

# STAYING IN COMPLIANCE

**PRI Fall Conference**

**Presented by  
Georgia Department of Driver Services  
Regulatory Compliance Division**

**September 24, 2015**

# GOALS AND OBJECTIVES

## **Goal(s)/ Description of Course:**

This session is designed to provide attendees with an overview of compliance related topics and information in order to maintain compliance with DDS Rules and Regulations.

## **Learning Objective(s):**

- Verbalize and identify key rules and regulations that foster an atmosphere of compliance
- Discuss methods for enforcement of DDS Rules and Regulations
- Describe and explain how to utilize the Regulatory Compliance staff support system





# TOPICS

- **DDS Online**
- **Applications**
- **ADE Assessment Rosters & Rebate Fees**
- **Audits**
- **Audit Findings**
- **Adverse Actions**
- **Regulatory Compliance Division Support System**
- **What's New**
- **Review**

# DDS ONLINE



# DDS HOME PAGE

[www.dds.ga.gov](http://www.dds.ga.gov)



**CELEBRATING A DECADE OF SERVICE**  
2005 **DDS** 2015  
**GEORGIA DEPARTMENT OF DRIVER SERVICES**

**MyDDS** Login Create Account

Search...

**Online License Application**  
Click here to get prepared for your CSC visit!

**\*Labor Day Holiday - All DDS Customer Service Centers will be closed from Saturday, September 5, 2015 thru Tuesday, September 8, 2015. Please note all centers will resume normal operations on Wednesday, September 9, 2015. Due to the closures we expect heavier traffic in our centers during that week, so please plan accordingly and consider using online services to avoid a visit altogether.\***

Licenses Drivers Info Online Services Locations FAQs Business Partners Regulated Programs About Us

**New Rules!**  
• Limo Chauffeur  
• Taxi  
• Ride Share  
Driver Services Offers One Option To Satisfy New "For-Hire" Transportation Driver Guidelines

**All Customer Service Centers will be closed as normal on Monday and will be closed Saturday, September 05 - Tuesday, September 08 and will reopen on Wednesday, September 09, 2015. The first business day following a closure is typically very busy, so please plan accordingly.**

**Please review the new Secure ID document requirements and hours of operation before visiting our offices.**

**Find a DDS Location Near You**  
Enter a location    
Enter a City, State or a Zip Code (i.e. Atlanta, GA or 30334)  
Filter By Service

**Online Services**

- Save Time: Pre-Apply Online
- For-Hire Driver Endorsement
- Skip a Trip: Submit Proof of Residency or Social Security
- CDL: Self-Cert/Med Documents Status
- License/ID Renewal
- Address Change
- Class D to C Upgrade
- License/ID Replacement
- Check License Status
- Suspension Information
- Pay Reinstatement/ Super Speeder Fee(s)
- Motorcycle Safety Training
- Reservation Status
- Driving History (MVR)
- Parent ADAP

**What's New?**

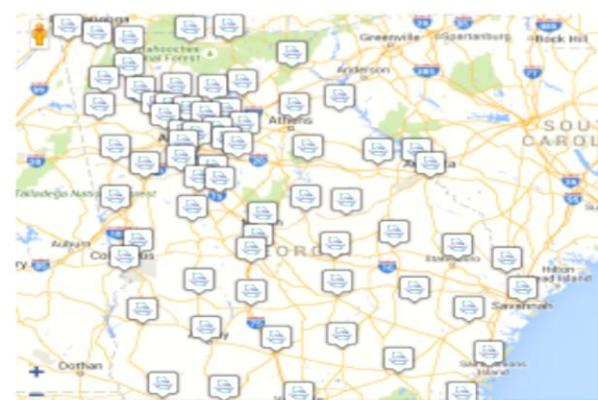
**MyDDS**  
Login/Create Online Account!

**Online License Application**  
Click here to get prepared for your CSC visit!

**Secure Driver's License & ID Required Documents**

**For-Hire Driver Endorsement**  
Click Here to Apply

**How Do I...?**



# DDS ONLINE SERVICES

[Licenses](#) [Drivers Info](#) [Online Services](#) [Locations](#) [FAQs](#) [Business Partners](#) [Regulated Programs](#) [About Us](#)



## Welcome to DDS Online Services!

The Department of Driver Services is proud to bring E-Government services to the citizens of Georgia. Our goal is to make your experience with the Department of Driver Services easier and more convenient while preserving the privacy of personal information.

With DDS Online Services you can perform the following tasks:

### My Account

- [Account Login](#)
- [Create an Account](#)

### Card Services

- [SecureID: Submit Proof of Residency or Social Security](#)
- [Address Change](#)
- [License/ID Renewal](#)
- [Class D to C Upgrade](#)
- [License/ID Replacement](#)
- [CDL Self-Certification Medical Documents](#)
- [License Status](#)
- [Suspension Information](#)
- [Reinstatement Information](#)

### Pay Fees

- [Super Speeder](#)
- [License Reinstatement](#)
- [Pending Suspensions](#)

### Other Services

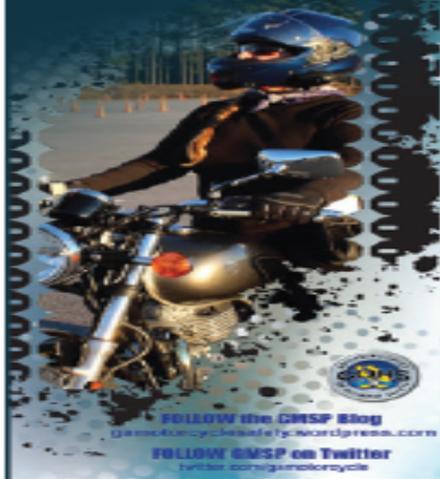
- [Pre-Apply Online](#)
- [For-Hire Driver Application](#)
- [Driving History \(MVR\)](#)
- [Motorcycle Safety Training](#)
- [Reservation Status](#)

You are attempting to access resources owned by the Georgia Department of Driver Services. If you are not specifically authorized to access these resources, do not proceed further. Unauthorized access could subject you to liability or criminal prosecution. In accordance with the Georgia Computer Systems Protection Act (O.C.G.A. §16-9-90, et seq.), Department of Driver Services internet communications and interaction are subject to monitoring and audit. By continuing and accessing the Department of Driver Services network, you are consenting to having your interaction with and use of Department of Driver Services Internet resources monitored, audited, retrieved and copied.

# MOTORCYCLE SAFETY COURSES



**REAL  
RIDING  
REAL  
SKILLS**



## Basic Riders Course (BRC)

**Introduces the exciting world of motorcycling.**

Successful graduates earn their Motorcycle License with a 90-day license test waiver!

- 2-day Classroom & On-cycle Training
- Motorcycle & helmet provided
- For new & experienced riders
- \$250.00: Enrollment fee
- \$300.00: Out-of-state fee

## Advanced Riders Course (ARC)

**Complements a rider's basic skills and includes a fast paced classroom segment with several interactive activities to improve perception and hazard awareness.**

- 1-day Classroom & On-cycle Training
- Riders provide their own helmet, protective gear, and motorcycle
- For experienced riders with a Class M license
- \$100.00: Enrollment fee
- \$150.00: Out-of-state fee

## Experienced Riders Course (ERC)

**An excellent refresher course for renewing and practicing basic riding skills.**

Successful graduates earn their Motorcycle License with a 90-day license test waiver!

- 1-day Classroom & On-cycle Training
- For riders with basic skills or a desire to refresh
- Riders provide their own helmet, protective gear, and motorcycle
- \$100.00: Enrollment fee
- \$150.00: Out-of-state fee

**REGISTER TODAY!**

Visit [www.dds.ga.gov](http://www.dds.ga.gov)  
 & click on **Motorcycle Safety Training**  
 or call **1-866-754-3687**

# DDS ONLINE SERVICES



## SAVE TIME! USE DDS ONLINE SERVICES

① WWW.DDS.GA.GOV

② 1-800-DDS-GA

### ONLINE SERVICES INCLUDE

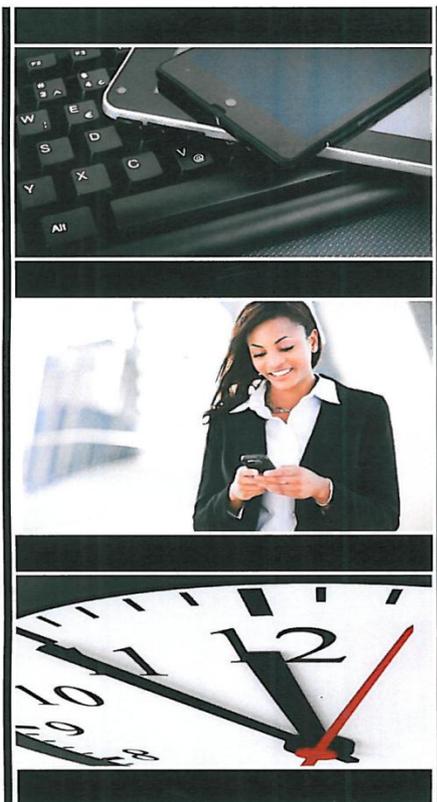
- Immediately Create a Secure Account
- Conduct Multiple Services at the same time
- Renew your Drivers License, ID Card, or Permit
- Reinstate your Drivers License
- Upgrade a Class D License to a Class C License
- Pay a Failure to Appear Fee
- Pay a Super Speeder Fee
- Change your Address
- Replace a Lost, Stolen or Damaged Card
- Request an ID Card
- Request a Certified Driving History (MVR)
- Check your Points

### ADDITIONAL SERVICES INCLUDE

- View/Download your Driving History (MVR)
- Take a Practice Written Test
- Download the most recent Manual

DDS-2203-P (08/2014)

# DDS ONLINE SERVICES



Save Time, **Pre-Apply Online** @ [www.dds.ga.gov](http://www.dds.ga.gov)!

