

February 21, 2006



OFFICE OF THE CHAIR
JOE A. MARTINEZ, CHAIRMAN
BOARD OF COUNTY COMMISSIONERS
DISTRICT 11

Memorandum

To: Honorable Vice-Chairman Dennis C. Moss and
Members of the Board of County Commissioners

From: Joe A. Martinez, Chairman 

Date: February 7, 2006

Re: Commission Auditor's Performance Evaluation (Charles Anderson)

Attached you will find the Commission Auditor's Performance Evaluation. I have listed the Commission Auditor's accomplishments for this year as well as the ability to successfully respond to the numerous Commission requests, the preparation of specific budgetary and legislative reports, summaries and analysis performed during last year's budget process, and other pertinent reports completed by his office. To this end, I have listed specific goals and objectives that were imposed by the Board of County Commissioners last year, as well as the attainment of specific directives given to him by the Board of County Commissioners that are part of his annual work plan. Furthermore, since I have administrative and budgetary oversight over divisions under the Board of County Commissioners, I have met with the Commission Auditor and discussed the attached annual performance evaluation prepared by me which was based on personal observations as well as the attainment of the FY 04/05 Work Plan. The attached evaluation lists specific areas by which all of Miami Dade County Management employees are evaluated. Based on my observations and the criteria established by the Board of County Commissioners, I believe that Mr. Anderson has performed in an overall above satisfactory manner.

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As such, I would like to discuss the attached evaluation during today's Commission meeting and discuss, in a public forum, whether you concur with me and whether a merit increase is warranted.

I have asked the Budget Office to prepare a spreadsheet that depicts what the financial impact to the Commission Auditor's budget would be should the Board decide to issue a merit increase. To this end, they will provide a range for your review in an effort to render a fiscally prudent decision. Please refer to the attached Commission Auditor's annual Performance Evaluation completed by me.

I look forward to a healthy debate.

If you should have any questions please call me at (305) 375-5511.

JM/jim

Attachment

Cc: Honorable Harvey Ruvin, Clerk of the Court
George Burgess, County Manager
Murray Greenberg, County Attorney



OFFICE OF THE CHAIR
JOE A. MARTINEZ, CHAIRMAN
BOARD OF COUNTY COMMISSIONERS

Charles Anderson, Commission Auditor
Annual Performance Evaluation – January 24, 2006

Quantity of Work

The Commission Auditor's responsibilities encompass: audits; management and legislative analyses; program evaluations; review of proposed budgets and revenue forecast; fiscal analyses of County policies, services and contracts; and if requested by the Commission, preparation of a budget. The Commission Auditor's duties include reporting to the Board regarding the fiscal operations of County departments, as well as whether the fiscal and legislative policy directions of the Commission are being efficiently and effectively implemented. The organization and administration of the Commission Auditor will be sufficiently independent to ensure that no interference or influence external to the office could adversely affect the independence and objectivity of the Commission Auditor. The Commission Auditor shall report solely to and receive direction from the Commission. The Chairman of the Board of County Commissioners shall have administrative and budgetary oversight as he does with those divisions that fall under the purview of the Board of County Commissioners.

Achievement of Objectives

The following outlines the major accomplishments of OCA during FY 2004-2005.

1. **Report—*Commission/Council Auditors' Duties Survey*** (November 23, 2004)

This study identified duties of commission/council auditors by examined auditor positions in the 20 most populous counties in the U.S and in 10 other communities that are over 500,000 in population or are geographically located in the State of Florida. 15 auditors (including Miami-Dade County) were found to be "commission/council auditors," reporting to their governments' legislative body. All of these 15 auditors' duties included special studies/projects upon request, and most included financial audits, performance audits, information system audits,

management analysis, budgetary analysis, and/or investigations. Most of these commission/council auditors were the only audit organization for their respective government. Less than half of these auditors' duties included legislative analysis, revenue forecasting, and/or subpoena power. One of these auditors (San Diego, CA) also served as chief financial officer/comptroller, and one (Miami-Dade County) had a responsibility for budget development other than for its own office budget.

