



## AGENDA

**Audit Committee**  
**Wednesday, May 1, 2019**  
**6:00 pm – 8:00 pm**  
**City Hall, Room 103**

- A. Approval of the Wednesday, April 10, 2019 Meeting Minutes
  
- B. 2018 Work Plan
  - Public Utilities Department – Water Business Office
  - Central Services Department – Fleet Management Program
  - Sheriff's Office
  
- C. Sheriff's Office Response to the Audit Report
  
- D. Items for Discussion at next meeting

The next meeting is scheduled for  
Wednesday, June 12, 2019

**Note: The Audit Committee Meeting is open to the public. However, public comments are not received unless the Committee Chair requests that an individual provide information to the Committee.**

# AUDIT COMMITTEE MEETING MINUTES

Wednesday, April 10, 2019

## Committee Members Present:

Commissioner Melissa Link, Committee Chair  
Commissioner Patrick Davenport  
Commissioner Russell Edwards  
Commissioner Ovita Thornton  
Commissioner Allison Wright

## Visiting:

Blaine Williams, Manager  
Jestin Johnson, Assistant County Manager  
Deborah Lonon, Assistant County Manager  
David Fluck, Director, Central Services  
Glenn Coleman, Asst. Director, Public Utilities  
Michael Smith, Community Citizen  
Jonathan McElroy, Community Citizen  
Lee Shearer, Athens Banner Herald

## Staff:

Stephanie Maddox, Internal Auditor  
Deborah Allen, Recorder  
Jill Arquette, Management Analyst

## Member(s) Absent:

---

Committee Chair Link called the meeting to order at 5:35 pm.

### **A. Approval of Minutes:**

The Committee unanimously approved the Minutes from the March 6, 2019 meeting.

### **B. 2018 Work Plan Update:**

Internal Auditor Maddox provided a brief status update on the annual work plan:

- Sheriff's Office
- Central Services Department – Fleet Management Program
- Public Utilities Department – Water Business Office

The Audit Status Report was disseminated at the meeting.

### **C. Sheriff's Office Update:**

The Office of Operational Analysis prepared a PowerPoint presentation to summarize the operational audit and the responses to the findings and recommendations provided by the Sheriff's Office.

### **D. Items for Discussion at May 1, 2019 meeting:**

Chair Link recommended further discussion relating to the Sheriff's Office Audit Report. All committee members agreed to submit any questions regarding the Sheriff's Office Audit Report and subsequent responses by the Sheriff's Office to the Findings and Recommendations by Monday, May 15, 2019 to the OOA. All committee members agreed.

The May 1, 2019 meeting is scheduled for 6 p.m. – 8 p.m. at City Hall, Room 103.

The meeting adjourned at 7:15 pm.

## AUDIT STATUS REPORT

DATE: May 1, 2019  
TO: Audit Committee  
FROM: Stephanie Maddox, Internal Auditor  
SUBJECT: Status of the 2018 Audit Work Plan

The following table summarizes the current status of each audit according to audit stages. Please find a description of the audit stages below.

### WORK IN PROGRESS

<b>Audit</b>	<b>Status</b> Percentage indicates completion level	<b>Completion Forecast</b>
Operational Audit of the <b>Clarke County Sheriff's Office</b>	<b>Pre-Audit Planning</b> – 100 % <b>Discovery Stage</b> – 100% <b>Analysis</b> – 100 % <b>Conclusions</b> – 100% <b>Recommendations</b> – 100%	March 2019
Public Utilities Department – <b>Water Business Office</b>	<b>Pre-Audit Planning</b> – 100 % <b>Discovery Stage</b> – 100% <b>Analysis</b> – 65% <b>Conclusions</b> – 75% <b>Recommendations</b> – 75%	May 2019
Central Services Department – <b>Fleet Management Program</b>	<b>Pre-Audit Planning</b> – 90 % <b>Discovery Stage</b> – 50% <b>Analysis</b> – 25% <b>Conclusions</b> – 0% <b>Recommendations</b> – 0%	June 2019

### Audit Stages

**PRE-AUDIT PLANNING:** OOA staff conducts literature reviews, identifies benchmark communities, creates the pre-audit survey(s), and prepares a list of documents to request from various ACC departments related to the audit client.

OOA staff schedules a pre-conference meeting with the audit client/department leadership to discuss the audit process, the timing of fieldwork, and answer any questions.

**DISCOVERY:** Interviews, information validation, observations and surveys. As this stage is critical to the preparation of a complete and meaningful audit, it consumes the majority of time involved.

**ANALYSIS:** Assigning meaning/value to the information; determining what it reveals related to the scope of the audit. Defines systems, processes and practices in terms of effectiveness and efficiency.

