

SEMINOLE COUNTY
LIMITED REVIEW OF COMPLIANCE
WITH
COUNTY MANAGER POLICY
SAFETY PROGRAM
REPORT NO. 070913

JULY 2013

Prepared by:
The Office of the
Clerk of the Circuit Court

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The Office of the
Clerk of the Circuit Court

The Office of the Clerk of the Circuit Court
Limited Review of
Compliance with County Manager Policy
Safety Program

PURPOSE

The purpose of this review was to evaluate the adequacy of the County Manager's Safety policies. Specifically, to confirm if:

1. The safety program is comprehensive to ensure the safety of all of its employees;
2. The policy is adhered to by staff; and
3. Compliance is monitored, tracked, and consistently applied.

BACKGROUND

Section 65 of the Seminole County Managers policies was published by the County Managers office to establish safe operating practices.

Directors, Managers, and Supervisors are jointly responsible for the safety of its employees, customers, and suppliers. The policy for enforcement is made available to all staff so that the program is implemented consistently.

Section I of the policy requires all employees be trained in Safety. They each are required to sign a roster and complete an acknowledgement form which is to be remitted to Human Resources for inclusion into the employees personnel file.

Based on our limited review of this program, the following conditions require management attention:

- Non-compliance with 65-I (Recordkeeping)

The results of this review are included in the report that follows.

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SCOPE OF WORK

The scope included all of the training requirements outlined in the County Manager Safety policy and all of the employees subject to safety orientation by staff. The personnel files and training files for all active employees as of June 1, 2013 were subject to our review.

The following areas were subject to this review:

- Policies and procedures relating to the Safety Program.
- Personnel files for all active employees.
- Florida Statutes and County Policies; and,
- Other procedures as needed.

The review was conducted by the Office of the Seminole County Clerk of the Circuit Court.

OVERALL EVALUATION

The administrative controls over record keeping are inadequate. We were not able to review all of the acknowledgement forms and attendance rosters as proof that the required training was performed. Some training is being tracked by the Safety Office, other training performed at the division level is either not being documented or is not being performed as required.

In an email dated June 11th, 2013 management acknowledged that the training was not been tracked and there are short-comings that needed to be addressed.

The following conditions require management attention:

- Non-compliance with County Manager Policy 65-I.

The Office of the Clerk of the Circuit Court will schedule supplemental reviews once the issues in the report have been formally addressed and evaluated by management.

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FINDINGS AND RECOMMENDATIONS

FINDING NO. 1

Non-compliance with County Manager Policy 65-I.

Section 65-I establishes the requirements for Safety training recordkeeping. More specifically, 65-I states:

"Employee training shall be documented. Employees must sign in on a roster and the instructor shall sign the roster when the training is completed. The Department/Division offering the training will ensure copies of these forms are forwarded to Human Resources to track individual employee training, and shall maintain files within their department/division documenting the training offered and employees attending. In cases where personnel from more than one division/department are attending the same training, the instructor will send each attending division/department a copy of the training record or a training certificate for each employee attending. These records shall be maintained as directed by State statutes."

None of the 29 files personnel files reviewed in Human Resources had a record of the training completed.

We questioned who is maintaining the official records that the Safety training was being accomplished according the policy. In an email response to our inquiry management confirmed that training records were not being maintained in a centralized file and they also concurred that there was a need for tracking. A tracking system or process would be developed and presented to the county manager for his approval.

The US Department of Transportation also published regulations to help prevent accidents and injuries resulting from the misuse of alcohol or use of controlled substances by drivers of commercial motor vehicles. These federal initiatives should also be incorporated into the tracking system being developed.

By not maintaining a record of the training completed and proof of compliance with state and federal laws the county is exposed to financial losses.

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Recommendation

HR and Safety should formally present to County Manager's Office and the Office of the Clerk of the Circuit Court the process to: (1) define Safety requirements; (2) establish an official tracking process; and (3) establish over-sight to ensure the process is functioning effectively.

Management Comments

The County recognizes the need for better training record accountability. Prior to 2011, training records were maintained at the Department level. In 2011, the County updated its Safety policy to require training record centralization in Human Resources. The records were to be computerized into a commercial software program called SkillPort, however this proved problematic. Recognizing the need to improve training delivery, tracking, and offerings, the County Manager reorganized training as a component of Organizational Development, and efforts have been underway to improve the processes.

The County will work to resolve the issues presented in this Review in the upcoming fiscal year (2013/2014). More specifically, the County is implementing a cross-functional team comprised of stakeholders of the safety record keeping and training requirements issues you identified. This group will work to identify all associated issues, best practices, and potential solutions and develop a more detailed plan of action to ensure an effective and efficient long-term solution is implemented. We will update your office with a more detailed plan of action within ninety (90) days.

Prepared by:
The Office of the
Clerk of the Circuit Court



MARYANNE MORSE
Clerk of the Circuit Court
Seminole County

July 09, 2013

The Honorable Bob Dallari,
Chairman
The Board of County Commissioners
Seminole County, Florida
1101 East First Street
Sanford, FL 32771

Dear Mr. Chairman:

I am very pleased to present you with the attached Limited Review of Compliance with County Manager Policy – Safety Program.

Management has provided written responses to this report and are in the process of developing a corrective action plan. Based on their response to our office, they have committed to a more concrete plan within 90 days of this report.

I would like to acknowledge the assistance of the county staff for their cooperation and assistance throughout the course of this review. The assistance is deeply appreciated. With warmest personal regards, I am

Most cordially,

Maryanne Morse
Clerk of the Circuit Court
Seminole County

cc: Ms. Brenda Carey
Mr. Lee Constantine
Mr. Carlton Henley
Mr. John Horan

BCC Records