



Connect and Collaborate II – Conference Kickoff, Overview, Role, Introductions, & Internal Controls

Alton L. “Rip” Colvin, Jr.
Executive Director

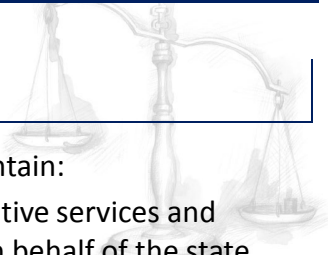
Presentation Objectives

- Provide an overview of JAC and its mission
- Describe the history of JAC
- Define JAC’s role in Justice Administration
- Section Introductions
- Internal Controls & Separation of Duties





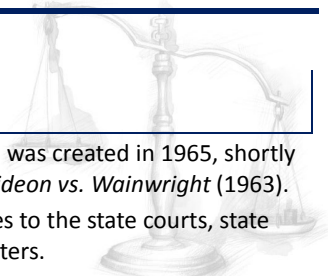
JAC is



- authorized by s. 43.16, F.S., to maintain:
 - a central state office for administrative services and assistance when possible to and on behalf of the state attorneys and public defenders of Florida, the capital collateral regional counsel of Florida, the criminal conflict and civil regional counsel, and the Guardian Ad Litem Program.
- serves as a liaison between your office and DFS, DMS and . . .



History



- The Justice Administrative Commission (JAC) was created in 1965, shortly after the U.S. Supreme Court's decision in *Gideon vs. Wainwright* (1963).
- Early on, JAC provided administrative services to the state courts, state attorneys, public defenders, and court reporters.
- In 1984, services provided to the state courts were transferred to the Office of the State Courts Administrator (OSCA). That same year, JAC began providing services to the Capital Collateral Representative, which later became the Offices of Capital Collateral Regional Counsel.
- In 2003, the Statewide Guardian ad Litem Office was transferred from OSCA to JAC.
- In 2004, JAC began contracting with and paying private court-appointed counsel and related vendors, consolidating this function from 67 counties to one state agency.
- In 2007, JAC began providing administrative services to the newly created Offices of Criminal Conflict and Civil Regional Counsel.

The Commission

- The “Justice Administrative Commission” is lead by two State Attorneys, appointed by the Florida Prosecuting Attorneys Association, and two Public Defenders, appointed by the Florida Public Defender Association.

*Honorable Brad King, Chair
State Attorney, 5th Circuit*

*Honorable Diamond Litt
Public Defender, 19th Circuit*

*Honorable Brian Haas
State Attorney, 10th Circuit*

*Honorable Kathleen Smith
Public Defender, 20th Circuit*

- The Commission meets regularly with the Executive Director along with other JAC staff to provide guidance and direction on a myriad of issues.



Justice Administrative Commission (JAC)

- **Our Vision:** To be a model of exemplary state government and provide unparalleled services.
- **Our Mission:** To support the entities we serve and Florida’s judicial system with fiscal controls, best practices, and exemplary service.
- **Our Core Competencies:**
 1. Administrative Service
 2. Communication and Collaboration
 3. Prompt-Payment
 4. Fiscal Accountability
 5. Continuous Improvement and Innovation
- **Our Values:** We take great pride in exemplary service, adaptability, honesty, integrity, and diversity, as well as respectful and ethical conduct.

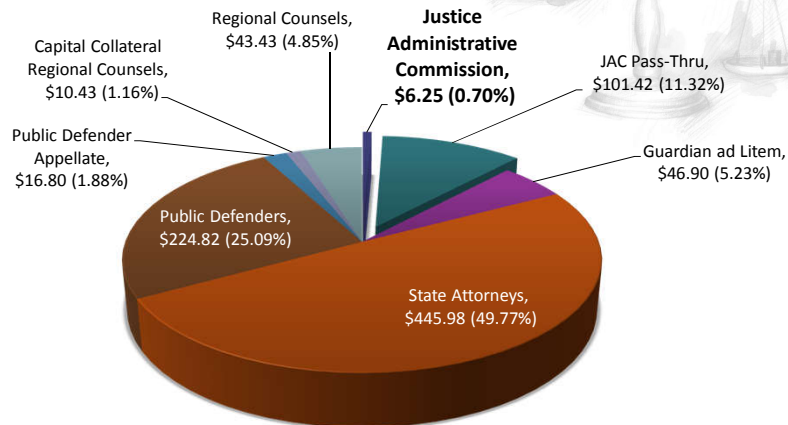


Agencies Administratively Served by the Justice Administrative Commission

- 20 Offices of State Attorney
- 20 Offices of Public Defender
- 5 Offices of Criminal Conflict & Civil Regional Counsel
- 3 Offices of Capital Collateral Regional Counsel
- Statewide Guardian ad Litem Program



Justice Administration Base Budget 2016-17 - \$896.03 Million



Amounts above reflect millions of dollars.