2. **Report—*Procurement Information*** (December 13, 2004)

The report compared procurement processes in use by Miami-Dade, Broward, and Palm Beach counties and provided background information about the National Purchasing Institute's *Achievement of Excellence in Procurement* (AEP) award program for which Miami-Dade County was a recipient in 2004.

3. **Report—*Additional Procurement Information*** (December 13, 2004)

This report provided the Office of the Inspector General's Annual Report, an accompanying press release and supplemental data that responded to our inquiry regarding the incidence of fraud and abuse in procurement matters.

4. **Budget Analysis—*FY 2003-04 Budget Amendments*** (February 3, 2005)

This report provided review, analysis and recommendations on the County Manager's proposed FY 2003-04 End of Year Budget Amendments and Supplemental Budgets. This was the first report to specifically address amendments from the perspective of Board's direction in Resolution No. R-195-05, adopted February 1, 2005, which directed the Commission Auditor to "review, analyze and make a recommendation to the Board of County Commissioners regarding all budget amendments proposed by the County Manager."

5. **Budget Analysis—*Departmental Resource Allocation Meetings*** (February—April 2005)

Attended 60 OSBM-sponsored departmental resource allocation meetings at which each department reviewed their respective budget needs and submissions.

6. **Report—*Ryan White Title I Program*** (February 23, 2005)

This report provided an overview of Ryan White Title I Program to aid commissioners' in their consideration of contract award proposals.

7. **Report—*Survey of Top 20 Counties' Intergovernmental Offices*** (February 27, 2005). This report described the organizational structure of Intergovernmental Affairs staff in the 20 most populous counties in the U.S.

8. **Budget Analysis—*OCA Budget Workshop*** (March 24, 2005)

Held a Budget Workshop for all departments to introduce departmental personnel to OCA staff and to discuss completion of OCA's requested budget forms. Hard copies of forms were distributed, budget submission deadlines were established, and OCA contact information was provided.

9. **Report—*Comparisons of Miami-Dade County Participating Healthcare Provider Lists for County Employee HMO Plans*** (April 13, 2005)

This report provided side-by-side comparisons of participating healthcare provider lists for the four (4) County employee HMO plans. It expanded upon summary data about health care provider lists and upon results of a survey of the health plans offered by the 20 most populous counties in the U.S., which were issued as Supplemental Legislative Analysis for the April 13, 2005 Community Outreach, Safety and Healthcare Administration Committee meeting agenda.

10. **Budget Analysis—*OCA Reports for the Regional Transportation Committee (RTC) Budget Workshop*** (May 23, 2005)

Reviewed budget submissions for RTC departments and provided executive summaries for five (5) departments.

11. **Report--*Workforce Analysis*** (May 25, 2005)

This report provided demographic comparisons of County employees (per data provided by the County Manager) and the County's population (per U.S. Census Bureau estimates for July 2003.)

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12. **Budget Analysis—*OCA Reports for the Community Outreach, Safety and Healthcare Administration (COSHA) Committee Budget Workshops*** (June 3 and 13, 2005)

Reviewed budget submissions for COSHA departments and provided executive summaries for 15 departments.

13. **Budget Analysis—*OCA Reports for the Committee of the Whole*** (June 29, 2005)

Provided line item analyses, budget issues and executive summaries for nine (9) selected departments.

14. **Audit—*Audit of Purchasing Card Program*** (Issued July 21, 2005)

Major Findings

- ◆ The Finance Department lacked segregation of duties in Purchasing Card transactions.
- ◆ All authorization and reconciliation documents collected since the inception of the Purchasing Card program were filed in hard copy format and located in one employee's cubicle.
- ◆ There was no written documentation of the internal procedures governing the authorization, custody, record keeping and reconciliation of Purchasing Card transactions.
- ◆ Lost or stolen cards were not immediately reported to the Finance Department.

