



SOLANO COUNTY CIVIL GRAND JURY

2022-2023

COUNTY DRIVER AUTHORIZATION DOCUMENTATION ERRORS

47 ➤ Fleet Management facility at 3255 North Texas Street, Fairfield

48

49 **Interviewed**

50 ➤ Department of General Services and Fleet Management personnel

51

52 **Reviewed**

53 ➤ Solano County website relating to Fleet Management

54 ➤ A-1 Travel Policy (dated 2/28/2012)

55 ➤ A-2 Driver Authorization and Driver Performance Policy (dated 2/2/2017)

56 ➤ A-3 Take Home Vehicle Policy (dated 10/28/2002)

57 ➤ County of Solano Driver Handbook [General Services Department – Fleet Management
58 Division (dated 6/28/2016)]

59 ➤ Request for Information providing a list of every person currently authorized to drive in
60 the service of Solano County to include full name and department. Provided list was
61 titled: *Authorized to Fuel County Vehicles – 01/31/2023*

62

63 **Tested**

64

65 ➤ A Stratified/Selective¹ sample of approximately ten percent of the population of 1,229
66 names on the authorized drivers listing provided

67 ➤ Attribute testing completed on the following required forms:

68 ○ County of Solano Authorized to Drive a Vehicle On County Business

69 ○ California Department of Motor Vehicle Employer Pull Notice Program Form
70 INF 1101 titled Authorization For Release Of Driver Record Information

71

72

73 **IV. STATEMENT OF FACTS**

74

75 The County established a driver authorization and driver performance policy initially adopted on
76 October 28, 2002. The last revision to that policy was effective February 7, 2017. This policy
77 document coupled with the *County of Solano Driver Handbook* (revised June 28, 2016) set forth
78 guidelines and responsibilities of every person authorized to drive in the service of Solano
79 County and identified who is required to participate in the California Department of Motor
80 Vehicles (DMV) Employer Pull Notice (EPN) system. The EPN Program was established by
81 DMV to enable commercial and government organizations to monitor records of employees who
82 drive.

83

84 Solano County’s EPN program was adopted in 2002, allowing the County to monitor drivers
85 records while promoting driver safety. This program does the following:

86

87 a. Ensure that each driver has a valid driver’s license

88 b. Recognize problem drivers or driving behavior

89 c. Improve public safety

¹ A hybrid method of selecting a test population was used. The list provided was stratified by departments. From these subgroups a judgment (or selective) sample was chosen to ensure at least one name for each department was included for testing.

90 d. Minimize liability

91
92 Department Heads (or their representatives) authorize driving privileges by completing the
93 required forms and confirming that the driver meets the prescribed requirements (A-2 Policy
94 Section 2.4.1). A-2 Policy Section 2.8.2 indicates the department representative will complete
95 and review the application form with the applicant.

96
97 The authorized driving privilege shall be revoked or suspended when a driver retires, terminates,
98 is discharged, or whenever driving privileges are no longer necessary for their job function or
99 assignment (A-2 Policy Section 2.6.5). Additionally, Risk Management and/or Fleet will review
100 and analyze all reported accidents and monitor the DMV records of authorized drivers. This
101 review is intended to control and minimize the liability of the County and revoke or suspend
102 driving privilege. Once an authorized driver leaves County employment or assignment, the
103 driver's name shall be deleted from the EPN program. A-2 Policy Section 2.10.2 indicates the
104 Department of Human Resources (HR) is responsible for deleting the names of authorized
105 drivers from EPN program upon receipt of department's deletion. No mention is made of
106 notification to Fleet to update their records.

107
108 In preparation for a review of filed forms, the Jury requested a list of every person currently
109 authorized to drive in the service of Solano County. Fleet provided a list titled Authorized to
110 Fuel County Vehicles (dated January 31, 2023). It listed 1,229 names and the departments to
111 which they were assigned. From this listing (See Chart A Below) a sample population of 132
112 names² was selected, and the two applicable forms were requested for review:

- 113
- 114 ○ County of Solano Authorized to Drive a Vehicle On County Business
- 115 ○ California Department of Motor Vehicle Employer Pull Notice Program Form
- 116 INF 1101 titled Authorization For Release Of Driver Record Information
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² The sample population was reduced by 7 to 125 due to omitted name from request list (1), duplicate misspelled name on list (1), duplicate entry for a transferred employee (1), single entry for unknown number of Sheriff Volunteers (1), and from a single entry that represented 24 fire personnel from various city fire departments (3).

