



Office of Independent Internal Audit

LAVOIS CAMPBELL, CHIEF AUDIT EXECUTIVE

FINAL

March 18, 2024

Benita Ransom, Director
Human Resources & Merit System
1300 Commerce Dr.
Decatur, GA 30030

RE: 2nd Follow-up Report on the Status of the Safety-Sensitive Employee Compliance Audit- Audit Report No. 2017-009- HRMS.

Dear Director Ransom,

As required by DeKalb County, Georgia – Code of Ordinances/Organizational Act Section 10A - Independent Internal Audit (I), the Office of Independent Internal Audit (OIIA) has completed a follow-up of the audit noted above. I have attached OIIA’s report on the status of management actions taken to address the findings contained in the referenced audit report. The conclusions in this follow-up report are limited to the status of the implementation and not the effectiveness of the completed action plans, which may be assessed in a future audit.

Status of Audit Findings

Five of the six audit findings were assessed as closed in the previous OIIA follow-up. Based on our review of management responses, we concluded that the action plans to address finding 5 are now “Closed”, as shown in Figure 1 below.

Figure 1 - Status of Management Actions Plans

Finding No.	Report Finding	Status of Management Action Plans June 2022	Status of Management Action Plans March 2024
5	Medical Certifications Were Not Renewed Timely	Partially Complete	Closed

Regards,

Lavois Campbell, CIA, CISA, CFE, CGA-CPA

Chief Audit Executive

Attachment: Audit Findings Status Update Form



Office of Independent Internal Audit

LAVOIS CAMPBELL, CHIEF AUDIT EXECUTIVE

FINAL

- cc. Michael L. Thurmond, Chief Executive Officer
Robert Patrick, Board of Commissioners District 1
Michelle Long Spears, Board of Commissioners District 2
Larry Johnson, Board of Commissioners District 3
Steve Bradshaw, Board of Commissioners District 4
Mereda Davis Johnson, Board of Commissioners District 5
Ted Terry, Board of Commissioners District 6
Lorraine Cochran-Johnson, Board of Commissioners District 7
Lisa Earls, Chairperson, Audit Oversight Committee
Gloria Gray, Vice-Chairperson, Audit Oversight Committee,
Tanja Christine Boyd-Witherspoon, Pro-Tem, Audit Oversight Committee
Adrienne McMillion, Audit Oversight Committee
Harold Smith Jr., Audit Oversight Committee
Zachary L. Williams, Chief Operating Officer/Executive Assistant
La'Keitha D. Carlos, CEO's Chief of Staff
Kwasi K. Obeng, Chief of Staff, Board of Commissioners



Office of Independent Internal Audit

LAVOIS CAMPBELL, CHIEF AUDIT EXECUT IV E

FINAL

Dekalb County Government			
Office of Independent Internal Audit			
Date: March 18, 2024		Prepared by: Audrey Pogue	
Audit Findings Status Update Form			
Status Date	Report #	Report Title	
3/18/24	2017-009-HRMS	AUDIT OF SAFETY-SENSITIVE EMPLOYEE COMPLIANCE	
Contact Person	Title	Phone No.	Email Address
Benita C. Ransom	Director	(404) 687-3588	bcransom@dekalbcountyga.gov
Activity	Accountability	Schedule	
Safety-Sensitive Employee Process	Responsible Area	Repeat Finding	Anticipated Completion Date/Date Adjustments will be made
	HR & Merit System	No. 5	N/A
Finding		Finding Detail	
No.	5		
Date	10/8/20		
Recommendations	Medical Certifications Were Not Renewed Timely		
	<p>We recommend that HR management work with the user departments to review the current procedures to help ensure DOT safety-sensitive employees complete their Medical Card (MC) renewal before it expires.</p> <p>The renewal of medical certifications is a collaboration between the department, affected employees, and HR. OIIA did not acknowledge nuances that delay completion of certifications i.e., employees on workers' compensation, FMLA, extended leave (sick, annual, donated) or cannot pass physical exam. Of 126 employees sampled, OIIA noted that 34 employees took between 1 to 664 days to recertify. However, OIIA did not account for underlying reasons impacting employee recertification. Only 25 employees took up to 30 days to recertify, and four (4) up to 60 days. HR records show the following regarding the longest time periods:</p> <ul style="list-style-type: none"> * The longest employee (664 days) was performing duties that did not require a CDL during the identified time period. <ul style="list-style-type: none"> o Recertified as Equipment Operator 1/25/2016 for 6 months (expired 7/19/2016) o Assigned to Beautification as Crew Leader 5/7/2016 – 10/06/2018 (classification requires CDL; however, assigned to work detail that did not require CDL) o Recertified 5/14/2018 prior to reclassification as Crew Supervisor (CDL job) 10/6/2018 * 2 employees with 91-121 days to certify were on Workers Comp or assigned duties that did not require a CDL. * 2 employees with 61-91 days to certify were on Workers Comp or assigned duties that did not require a CDL. 		
Management Response	HR Current Improvements		
	<p>HR has established an SOP and implemented a system to assist departments with the recertification process. When an employee no longer meets DOT certification requirements, HR informs the employee's department. The department is responsible for ensuring an employee does not perform CDL duties until recertified. HR also does the following:</p> <ul style="list-style-type: none"> * Notifies departments 30 days in advance of medical card expiration, * Schedules recertification physical exams * Checks status of previous month's expired medical cards; if not renewed, HR issues notice to refrain employee from CDL duties o Refrained employee must recertify within 45 days after receiving notice; employee must provide requested medical documentation to County's occupational health provider o Employee utilizes accrued leave or leave without pay o HR notifies department if/when medically cleared to resume safety sensitive functions o HR performs follow-up with department prior to conclusion of 45-day period o After 45 days, department should demote or separate employee or request a medical extension from HR *Recommends departments physically check driver's licenses and blue cards on at least a monthly basis. <p>HR Improvements in Process</p> <ul style="list-style-type: none"> *Conduct refresher training for UD's with CDL responsibilities. To be conducted semi-annually 		
Status Update-Final march 2024		HR has released a new training course in CV360, DOT Recertification Training, for all CDL holders. This training is designed to alert and prepare CDL drivers for the DOT physical examination recertification process. Employees may enroll via the CV360 Learning tile and complete the training at their own pace, or they may schedule an in-person training with the Occupational Compliance Division of HR. Please note that HR covered the recertification process at the Policy Council meeting on 3/31/22. Also, on November 10, 2022, the occupational compliance manager conducted two training sessions with the largest department of CDL holders.	
<input type="checkbox"/>	Open		
<input type="checkbox"/>	Management/Agency Assumes Risk		
<input type="checkbox"/>	Partially Complete		
<input type="checkbox"/>	Complete Pending Verification by OIIA		
<input checked="" type="checkbox"/>	Closed		