**CONCLUSIONS:** Identifies and describes constraints and opportunities regarding developments and implementation of needed improvements.

**RECOMMENDATIONS:** Suggests action that can be taken in consideration of the constraints and opportunities.

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<b>STAFFING: Recruitment and Retention</b>			
<p>1. The Sheriff's Office is understaffed due to low retention and recruitment levels.</p>	<p>Improve recruitment and retention efforts to reach total authorized levels. Coordinate with HR to finalize the reserve deputy program. Implement as an initiative for the next budget cycle.</p>	<p>Reserve Deputy Program is complete. It is now being advertised through NEOGOV and HR's weekly job postings.</p>	<p><b>Completed</b></p>
<p>2. Recruitment levels are low due to lack of qualified applicants.</p>	<p>Enhance recruitment efforts to attract qualified applicants.</p>	<p>1. Attending local job fairs. 2. Created advertisement video to be shown in movie theaters and posted on social media. 3. We created billboard advertisements and placed them in strategic locations within the county. 4. We created recruiting cards for staff to disseminate to prospective applicants. 5. We've hosted open house job fairs. 6. Initiated "each one, reach one initiative" while promoting the hiring and recruitment bonus.</p>	<p><b>Ongoing</b></p>
<p><b>2. Follow-up:</b> Of the action items listed to be implemented, please indicate which of the recruitment initiatives are new since the audit began (March 2018).</p> <p>Please provide additional details about video advertising. For example, what is the frequency of the video advertisements? At what theatres are they being shown? How many videos are advertised on a weekly basis? Are advertisements on a certain day?</p> <p>Where are the billboard advertisements strategically located? How long will they be advertised?</p> <p>After the intended time frame for advertising expires will additional advertising be considered? Please provide the information advertised on the billboards.</p> <p>Please provide clarification on the "each one, reach one initiative".</p> <p>How are staff incentivized for any applications received due to the dissemination of the recruiting cards?</p>			

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
3. Employees are not given a realistic expectation of the job function and jail environment during the recruitment process.	Offer realistic job preview during the recruitment process.	Consider offering and scheduling this option at the initial jail tour.	Consider starting in 2 months
4. An alternative schedule is needed and may positively improve attrition and retention rates.	Change the 12-hour shifts from 8-8 to possibly 6-6 or 7-7. Or implement 8 or 10-hour shifts in place of 12-hour shifts.	None. Adjusting the 12 hours shifts to a different time frame (6-6, 7-7) creates a hardship for those deputies who have school aged children. Changing the 12 hour shifts to 10 hours or 8 hours will result in more positions needed to cover posts and therefore it is not a feasible option.	None
<b>4. Follow-up:</b> The employee survey revealed that 137 out of 139 employees responded to this question. Approximately <b>63% of respondents</b> indicated they were open to an alternative work schedule (24% of employees indicated they were in <b>favor</b> of a shift change and 39% of employees indicated they were <b>open to the idea</b> ). Please explain what would be the reason the Sheriff's Office would not be willing to explore this option further.			
5. Scheduling of overtime is poorly implemented.	Improve communication between divisions and supervisors regarding overtime schedules or have one person responsible for coordinating the overtime scheduling.	Overtime is generally known a month in advance. Substituting overtime is no longer allowed. The Jail Operations Captain is the overtime coordinator.	Completed
<b>5. Follow-up:</b> Please explain the reason substituting overtime is no longer allowed. Are personnel across every rank subject to work overtime?			
6. Overtime is inconsistently processed between the Field and Jail Divisions.	Some employees are paid overtime at the rate of time and a half and others are required to time adjust for any overtime worked. Appropriate compensation of overtime pay or comp time earned instead of time adjusting when staffing levels are already reduced will help morale.	Mandatory overtime at the Jail is paid overtime. Deputies are not required to time adjust mandatory overtime. Time adjusting is required outside of mandatory overtime or overtime in the Field Section as the CCSO must be good stewards of tax payer dollars.	None