JAC Accomplishments – Fiscal Year 2015–16

- Processed 353,381 accounting transactions and 66,366 court-appointed attorney and due process vendor invoices (Total: 419,747)
- Percent of invoices processed within prompt payment requirements = 97.31% (Legislative performance standard is 95%) – Best Ever!!
- Processed more than 68,150 payroll and human resources transactions
- Performed approximately 600 budgetary transactions



JAC Accomplishments – Fiscal Year 2015–16 – Continued

- Fulfilled more than 460 public records requests
- Attended approximately 1,150 hearings related to court-appointed cases
- Responded to approximately 13,650 legal motions related to court-appointed cases
- Answered more than 21,000 phone calls
- Responded to approximately 12,000 JAC Help Desk inquiries



JAC accomplishes



all this and more with

85 staff!



JAC at a Glance



Executive

- Oversees agency Operations, Strategic Planning, and robust Internal Controls
- Serves as Agency Lobbyist before Executive and Legislative Branches
- Monitors key legislative developments
- Responds to Legislative Bill Analyses Requests
- Signs Capitol ID Badge Applications for Justice Administration Agencies
- Provides Legal Services to Director and Commission
- Serves as Public Records Custodian and Records Management Coordinator
- Coordinates Year-End Workshop and JAC Conference activities
- Promotes and facilitates emergency management best practices
- Publishes and distributes mission-related newsletters and surveys



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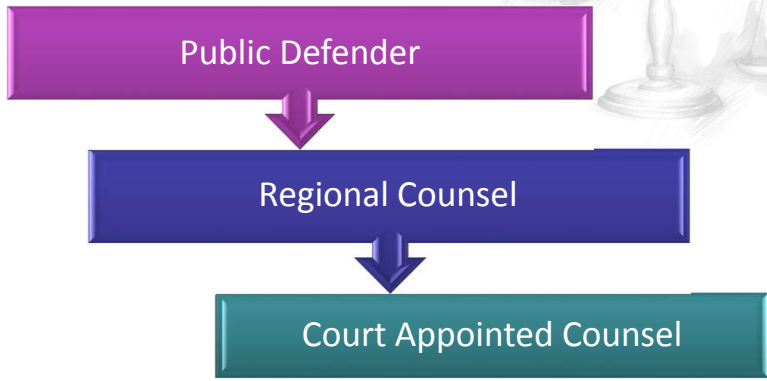
Court Appointed

- Contracts with attorneys and vendors
- Audit for compliance with contractual and statutory requirements Hourly and Flat Fee attorney billings as well as associated due process costs, including those for Indigent for Costs and Pro Se cases
- Participate in hearings when objecting to attorney fees and/or associated due process costs
- Monitor budgetary needs of court appointed counsel
- Report on various aspects of this program



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Three-Tiered Indigent Criminal Defense Model



Two-Tiered Indigent Civil Representation Model





JAC Responsibilities for Court Appointed Counsel

Contract with
1,700 Attorneys
and 800 Vendors

Audit 66,000+
Billings for Attorney
Fees and Costs

Participate in
1,150+ Hearings
when Objecting to
Fees or Costs

Monitor Budgetary
Needs for Court
Appointed Counsel
Appropriations

Report on Various
Aspects of this
Program

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Budget

- Processes budgetary documents on behalf of 55 budget entities within Justice Administration (50 agencies, plus 5 Public Defender Appellate Offices)
- Facilitates and Processes:
 - Legislative Budget Requests
 - Long Range Program Plans
 - Budget Amendments
- Serves as liaison between the Governor's Office of Policy & Budget (OPB) and the 50 agencies for the distribution of LASPBS reports, OPB Memorandums, Budget Instructions, etc.
- Generates and distributes ad hoc budget analysis and reports

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Accounting

- JAC is the 3rd largest processor of invoices, in terms of volume, among all state agencies
- Processes Operations, Due Process, and Civil Commitment Disbursements
 - Review for Compliance with DFS Rules and Florida Statutes
 - Key into FLAIR
- Processes and Reports Revenue Transactions
- Voucher Room (overseen by Operations)
 - Receives and processes Warrants and EFT Remittance Advices
 - Uses EDMS to match vouchers with supporting documentation and return to circuit via email when possible