Fill out your application.  
Anytime. Anywhere. Any device.

Our **Pre-Apply Online** service allows you to fill out your Driver's License, Permit or ID card application before visiting any of our Customer Service Centers.

**PRE – APPLY ONLINE NOW >>**



**FASTER SERVICE • SECURE • CONVENIENT • 24/7**

# APPLICATIONS



# REGULATORY COMPLIANCE HOME PAGE

[www.dds.ga.gov](http://www.dds.ga.gov)



**GEORGIA DEPARTMENT  
OF DRIVER SERVICES**

*MyDDS* Login Create Account

Search... Go

**Online License Application**  
Click here to get prepared for your CSC visit!

"Labor Day Holiday - All DDS Customer Service Centers will be closed from Saturday, September 5, 2015 thru Tuesday, September 8, 2015. Please note all centers will resume normal operations on Wednesday, September 9, 2015. Due to the closures we expect heavier traffic in our centers during that week, so please plan accordingly and consider using online services to avoid a visit altogether."

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Regulated Programs
About Us



**CDL Drivers New Medical Requirements**

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**Please review the new Secure ID document requirements and hours of operation before visiting our offices.**

**Find a DDS Location Near You**

Enter a location Reset

Enter a City, State or a Zip Code (i.e. Atlanta, GA or 30334)

Filter By Service Select a service

Office Closure Calendar

**Online Services**

- Save Time: Pre-Apply Online
- For-Hire Driver Endorsement
- Skip a Trip: Submit Proof of Residency or Social Security
- CDL: Self-Cert/Med Documents

**What's New?**



**Login/Create Online Account !**



# REGULATORY COMPLIANCE HOME PAGE

Home > Regulated Driver Safety Programs f t g+ 40

## Regulated Driver Safety Programs

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### General Information

The Regulatory Compliance Division provides regulatory and support services for the following driver safety programs:

- [Georgia Motorcycle Safety Program \(GMSP\) |](#)
- [Commercial Driver's License \(CDL\) Program |](#)
- [DUI or Risk Reduction](#)
- [Ignition Interlock](#)
- [Driver Training](#)
- [Third Party Testing](#)
- [Driver Improvement](#)
- [Alcohol and Drug Awareness Program \(ADAP\)](#)
- [For-Hire Driver](#)

### Feedback

- [Compliments/ Suggestions](#)
- [Complaint Form](#)

### Contact Regulatory Compliance

Regulatory Compliance Division  
 Georgia Department of Driver Services  
 2206 Eastview Parkway  
 Conyers, GA 30013

Main number: 678-413-8745  
 Fax: 678-413-8735  
 Fax: 678-413-8736

Email: [reginfo@dds.ga.gov](mailto:reginfo@dds.ga.gov)

### Regulatory Compliance News

- [Clarification of Records to be Maintained Memo](#)
- [2015 Legislative Memo](#)
- [Proof of Testing by CDL Third Party Examiners Memo](#)
- [New TPT Rule Amendments Memo](#)
- [Online C Endorsement Application Notice](#)
- [2015 CDL Forum Invitation](#)
- [New TPT Rule Amendments Memo](#)
- [CDL Third Party Examiner Training Notice](#)
- [Rule Consideration Memo](#)
- [Acceptable Drug Screen Reports Notice](#)
- [New Definition of Undergraduate Degree Memo](#)
- [New CDL Instructor Class Notice](#)
- [Process Improvements for CDL Instructor Test](#)
- [2014 Legislative Memo](#)
- [Kronos Effective Date for hourly pay of GMSP Coaches](#)
- [Acceptance of Documentation of Military Programs](#)
- [Program Instructor Renewal Reminder Memo](#)
- [Driver Improvement Training Opportunity Memo](#)
- [Updates to RRP and DI OCRA Certificates of Completion](#)
- [New Hiring Process for DDS GMSP Coaches](#)
- [New Ignition Interlock Requirements Notice](#)
- [Chauffeur Customer Advisory Notice](#)
- [2015 State Holidays](#)
- [Expired Instructor Notice](#)
- [OCRA Enhancements and Training for Technical](#)

# APPLICATIONS

## New

- New Program
- New Owners/Corporate Officers
- Instructor/Director

## Recertification

- Renewal of Program, Director, and Instructor
- All Owners/Corporate Officers

## Relocation

- Change of Program location
- Submit at least 30 days prior to move

## Name Change

- Change of Program's legal or d/b/a name(s)

# NON-TRANSFERABILITY OF CERTIFICATION

375-5-6-.07

- Certification of a Program is not transferable
- Programs must apply for Certification at least 60 days prior to any change of Program ownership
- All new Program owners, partners, corporate officers, and stockholders shall meet the requirements set forth in 375-5-6-.04
- Old certification will be picked up by the field analyst during final audit
- If change in ownership is the result of a death of a Program Owner, the program may continue to operate for 60 days pending completion of a new application



# OWNER RECERTIFICATION PROCESS

375-5-6-.07

Certification Period  
4 Years

Background Check: If Owner has undergone a background check within the previous 6 months for another certification, new fingerprints are not required

Owner whose Certification has expired cannot operate until recertification has been completed



GAPS Fingerprinting

If Certification has expired over 1 year then a new application is required

Apply 30-90 days prior to expiration

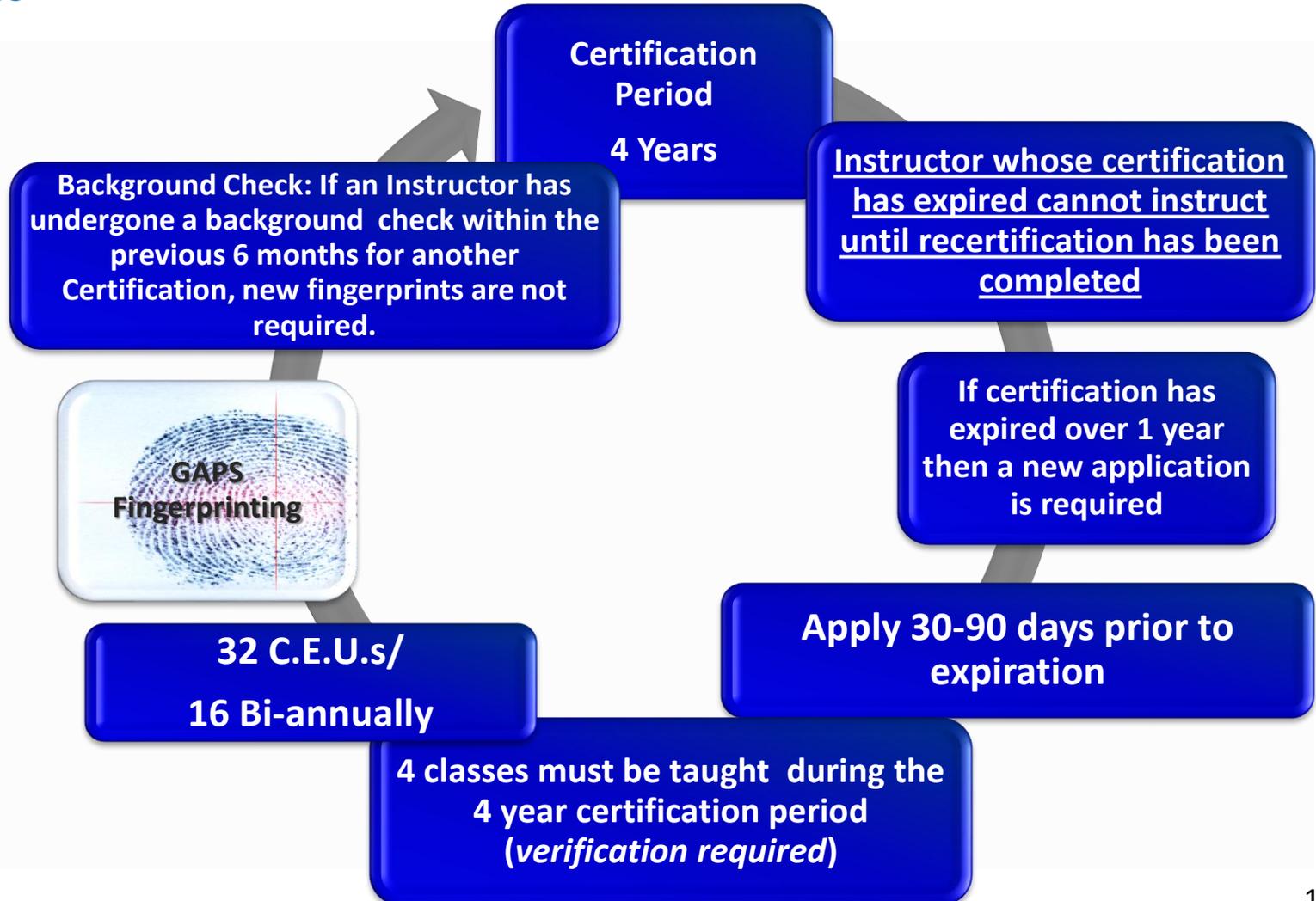
# DIRECTOR RECERTIFICATION PROCESS

375-5-6-.08



# INSTRUCTOR RECERTIFICATION PROCESS

375-5-6-.09



# PROGRAM RELOCATION 375-5-6-.20

- Relocation Application required – minimum 30 day prior notice to the Department
- Surety Bond Rider amending the program’s address to reflect the new facility address
- Proof of a fire code inspection – dated within 90 days of application filing date indicating there are no violations
- Completed Standard Business Hours form
- Copies of student contracts and materials reflecting the new facility address and phone number
- Approved site inspection of facility is required prior to certification being issued