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<b>TRAINING: New Hires</b>			
<p>7. No comprehensive formal training program exists for new hires at the jail.</p>	<p>Provide in-depth training to new hires and abide by the JTO program that was last updated in October 2017.</p>	<p>There has always been a formal JTO training program. However, it was not updated when the new Jail was constructed. Furthermore, the program degraded from lack of oversight. The program is a ten (10) week course of instruction, and has since been updated with new oversight. This will aid in ensuring the program is followed as intended. The trainers in the program are also receiving the professional training that is needed to maintain the integrity of the program.</p>	<p><b>6-12 months to digitize it, and train the trainers</b></p>
<p><b>7. Follow-up:</b>                      Please indicate the number of staff who maintained their Jail Training Officer (JTO) certification during the audit time period (FY14-FY18).                       Please explain what "6-12 months to digitize" entails.                       What is the estimated timeframe it will take to certify and train the trainers?                       As stated in the audit report, the JTO program was last updated in October 2017; however, the program has been inactive for some time. Since the program will be re-established, please explain how the SO will accomplish increasing training for new employees at the jail from the current method of no more than 3 - 5 days of training to 10 weeks of training?                       Will the SO provide this extended training to the existing employees who have been hired after the opening of the "new" jail?                       How will the extended training for the existing employees be accomplished?</p>			

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>8.</b> Insufficient staffing in the jail is resulting in a lack of experienced employees available to train new hires.</p>	<p>Training should be conducted in accordance with the JTO guidelines last updated in October 2017. Training Officers should have a minimum of 2 years of experience working as a Deputy within the CCSO before training new hires.</p>	<p>Shifts will be re-balanced to evenly distribute personnel experience. This will result in each shift having adequate and experienced trainers.</p>	<p><b>3 months</b></p>
<p><b>8. Follow-up:</b> The SO action plan states, "shifts at the jail will be re-balanced to evenly distribute personnel experience." Please identify the steps being taken to achieve this goal.</p> <p>Please describe what this will look like after all changes have been made.</p> <p>Who determines the distribution of personnel (staff volunteers for a different shift or Command Staff makes changes without staff input)?</p>			
<p><b>9.</b> There is an over-reliance on online training classes offered through Power DMS.</p>	<p>Increase in-person training sessions and utilize qualified staff members to provide professional development courses.</p>	<p>Online classes are important for efficiency and financial reasons. Recognizing the need for more individualized instruction, plans are underway to host more live on-site training that pertain specifically to operations of the Sheriff's Office.</p>	<p><b>3-6 months</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>9. Follow-up:</b> As stated in the audit report, many employees expressed a strong desire to participate in instructor-led courses versus computer based training. The audit team has verified that there are several instructor-led training options available throughout ACCUG.</p> <p>For example, CPR/AED courses are offered by the Fire Department, Police Department, the Safety and Risk Division of Human Resources, and the Leisure Services Department. In addition, the Police Department offers training in Crisis Intervention, Fair and Impartial Policing, Surviving Active Shooter, and Verbal De-escalation, and the UGA Police Department teaches Interpersonal Communications and Cultural Diversity at the Athens-Clarke County Police Department. All of these courses are relevant and open to employees of the Sheriff's Office. These classes are convenient, affordable, and offer the least disruption to agency operations. The convenience of these public safety related courses are similar to the supervisory training courses offered by the Organizational Development Department, which many SO staff verified they attended.</p> <p>Please provide the reason why the SO does not take advantage of these training opportunities for all of its employees which are available from other departments/agencies.</p>			
<p><b>10.</b> On-site training (such as classes offered thru GPSTC, GSA, jailer school, etc.) is not offered to all Sheriff's Office employees on a consistent basis.</p>	<p>Provide and support training and career development opportunities for all employees.</p>	<p>Opportunities for training in the Sheriff's Office is not based on favoritism, but on staffing and scheduling, position assignment and requirements, tenure, prerequisites for the training itself, and the member's demonstrated commitment to the Sheriff's Office.</p>	<p><b>On-going</b></p>



Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>10. Follow-up:</b>                      As stated in the audit report, survey results indicated 57% of respondents answered affirmatively that the supervisory teams (up to and including the Sheriff) show favoritism towards certain employees. What the employees hear, see, think and experience is the basis of their perception and their reality.</p> <p>As it relates to training opportunities, please describe the criteria that is evaluated to determine if an employee is successfully demonstrating commitment to the Sheriff's Office. How is this measured? Are employees aware of the specific indicators they are evaluated against?</p> <p>When staffing levels are low, training limitations are understandable. However, training prerequisites are normally offset by support of the supervisory staff allowing employees to gain those prerequisites. Further, position assignments are controlled by the supervisory staff not the employee. As such, it is highly probable that staff believes a culture of favoritism exists. How/what changes could the SO make to mitigate the perceptions of employee favoritism?</p> <p>It is understood that supervisors attend regular training and conferences. What is the value/benefit of this supervisor training and what is the procedure used for selecting those who can attend?</p>			
<b>TRAINING: Job Related</b>			
<p><b>11.</b> Supervisors have shown a lack of supervisory and communication skills.</p>	<p>Provide training to supervisory and management staff on communication skills - both verbal and written, and supervisory skills.</p>	<p>1. Newly promoted supervisors will be prioritized to attend supervision level training if they have not already received it.                      2. Various leadership classes will be identified and offered to mid level and upper level supervisors.</p>	<p align="center"><b>On-going</b></p>
<p><b>12.</b> Job related leadership training is not provided to staff.</p>	<p>Existing supervisory personnel need to train their employees to become supervisors by allowing them to observe and perform leadership duties.</p>	<p>Current staffing levels presents challenges in meeting this task. In the past, roll call trainings do present opportunities for members to receive direct training from their supervisors. This method of training will be re-instituted with an emphasis on leadership development.</p>	<p align="center"><b>On-going</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>12. Follow-up:</b> Please define roll call training.</p> <p>It is expected that a Sergeant would assist Senior Deputies vying for promotional opportunities. For example, job shadowing and performing some of the Sergeant's tasks would prepare them for the duties of a higher position. The same is true for Sergeants vying for Lieutenant positions, and Lieutenants vying for Captain positions.</p> <p>How clarify how staffing levels present a challenge for supervisors in giving their subordinates guidance to help them prepare for promotional opportunities?</p>			
<p><b>13.</b> Staff members who are certified instructors are not utilized to conduct in-house training at the SO.</p>	<p>Utilize more job specific sources in training, including JTO instructor, defensive tactics, Taser, CPR, firearms, and general instruction.</p>	<p>The Sheriff's Office is utilizing its instructors for defensive tactics, Taser, CPR, and firearms instruction. The JTO instructor will be utilized in the near future to conduct a JTO class. There are, however, a number of instructors who have a general instructor certificate that are underutilized that could be used for other non-specialized instruction. Utilizing these other instructors will be further explored for new employee orientation and Basic Jail Security training.</p>	<p><b>On-going</b></p>
<p><b>TRAINING: Discrepancies Between Divisions</b></p>			
<p><b>14.</b> The length of training offered is significantly different between the Jail Division and the Field Division.</p>	<p>Increase Jail Division training to more closely reflect Field Division training both in length of time and in-depth coverage.</p>	<p>The full JTO program is to be implemented which is 10 weeks in length. The FTO program is 12 weeks in length.</p>	<p><b>Completed</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>14. Follow-up:</b> The SO's response in Finding #7 states, "it will take 6-12 months to digitize the JTO Program and train the trainers."</p> <p>Please clarify how this recommendation is already complete considering the 6-12 months of required steps, please explain the implementation time frame to Finding #14 as being completed.</p> <p>Explain the steps of the digitization process and the time necessary for each step.</p> <p>How many deputies will initially complete the training required for the JTO program; how many per shift?</p>			
<p><b>15.</b> Training is inconsistent throughout each shift in the jail.</p>	<p>Supervisors' interpretations of policies and procedures must be made uniform across divisions so that transferring employees will have clear, non-contradictory instruction on how to perform their duties.</p>	<ol style="list-style-type: none"> <li>1. Update JTO program so that procedures are uniform and the curriculum is consistently taught by all JTO's.</li> <li>2. Jail Post orders are currently being reviewed by supervisors and updated as necessary. This will aid in bringing consistency to jail operations.</li> <li>3. Roll call training as mentioned previously will require supervisors to re-familiarize themselves with written policy and post orders.</li> </ol>	<p><b>6 months</b></p>
<p><b>15. Follow-up:</b> How will this action plan be implemented to ensure that existing/seasoned staff will be trained under the same model as new hires?</p> <p>How will or what will the command staff do to verify/test that all shifts are receiving uniform training?</p>			

