

Community Affairs - Human Rights / Community Services

Audit 02-38

Risk Analysis

Risk	Control	Control In Place	Assessment	Objective
Loss of revenue due to non-compliance with EEOC contract requirements.	Supervisor and Fair Housing Invest. track "age" of claims to avoid violation. Claims can exceed the time limit, however, proper documentation is required. However, with regard to other standard contract items it was noted that the City was not being made aware of EEOC complaints against the City that if a adverse decision was made had to be reported.	Yes / No	Medium	
Liability to the City for improperly handling EEOC claim.	Supervisor, Administrator, and at least two Investigators hear case if initial mediation is unsuccessful. Procedures have been developed on processing a claim that are based on the law.	Yes	Low	
Loss of revenue due to non-compliance with HUD Fair Housing contract.	Supervisor and Fair Housing Invest. track "age" of claims to avoid violation. Claims can exceed the time limit, however, proper documentation is required.	Yes	Medium	
Liability to the City for improperly handling Fair Housing claim.	Only one investigator assigned to Fair Housing claims. The same individual mediates, investigates and if necessary conciliates. Independence is severely impaired.	No	High	
Loss of revenue for non-compliance with Hillsborough County agreements for Youth Council and Law Enforcement workshops.	County personnel involved; also County auditor monitors progress. Reports are required on a regular basis to document program activities.	Yes	Low	

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Loss of grant revenue for non-compliance with CDBG requirements for dental and vision services.	Grant amounts have declined in prior years due to lack of use. However, Community Services record have documented a need but the service provider has not.	No	Medium to High	
Loss of revenue due to payment for dental or vision services not provided.	All bills are received and submitted for payment by the Budget Office. There is a report submitted to Budget from Community Services.	No	Medium to High	
Liability to the City for damages received by clients for improper services received for dental or vision.	None - Contractor for dental has not provided timely services therefore frequently leaving dental patients in a pending mode for an extended period of time (including denture patients).	No	Medium to High	
Loss of revenue due to payment for dental or vision services received by an ineligible client.	All bills are received and submitted for payment by the Budget Office. There is a report submitted to Budget from Community Services.	No	Medium to High	
Liability to City due to inadequately securing documentation files for EEOC or Fair Housing claims.	Both EEOC and HUD require adequately securing files. However, files are not adequately secured.	No	Medium to High	