



STATE OF FLORIDA

DEPARTMENT OF COMMUNITY AFFAIRS


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CHARLIE CRIST
Governor

THOMAS G. PELHAM
Secretary

MEMORANDUM

TO: Thomas G. Pelham, Secretary

FROM: Candie M. Fuller, Acting Inspector General 

SUBJECT: Audit Follow-up

DATE: September 10, 2008

In accordance with Section 20.055 (5) (g), Florida Statutes, a report of the most recent audits relating to DCA issued by the Florida Auditor General is attached. The report includes a brief summary of the audit findings, recommendations, and agency response, with status of corrective actions at this time.

Please let me know if you would like additional information regarding this follow-up report.

Attachment

✓ cc: Joint Legislative Auditing Committee

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FOLLOW-UP OF AUDIT REPORTS ISSUED BY THE AUDITOR GENERAL OR OPPAGA

AUDITING ENTITY	REPORT NUMBER	PERIOD COVERED	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTIONS TAKEN
Auditor General	2008-046	July 2005 – September 2007	<p>Finding No.1: The Department had not prepared and submitted several reports required by law.</p> <p>Recommendation: We recommend that the Department timely complete and submit the required reports.</p>	<p>The Department prepared a combined Certified Local Government Report for calendar years 2005 and 2007 and it was submitted to the Governor, President of the Senate, and Speaker of the House in December 2007. The next report is due June 30, 2009.</p> <p>A combined Optional Sector Plan Status Report for calendar years 2005, 2006, and 2007 was completed and submitted to the Legislative Committee on Intergovernmental Relations in December 2007. Preparation of the 2008 report is underway and will be submitted on time.</p> <p>A combined Rural Land Stewardship Area report for 2005, 2006, and 2007 was completed and submitted to the Legislature in December 2007. Preparation of the 2008 annual report is underway and will be submitted on time.</p> <p>The Accessory Dwelling Unit Report to the Florida Legislature was submitted in September 2007. There is no requirement for a follow-up report.</p>
			<p>Finding No.2: The Department had not updated one of its rules or the Comprehensive Plan Amendment Review Manual (Manual) to address law changes relevant to comprehensive planning made during the period 2002 through 2007.</p>	<p>The Department has initiated rule-making (Rule 9J-5) for the Rural Land Stewardship Area Program. The Department has held three workshops and adoption is anticipated by the end of this year.</p> <p>The Department has established an internal workgroup to prepare concepts for a broader</p>

		<p>Recommendation: We recommend that the Department take steps to ensure that the Rule and the Manual are timely updated to address current requirements of law.</p>	<p>revision to Rule 9J-5.</p> <p>Work toward updating the Comprehensive Plan Amendment Review Manual is under way.</p>
		<p>Finding No.3: The Department did not always properly document whether input was received from applicable governmental agencies, or for input received, that appropriate consideration was given and proper dispositions made.</p> <p>Recommendation: We recommend that the Department maintain documentation to evidence that appropriate consideration is given and dispositions are made for all governmental agency input received. We also recommend that the Department identify in its reports those governmental entities which do not respond and the impact, if any, that the lack of input may have on the Department's review and conclusions.</p>	<p>Section 163.3184, Florida Statutes, directs certain state and regional agencies to comments to the Department on proposed comprehensive plan amendments. Once a plan amendment package is determined to be complete, the agencies are notified by electronic mail from the Division's Plan Processing and Review team of the deadline for receipt of comments. The electronic mail also includes the name of the local government, the DCA assigned number, and the contact person at DCA. If an agency has no comments, they generally do not respond. If an agency responds with comments, they are taken into consideration during the review process and placed in the official file. If no comments are received, there is nothing to put in the file. The Department maintains a database of comments received on proposed comprehensive plan amendments and meets periodically with the agencies to encourage coordination.</p>
		<p>Finding No.4: Department policies and procedures for handling customer inquiries and complaints could be improved.</p>	<p>The Department has initiated the Tracker program which allows electronic correspondence to be tracked and responded to in a timely manner. Also at a Department level, a customer satisfaction survey</p>

<p>has been added to each outgoing electronic message. The Division maintains a file of inquiries, requests, and complaints and has established Standard Operating Procedures for handling inquiries and complaints.</p>	<p>Recommendation: We recommend that the Department establish and implement policies and procedures to document that all customer inquiries and complaints are appropriately addressed in a timely manner.</p>			
<p>The Division initiated a monthly training routine in August 2007, and has conducted a variety of training courses including: legislation affecting comprehensive planning, capital improvements elements, waterfront planning, transportation impact analysis, school concurrency, hazard mitigation, and more. All attendees are required to sign-in and an attendance log is maintained.</p> <p>Building on the training program, the Division has established internal procedures to ensure appropriate review of planning documents. The staff planner assigned the review and the regional planning administrator reviews and approves the review prior submission to the Chief of Comprehensive Planning. This step plus the additional training work to ensure work products are in accordance with laws, rules, policies and procedures.</p>	<p>Finding No.5: The Department's procedures could be strengthened to provide greater assurance that employees are properly trained for their assigned responsibilities and that all work is properly supervised and conducted in accordance with established policies and procedures.</p> <p>Recommendation: We recommend that the Department establish and implement procedures to document that employees are appropriately trained for their assigned responsibilities and that all work is properly supervised and conducted in accordance with established laws, rules, policies, and procedures.</p>			
<p>The Division is in compliance with Executive Order of the Governor's Code of Ethics/Standards of Conduct dated January 2, 2007, and the Department's DCA Procedure 1101.9, Code of Ethics/Standards of Conduct, as well as the Department's Policy 1101.8 for outside employment.</p>	<p>Finding No.6: The Department's current policies and procedures do not require Office employees to provide periodic disclosures to address all potential conflicts of interest.</p>			

			<p>Recommendation: We recommend that the Department establish and implement policies and procedures requiring Office employees to submit an annual statement disclosing all conflicts of interest or affirming the absence of such impairments. We also recommend that this information be used by Department managements to schedule review assignments in a manner that avoids any actual or potential conflicts of interest.</p>	
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