

**Status Report on
Corrective Action Plan
Office of the Clerk of Council
As of
January 11, 2019**

Background/History

On November 28, 2017, City Council authorized and directed Internal Audit to perform an audit on the Office of the Clerk of Council. The audit began on January 22, 2018 and concluded in July 2018, with the Audit Report presented publicly at the August 14, 2018 meeting of the City Council. The audit revealed several critical deficiencies in the areas of numerous official minutes missing from the Minute Binders:

- 2003 Minutes Missing: October – December
- 2004 Minutes Missing: June – December
- 2005 Minutes Missing: October – December
- 2006 Minutes Missing: October – December
- 2007 Minutes Missing: January – December
- 2008 Minutes Missing: January – December
- 2009 Minutes Missing: April – December
- 2010 Minutes Missing: January – December, except January 12 Meeting
- 2011 Minutes Missing: January – December
- 2012 No book found in immediate area

The official contracts made by the city are to be open for public inspection in the Office of the Clerk of Council. Boxes of contracts were located, but the boxes were missing a substantial number of contracts for each year.

Summary minutes were prepared and posted in summary style, while the official minutes contained were in the verbatim style, when summary style minutes would have sufficed.

Municode software updated lagged by six or more months, due to infrequent updates. This can result in the public relying on out-of-date ordinances.

Temporary files, such as agenda folders, were retained in filing cabinets indefinitely, rather than destroyed after permanent minutes were created, approved and posted.

The software for preparing agendas and managing the documents of boards and commissions is cumbersome and inefficient.

The auditors noted a lack of separation of duties related to payroll processing for the Office.

Following presentation of the audit, City Council requested that the Internal Auditors to prepare a Corrective Action Plan to bring these issues to currency. They also directed Elizabeth Barfield, Forensic Auditor to guide the Deputy Clerk of Council and the staff in the implementation of the Corrective Action Plan and to track its progress.

In December, the City Council requested the auditors to complete a Status Report prior to the newly appointed Clerk of Council coming to work.

Status

As of January 11, 2019, all minutes are current, posted online in summary form, and included in the minute books except for the following dates for which no source minutes can be located: 04/28/1998, 07/28/1998, 09/15/1998, 09/29/1998, 09/30/2003, 09/26/2006, 11/07/2006, 12/19/2006, 01/09/2007, and 1/26/2010. Statement of Fact regarding the completion and accuracy of minutes is now included in all minute books.

The Purchasing Division of the Finance Department provided copies of active contracts, and other departments that initiate and retain copies of their contracts for administration purposes are supplying theirs. A few of the latter group remain

outstanding. The Clerk's Office now has access to the contract files of the Purchasing Division to confirm their files are complete. The Deputy Clerk prepared a Contract/Agreement Information Checklist to enhance records retention requirements for the various types of contracts.

Ordinances and Resolutions are current and included in their respective books for public inspection.

The codification of ordinances occurs monthly or as necessary when changes are adopted by City Council.

New software for Agenda Preparation and Minutes was purchased from Municode Corporation and will be installed in February 2019.

Policies and Procedures for the Office have been developed and several forms were revised.

Records were transferred to the City's Records Storage Facility have been moved and those stored there will be retained to satisfy records retention requirements. Any records in storage that are beyond the retention schedule will be destroyed and a Certification of Destruction will be completed and provided to the Clerk's Office.

We commend Deputy Clerk Glisson and the departmental staff, temporary staff, and others that supported the work of the Corrective Action Plan for their diligence in completing this huge task in such a short time.

Follow-up

City Council Members and the Internal Auditors will make periodic unannounced visits to the office to complete a Work Completion Status Report to ensure the work product is current as of the inspection date.

Recommendations

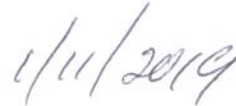
The Office of the Clerk of Council is the daily face of public interaction with the administrative arm of City Council. With the removal of obsolete records, file storage cabinets, shelving, etc., there are two recommendations that we believe are appropriate:

We recommend the office continue its efforts prepare, store, and provide documents in electronic form and make the office as paperless as possible, excepting the legal requirement for maintaining Books of Minutes, Ordinances, Resolutions, Titles and Deeds in printed form. This serves to minimize spacial and equipment requirements for the Office of the Clerk of Council.

We recommend that City Council appropriate the necessary funding for the office and its storage areas to be repainted and re-carpeted to provide a more professional image for this important, official function of the City.



John D. Redmond, CIA, CMA
Internal Auditor & Compliance Officer



Date