencies funded by the Clerk and the Board of County Commissioners departments and to issue reports based on its investigative and audit findings. One of the most significant roles of the Division of Inspector General is to serve as public watchdog over taxpayer dollars.

Pinellas County is a charter county established under the Constitution and Laws of the State of Florida in 1911. Pinellas County approved the home rule charter in 1980 establishing a Board of County Commissioners/Administrator form of government. The elected Constitutional Officers include the Clerk of the Circuit Court and Comptroller, Property Appraiser, Sheriff, Supervisor of Elections, and Tax Collector. The seven member Board of County Commissioners serves as the legislative body, and budgets and provides the funding for its departments, the entire operations of the Sheriff and the Supervisor of Elections, and portions of the operational budgets of the other Constitutional Officers.

Pinellas County is an urban county located on the western coast of Florida, on a peninsula, bounded on the east by Tampa Bay and on the west by the Gulf of Mexico. Pinellas County has the second smallest land area in Florida, but is the most densely populated of the 67 counties. Pinellas County contains 24 municipalities with a population as of 2011 of 917,398 people. The county is 38 miles long and 15 miles across at its widest portion.
E. On-Site Assessment Summary:

Team Leader Juli Brown and Assessor Erin Romeiser are assigned to Tallahassee and met on Thursday, November 15, 2012 as a pre-assessment team meeting. The purpose of this meeting was to review and discuss the PC-IG assessor packet, itinerary and issues or concerns related to the upcoming assessment. The assessor packet contained a welcoming letter from the Inspector General, an assessment itinerary, a copy of the PC-IG Organizational Chart, and a self-assessment status report. Assessors were also provided with a copy of the Written Directive System which describes the process for developing written directives and procedures.

On Tuesday, December 4, 2012, the assessment team arrived at the PC-IG located at 510 Bay Ave in Clearwater where they were met by Accreditation Manager Ava Jurek. Ms. Jurek escorted the team to their office located on the first floor of the building, and to the area that assessors would utilize as a work area. The PC-IG suite is equipped with an alarm and lock system, but is only locked when the suite is not occupied (night) or when the receptionist is alone. Visitors are permitted to enter the suite through the main door and without permission. In December 2012 the PC-IG had an electronic lock installed on the main entrance door. The door is locked at all times and only authorized personnel may enter the suite using swipe cards. The IG suite was clean, organized and professional in appearance. Ms. Jurek provided a briefing regarding resources in the room and computer access for the electronic assessment.

An entrance interview was conducted with the assessors, Inspector General Hector Collazo and Ms. Jurek. Assessors where then escorted on a tour of the office suites where assessors made multiple standards related observations, asked questions relating to standards, and met key people to possibly interview at a later time. At approximately 9:00 a.m., assessors returned to the work area and began the assessment with electronic file review and interviews as necessary.

Conclusion

The PC-IG assessment was conducted in a single day. The team reviewed all files, and interviewed several agency members. All individuals interviewed were knowledgeable in the accreditation process and the policies and procedures of the agency. The exit interview was conducted at approximately 5:30 p.m. with Team Leader Brown, Assessor Romeiser, Inspector General Hector Collazo, Accreditation Manager Ava Jurek, and Administrative Secretary Linda Magnuson and included discussion and/or comments from assessors relating to their assigned standards. The team leader communicated to Inspector General Collazo the assessment team will recommend to the Commission that the PC-IG be reaccredited at the next Commission meeting in February 2013. The team leader thanked those in attendance for their cooperation and commended them for their hard work and professionalism. Inspector General Collazo was very appreciative and supportive of the process and thanked the team for its hard work.
F. Standards Noncompliance Discussion: None.

G. Corrective Action Discussion:

4.11M A directive specifies procedures for recording the chain of custody of evidence to include, at a minimum:
A. Date, time, and method of transfer;
B. Receiving person’s name and responsibility; and
C. Reason for the transfer.

Proofs for 2010 and 2011 did not record the time of receipt of evidence. However, TeamMate case tracking system electronically registered date, time, case number and member of staff who uploads supporting documentation for each case. A new property receipt form created in September 2012 clearly documents the chain of custody for intake of evidence.

H. Standards Verified by the Team as “Non Applicable” to the Agency:

3.04M (Assessor: JB) 6.01M (Assessor: ER)

I. Standards, the Status of Which, Were Changed by Assessors: None.

J. Public Information Activities:

J-1. Correspondence and Media Interest: None.
J-2. Follow up by Assessment Team: None.