***Important Note:***  
***Classes cannot be held at new location until application is received, facility is inspected and relocation is approved by the DDS.***

# RRP SQUARE FOOTAGE REQUIREMENTS

375-5-6-.18 (10)

Program classrooms must have a minimum of 300 square feet of useable space. Program classrooms shall be certified to offer services at twenty (20) square feet per person, up to a maximum of forty (40) Students. Programs licensed prior to the enactment of the 300 square foot minimum may continue to utilize existing classrooms that satisfied the prior requirement of 250 square feet. Such programs may not add new classrooms that are less than 300 square feet in size.





# ASSESSMENT ROSTERS



Survey M. Example (#123-456-789)

Page 1 of 4



## NEEDS Assessment PASS41 Development

DATE: 9/13/2011	DOB: 9/12/1982	MARITAL STATUS: never married
NAME: Survey M. Example	AGE: 29	EMPLOYMENT: unemployed
ID NUMBER: 123-456-789	SEX: male	EDUCATION: 12 years
	RACE: white	INCOME: \$0-10,000

The following report should be viewed as a series of hypotheses which may require further investigation. Individuals interpreting this evaluation should be knowledgeable in substance abuse problems and possess screening and assessment skills.

For NEEDS Report summary, see sections J and K.

### **A: TEST TAKING ATTITUDE SCORE = (5)**

This person's test taking attitude score suggests that he is inclined to be honest in his responses to the questions and to disclose information about himself. The lower the TTA score, the stronger the inclination to do so.

### **B: BASIC PROBLEM SOLVING AND READING ASSESSMENT = (0)**

The NEEDS Survey was completed in 32 minutes.

### **C: EMOTIONAL STABILITY ASSESSMENT = (19)**

This person has a history of emotional problems, and he is currently displaying strong feelings of emotional vulnerability.

- he reports having been treated for emotional problems
- he reports aggressive ideation, as well as, violent behavior while drinking



# ASSESSMENT ROSTERS

Page 1 of 1

Program name: \_\_\_\_\_ Cert No: \_\_\_\_\_  
 Month: August 2014

Check Amount: \$ 00 Check Number: \_\_\_\_\_

#	Student	SSN or DL	Off. code	Birthdate	Summary Score	Check Number:	Processed
Total Number of Students 0 x \$30.00 rebates = \$ 00							
<small>I do hereby solemnly swear/affirm as the Owner/Director of the above referenced Program, that the Assessment Components were coded in accordance with instructions provided by the Georgia Department of Driver Services (DDS) and ADE. This assessment roster is of offenders who took the Assessment Component for the month of August 2014. Assessment fees shall be paid to the state on ALL offenders assessed, including those who did not sign an Intervention Component contract, did not return for class, or have not attended all class sessions. Completed assessment rosters and rebate fees for each calendar month shall be sent to DDS no later than the 10th calendar day of the following month. These requirements are pursuant to O.C.G.A. 40-5-82, 40-5-83, and DDS Rules and Regulations 375-5-6-.14.</small>							
<small>Please remit all rebate rosters and fees to:          Georgia Department of Driver Services          Accounting Manager          2206 East View Parkway          Conyers, Georgia 30013</small>							
Signature of Owner / Program Director _____						Date _____	

*Note*  
 No DL # = All 0's  
 No SSN = All 9's

<https://gadds.adeincorp.com/snapshot.asp> 3/2014

- Rebate fees in the amount of \$30 per assessment are due by the 10<sup>th</sup> day of the following month
- A copy of the roster, including a blank roster, should be printed and placed in school file
- Invoices are now generated through the Billing section of the ADE software each month
- Credit Card payments may be made through the ADE software
- Checks and money orders should be mailed with invoice to:

**ADE Incorporated**  
**PO Box 660**  
**Clarkston, MI 4834**



# ASSESSMENT ROSTERS

- Rebate fees are due on the 10<sup>th</sup> day of the month following the report month
- Letters regarding late rebate fees will be sent by ADE on the 15<sup>th</sup> of each month
- If rebate fees are still not received by the 1<sup>st</sup> business day of the following month, an administrative fine will be imposed
- If you are charged an administrative fine, only the fine amount should be paid to DDS. The past due rebate amount must be paid to ADE



# ADE SUPPORT

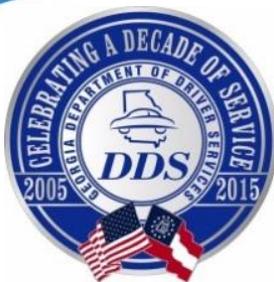


**Call: 800-334-1918**

**OR**

**Send an Email to:  
[support@adeincorp.com](mailto:support@adeincorp.com)**





**AUDIT**

# INSPECTIONS, INVESTIGATIONS, AND PROGRAM MONITORING

375-5-6-.28

**Department is authorized to:**

- Inspect and monitor
- Investigate Programs
- Determine compliance with the Rules and Regulations of each program



**Program Owners, Directors, Instructors, and Staff shall:**

- Cooperate with any inspection or investigation
- Provide without delay, any information reasonably requested by the Department



**Programs/Instructors will be notified of deficiencies in writing**



# WHAT ARE THE RESPONSIBILITIES OF AN OWNER?

375-5-6-.12

Provide services for the Assessment and Intervention Components of the Program

To ensure the actions of all Program employees, volunteers, agents, representatives and instructors

To ensure the quality of instruction and the delivery of the Program in a professional manner conducive to learning

To maintain a personnel folder for all staff members and to train all staff members that have contact with Students/Offenders. Provide accurate information concerning the Program to include maintaining Student confidentiality

To ensure that Students/Offenders know where and how to obtain information about Clinical Evaluators certified by DBHDD, self-help support groups and Alcohol/Drug treatment resources

To participate in Program evaluations and research projects as directed by the Department

Must prohibit the solicitation of Students/Offenders for insurance, legal services, bail bonds, specific Clinical Evaluators or treatment providers, Ignition Interlock providers, or any other product or service

To ensure that each Student/Offender receives a new and unused copy of the required student workbook

That a Certificate of Completion is issued to each Student who successfully completes all program requirements

# 30-DAY NEW PROGRAM INTERVIEW



Georgia Department of Driver Services  
2206 East View Parkway • P.O. Box 83447 • Conyers, Georgia 30013

Regulatory Compliance Division  
**30-Day New Program Interview**

Program Name:	Program Certification Number:	Expiration Date:
Physical Address:	City:	Zip:
Mailing Address:	City:	Zip:
Phone Number:	Fax Number:	
Program Email Address:	Web Site Address:	
Business Hours:	Name of Owner/Director:	
Program Representative:		

**General Information**

All student contracts have been printed in duplicate and are pre-numbered.

Program has received forms bundle from HQ analyst and has all required forms for program(s) and the analyst has reviewed the forms with the program representative.

Program has been advised of proper organization of class and student file.

Applications should be submitted 30 days in advance and must be approved by the Department before a program can relocate, change program name, change/add director, change ownership, or add corporate officers. Notify analyst of proposed changes.

A Standard Business Hours form must be submitted to the Department before business hours can be changed. Notify analyst of proposed changes.

Program must notify Analyst prior to any unscheduled office closures, cancellations or changes in class schedules.

The rules and regulations, training calendar, program correspondence and updates are located on the Department's website: [www.dds.ga.gov](http://www.dds.ga.gov) under Regulated Programs

Program has visited the website and understands how to navigate to locate desired information.

Regulatory Compliance Division Address: 2206 Eastview Parkway, Conyers, GA 30013 Main Number: 678-413-8745 Fax: 678-413-8735 Email: [reginfo@dds.ga.gov](mailto:reginfo@dds.ga.gov)

Department of Driver Services Contact Information for Students: Address: 2206 Eastview Parkway, Conyers, GA 30013, Call Center: 678-413-8400 or toll free 1-866-754-3837 (inside Georgia but outside the Metro Atlanta Area)

Students may create an online account through our website: [www.dds.ga.gov](http://www.dds.ga.gov)

**Advertising**

Program must use legal certified program name and program certification number on any advertising which includes Program's website.