Chart A by Department / Division	Number of Drivers Listed
Agriculture/Weights & Measures	29
Board of Supervisors	1
Cooperative Extension	1
Probation	130
District Attorney	34
Alternative Public Defender	3
Public Defender	9
Assessor	28
Health & Social Services (H&SS)	497
General Services	67
Library	3
Hazmat Intragency	26
Parks	8
Public Works	56
Resource Management	40
Animal Control	10
Sheriff	274
Department of Info Technology (DOIT)	5
Elections	7
Auditor-Controller (AC) [<i>*employee transferred to AC from another department</i>]	1*
Grand Total	1,229

129

130 The sample review verified that a form was on file and all sections completed. The following
131 information summary details the number of documentary errors noted on the separate forms.
132 (See detailed information in Chart A & B in the Appendices)

133

134 **County of Solano Authorization to Drive a Vehicle on County Business Form**

- 135 a. 18 instances of forms not on file due to employee transfer, duplicated misspelled name,
136 no longer an employee
- 137 b. 7 forms not provided.
- 138 c. 8 instances of driver and work information not provided
- 139 d. 5 instances of driver's license information not listed
- 140 e. 7 instances of Approval Section not completed (Blank)
- 141 f. 1 instance of no approver title
- 142 g. 42 instances of the driver's name line not accurately completed
- 143 h. 25 instances with no approver signature
- 144 i. 26 instances of no approval date

145

146 **DMV Employer Pull Notice (EPN) Program – Authorization for Release of Driver Record**
147 **Information Form**

- 148 a. 13 instances of forms not on file due to various responses given
- 149 b. 1 instance of driver's license information not provided
- 150 c. 1 instance of company name line blank
- 151 d. 3 instances of Section 1- Executed At: City, County & State left blank
- 152 e. 27 instances of Approval Section not completed (Blank)
- 153 f. 6 instances of printed name of authorized representative/company line blank

- 154 g. 48 instances of no approver title listed
- 155 h. 17 instances of no approval signature
- 156 i. 18 instances of no approval date
- 157 j. 3 instances of Section 2 - Executed At: City, County & State left blank

158
159 In A-2 Policy Section 2.10.3 responsibilities of departments is addressed in items A through K.

160
161 Item J states – *Provide Risk Management with any changes to the authorized driver’s*
162 *employment status or reassignment to another department within two (2) business days of the*
163 *change.* This item does not include reference to Fleet so that the *Authorized to Fuel County Vehicles*
164 list can be updated. Samples tested revealed sixteen instances of non-employees on Fleet’s report.

165
166 Item K addresses an annual departmental review: *Conduct an annual department review for the*
167 *period beginning July 1 through June 30 for the purpose of ensuring compliance with this policy*
168 *and the EPN enrollment.* Based on current testing exceptions these reviews are ineffective or not
169 completed. The policy section provides no detailed procedural steps to complete the annual
170 review.

171
172 The Solano County Employer Pull Notice Program Process Flow indicates directors designate
173 EPN Coordinators for each department and division. Coordinators are responsible for obtaining
174 the completed and signed forms and filing them securely. They are to compile a list of all
175 department/division staff that drive for the benefit of the County and complete a driver
176 enrollment spreadsheet for entry into A-Check (EPN database). A defective control point in the
177 approval process is the lack of identifying and initiating corrective action for inaccurately
178 completed forms.

179
180 EPN Coordinators are also responsible to update records within 2-business days when existing
181 drivers transfer to another department within the County or no longer work for the County. There
182 is no mention in the handbook to notify Fleet to update their Authorized to Fuel County Vehicles
183 listing.