Status of Corrective Action

- ◆ *Finance Department concurred with all findings.*
- ◆ Follow-up on corrective actions is in process

15. **Review—*Review of User Access Program (UAP)*** (Issued August 9, 2005)

Major Findings

- ◆ Third parties and County vendors could potentially circumvent the UAP but should be deterred.
- ◆ With revenues of \$972,749 in the first year, DPM recovered the \$275,286 expense of computer programming required to implement the program. However,

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DPM's analysis for FY 2003-04 indicated that \$5,817,908 potentially could have been collected if the UAP had been fully implemented. In the first half of FY 2004-05, UAP collections from just County departmental purchases had increased to \$1,698,323.

- ◆ The State of Florida has a somewhat similar program with a one percent Transaction Fee and has found that vendors increase prices to offset the fee and dislike the burden imposed on them by the program.
- ◆ In the long run, intra-County departmental UAP fee payments become user fee-like costs, which are offset by revenue to DPM.

Status of Corrective Action

- ◆ UAP revenues for FY 2004-05 totaled approximately \$5.3 million.
- ◆ In the First Change Memo to the FY2005-06 budget process, the County Manager:
 - Requested and the Board adopted modification of the UAP to enable direct billing of vendors when non-County entities are otherwise unable to make UAP deductions; and
 - Indicated "the focus during FY 2005-06 is to implement an expanded marketing and outreach plan to increase participation of non-County agencies."
- ◆ Follow-up will be conducted during FY2005-06 to determine status of implementation of OCA's recommendations.

16. Budget Analysis—*FY 2004-05 Mid-year Budget Adjustments* (August 19, 2005)

This report provided the Commission Auditor's review and analysis of and recommendations on proposed Mid-year Budget Amendments and Supplemental Budgets. The analysis included review of the proposed agenda items, comparison of changes with past and present adopted budgets (including prior supplemental budgets and budget amendments), discussions with OSBM and various other departmental staffs, and consideration of the economic environment.

17. Report—*Bid Selection Committee Process* (August 22, 2005)

The Bid Selection Committee Process has several elements that operate to prevent the opportunity for bias or favoritism. Overall, the selection committee process should make it very difficult, even for the most determined person, to steer a contract award to a favored proposer.

18. Budget Analysis—OCA Report for the First Budget Hearing (September 6, 2005)

Provided Line Item Budget Analyses for all departments and Executive Summaries for 11 departments.

19. Report—Equitable Distribution Program (EDP) Report (September 15, 2005)

The Equitable Distribution Program (EDP) has undergone major changes since its creation. Many of these changes have allowed the program to attain moderate success, but several factors obviate the opportunities for participants to obtain work assignments. Chief among these is the limited number of available projects combined with a large number of pre-qualified firms. Moreover, the competition from Miscellaneous Professional Services Agreements (MPSAs) hinders the overall success of the program. As a result of meetings between the Office of Capital Improvements (OCI) and EDP participants, OCI will submit to the Commission modifications to the EDP program.

20. Budget Analysis—OCA Report for the Second Budget Hearing (September 16, 2005)

This reports on the Commission Auditor's review of the County Manager's 2005-2006 Proposed Resource Allocation and Multi-Year Capital Plan and the County Manager's "Change Memo" as adopted at the First Budget Hearing on September 6, 2005. Tables were appended as attachments to expand on analysis concerning county millages, effect of property assessment increases on Homestead property, and economic characteristics of the County.

21. Review—Review of Juvenile Assessment Center (JAC) Travel (Issued September 30, 2005)

Major Findings

- ◆ Based on our limited review, nothing came to our attention to indicate any material deficiencies pertaining to the validity of expenditure approval to travel, the appropriateness of travel, and/or compliance with the County's travel policy.
- ◆ Our review did not substantiate any of the allegations contained in the anonymous letter dated October 17, 2004.

Status of Corrective Action

- ◆ None required.

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22. Legislative Analyses—*Legislative Analyses for BCC Meeting Agendas* (various dates)

In FY 2004-05, the Legislative Staff of OCA published legislative analyses in support of commissioners' consideration of agenda items for 18 Board of County Commissioners meetings and 61 Board of County Commissioners Committee meetings.

