



Robert W. Germaine
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CARES Grant Program

Date: September 24, 2020
To: Commissioners
From: Heather Woods, MS, CIA, CRMA, CISA
 Director of Compliance and Internal Audit
Re: CARES Program – Clerk of Courts Update

The Highlands County Clerk of Courts Compliance and Internal Audit Department is focused on ensuring each CARES Grant Program approved case is reviewed efficiently, concerns are communicated to the BOCC, cases are accurate and complete and are then recommended for payment. A component of this process is ongoing monitoring of several key performance indicators (KPIs). These KPIs ensure effective and efficient tracking and management of the Clerk of Courts CARES Grant Program review and payment process. We are providing these KPIs to give up-to-date information regarding the Clerk of Courts ongoing role in the CARES Grant Program.

Clerk of Courts CARES Grant Program KPIs – End of Day 9-23-2020

	Total Applications in the BOCC Review Process	Total BOCC Approved Cases	Total Cases Reviewed by Audit	Cases Pending Audit Review
Individual	2,173	651	550	101
Business	656	392	278	114
Community	11	11	9	2

	Checks Issued	Checks Pending for 9/25/2020	% of Total BOCC Approved Cases Paid/Approved for Payment	% of Reviewed Cases w/Concerns Sent to BOCC	% of Outstanding Reviewed Cases w/Concerns Sent to BOCC
Individual	355	142	76.3%	12.7%	8.7%
Business	102	129	58.9%	22.7%	15.5%
Community	0	8	72.7%	11.1%	11.1%

KPI Notes:

Total Applications in the BOCC Review Process: This includes applications that are in first review, second review, final review or approved by the BOCC staff.

Total BOCC Approved Cases: These are cases which have been approved by the BOCC and are the population of cases the Clerk's Internal Audit Department is reviewing and recommending for payment, or already paid.

% of Reviewed Cases w/Concerns Sent to BOCC: These are all cases that had a concern identified and were sent back to the BOCC point of contact for research and/or correction.

% of Outstanding Reviewed Cases w/Concerns Sent to BOCC: These are cases that had a concern identified and were sent back to the BOCC point of contact for research and/or correction and are still pending feedback from the BOCC staff.

A few additional items of note:

- The prior week's check totals and the current week's pending check totals are noted below.
 - Business: prior: \$281,500 current: \$454,000 total: \$735,500
 - Individual: prior: \$532,500 current: \$213,000 total: \$745,500
 - Community: prior: \$0 current: \$134,350 total: \$134,350
- The Clerk's IT Department is testing and preparing the Community Programs grants electronic interface (for the financial system) which enables checks to be printed for these cases. They are currently being processed manually.
- The review process for current approved business grant applicants has been modified to reduce confusion and improve review and payment efficiency. An applicant's W-9 will now be verified to ensure there is only one taxpayer identification number, it is signed and dated and is validated to ensure it matches the Neighborly application. Any inaccuracies will be sent to the BOCC point of contact for research and correction prior to Internal Audit recommending the case for payment. For future and/or not yet approved CARES business grant applications, the Clerk's Internal Audit Department has requested/recommended the BOCC application reviewers include the above noted change in the review process.
- The Clerk of Courts is in the process of adding additional reviewers to the Clerk's Internal Audit Department to assist in the efficient and effective review of approved cases.

If there are any questions or concerns please feel free to contact our office.

Thank you.

cc: Randy Vosburg, County Administrator
Laurie Hurner, Assistant County Administrator
Robert W. Germaine, Highlands County Clerk of Courts
Jerome Kaszubowski, Senior Director of Business Services
Sydney Armstrong, Legislative Affairs/Grants Coordinator