184 **V. FINDINGS AND RECOMMENDATIONS**

185
186
187 **FINDING 1A (COUNTY FORM)** – County of Solano Authorized to Drive a Vehicle On County
188 Business forms are not accurately completed or approved as required. Review of form attributes
189 revealed a variety of 139 documentary exceptions.

190
191
192 **FINDING 1B (DMV FORM)** – California Department of Motor Vehicle Employer Pull Notice
193 Program Form INF 1101 titled Authorization For Release Of Driver Record Information forms
194 are not accurately completed or approved as required. Review of form attributes revealed a
195 variety of 137 documentary exceptions.

196 197 198 **RECOMMENDATIONS (For both 1A & 1B)**

- 199 1. All applicable County departments must be provided with a copy of the current Fleet
200 Management list entitled Authorized to Fuel County Vehicles and a current list from
201 the A-Check system (EPN database). Once obtained the two lists must be reconciled
202 against each other and appropriate updates must be made as necessary.
203
- 204 2. The County must perform a full review of all department driver authorization forms
205 on file for proper completion, approval, and filing. Moreover, each applicable County
206 department must obtain any missing information and approval signatures.
207
- 208 3. The County must compare the names on the two lists (number one recommendation)
209 obtained and make appropriate correction entries as necessary to the applicable Fleet
210 and DMV system databases.
211

212 **FINDING 2** – The controls associated with required approval reviews and updates to fuel county
213 vehicles list revealed weaknesses. Review of a sample of 125 employee’s forms found 108 had
214 deficiencies resulting in an 86.4 percent exception rate. Annual department reviews for the
215 purpose of ensuring compliance with the driver authorization and EPN enrollment are not
216 effective and present risk and potential liability to the County.
217

218 **RECOMMENDATION 2** – Perform a Driver Authorization and Driver Performance Policy process
219 review. The County Administrator’s Office engage the Audit Division of the Auditor-
220 Controller’s Office to accomplish this review. Scope of the review could include:

- 221 ➤ Determine if there is a single source report to reflect current employees authorized to
222 drive in the service of the County
- 223 ➤ Validate what procedures should be required during the annual department review and
224 ensure they are properly documented
- 225 ➤ Verify proof of automobile liability insurance coverage at the required levels and
226 maintenance of current California vehicle registration and license plates on privately
227 owned or leased vehicles driven on County business
- 228 ➤ Verify once an authorized driver leaves County employment or assignment the driver’s
229 name is deleted from the EPN program
- 230 ➤ Examine documented responsibility workflows for revocation and/or suspension of
231 driving privileges. There appears to be conflicting instructions on whom is ultimately
232 responsible via multiple handoff instructions
233

234 **REQUIRED RESPONSES**

- 235 Solano County Department of Agriculture (Finding 1A & 1B)
236 Solano County Probation Department (Finding 1A & 1B)
237 Solano County District Attorney’s Office (Finding 1A & 1B)
238 Solano County Public Defender/Alternate Public Defender’s Office (Finding 1A & 1B)
239 Solano County Assessor/Recorder’s Office (Finding 1A & 1B)
240 Solano County Health and Social Services Department (Finding 1A & 1B)
241 Solano County General Services (Finding 1A & 1B)
242 Solano County Library Services (Finding 1A & 1B)
243 Solano County Resource Management (Finding 1A & 1B)
244 Solano County Sheriff’s Office (Finding 1A & 1B)

245 Solano County Department of Information Technology / Registrar of Voters (Finding 1A & 1B)
246 Solano County Auditor – Controller (Finding 2)
247 Solano County Administrator (Finding 2)
248
249
250 **COURTESY COPIES**
251 Solano County Board of Supervisors
252 Solano County Department of Human Resources
253 Risk Management
254
255

256 APPENDICES

257

258 **Chart B – County of Solano Authorization to Drive a Vehicle on County Business Form**