False and misleading advertising statements is a violation of the rules and regulations.

A program may indicate in its advertisements that it is "licensed by the State" or "State licensed" however it cannot advertise or imply the program is endorsed by the State or the Department.

No program shall use the logo of the Department, the State seal nor any other governmental entity logo or symbol in any advertisement.

**OCRA**

To reach the Regulatory Compliance Division OCRA support staff, please send an email to [reginfo@dds.ga.gov](mailto:reginfo@dds.ga.gov) (Enter OCRA in the subject line).

The OCRA welcome page contains an OCRA Refresher, an OCRA cheat sheet, Administrator Privilege Request Form, OCRA User Guide and Quick Reference Guide. Please refer to those tools to review OCRA procedures when necessary and as a helpful guide to resolve issues first.

Program should use the Student Maintenance option in OCRA to correct student information.

Each authorized employee should have their own user name and password. An Administrator Privilege Request form must be completed on each authorized employee. Terminated employees with OCRA access should be removed immediately by submitting a completed Administrator Privilege Request form.

The Quarterly Schedule must be entered into OCRA by the designated deadlines. (December 15th for Jan - Mar), March 15th for April - June), June 15th for July - Sept), September 15th for Oct - Dec)

**DUI/RRP**

Assessment Contract must be completed with payment of \$100.00 fee prior to administering Assessment component.

Assessments must be processed when administered, NOT when the student attends class. Assessments administered on the day of class must be processed no later than 30 minutes prior to class in order for the student to attend class. Assessments can not be held in lieu of obtaining additional students to make a class.

Intervention Contract must be completed with fee of \$235.00 paid in full prior to allowing student to attend class.

A minimum of five (5) paid intervention contracts are required to conduct the Intervention Component. Analyst has reviewed the procedure and documentation requirements for a class with less than 5 students in attendance.

An Authorization for the Transfer and/or Release of Assessments Results form must be completed & signed by the student as well as the program official in order to transfer assessment results. DDS approval is required for students transferring to another school to attend DUI class but is not required for transfer to clinical evaluators. The transfer procedure was explained by Analyst.

The Student/Offender Information form must be completed by each student prior to attending class.

Personnel files must be maintained for all employees, volunteers, directors and instructors and must contain the following items: Job application, Employee Orientation and Confidentiality Statement, Limited Delegation of Authority form must be completed and signed by all employees that administer assessments. For Instructors/Directors - Copy of Instructor Certification and/or Director Certification.

The appropriate PRI Syllabus must be followed when establishing class schedules and must be followed by each RRP instructor.

Class Files are maintained by class date and must contain: Class roster, Class roll (printed prior to class and must be signed by students for each session attended & instructor); Student record; Assessment Contract, Intervention Contract, Student/Offender form, Assessment Answer Sheet (Needs Survey), Assessment Results/Summary sheet, Graded Post Test, Certificate of Completion (optional) and when applicable Assessment Transfer/Release form. Class files must be kept for 5 years.

Rebates and Assessment Roster: A \$30.00 rebate fee shall be paid to DDS on all Offenders assessed. ADE Assessment Roster with rebate fees must be received by DDS finance prior to the 10th of every month for assessments processed the previous month. The Assessment Roster is due showing "No Assessments" even if no students were assessed within a given month. All rosters and payments should be mailed directly to the Finance Department or faxed to 678-413-8688. The program is required to maintain a copy of the monthly assessment rosters with copies of the rebate checks or credit card receipts.

**Comments**

I acknowledge that I have received a copy of the 30-Day New Program Interview Form and it has been reviewed with me by the DDS Compliance Analyst. I also acknowledge that I have reviewed the program(s) rules/regulations and understand I am required to abide by such rules.

Program Representative: \_\_\_\_\_ Date: \_\_\_\_\_

DDS Compliance Analyst: \_\_\_\_\_ Date: \_\_\_\_\_

Analyst Name  
Regulatory Compliance Division • Office Address • City, Georgia Zip  
Office • Cell • Fax • Email •

# PROGRAM RECORDS 375-5-5-.16

Instructors are responsible for safe keeping and confidentiality of the following records:

- Class Roll – assuring that each student signs in at the start of each session
- Assessment Summary sheet
- Student Information sheet
- Graded Intervention post-test
- Certificate of Completion



# RISK BASED AUDITING METHODOLOGY



All Risk Reduction, Driver Improvement, and Driver Training Programs certified by the Department shall be audited at least once every 12 months.

Each 12-month audit will determine whether follow-up audits are warranted prior to the next 12-month audit and what frequency the follow-up audits should occur.

# PURPOSE OF THE PROGRAM AUDIT

- To determine consistency of all programs across the state
- To determine compliance of the Department's rules and regulations governing the program
- To gather data that may be used for statistical purposes



# PREPARING FOR THE PROGRAM AUDIT

- **Owner/Director and/or designated program staff should be available on the day of the scheduled program audit.**
- **All files should be neat and organized.**
- **Allow the analyst sufficient space with limited interruptions to conduct the audit.**
- **Allow ample time for the audit to be completed**

# AUDIT FINDINGS

**AUDIT CHECKLIST**  
 **Audit Satisfactory**  
 **Nonconformances Found**  
 **Observations Made**

 Georgia Department of Driver Services 2208 East View Parkway • P.O. Box 90447 • Conyers, Georgia 30013 					
<b>DUI/RR Annual Audit</b>					
Compliance Analyst Completing Audit:		Tunnizia Weston		Audit Date:	
Program Name:		Certification Number:		Certification Expiration Date:	
Program Email Address:		Web Site Address:		Director Certification Expiration Date:	
Business Hours:		Name of Owner/ Director:		Director Certification Expiration Date:	
<b>AUDIT RESULTS</b>					
Audit Category			Next Scheduled Audit		
<b>FOLLOW UP AUDIT INFORMATION</b>					
Previous Audit Date:		Have the deficiencies noted during original audit been corrected?		Were there new deficiencies found during current audit?	
<b>COMPLIANCE AUDIT INFORMATION</b>					
Audit Period:		Thru		Date of Last Audit:	
Total Students since Last Audit		Number of Records reviewed during current audit:			
Certificate of Completion Numbers Issued:		OCRA		Thru	
Voided Certificates of Completion:		N/A			
# of Replacement Certificates on Hand:					
<b>Web Site Review Findings</b>					
Has Analyst actively searched the Web Site Address?					
Is Program using their Approved Certified Name & Certification Number ?					
Is Program using Department's logo or State Seal?					
Is Program Advertising in a manner that is false or misleading?					
Required Equipment on Site for conducting class:		Yes		Facility Maintained and Customer ready:	
Comments:		Yes		Curriculum Used: PRI	
				Required Books and Workbooks onsite:	
				Yes	
				Print Date: 2004	
<b>Instructor Certification Information</b>					
Instructor Name:		Certification Number:		Certification Expiration Date:	
<b>Program Compliance Audit Findings</b>					
Records for the period reviewed appear to be compliant with the Rules and Regulations of the Department of Driver Services.					
Findings of this audit indicate deficiencies that are not compliant with Department of Driver Services Administrative Rules and Regulations governing this regulated program					
Description of deficiency/deficiencies noted				Administrative Rule Number	Deficiency Category
A Corrective Action Plan for the deficiency/deficiencies noted above is required and should be received by the Compliance Analyst prior to the close of business:					
Comments					
I acknowledge that I have received a copy of the Department of Driver Services Regulated Program Compliance Audit completed by the DDS Compliance Analyst and that the results of the audit have been explained to me.					
Program Representative:		Date:			
DDS Compliance Analyst:		Tunnizia Weston		Date:	

# AUDIT FINDINGS



- **Each violation is tied to an existing statute or administrative rule and categorized according to severity.**
- **Field Analyst will review the findings of the audit with Program Owner, Director and/or Program Official present.**

# AUDIT CATEGORIES

## Category 1: Severe

Deficiencies must be corrected within 30 days of implementation of the corrective action plan.



## Category 2: Moderate

Deficiencies must be corrected within 3 months following implementation of the corrective action plan.



## Category 3: Minor

Deficiencies must be corrected within 6 months following implementation of the corrective action plan.

# FOLLOW-UP AUDITS



**Follow-up audits will be conducted until the program has corrected all compliance issues.**

**Follow-up audits will be conducted in accordance with the severity of the deficiency.**



# CORRECTIVE ACTION PLAN (CAP)

Regulatory Compliance Division  
**GEORGIA DEPARTMENT OF DRIVER SERVICES**  
 Program Corrective Action Plan

**A Corrective Action Plan must identify:**

- How compliance with each rule violation will be achieved
- Timeframe for completion/implementation of correction of each violation
- How continued compliance will be maintained once achieved

Must be dated and signed by the licensed Owner or, the Risk Reduction Program Director

**DATE:**

Program Name XXXX Certification number # 000 County xxxx

Check one only:  DUI Alcohol/Drug Risk Reduction  Driver Improvement  Driver Training  
 Third Party Testing

**Program Representative: XXXXXXXX**

Rule #	Description of violation:
Corrective Action(s) requested by the Compliance Analyst to be put into place in order to achieve program compliance:	
Describe how continued compliance will be achieved and maintained:	
Date Implemented:	
Signature of licensed Program Owner or Risk Reduction Program Director only:	Date:

Form will not be accepted without an official, original signature. Program will be notified of acceptance or denial of Corrective Action Plan

Please use provided supplemental sheet for any additional violations needing corrective action.