K. Exemplary/Projects/Procedures:

- November 2011 - Issued an OIG Peer Review meets and/or exceeds standards.
- Conducts homestead exemption fraud investigations for the Pinellas County Property Appraiser Office.
- Palm Beach County Clerk & Comptroller’s OIG adopted PC-IG’s Guardianship Investigation Guidelines, Policies & Procedures.
- Assisting Sarasota County Clerk & Comptroller’s and the City of Tampa’s Internal Audit Offices with the conversion into an OIG.
- Staff are skilled in computer forensics and possess multiple professional certifications, including Certified Inspector General Auditor (CIGA), Certified Internal Auditor (CIA), Certified Public Accountant (CPA), Certified Information Systems Auditor (CISA), Chartered Global Management Accountant (CGMA), Certified Fraud Examiners, and Certified Fraud Specialists.
- National Association of State Boards of Accountancy (NASBA) certified in 2012, and in May of 2012, hosted a three day training, “Internal Investigations – Legal
Landmines & Practical Skills,” attended by over 50 guests from OIG offices throughout Florida.

- Hosted the Association of Inspectors General 2012 Fall Conference.
- Fraud, Waste and Abuse hotline is heavily advertised via, Facebook, Twitter, Internet, Newsletter, Video, Business Cards, Online Payslips, Posters, Brochures and reports include the Fraud, Waste and Abuse Hotline Information on the last page of the reports.

L. Quality of Service:

Chapter 1: Organization and Governing Principles (Assigned Assessor: ER)
The PC-IG’s policies and procedures clearly define their authority and responsibilities. The Division’s mission statement and organizational chart are available to staff (posted in the copy room and on the Division’s web site and Intranet). PC-IG provided clarification as to the name of the agency’s ADA Coordinator (designated to the County’s Office of Human Rights).

Chapter 2: Personnel Practices (Assigned Assessor: JB)
The PC-IG has a directive that clearly defines what type of qualifications an investigator must possess. Accreditation standards were met within this Chapter. Observables and interviews concluded that members were informed of their job duties.

Chapter 3: Training (Assigned Assessor: JB)
The PC-IG meets their training policy requirements and goes above and beyond the applicable accreditation standards (40 hour minimum every 2 years). Observations and interviews concluded that files are in compliance. Standard 3.04M was verified as NA.

Chapter 4: Investigation Process (Assigned Assessor: JB)
The PC-IG’s files are maintained in a case tracking system called “TeamMate”. Files are secure. An interview was conducted with PC-IG Senior Inspector General Auditor Ron Peters who was versed on PC-IG policy and presented as a consummate professional.

Chapter 5: Whistle-blower’s Act (Assigned Assessor: ER)
The PC-IG did not conduct any whistle-blower investigations during the accreditation period; however, the Division has thorough policies and procedures in place to ensure compliance with Florida’s Whistle-blower’s Act. Additionally, Division staff is familiar with the confidentiality provisions of the Whistle-blower’s Act and staff complete Whistle-blower Complaint Determination forms for every investigation.

Chapter 6: Notification Process (Assigned Assessor: ER)
The PC-IG has processes in place to ensure notifications are made to contractors and individuals substantially affected by findings. However, the Division did not make any notifications during the accreditation period. Standard 6.01 was verified as NA.

Chapter 7: Case Management (Assigned Assessor: ER)
The PC-IG utilizes a case tracking system called TeamMate which houses their investigations and audits. All elements of the investigative process are documented
within the TeamMate database from the receipt of the initial complaint to the final investigative report. The Division is nearly paperless, as all documents and case supporting materials are scanned and uploaded into the TeamMate system. The Division’s policies and procedures clearly address tracking cases and records retention. No records were destroyed within the reaccreditation cycle.

Chapter 8: Final Reporting Processes (Assigned Assessor: ER)

The PC-IG’s policies and procedures clearly address investigative conclusions, distribution of final reports, post investigative responses and notification of criminal allegations. The Division’s final reports contain all relevant information and findings of fact. Review and response documentation was provided for years 2010 and 2011; however, the Division did not receive any post investigative responses prior to the assessment in 2012. Additionally, the Division made notification to law enforcement regarding a possible criminal violation in 2010; however, no other law enforcement notifications were made during the accreditation period.

M. Summary and Recommendations:

OVERALL CONCLUSIONS:

The Pinellas County Clerk of the Circuit Court and Comptroller, Division of Inspector General is a professional, well trained and enthusiastic unit. Their mission is to “Improve government and preserve the public trust by providing independent, comprehensive audits, and investigations designed to add value and improve the County’s operations and contracts.” This Division has embraced their responsibilities to the citizens of Florida, as well as the culture of the accreditation process.

The assessment team recommends the Pinellas County Division of Inspector General be favorably reviewed for reaccredited status by the Commission for Florida Law Enforcement Accreditation at the next Commission meeting.

NON-COMPLIANCE SUMMARY:

Signed: Juli Brown, Team Leader