Attribute Number	# of Documentary Errors	Exception Types
1 Authorization Form Not on File	25	>Transferred to a different department (1) >Duplicated misspelled name (1) >Not a county employee (16) >Form was not provided (7)
2 Authorization Form Section 1 (Driver & work info)	8	>Full work info not provided (8)
3 Driver license (DL) #, class & expire date	5	>No DL # (2) >No class listed (2) >No DL expire date (1)
4 Driver Signed	0	None
5 Driver Dated	0	None
6 Approval Section Completed – Approver name & title	8	>Approval section not completed (7) >No approver title (1)
7 Approval Section - Driver name line	42	>Approver enter their name rather than driver name (1) >Driver name line blank (41)
8 Approval Section – Approver Signature	25	>No approver signature (25)
9 Approval Section – Approval Date	26	>No approval dated (26)
Total	139	

259

260 **Chart C – DMV Employer Pull Notice (EPN) Program – Authorization for Release of**
261 **Driver Record Information Form**

Attribute Number	# of Documentary Errors	Exception Types
10 EPN Form not on file	13	>No form on file due to various responses given (13)
11 ENP Form – Driver Name Line	0	None
12 EPN Form – DL Number	1	>DL info blank on form (1)
13 EPN Form Company Name	1	>Company name line blank (1)
14 ENP Form Section 1-Executed At: City, County & State	3	> Executed At: City, County & State left blank (3)
15 ENP Form – Drive Signed	0	None
16 ENP Form – Driver dated	0	None
17 EPN Form – Approval Section Completed [Approver Name & Title	81	>Approval Section not completed (27) >Printed name of authorized representative/company lines blank (6) >No approver title listed (48)
18 EPN Form – Approval Signature	17	>No approval signature (17)
19 EPN Form – Approval Date	18	>No approval date (18)
20 EPN Form – Section 2-Executed At: City, County & State	3	> Executed At: City, County & State left blank (3)
Total	137	

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COUNTY OF SOLANO

AUTHORIZATION TO DRIVE A VEHICLE ON COUNTY BUSINESS

SECTION I DRIVER INFORMATION

Name (Last)	(First)	(Middle)
Job Title	Department	Division
Work Location (Street Name and City)		Work Phone Number(s)
CA Driver License Number	Class	Expiration Date License Restrictions
Driver Status (Please check one of the following)		
County Employee	<input type="checkbox"/>	Volunteer <input type="checkbox"/> Contractor <input type="checkbox"/>

SECTION II VEHICLE USE AGREEMENT To be completed by all drivers

Driver agrees to or acknowledges he/she will:

1. Automatically be enrolled in the Department of Motor Vehicles Pull Notice Program to verify a valid California Driver License and driving record information.
2. Inform his/her supervisor immediately in the event his or her driver's license expires, is suspended, or revoked.
3. Report immediately to his/her supervisor all vehicle accidents that occur while driving County or personal vehicles while in the service of the County on form(s) designated by Solano County.
4. Confine use of County vehicles to official County business. He/she understands that if found driving a County vehicle outside the course and scope of his/her job duties, he/she may be held liable for any losses resulting from that activity.
5. Read the County of Solano Fleet Operations Division Driver Handbook prior to driving in the service of the County.
6. Provide accurate and current information on this authorization form.
7. Failure to comply with any of the above requirements may be cause for the withdrawal of the authorization to operate a County or personal vehicle on County business.

SECTION III PRIVATELY-OWNED VEHICLES – Driven by employees, volunteers or contractors in the service of the County

Driver agrees to:

1. Maintain liability insurance at the level required by the Solano County Travel Policy in force on any vehicle(s) used on official County business.
2. Immediately inform his/her supervisor in the event the personal liability insurance is cancelled. Any lapse in Coverage automatically negates the authorization to drive a private vehicle on County business.
3. Maintain all of his/her personal vehicle(s) used on County business in safe operating condition.

SIGNATURE _____ DATE _____

 APPOINTING AUTHORITY OR DESIGNEE AUTHORIZATION

I hereby authorize _____ to drive a vehicle on business for the County of Solano. The individual will drive a vehicle in the driver license class for which the individual is licensed. This authorization is automatically cancelled in the event that the individual's driver license expires, is suspended, revoked, or in the event that the person's private vehicle(s) that is operated on County business is not insured in accordance with California Financial Responsibility Laws as defined in the State of California Vehicle Code.