Programs must send this form within fifteen (15) days of notification of the Departments request for Corrective Action Plan to: **DUE BY:**

**Tunnizia Weston**  
 Regulatory Compliance Division • 409 S. Midway Road • Cordele, Georgia 31015  
 Office 229.271.4706 • Cell 404.909.4726 • Fax 229.271.4949  
 Email: tweston@dds.ga.gov

# CORRECTIVE ACTION PLAN

## **Must:**

- **Describe how continued compliance will be achieved and maintained**
- **Show the date the plan will be implemented**
- **Be signed and dated by the licensed Program Owner or Risk Reduction Program Director only**
- **Be returned to Field Analyst within (15) fifteen days of notification**

# AUDIT QUESTIONS

**School Owners & Directors  
should direct any questions  
about the audit findings or the  
corrective action plans to their  
Field Analyst.**

# PROGRAM HOURS OF OPERATION

375-5-6-.19

Each Program shall maintain business hours of at least fifteen (15) hours per week.

Each Program shall notify the Department of its business hours upon application for Certification.

Each Program shall report any deviations from the Program's set business hours to the Department, in writing, at least forty-eight (48) hours in advance, except in cases of emergency.

Program staff shall be available during business hours to answer the telephone, furnish info about the Program, verify services provided, and to produce records and documentation requested by the Department.

# STANDARD BUSINESS HOURS FORM



## Standard Business Hours

### Risk Reduction Program Hours of Operation

**Ga. Admin. Comp. Chapter 375-5-6-.19** Each program shall maintain business hours of at least fifteen (15) hours per week.

### Driver Improvement Clinic Hours of Operation

**Ga. Admin. Comp. Chapter 375-5-1-.10 (d)** A clinic shall maintain business hours of at least fifteen (15) hours per week, half of which must fall within the Department's normal business hours. An employee of the clinic must be available during this time to furnish information of operation, verify attendance to a class, or to produce the necessary records or documents whenever requested by a member of the Department. The clinic may close for a lunch hour at a set time, upon notice to the Department of the scheduled lunch hour. Each clinic is responsible for notifying the Department of times during which the business office of the clinic will be closed for lunch or vacation and of the regularly scheduled hours of operation of the business office.

### Driver Training School Hours of Operation

**Ga. Admin. Comp. Chapter 375-5-2-.11 (h)** A driver training school shall maintain business hours of at least fifteen (15) hours per week, half of which must fall within the Department's normal business hours. An employee of the driver training school and/or limited driver training school must be available during this time to furnish information of operation, verify attendance to a class, or to produce the necessary records or documents whenever requested by a member of the Department. The school may close for a lunch hour at a set time upon notice to the Department of the scheduled lunch hour. The school shall be responsible for notifying the Department of those times during which the business office will be closed for lunch or vacation and of the regularly scheduled hours of operation of the business office.

### Ignition Interlock Device Provider Center Hours of Operation

**Proposed Rule:** Maintain a place where the ignition interlock device provider center will be located which is easily accessible and open during pre-established daily business hours. Provider centers shall maintain daily business hours of at least four hours per day, between the hours of 8:00 a.m. and 8:00 p.m., five days per week.

### Hours of Operation:

Indicate below your program's intended hours of operation.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Time Open						
Lunch						
Time Closed						

The Department of Driver Services must receive written notice of any business hours changes at least two (2) weeks in advance.

Hours of operation certified by: \_\_\_\_\_  
(Signature of program owner/director)

Program Name and Certification #: \_\_\_\_\_

# ADVERSE ACTIONS



# ADVERSE ACTIONS

**CAP**

**Warning Letter**

**Administrative Fine**

**Suspension/Cancellation/Revocation**

# HISTORY OF COMPLIANCE 375-5-6-.10

Department may consider the Applicant's history of compliance when determining eligibility for Certification and Recertification.

Cancellation, Suspension, or Revocation of Certification(s) in another program may result in the same for this program.



# ENFORCEMENT OF PROGRAM REGULATIONS

375-5-6-.29



**The Department has the authority to deny, cancel, suspend, or revoke the Certification of any Program or Program Owner, Director, or Instructor for non-compliance with the Rules and Regulations.**

# ENFORCEMENT OF PROGRAM REGULATIONS

375-5-6-.29



## Assess Administrative Fines

- Fine not to exceed \$1,000.00 per violation
- In determining the fine amount the Department may consider the seriousness of the violation
- Whether the same violation has previously occurred
- Whether procedures designated to prevent the violation were in place and followed



## Revocation, Cancellation, or Suspension

- In considering which to impose the Department may consider:
  - The history of compliance
  - The seriousness of the violation(s)
  - Whether violation was voluntarily reported to the Department
  - Whether they exhibited good faith efforts to correct areas of non-compliance prior or subsequent to the discovery by the Department

# ADVERSE ACTION STATS

## FY2015 Adverse Actions

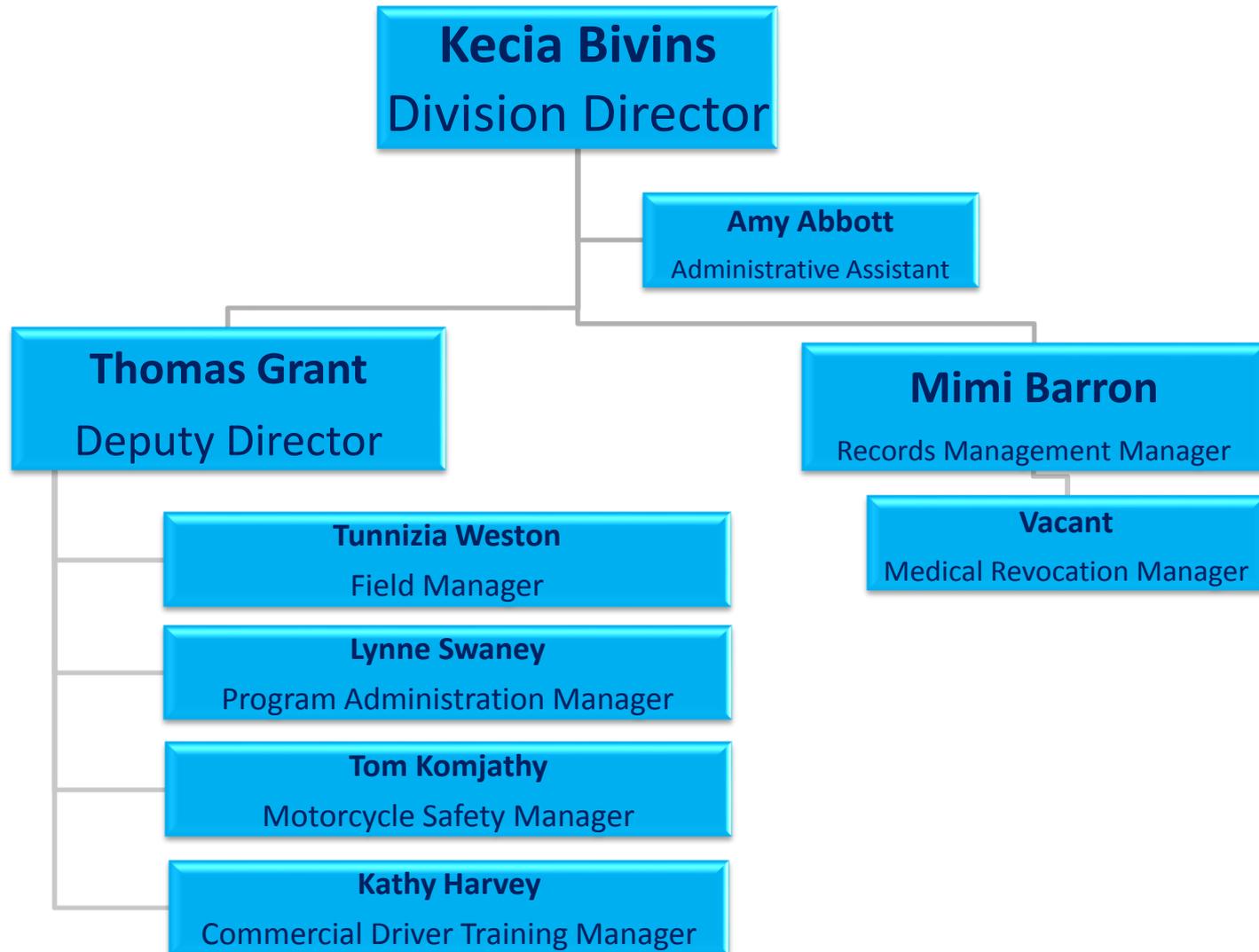
- 22 Administrative Fines imposed for a total amount of \$9,400
- Average of 2 programs fined per month
- Average fine amount per month is \$400
- 11 suspensions/cancellation/revocations