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Financial Services

- Coordinates and prepares financial reports on a multitude of issues, both those required by law and those requested by entities served, as well as through public records requests
- Monitors budgetary needs of the Justice Administrative Commission, State Attorney and Public Defender Due Process Costs, and Court Appointed Counsel appropriation categories
- Prepares Financial Statements
- Administers P-Card Program for Justice Administration

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Financial Services

- Manages JAC's internal accounting function
- Performs monthly and annual reconciliations
- Distributes FLAIR financial and payroll reports
- Coordinates and facilitates FLAIR services with the entities served
- Serves as Department of Financial Services liaison for Justice Administration on FACTS, Substitute W-9, EFT, and other items

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Human Resources

- Processes monthly payroll for the entities of Justice Administration, with more than 11,000 employees (Payroll by Exception)
 - Monthly payroll
 - Supplemental payrolls
 - Payroll warrants on-demand
- Processes retirement and benefit transactions
- Monitors salary rate

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Human Resources

- Processes Personnel Action Requests for new hires, salary adjustments, position reclassifications, terminations, etc.
- Assists your offices with risk management, agency insurance, and reemployment assistance matters
- Serves as the liaison between your offices and the Department of Management Services
- Serves as a liaison between your offices and the Department of Financial Services
- Upon request, advertises vacancies for positions

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Information Technology

- Supports and provides email for 214 RC1 and JAC staff members
- Provides Citrix access to 214 RC1 and JAC Staff members
- Provides access to Business Office Management System (BOMS) for all of the Offices of Regional Counsel through Citrix
- Maintains and supports 30 servers and the Storage Area Network (SAN)
- Supports Court Appointed Attorney Tracking System (CAATS) which is a custom written application used by JAC to process payments to court appointed counsel and due process service providers

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Information Technology

- Provides support for all equipment and applications including BOMS, CAATS, Laserfiche, Citrix, SQL Support, JAC website including online court appointed contracts
- Researches software updates and hardware replacement needs, as well as test updates for functionality and applicability
- Supports, monitors, and manages anti-virus software
- Supports network print services
- Backs up all data on the network on a frequent basis for offsite storage
- Coordinates repairs to the JAC equipment

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Operations

- Provides administrative support to JAC employees related to desktop computers, other office equipment and facilities
- Supervises JAC Reception, which receives and routes approximately 680 phone calls and 665 pages of faxed documentation daily
- Serves as Department of Management Services' Liaison for JAC Communications (e.g., GoToMeeting, Audio Conferencing, and Virtual Private Network)
- Serves as JAC Purchasing Agent
- Coordinates JAC inventory
- Oversees Voucher Room and Mail Room

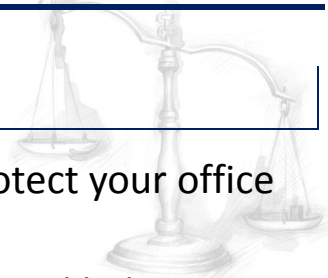
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Internal Controls & Separation of Duties

Internal Controls

- Good internal controls protect your office and your employees...
- Also referred to as checks and balances





Framework of Internal Controls

According to the Government Finance Officers Association's Blue Book, the framework of internal control must:

- Provide a favorable *control environment*;
- Provide for the *continuing assessment of risk*
- Provide for the design, implementation, and maintenance of effective *control-related policies and procedures*
- Provide for the effective *communication of information*
- Provide for ongoing *monitoring* of the effectiveness of control-related policies and procedures

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Control Environment

- Management is knowledgeable about internal controls
- Management is committed to making internal controls work
- Management communicates to staff at all levels its commitment to internal controls



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Risk Assessment

- Scope of periodic risk assessments
- Change as an indicator of risk
 - Changes in the operating environment
 - Changes in personnel
 - Changes in information systems
 - Rapid growth
 - New programs and services



Risk Assessment – Continued

- Inherent risk
 - Complexity
 - Cash receipts
 - Direct payments to third party beneficiaries
 - History of prior problems
 - History of prior unresponsiveness to identified control deficiencies





Control Activities

- Controls that detect and *prevent* v. controls that detect and *alert*
- Tolerable risk
- Categories of control-related policies and procedures
 - Procedures to ensure that transactions are properly authorized
 - Properly designed records
 - Controls to secure assets and accounting records
 - Segregation of incompatible duties
 - Periodic reconciliations
 - Periodic verifications
 - Analytical review of accounting data for reasonableness



Favorable Control Environment – Information and Communication

It is impossible to imagine a favorable control environment without the effective flow of information and good communication.





Controls – Monitoring

Monitoring has two separate goals:

- To ensure that control-related policies and procedures have been properly designed, fully implemented, and remain operational
- To ensure that management has responded appropriately when control-related policies and procedures have indicated a potential problem

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Questions?

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