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<b>SAFETY and SECURITY</b>			
<p><b>16.</b> Inmate disciplinary actions are applied inconsistently.</p>	<p>Disciplinary actions need to be explicitly communicated in SOPs and understood by all supervisory and subordinate staff and then applied consistently.</p>	<p>Disciplinary time is specified in policy and it is based on the inmate's facility behavior. Inmate disciplinary time cannot be modified unless it goes through the appeal process with the Jail Commander having the final decision for sustaining the original disciplinary time or approving any reduction of time. Acts of violence are considered a major violation and are addressed with the stiffest penalties. In some cases, in addition to the administrative disciplinary time, inmates are criminally charged for certain acts of behavior inside the Jail. With regards to comments that inmates "run the jail", CCSO team members are encouraged through the Direct Supervision model to enforce unit housing rules and regulations, and supervisors are instructed to support any reasonable deputy responses to rule infractions. No inmate or groups of inmates are allowed to "run the jail".</p>	<p><b>N/A</b></p>
<p><b>16. Follow-up:</b> As stated in the audit report, staff interviews and survey responses definitively identified the former Jail Commander as the primary staff member in violation of established policies and procedures at the SO regarding reducing inmate disciplinary time or the dismissal of inmate disciplinary actions altogether.</p> <p>How many inmate disciplinary appeals were conducted by the Jail Commander during the audit time frame of FY14-FY18?</p> <p>During the audit time frame (FY14-FY18) how many cases were documented of inmates being criminally charged for misbehavior inside the jail?</p>			
<p><b>17.</b> New hires do not receive adequate training to develop the confidence necessary to work the housing units alone in the jail.</p>	<p>Training should be longer than three days and new hires should have a clear understanding of their authority before they are exposed to large groups of inmates.</p>	<p>Previously addressed in number's 7 and 14.</p>	<p><b>6-12 months</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>17. Follow-up:</b> Provide the details of the JTO training that will take place for those hired since January 2019 while the enhanced digitization of the program is being finalized.</p>			
<p><b>18.</b> Reopening the old jail for alternative or additional housing units creates safety, staffing, and security challenges.</p>	<p>Additional housing units should not be opened until staffing reaches optimal levels.</p>	<p>Inmate population, staffing levels, and safety and security are primary factors for determining the opening and closing of housing units. The Sheriff's Office competently assesses those factors in determining which housing units are opened and closed. This is an ongoing assessment with safety and security for all at the forefront of these assessments.</p>	<p><b>N/A</b></p>
<p><b>18. Follow-up:</b> Who is responsible for assessing the factors which determine the housing units that are opened and closed? How often are these assessments considered?</p> <p>Due to the staffing shortages, spreading out the housing units creates difficulty for staff to respond with assistance; especially at those times when there is no victor on shift.</p> <p>What circumstances would necessitate the opening of the additional units within the older sections of the jail?</p>			
<p><b>19.</b> Deputies working excessive overtime hours have a higher propensity to experience fatigue and burnout during their shifts.</p>	<p>Recruitment and retention levels must be improved to reduce the number of overtime hours needed to provide adequate coverage of all security posts. If needed, overtime should be spread to all available personnel to limit the amount of excessive overtime any staff member has to experience.</p>	<ol style="list-style-type: none"> <li>1. Overtime is spread evenly among deputies at the Sheriff's Office.</li> <li>2. Recently, six members from the Field Section were transferred back to the Jail Section to supplement Jail staffing and to reduce overtime.</li> <li>3. Recruiting efforts are ongoing. Members are attending recruiting fairs, members are being asked to recruit at least one person – "Each one, Reach one" initiative. Recruiting efforts have extended to billboard advertisements and movie theater promotional videos.</li> <li>4. The Sheriff's Office has taken over the initial applicant background investigation process from HR in an attempt to speed up the hiring process.</li> </ol>	<p><b>On-going</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>19. Follow-up:</b>                      Have additional staff been assigned to recruitment efforts?</p> <p>When was the billboard and movie theater advertising implemented?</p> <p>What are the strategic locations of the billboards?</p> <p>Are there any other new recruitment initiatives in addition to billboard advertisements and movie theater promotional videos?</p> <p>Is there a financial incentive to employees who participate in the "each one, reach one" initiative? If so, what is the financial incentive and is it a one time incentive or accumulative over a designated period of time?</p> <p>Have recruitment results been realized (seen) by the SO due to the billboard and movie theater advertising? Please share those results if they have been realized.</p> <p>Please explain how taking over the initial background investigations from HR will "speed up" the hiring process. Have additional SO staff been assigned to conduct backgrounds? If so, how many additional staff are assigned to this task? What is the total number of staff assigned to recruitment?</p>			