SIGNATURE _____ DATE _____

PRINT NAME _____ TITLE _____

Instructions: The appointing authority or designee completes and signs the above section after checking the information above for accuracy and completeness, visually verifying applicant's license and insurance information. Authorization forms are filed and maintained at the department level. Departments provide summary spreadsheets on a periodic basis to Risk Management for enrollment in the Department of Motor Vehicles Pull Notice Program.

This is a personnel record form and is exempt from disclosure under the Public Records Act, Government Code 6254, Section c

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California Department of Motor Vehicle Employer Pull Notice Program Form INF 1101 titled Authorization For Release Of Driver Record Information



EMPLOYER PULL NOTICE PROGRAM

AUTHORIZATION FOR
RELEASE OF DRIVER RECORD INFORMATION

SECTION 1 — DRIVER INFORMATION

I, _____, California Driver License Number, _____, hereby authorize the California Department of Motor Vehicles (DMV) to disclose or otherwise make available, my driving record, to my employer, _____.

COMPANY NAME

I understand that my employer may enroll me in the Employer Pull Notice (EPN) program to receive a driver record report at least once every twelve (12) months or when any subsequent conviction, failure to appear, accident, driver's license suspension, revocation, or any other action is taken against my driving privilege during my employment.

I am not driving in a capacity that requires mandatory enrollment in the EPN program pursuant to *California Vehicle Code* (CVC) §1808.1(k). I understand that enrollment in the EPN program is in an effort to promote driver safety, and that my driver license report will be released to my employer to determine my eligibility as a licensed driver for my employment.

EXECUTED AT: CITY _____ COUNTY _____ STATE _____

DATE _____ SIGNATURE OF EMPLOYEE
X

SECTION 2 — AUTHORIZED REPRESENTATIVE CERTIFICATION

I, _____, of _____, do hereby certify under penalty of perjury under the laws in the State of California, that I am an authorized representative of this company, that the information entered on this document is true and correct, to the best of my knowledge and that I am requesting driver record information on the above individual to verify the information as provided by said individual. This record is to be used by this employer in the normal course of business and as a legitimate business need to verify information relating to a driving position not mandated pursuant to CVC §1808.1. The information received will not be used for any unlawful purpose. I understand that if I have provided false information, I may be subject to prosecution for perjury (*Penal Code* §118) and false representation (CVC §1808.45). These are punishable by a fine not exceeding five thousand dollars (\$5,000) or by imprisonment in the county jail not exceeding one year, or both fine and imprisonment. I understand and acknowledge that any failure to maintain confidentiality is both civilly and criminally punishable pursuant to CVC §§1808.45 and 1808.46.

AUTHORIZED REPRESENTATIVE

COMPANY NAME

do hereby certify under penalty of perjury under the laws in the State of California, that I am an authorized representative of this company, that the information entered on this document is true and correct, to the best of my knowledge and that I am requesting driver record information on the above individual to verify the information as provided by said individual. This record is to be used by this employer in the normal course of business and as a legitimate business need to verify information relating to a driving position not mandated pursuant to CVC §1808.1. The information received will not be used for any unlawful purpose. I understand that if I have provided false information, I may be subject to prosecution for perjury (*Penal Code* §118) and false representation (CVC §1808.45). These are punishable by a fine not exceeding five thousand dollars (\$5,000) or by imprisonment in the county jail not exceeding one year, or both fine and imprisonment. I understand and acknowledge that any failure to maintain confidentiality is both civilly and criminally punishable pursuant to CVC §§1808.45 and 1808.46.

EXECUTED AT: CITY _____ COUNTY _____ STATE _____

DATE _____ SIGNATURE AND TITLE OF AUTHORIZED REPRESENTATIVE
X

To obtain a driver record on a prospective employee you may submit an INF 1119 form. To add this driver to the EPN Program you must submit the applicable forms: INF 1100, INF 1102, INF 1103, INF 1103A form. You may obtain forms at our website at dmv.ca.gov/otherservices, or by calling 916-657-6346.

PLEASE RETAIN AT THE EMPLOYER'S PRINCIPAL PLACE OF BUSINESS AND
MAKE AVAILABLE UPON REQUEST TO DMV STAFF.

DO **NOT** RETURN THIS FORM TO DMV.