23. Reports—*Reports in Response to Commissioner Requests for Information* (various dates)

OCA researched and/or conducted 68 special projects in support of individual Commissioners requests for information.

Decision Making and Judgment

Ordinance No. 03-2 requires the Commission Auditor to submit a Work Plan for each fiscal year for approval by the Commission. The approved Work Plan may be amended by a majority vote of the members present to meet circumstances and address concerns of the Commission. The Commission Auditor will, without amendment to the Work Plan, respond to requests for assistance from individual members of the Commission provided the response requires a relatively minor effort that can be accomplished without disruption to the approved Work Plan.

The Commission Auditor's responsibilities encompass: audits; management and legislative analyses; program evaluations; review of proposed budgets and revenue forecast; fiscal analyses of County policies, services and contracts. The Work Plan strives to include a balance between audits, budgetary analyses and legislative analyses. In addition to the above responsibilities, OCA researched and/or conducted 68 special projects in support of individual Commission requests for information. Therefore, I believe that the Commission Auditor deserves an above satisfactory rating in this category.

Personnel Development

OCA began FY 2004-05 with nine of its 19 positions filled, and staffing was clearly a priority. The Office of the Commission Auditor was fortunate to recruit competent staff while having also experienced attrition through four intra-County transfers involving promotions and one retirement.

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In total, 12 positions openings were filled during FY 2004-05 (six auditors and six legislative analysts.) As of December 1, 2005, three vacancies remained (two auditors/budget analysts and one legislative analyst.) Therefore, I believe that the Commission Auditor deserves an above satisfactory rating in this category.

Planning and Organizing

The major challenges of FY 2004-05 involved three major activities: (a) staffing OCA's positions, (b) design and preparation of budget analyses, and (c) preparation of legislative analyses. OCA played an important role in the collection, analysis and review of the additional budgetary data that the Board of County Commissioners (BCC) needed to make these important policy decisions.

Preparation of legislative analyses is another example of the recurring support that OCA provides to the BCC. In FY 2004-05, OCA Legislative Staff prepared and published legislative analysis packages for 18 BCC and 61 BCC Committee meeting agendas. The process consumes approximately 75% of the work hours of OCA's Legislative Staff. The remaining 25% is devoted to responding to commissioners' information requests and special projects. The Commission Auditor is encouraged to use the FY 04/05 budget process established by the Chairman through the Committee process to effectively and efficiently distribute the work load within his office so that targeted dates established by the Commission are met. Therefore, I believe that the Commission Auditor deserves an above satisfactory rating in this category.

Interpersonal Skills

In February 2005, the County Manager and the Commission Auditor released a joint memorandum to Department Directors indicating that the two offices will work together to provide budgetary information. The memo stressed that the staff of both offices will communicate frequently regarding their respective analyses of the County's budget. The Commission Auditor is encouraged to continue building mutually beneficial professional relationships with the County Manager and the Office of Strategic Business Management in an effort to meet the demands for the FY 05/06 Budget Process established by the Commission.

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In November 2005, OCA and OSBM attended a joint retreat to discuss ways to strengthen communications and improve the process for FY 2005-06. In FY 2005-06, the County Manager and OCA are looking at streamlining budget processes to lessen the workload burden for individual departments. Therefore, I believe that the Commission Auditor deserves an above satisfactory rating in this category.

Communication

OCA's first audit, *Audit of Purchasing Card Program*, and two reviews, *Review of User Access Program Compliance* and *Review of Juvenile Assessment Center Travel*, were completed by the end of the FY. Management concurred with all findings. The Legislative Staff of OCA published legislative analyses in support of commissioner's consideration of agenda items for Board meetings and Committee meetings. The goal of the Office of the Commission Auditor is to provide "value-added" information to the Board. Furthermore, the Office of the Commission Auditor needs to assure that the BCC is provided with adequate information within a timely manner in order for them to be able to make fiscally prudent decisions for the taxpayers of Miami-Dade County. Therefore, I believe that the Commission Auditor deserves an outstanding rating in this category.