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>20.</b> Components of jail operations are unsafe and expose the entire jail to possible security threats.</p>	<p>Install metal detectors at the front doors of the lobby, lock the front doors after visitation hours, place an additional deputy at the front desk, and move the front desk so that it is not in a direct sight line of the front doors.</p>	<p>Certified, armed deputies work the Lobby. Inherent within the law enforcement profession is always a risk that is understood by the member behind the badge, regardless if the assignment is working the lobby or serving an arrest warrant on a private property. There is a unique balance between fortifying the Lobby area to significantly reduce risks and providing a customer service atmosphere that we consider appropriate for visitors. The Sheriff's Office is not considering adjusting security by placing metal detectors at the main entrance or moving the front desk. There are metal detectors in the Lobby that separate the public area of the lobby from the secure area of the Jail and those metal detectors will remain. One additional security measure that the Sheriff's Office is considering that was mentioned in the audit is a locking mechanism on the front doors to the lobby that can be overridden by a remote switch controlled by the deputy. The Sheriff's Office foresees this recommendation as very beneficial in that it provides the deputy working the lobby an additional layer of security and more control over public access to the lobby area.</p>	<p><b>N/A</b></p>
<p><b>20. Follow-up:</b> Occupational health and safety of employees is a primary concern in public safety as well as general employment. Would the SO consider relocating the front desk as mentioned in the audit report so that it is not in the direct sight line of the front doors?</p>			
<p><b>21.</b> Volunteers related to inmate programming are not required to follow the established visitation policy nor do they undergo background screening.</p>	<p>Jail personnel need to follow the Visitation/ Programming Policy regarding volunteers and student interns accessing the jail.</p>	<p>A thorough review and assessment of applicable policies, procedures, and practices to ensure that standards are being followed to eliminate potential or actual breaches in security.</p>	<p><b>Immediate</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>21. Follow-up:</b> After the review and assessment of policies, which policies were determined to need adjustments? What were the specific adjustments considered and implemented?</p> <p>Does the SO plan on reviewing policies on a regular basis; if so, how often (semi-annual, annually, etc.)? Who is responsible for conducting the reviews?</p>			
<p><b>22.</b> Due to staffing shortages, critical positions whose main responsibility is the safety of deputies in the jail are typically the first to be reassigned to a different function.</p>	<p>There should be two victors assigned per shift, one transferring inmates and one assisting deputies in the pods. If coverage is needed for an inmate outside of the jail, deputies from non-security posts, such as laundry detail, should be used to cover as needed.</p>	<p>Assessing staffing levels to ensure the victor positions are covered. Of particular note is assessing staffing on the weekends and nights when there are less deputy support positions available that can respond to incidents for backup.</p>	<p><b>Immediate</b></p>
<p><b>22. Follow-up:</b> Please list what changes have been implemented that will provide adequate coverage for the safety of employees and inmates.</p>			
<p><b>23.</b> Staffing shortages in the Jail Division are resulting in improper jail security.</p>	<p>Recruitment and retention must be improved to assure proper coverage of all security posts within the jail.</p>	<p>See comments on #19.</p>	<p><b>On-going</b></p>
<p><b>23. Follow-up:</b> As in #19, have additional staff been assigned to recruitment?</p> <p>When did the SO assume the responsibility of the background investigation process from Human Resources? What recruitment outcomes are anticipated by taking over the initial applicant background investigation process from Human Resources and how will these outcomes be measured?</p> <p>Please specify/quantify the changes and improvements in numbers and retention levels you are expecting as an outcome of these additional efforts.</p>			



Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<b>MORALE &amp; LEADERSHIP</b>			
<p><b>24.</b> Employees fear retaliation from the supervisory staff.</p>	<p>Employees should be allowed to uphold the policies and procedures of the jail without fear of disciplinary actions being taken against them.</p>	<p>The Sheriff's Office does not lead by fear and intimidation. Our policies and actions reflect that. The Sheriff has an open door policy and reminds deputies of that often. Just this week, the Sheriff met individually with a deputy to hear his/her concerns. The meeting request was granted in an open environment (occurred at a shift briefing). Deputies are welcome and invited to share any concerns. Any instances of leading by fear, intimidation, or retaliation will swiftly be addressed if it becomes known.</p>	<p><b>N/A</b></p>
<p><b>24. Follow-up:</b>                      While we agree the policies do not support the action of supervisors leading by fear, numerous accounts were expressed in the employee survey. In addition, employees indicated in interviews that a culture of intimidation did actually exist. According to the employee survey results, 54% of employees stated they cannot speak honestly with their supervisor. What actions will the SO be willing to take to determine how the perception of retaliation affects retention levels?</p> <p>If an instance occurs where it is reported that the Sheriff has lead by fear, intimidation, or retaliation, who addresses the action?</p> <p>What is the specific policy for reporting retaliation?</p>			

