

# DEKALB COUNTY, GEORGIA



## HUMAN RESOURCES DEPARTMENT

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### AUDIT REPORT

### 2010 REVIEW – HUMAN RESOURCES – HIRING PROCESS

PREPARED BY  
FINANCE- INTERNAL AUDIT DIVISION

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# DeKalb



# County

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Department of Finance

Internal Audit and Licensing

**DATE:** November 24, 2010  
**TO:** Reginald Banks, Interim Director-Human Resources and Merit System  
**FROM:** Acting Deputy Director of Finance, Internal Audit & Licensing  
**SUBJECT:** Human Resources Audit  
**RE:** Hiring Process

### **General Information**

The DeKalb County Human Resources Department (HR) is primarily responsible for the hiring, training and retaining of employees. Functions within Human Resources include Employee Relations, HR Information Systems (HRIS), Records, Training, and Classification & Compensation. Recruitment and hiring of staff is performed in accordance with policies established by the County.

The Recruiting Division is responsible for overseeing DeKalb County's hiring process. When a vacant position is authorized to be filled, the hiring department forwards a Personnel Action Requisition (PA-1) to HR. HR submits the PA-1 to the Budget and Grants Division and the CEO's Office for approval. The position is posted via a job announcement and/or advertised for a minimum of one week. Applications are received before the close of the job announcement/advertisement. The Generalist creates a worksheet to review the qualifications of applicants. A register is prepared of qualified applicants, and a referral list is submitted to the hiring department. The hiring department schedules and conducts interviews; selects applicant(s) from the referral list and returns it to HR. HR presents an offer to the applicant(s), schedules physicals, completes background checks, and performs e-verify online with I-9 form.

Not all recruiting and selection procedures governing the merit system employees apply to the non-merit positions; HR is responsible for ensuring that a PA-1, application, physical, background check, e-verify and I-9s are completed.

### **Purpose and scope**

The purpose of our audit was to review the hiring process for efficiency and effectiveness.

The scope of our audit was to review the hiring process of hired and rehired personnel from January 1, 2008 through June 18, 2010. Our scope was limited to review full-time, regular employees, in regular positions. Because of HR/Merit System's non-involvement in the recruiting and selection of Non-Merit/Merit-Exempt hires, our scope was limited to review the required aforementioned documentation maintained by HR/Merit System. We excluded all personnel within the Court Systems, District Attorney's Office, and the Sheriff's Office. Also, we excluded personnel with any classification of temporary employee, part-time employee, or in a temporary position. Internal Audit reviewed the Recruiting Standards Operating Procedures Manual, applications, PA-1s, worksheets, registers, referral reports, physicals, background checks, e-verify and I-9 reports along with personnel files. Also, we held interviews with the appropriate HR personnel and utilized the recruiting module of PeopleSoft System for additional information.

Our review was conducted in accordance with Generally Accepted Auditing Standards and included such tests of records and other auditing procedures as were considered necessary under the circumstances.

### **Explanatory Paragraph**

Although HR has policies and procedures in place that govern the hiring process, we found that because of insufficient documentation we cannot conclude on the effectiveness of the hiring process. Properly documented files provide an audit trail from vacancy to hire. Files should provide support for decisions made at each step during the recruitment process.

### **Opinion**

Because of these matters discussed in the preceding paragraphs, the scope of our work was not sufficient to enable us to render an opinion on the effectiveness of HR's hiring process.

### **Significant Deficiencies and Recommendations**

#### **Significant Deficiency I – (E-verify)**

E-verify reports should be completed within three (3) days of hire. Some e-verify reports were completed after three (3) days of hire.

#### **Recommendation I**

We recommend that HR complete the e-verify online within three (3) days of employee hire. Federally mandated deadlines should be communicated to the hiring departments. Non-compliance with Federal regulations may result in the loss of grant funds to DeKalb County.

#### **Significant Deficiency II – (Referral)**

Some referrals were not signed by department heads; this procedure is in place to prohibit nepotism. (See DeKalb County Code, Chapter 20, Article III, Section 20-69 on nepotism)

#### **Recommendation II**

To ensure referrals are signed by department heads, we recommend that HR return incomplete referrals to the hiring department for signature of the department head.

#### **Significant Deficiency III – (PA-1) & Advertisement)**

We noticed some PA-1s were not signed by the CEO's office, and several job announcements were posted before the PA-1s were approved.

#### **Recommendation III**

We recommend that all PA-1s are signed and approved by the CEO's office. Also, PA-1s should be approved before job announcements are posted, which is in accordance with HR's policy.

### **Observations and Recommendations**

#### **Observation I**

Currently, there are no written procedures outlining a timeline for each step of the hiring process. The length of duration for some steps in the hiring process range from 30 the 120 days. (Ex: Budget and Grant's approval, posting of job announcements, conducting interviews by the hiring department, etc.

#### **Recommendation I**

We recommend HR include in its procedural manual a timeline representing the recommended number of days for each step in the hiring process. Expectations regarding time required should be communicated to the hiring department. To improve timeliness in the hiring process, HR may consider focusing on improving the steps that deviate from the recommended number of days.

**Observation II**

Several PA-1s and referrals were not date stamped by HR; this is an acknowledgment of the date received from the appropriate department.

**Recommendation II**

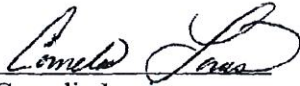
To identify areas of improvement on shortening the time to hire, we recommend that HR date stamp all documents received during the recruitment process.

**Comments**

The offer date noted in the disposition field in PeopleSoft is primarily used to generate a file for the employee in the Occupational Health Management Program System and not the actual offer date that is on the letter forwarded to the applicant. Also, the date shown in PeopleSoft as the acceptance date is not the day the employee accepted the position. The date reflects when the PA-2 is entered in PeopleSoft, ensuring a paycheck for the new employee.

Some employee's dispositions are listed as "ready to hire". Hired employees should be noted as "Hired".

Sincerely,

A handwritten signature in cursive script, appearing to read "Cornelia Louis", written over a horizontal line.

Cornelia Louis

CL/CH

Cc: Richard Stogner, Chief Operating Officer and Executive Assistant  
Joel Gottlieb, Interim Finance Director