Administrative Policy and Procedure

In consultation with Commission support staff, the OCA has complied with all departmental policies and procedures, including Personnel Rules, Leave and grievance procedures and safety regulations. In addition, an employee of OCA serves as Deputy Warden for the 10th floor of the SPCC Building. Therefore, I believe that the Commission Auditor deserves an above satisfactory rating in this category.

Additional Factors

At the direction of the Board of County Commissioners, on October 1, 2004, the Office of Legislative Affairs was merged with the Office of the Commission Auditor to allow for optimum product delivery to the Board and the residents of Miami-Dade County. The OCA was initially authorized for seven (7) positions. As a result of the merging of both divisions, the Office of the Commission Auditor now has a total of 19 authorized positions.

As noted in the Office of Commission Auditor's report, "Issues and Lessons Learned in the 2005-2006 Budget Process" dated November 29, 2005, the goal of improving the focus on customer service could be facilitated by identifying and separating "direct service" and "overhead" positions, expenses and budgets within each strategic area and within departments. Review of such data has potential to identify opportunities to improve services to residents by shifting resources with minimal fiscal impact. The Office of the Chairman has requested OCA to conduct a pilot project, reviewing the Tables of Organization of selected departments and to examine the feasibility and potential usefulness of making these distinctions. Therefore, I believe that the Commission Auditor deserves an outstanding rating in this category specifically for attaining special job requirements and temporary assignments issued by the Board of County Commissioners.

Summary

In closing, I would like to thank the Commission Auditor for his commitment to effectively carry out the direction of the Board of County Commissioners. Last year, as I developed the committee process, I asked the Committee Chairs to conduct line item reviews of all county departments as well as the participation of the Commission Auditor and the Office of Strategic Business Management. After successfully adopting a balanced and fiscally prudent budget in record time, I once again will challenge my colleagues, the County Manager, and the Commission Auditor to more efficiently execute the process this year. The County Manager and OCA worked well together throughout the process, and are encouraged to continue building relationships that will improve lines of communication with mutual staff and department directors. In closing, I would urge the Commission Auditor to adhere to all timelines put forth by Committee Chairs throughout the budget process in an effort to assure that the goals and objectives of said process are indeed met. As such, I believe that the Commission Auditor's overall performance evaluation is above satisfactory as it surpasses job requirements listed in the Work Plan.


Joe A. Martinez
Chairman


Date

JM/jim

**MIAMI-DADE COUNTY
MANAGEMENT PERFORMANCE EVALUATION**

Name (LAST) Anderson	(FIRST) Charles	(INITIAL) 	Period Covered From 12/01/04 To 01/24/06 <small>Mo. Day Yr. Mo. Day Yr.</small>
Classification Commission Auditor	Status 	If Prob. Date Ends 	Social Security Number
Department 001	Division 01	Unit 016	

REASON FOR REVIEW

Merit Raise
 Status Change
 Annual Review
 Other
 Due Back to Personnel Section by

Raters: It is understood that the importance of each category will vary with job classification and department. Explain your rating in terms of performance in each category. Mark the appropriate box. Use additional sheets if necessary.

1. ACHIEVEMENT OF OBJECTIVES: Includes productivity of the unit (the quantity and quality of output) and accomplishing unit goals.

RATING: Unsatisfactory
 Needs Improvement
 Satisfactory
 Above Satisfactory
 Outstanding
 Explain Why:

SEE ATTACHED

2. DECISION MAKING AND JUDGMENT: Includes assigning tasks, responding to work problems in a timely and effective manner, assessing and establishing priorities, and identifying and evaluating problem areas and problem solving skills.

RATING: Unsatisfactory
 Needs Improvement
 Satisfactory
 Above Satisfactory
 Outstanding
 Explain Why:

SEE ATTACHED

3. PERSONNEL DEVELOPMENT: Includes orienting new employees; assisting subordinates in accomplishing assigned tasks; recommending training and/or developmental programs (includes self-development); counseling and motivating employees.