# REGULATORY COMPLIANCE SUPPORT SYSTEM



# Regulatory Compliance Division



# ADMINISTRATION UNIT RESPONSIBILITIES

- Process applications
- Correspondences: Renewal Notices  
(Email renewal notices effective 5/1)
- Maintain Closed Program Files
- Issue Replacement Certificates
- Authorize Transfers
- OCRA Administrators
  - Online Certification Reporting Application
- Respond to Informational Requests
  - Legislative
  - Open Records
  - Surveys
- Manage Web Content
- Conduct Training
- Investigate complaints
- Provide testimony in hearings and trials
- Participate in outreach programs

# PROGRAM ADMINISTRATION UNIT

<b>Name</b>	<b>Email</b>	<b>Phone</b>
<b>Lynne Swaney</b>	<b>lswaney@dds.ga.gov</b>	<b>678.413.8859</b>
<b>Amy Abbott</b>	<b>abbott@dds.ga.gov</b>	<b>678-413-8745</b>
<b>Mistie Odum</b>	<b>modum@dds.ga.gov</b>	<b>678.413.8827</b>
<b>Elizabeth Nelson</b>	<b>enelson@dds.ga.gov</b>	<b>678-413-8536</b>
<b>Kim Johnson</b>	<b>kjohnson2@dds.ga.gov</b>	<b>678-413-8747</b>
<b>Denae Hartsfield</b>	<b>dhartsfield@dds.ga.gov</b>	<b>678-413-8803</b>
<b>Anna Rhoades</b>	<b>arhoades@dds.ga.gov</b>	<b>678-413-8746</b>
<b>Michelle Asbury</b>	<b>masbury@dds.ga.gov</b>	<b>770-929-3205</b>

# FIELD OPERATIONS RESPONSIBILITIES

- Program Site Inspections
  - New
  - Relocation
- Curricula Approval
- DT Vehicle Inspections
- Instructor Monitoring
- Program Audits
  - Annual
  - Follow up
  - Corrective Action
  - Document compliance issues
- Conduct Training
- Investigate Complaints
- Provide testimony in hearings and trials
- Participate in outreach programs





## HOW DO I CONTACT REGULATORY COMPLIANCE ?

### DDS Mailing Address

2206 East View Parkway  
Conyers, GA 30013

### Phone

678.413.8745

### Email

[reginfo@dds.ga.gov](mailto:reginfo@dds.ga.gov)

### Regulatory Compliance Website

[www.dds.ga.gov/regulatedprograms](http://www.dds.ga.gov/regulatedprograms)