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>25.</b> Morale is low due to factors including leadership, lack of training, and safety concerns which have all negatively impacted retention.</p>	<p>Training, safety, overtime, sick leave abuse policy, favoritism, leadership, and inconsistencies in enforcement of disciplinary actions need to be addressed and improved to raise morale.</p>	<p>1. Training: Strengthen the JTO program; Offer more live training versus online training; Offer more basic and fundamental training.</p> <p>2. Safety: We contend that the Jail is safe. Any attempted threats or committed acts of violence against staff or against other inmates is handled swiftly. There was not a riot in Unit 5 as reported by a respondent in the audit.</p> <p>3. Sick Leave Abuse: At one point sick leave abuse was rampant. It has now been addressed according to fair practices. There is no longer a wide spread sick leave abuse problem. Our leave usage policy comports with other policies from other departments in the Unified Government. Although our policy states that members may be required to furnish "examinations performed", this was not a practice. No member of the Sheriff's Office was required to submit personal medical data in violation of HIPPA, only a physicians note for an absence. The policy language will be changed.</p> <p>4. Favoritism: Decisions from Command and Supervisors are made fairly and equitably. If by chance any decisions that are made are known to be biased or based in favoritism, it will be corrected. Again, all personnel are welcome to voice their grievances, but if it is not known it can't be corrected. Favoritism is not a part of the Sheriff's Office culture.</p> <p>5. Leadership: Much of what the audit suggested has already been addressed in a prior responses. One change that was implemented in recent months is that all of our supervisors are required to enter every housing at least once per shift. This is to support the deputies for breaks and to attend to any pending issues that may be present in the housing unit. The audit suggests that the leadership team is not aware or concerned with the reasons former staff have voluntarily left the agency. This is not true. All members that leave voluntarily are interviewed and in some cases accommodations are made to retain the member.</p>	<p><b>Immediate</b></p>