RATING: Unsatisfactory
 Needs Improvement
 Satisfactory
 Above Satisfactory
 Outstanding
 Explain Why:

SEE ATTACHED

4. PLANNING AND ORGANIZING: Includes designing realistic short and long range plans; optimizing time, personnel, equipment, and material resources; clearly defining responsibility and authority; and developing standards for the work unit.

RATING: Unsatisfactory
 Needs Improvement
 Satisfactory
 Above Satisfactory
 Outstanding
 Explain Why:

SEE ATTACHED

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5. **INTERPERSONAL SKILLS:** Includes encouraging participation and teamwork; fostering unit morale; working cooperatively with the public, peers, and subordinates; and accepting advice and counseling from superiors.

RATING: Unsatisfactory Needs Improvement Satisfactory Above Satisfactory Outstanding
Explain Why:

SEE ATTACHED

6. **COMMUNICATIONS:** Includes preparing clear and concise reports and correspondence; and making effective oral presentations.

RATING: Unsatisfactory Needs Improvement Satisfactory Above Satisfactory Outstanding
Explain Why:

SEE ATTACHED

7. **ADMINISTRATIVE POLICY AND PROCEDURE:** Includes understanding and implementing County Code, Administrative Orders, and departmental policies and procedures; complying with Personnel Rules, Leave Manual, grievance procedure, and safety regulations; adhering to affirmative action guidelines; and timely and effective counseling, evaluation and disciplinary investigation and recommendation.

RATING: Unsatisfactory Needs Improvement Satisfactory Above Satisfactory Outstanding
Explain Why:

SEE ATTACHED

8. **ADDITIONAL FACTORS:** May include special skills, knowledges, and abilities; special job requirements or temporary assignments.
Definition of Factor:

RATING: Unsatisfactory Needs Improvement Satisfactory Above Satisfactory Outstanding
Explain Why:

SEE ATTACHED

RATER'S OVERALL EVALUATION

- Unsatisfactory:** Performance is inadequate and must be corrected.
- Needs Improvement:** Performance does not fully meet job requirements as indicated below.
- Satisfactory:** Employee is performing as required and expected in an entirely satisfactory manner.
- Above Satisfactory:** Performance surpasses job requirements.
- Outstanding:** Consistently conspicuous, distinguished performance. Employee displays initiative and creativity. Employee has substantially enhanced departmental efficiency and/or effectiveness.

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If an employee is eligible for merit increase, check following: Granted Deferred, reevaluate in months.

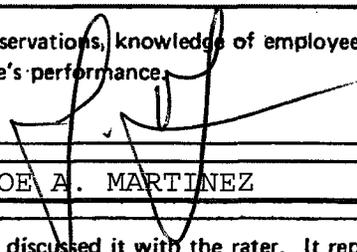
If an employee is eligible for permanent status, check following: Granted Denied Extended months with employee's written permission. (Attached) (Probationary period may not extend beyond one year.)

IN WHAT WAYS CAN OR MUST THE EMPLOYEE IMPROVE PERFORMANCE?

SEE ATTACHED

This report is based on my observations, knowledge of employee's performance and review of applicable information. It represents my best judgment of the employee's performance.

RATER'S SIGNATURE



DATE

01/25/2006

Print Name

JOE A. MARTINEZ

TITLE

Chairman

I have received this report and discussed it with the rater. It represents an accurate appraisal of the employee's performance in accordance with Administrative Order. I concur in the recommendation, if any, as to merit raise or permanent status.

REVIEWER'S SIGNATURE

DATE

Print Name

TITLE

I acknowledge that I have received a copy of this evaluation. I have had an opportunity to discuss it with my supervisor. In signing this evaluation, I do not necessarily agree with the conclusions. I understand that I may write my comments on another sheet of paper or below.

EMPLOYEE COMMENTS:

EMPLOYEE'S SIGNATURE

DATE

DISTRIBUTION: Blue copy to employee - Green copy to Personnel - Yellow copy to departmental personnel office - White copy to reviewer

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