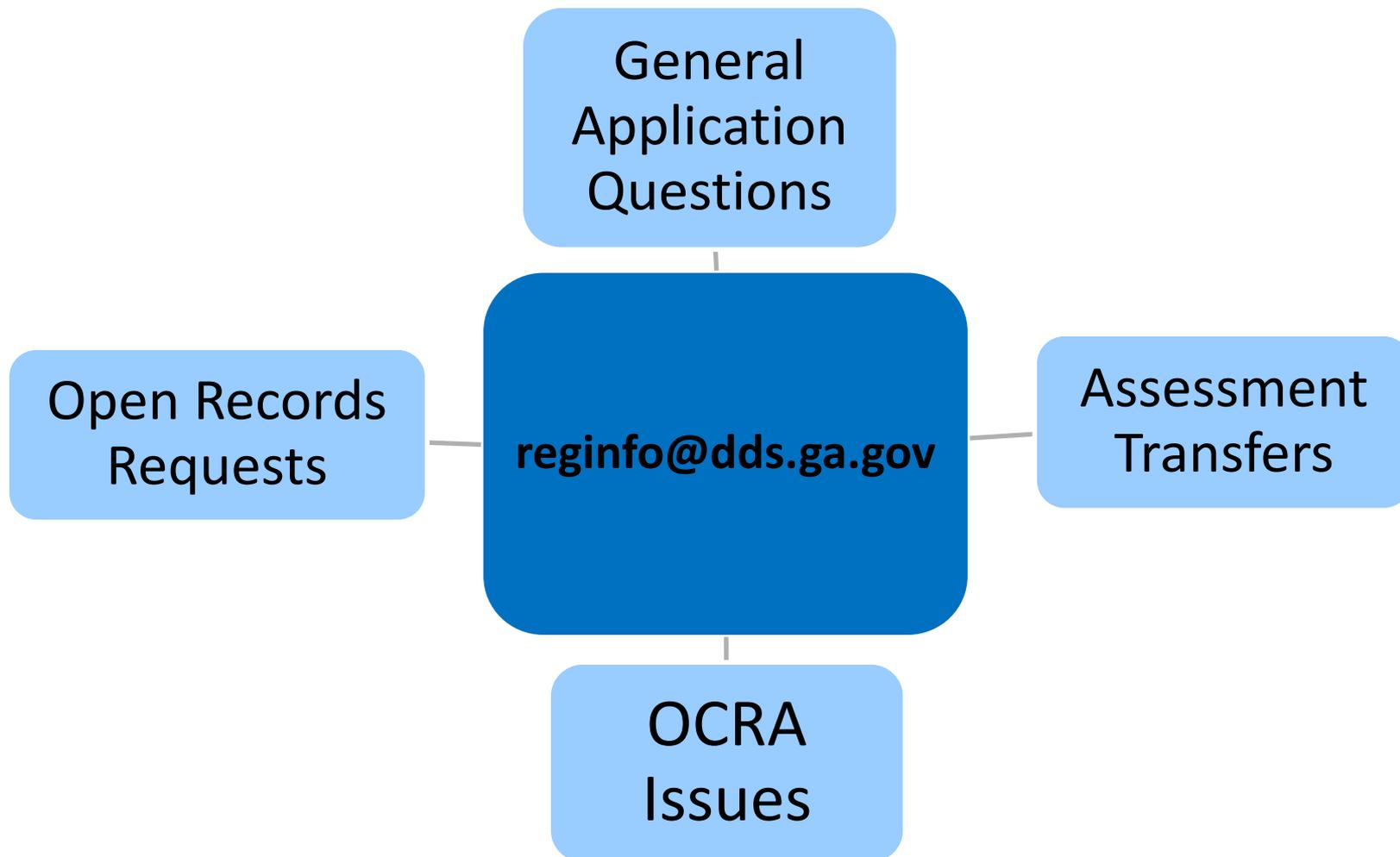
# CONTACTS



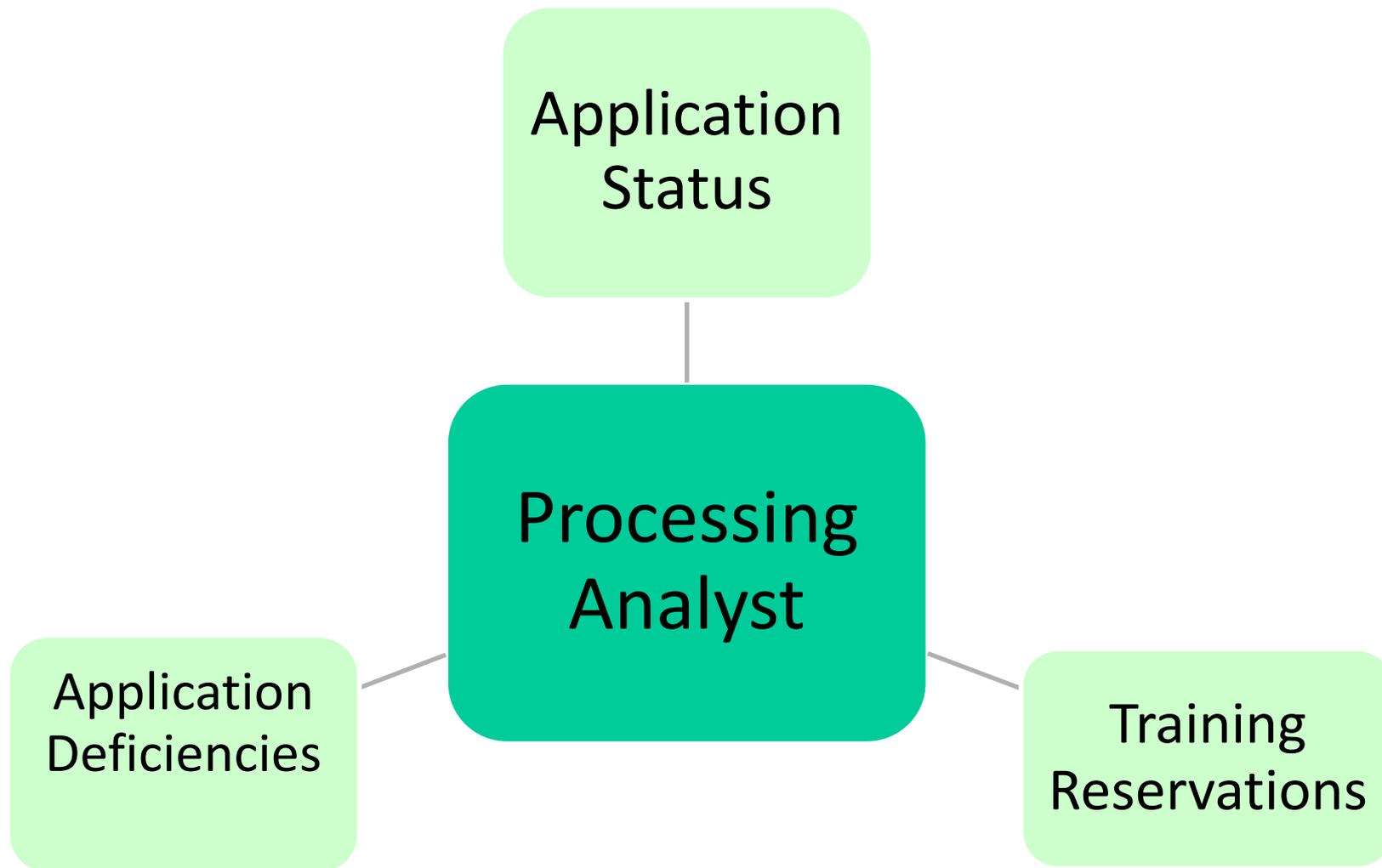
- Who do I contact



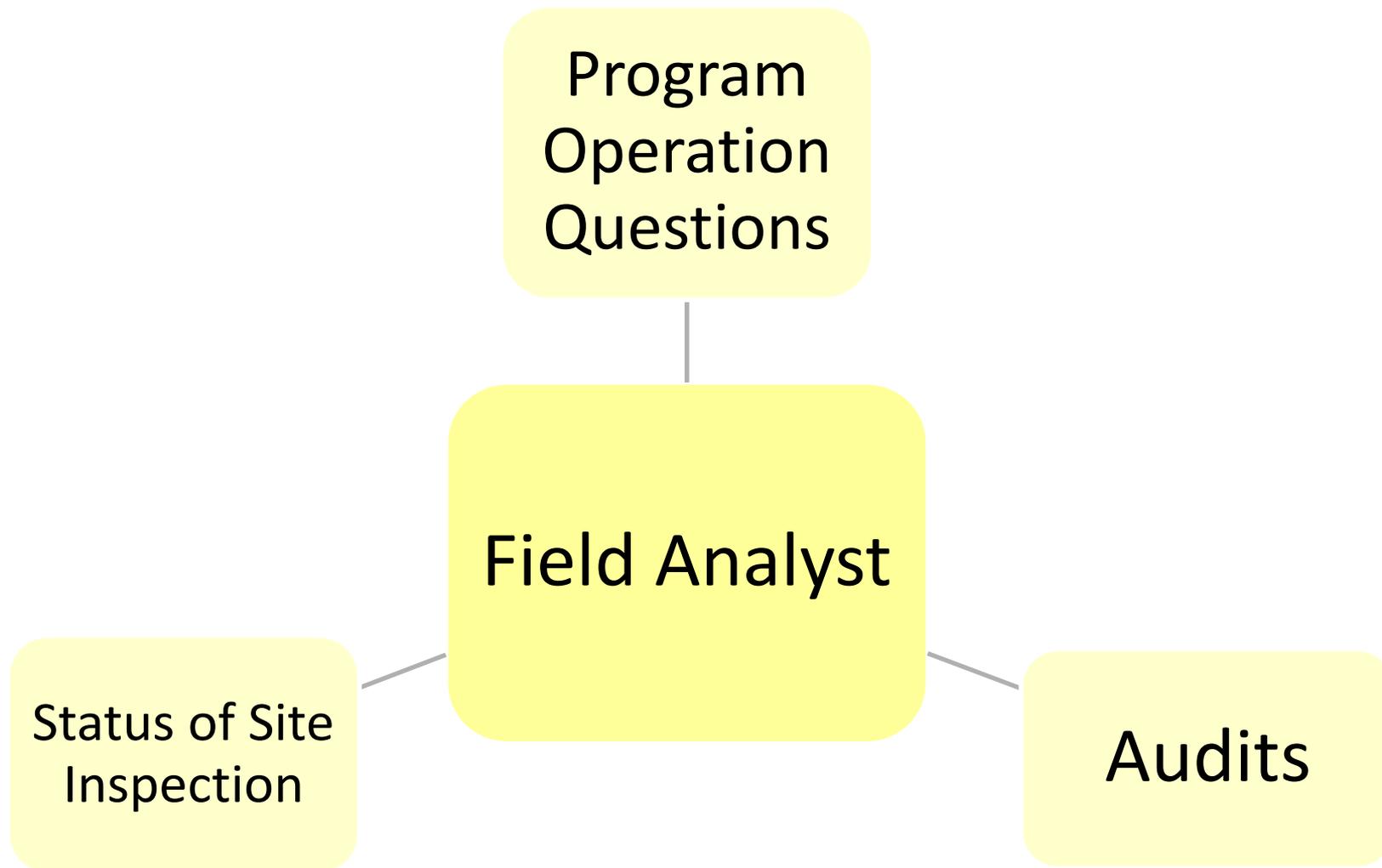
# CONTACTS



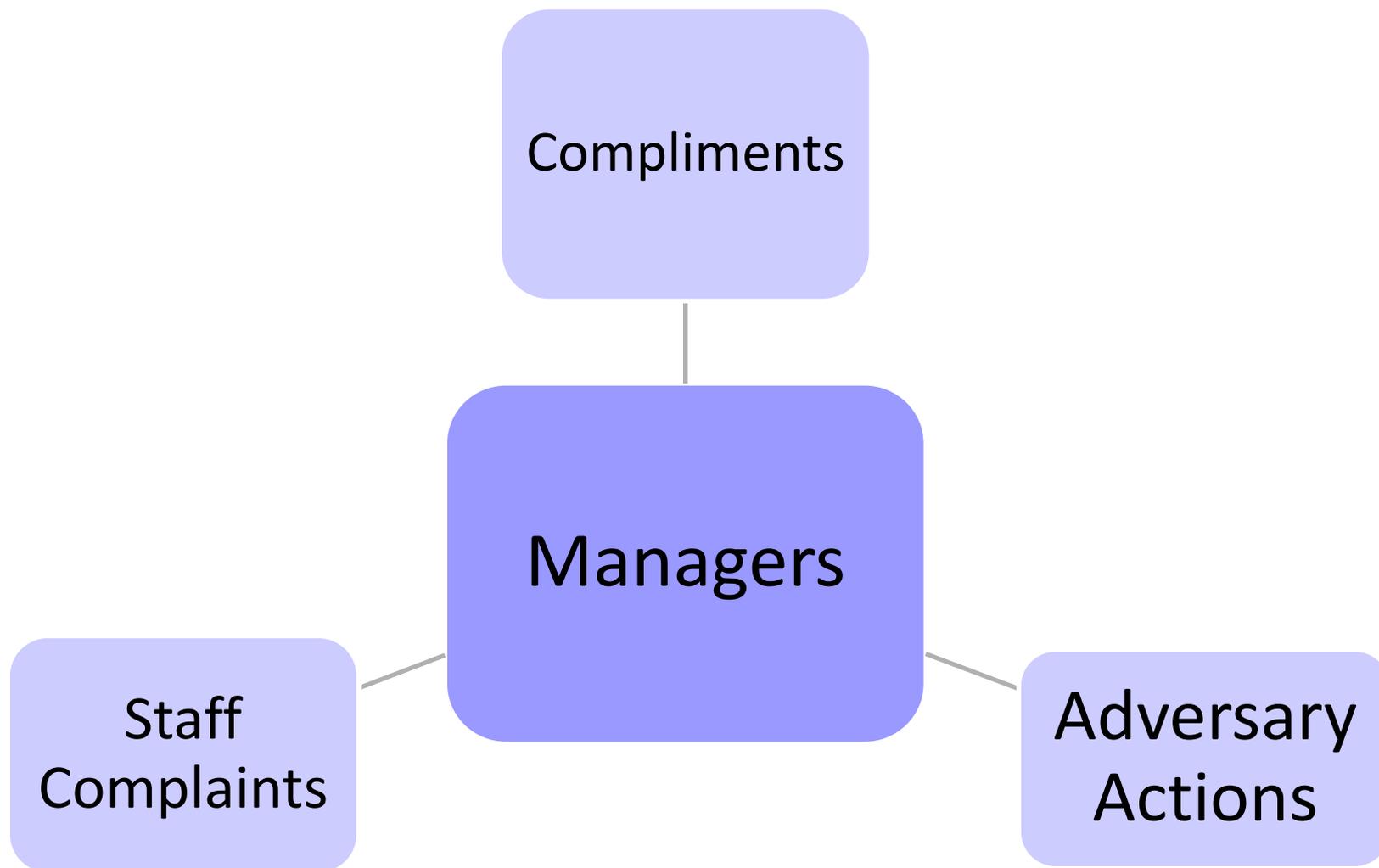
# CONTACTS



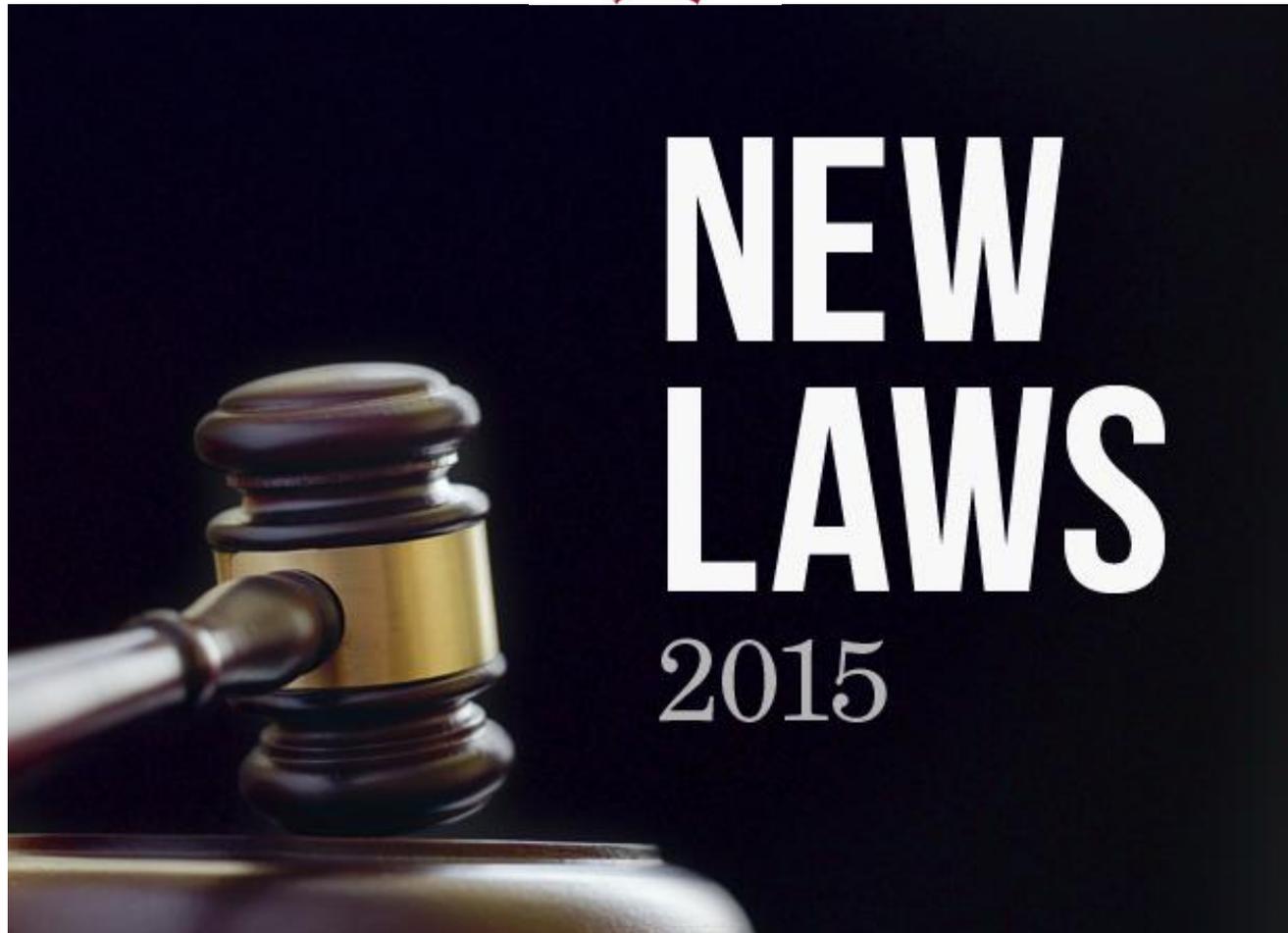
# CONTACTS



# CONTACTS



# WHAT'S NEW ?



# SENATE BILL 100

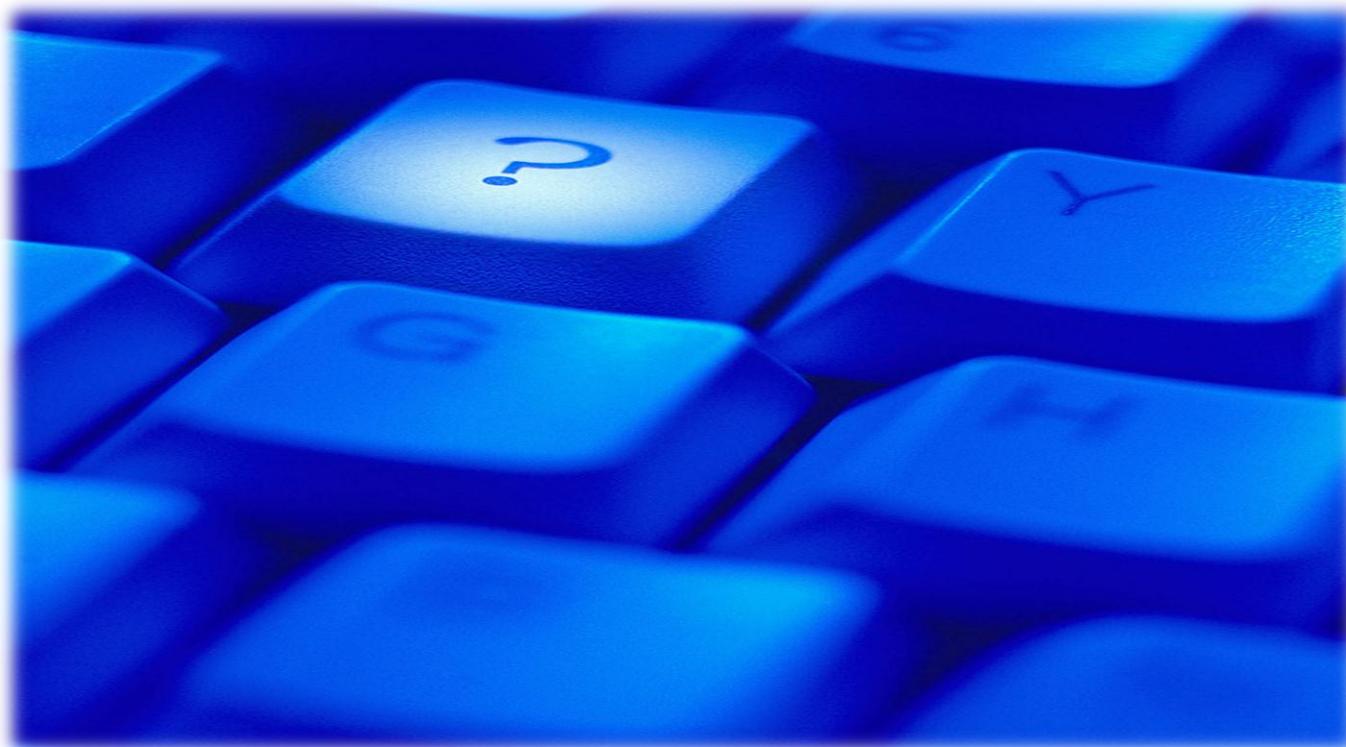
## Effective 7/1/2015

Makes it a misdemeanor for an owner, agent, servant, or employee of any driver improvement clinic or DUI Alcohol or Drug Use Risk Reduction Program licensed by the department to directly or indirectly offer, for purposes of the enrollment or solicitation of any student or prospective student, any item of monetary value, including but not limited to United States legal tender, food, gasoline cards, debit gift cards, or merchant gift cards to any:

- 1) Student or agent or legal representative of a student;
- 2) Employee or agent of a private company which has contracted with a county, municipality, or consolidated government to provide probation services
- 3) Law enforcement officer; or
- 4) Officer or employee of the judicial branch or a court.



# QUESTIONS





## QUESTION

When submitting an instructor or program recertification application, how early should they be submitted?

**30 – 90 days before the expiration date of the current certification**



## QUESTION

Which application do I submit if my instructor certification expired two (2) years ago?