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>25. Follow-up:</b>  <b>Training:</b> What additional live training opportunities will be offered?</p> <p><b>Safety:</b> According to the employee survey, 64% of employees responded that jail safety is a major concern. Can you explain the difference in the high percentage of concern expressed by employees in relation to jail safety and the contradictory contention of administration that the jail is safe?</p> <p><b>Sick Leave Abuse:</b> The leave usage policy may appear to be beneficial to the SO if one is only looking at a reduction in the use of leave hours by employees. However, the fear felt by employees regarding disciplinary actions for using that earned leave has a negative impact on morale. As stated in the report, this policy "has also proven to encourage employees who are ill to come to work even though they may be contagious and the disease could spread to co-workers, inmates, and visitors".</p> <p><b>Favoritism:</b> In the response "If by chance any decisions that are made are known to be biased or based in favoritism, it will corrected", why would they be allowed to be made if they are known to be biased or based on favoritism? How likely is the "chance" that these decisions will be discovered if they are not known? The Command Staff may state that personnel are welcome to voice grievances, but with results in the survey showing that 54% of the employees feel that they cannot speak honestly with the supervisory teams (up to and including the Sheriff) about issues and concerns, it is highly unlikely that the employees will do so.</p>			
<p><b>26.</b> Disciplinary policies are not enforced consistently among staff.</p>	<p>Jail leadership should demonstrate a common understanding of disciplinary policies and enforce disciplinary actions equally among violators.</p>	<p>For the most part, we contend that disciplinary actions are consistently applied. For any variations in disciplinary actions, the following reasons suggest why that may occur:</p> <ol style="list-style-type: none"> <li>1. Past record;</li> <li>2. Rank, length of service &amp; knowledge of the rules;</li> <li>3. Attitude – Will the member accept discipline or blame others;</li> <li>4. Aggravating Circumstances – Was there an injury to others;</li> <li>5. Mitigating circumstances.</li> </ol>	<p><b>On-going</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>26. Follow-up:</b> We understand that an employee's past record, previous offenses, and even aggravating circumstances can affect the type of disciplinary action taken against the employee.</p> <p>However, how does rank, length of service, knowledge of rules or even how the employee will accept discipline play into the overall disciplinary decision?</p> <p>Why aren't disciplinary actions based solely on violation of policy or failure to follow written protocol.</p> <p>Is a person of higher rank held to a higher standard? If not, why not? Do they receive more leniency because of their rank?</p> <p>Are the exact standards cited in the department's disciplinary policy?</p> <p>Were any mitigating circumstances documented? How does the SO defend their decisions if one feels they are not treated fairly based on a similar scenario?</p>			
<p><b>27.</b> Employees of the Sheriff's Office perceive the Sick Leave Abuse Policy and enforcement as a form of punishment and retaliation.</p>	<p>Abolishment of the currently implemented Sick Leave Abuse Policy and replace with a revised Leave Usage Policy.</p>	<p>The Sheriff's Office does not have a sick leave abuse policy, but we do have a leave usage policy. The leave usage policy is similar to other departments in the Unified Gov't. Enforcement of the leave usage policy is not based as a form of punishment or retaliation, but simply to prevent members from abusing a privilege afforded to them as an employed member of the Sheriff's Office, particularly in light of how sick leave abuse can diminish morale for those members who have to work overtime to cover for those members who are using excessive, unexcused sick leave. Enforcement of the leave usage policy was supported by HR.</p>	<p><b>N/A</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>27. Follow-up:</b> The leave usage policy which was referred to routinely by employees of the SO as the "Sick Leave Abuse Policy", appears to be beneficial to the SO if one is only looking at a reduction in the use of leave hours by employees. However, the fear felt by employees regarding disciplinary actions for using that earned leave has a negative impact on morale. As stated in the report, this policy "has also proven to encourage employees who are ill to come to work even though they may be contagious and the disease could spread to co-workers, inmates, and visitors".</p> <p>While the enforcement of this policy is not based as a form of punishment or retaliation, it is perceived by the employees as such.</p>			
<p><b>28.</b> The Sick Leave Abuse Policy has not achieved its desired effect.</p>	<p>Abolishment of the currently implemented Sick Leave Abuse Policy and replace with a revised Leave Usage Policy.</p>	<p>The Sheriff's Office contends that it has achieved its desired effect. Initially there were approximately 25 individuals who were deemed sick leave abusers, now it is 5 or less.</p>	<p><b>N/A</b></p>
<p><b>28. Follow-up:</b> If the SO's determined the Sick Leave Abuse Policy has achieved its desired effect and it is no longer an issue why not abolish the policy and replace it with a revised Leave Usage Policy?</p>			
<p><b>29.</b> The Sheriff's Office Leave Usage Policy needs to be revised.</p>	<p>Sections II A. 1, 2, 3, and Section II B. 2 need to be revised.</p>	<p>Revision to Section II A 3, and Section II B 2 only to remove the phrase "examination(s) performed".</p>	<p><b>Immediate</b></p>
<p><b>30.</b> Lack of trust in the leadership exists across all divisions of the Sheriff's Office.</p>	<p>All supervisory and management staff within the Sheriff's Office need to build a rapport of trust with all employees.</p>	<p>Prior Responses relate to this category.</p>	<p><b>On-going</b></p>
<p><b>31.</b> Leadership at the jail contributes to low morale and lack of trust by employees.</p>	<p>The Sheriff's Office must reevaluate and in some cases replace current Jail Division leadership in order to restore employee confidence and morale.</p>	<p>Changes in leadership at the Jail has occurred in part due to this audit, but mostly for other reasons.</p>	<p><b>Completed</b></p>
<p><b>32.</b> Operations at the jail are negatively impacted by the actions of the Jail Commander.</p>	<p>The current Jail Commander should be replaced with an individual who upholds the code of conduct of the Sheriff's Office.</p>	<p>There has been a change in the Jail Commander position.</p>	<p><b>Completed</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>33.</b> The Sheriff is unaware or uninformed of the issues within the Jail Division.</p>	<p>The Sheriff needs to make a more concerted effort to address and acknowledge all of his employees. The Sheriff should make every effort to visit the jail regularly (at least bi-monthly) to encourage informal contact with staff and inmates and to informally observe living and working conditions at the jail.</p>	<p>The Sheriff visits the Jail regularly, and is apprised of operations and conditions at the Jail.</p>	<p><b>On-going</b></p>
<p><b>33. Follow-up:</b>                      Many employees, from Deputies to Captains, believe that the Sheriff would be far more involved if the former Jail Commander had better informed him of problems at the jail.</p> <p>With the appointment of a new Jail Commander are there plans to increase the information provided to the Sheriff by that position?</p> <p>Based on comments from staff, how could the Sheriff use his office at the jail to enhance his relationship with those employed at the jail?</p>			
<p><b>34.</b> The leadership team either do not know or are unconcerned with the reasons former staff voluntarily left the Sheriff's Office.</p>	<p>The SO should hire a consultant to administer an employee survey annually to understand the level of job satisfaction amongst employees.</p>	<p>Recent survey was administered and those surveys were meticulously reviewed and assessed. A number of initiatives were employed as a result of the responses from those surveys. Consideration will be given to using an outside consultant for future surveys.</p>	<p><b>On-going</b></p>

Athens-Clarke County Sheriff's Office Response to Audit Findings - April 2019

AUDIT FINDING	RECOMMENDATION	ACTIONS TO BE TAKEN -OR- PLAN TO BE IMPLEMENTED	IMPLEMENTATION TIME FRAME
<p><b>34. Follow-up questions:</b>                      The language in the audit report specifically suggests the SO hire an independent third-party consultant to administer anonymous employee surveys annually or until retention and recruitment levels increase. Anonymous surveys are beneficial as employees can express their concerns freely; the feedback shared is what should be focused on rather than who provided the information. Were the surveys administered by the SO anonymous? If not, what statements or questions within the surveys garnered assurance to the employees that they could be honest when responding?</p> <p>How many surveys has the SO administered between September 2018 and April 2019? Please provide copies of all surveys initiated by the SO between September 2018 and April 2019 along with the subsequent responses.</p> <p>As a result of the SO survey responses, please identify the new initiatives recently employed.</p>			