**New Instructor Application**



## QUESTION

Will my application be processed if I fail to include all of the required documents?

**No**



## QUESTION

I was fingerprinted when I initially became certified. Why do I need to be fingerprinted again for recertification?

**Fingerprints that are used for non-criminal justice purposes are only retained by the Georgia and Federal Bureaus of Investigation for a matter of days and then purged, hence the need to be re-fingerprinted. In addition, the decision to recertify an individual or entity must be based on current criminal history results.**

## QUESTION

Monthly assessment rosters and rebate fees are due by \_\_\_\_\_.

**The 10<sup>th</sup> of the following month**



# QUESTION

Program audits are normally conducted?

**Once every 12 Months**



# TRUE OR FALSE

There are five audit categories.

**False**



## YES OR NO

Can an instructor teach on an expired certification if the program certification is valid?

**No**



## QUESTION

As the Program Owner or Director, can I designate a program official to sign the corrective action plan for me?

**No**



## YES OR NO

The monthly assessment roster and rebate fees are sent to my field analyst and/or Regulatory Compliance.

**No**



## TRUE OR FALSE

I do not have to print a monthly assessment roster if I do not conduct any assessments for the month.

**False**



## QUESTION

How do I obtain a username and password for OCRA?

**The Program Owner or Director must submit the  
OCRA Administrative Privileges form to  
[reginfo@dds.ga.gov](mailto:reginfo@dds.ga.gov)**



