



Department of Public Safety

Bureau of Motor Vehicles Audit

Audit Period: January through May 2014

Results Summary:

Objective	Conclusion*
Driver Suspension Removal Process	Well-Controlled with Improvement Needed

* Please refer to Appendix A for classification of audit objective conclusions.

Report number: 2015-DPS-02

Issuance date: September 25, 2014



Executive Summary

Background

The Ohio Bureau of Motor Vehicles is responsible for the issuance of driver licenses in the State of Ohio. Approximately 9 million drivers are licensed by the State of Ohio (as of 2013). There are approximately 45 methods for which a driver's license may be suspended. A majority of those suspensions are for failure to prove financial responsibility (i.e. proof of insurance). Approximately 650 driver licenses are suspended each week, with 8% - 10% of all driver licenses suspended at most times.

During the audit, OIA identified opportunities for the Department of Public Safety to strengthen internal controls and improve business operations. This audit conforms to the *International Standards for the Professional Practice of Internal Auditing*. OIA would like to thank Department of Public Safety staff and management for their cooperation and time in support of this audit.

This report is solely intended for the information and use of agency management and the State Audit Committee. It is not intended for anyone other than these specified parties.

Scope and Objectives

OIA staff was engaged to perform assurance work related to the controls over the driver suspension removal process. This work was completed July through September 2014. The scope of this audit included key processes of the driver suspension removal process for the period January through May 2014. The audit objective for this engagement was to:

- Evaluate the design and effectiveness of the controls within the driver suspension removal (takedown/delete) process.

Detailed Observations and Recommendations

The Observations and Recommendations include only those risks which were deemed high or moderate. There were no high or moderate risk observations and recommendations identified as a result of this audit. Low risk observations were discussed with individual agency management and are not part of this report. However, the low risk observations were considered as part of the audit objective conclusions.



Appendix A – Classification of Conclusions and Observations

Classification of Audit Objective Conclusions

Conclusion	Description of Factors
Well-Controlled	The processes are appropriately designed and/or are operating effectively to manage risks. Control issues may exist, but are minor.
Well-Controlled with Improvement Needed	The processes have design or operating effectiveness deficiencies but do not compromise achievement of important control objectives.
Improvement Needed	Weaknesses are present that compromise achievement of one or more control objectives but do not prevent the process from achieving its overall purpose. While important weaknesses exist, their impact is not widespread.
Major Improvement Needed	Weaknesses are present that could potentially compromise achievement of its overall purpose. The impact of weaknesses on management of risks is widespread due to the number or nature of the weaknesses.

Classification of Audit Observations

Rating	Description of Factors	Reporting Level
Low	Observation poses relatively minor exposure to an agency under review. Represents a process improvement opportunity.	Agency Management; State Audit Committee (Not reported)
Moderate	Observation has moderate impact to the agency. Exposure may be significant to unit within an agency, but not to the agency as a whole. Compensating controls may exist but are not operating as designed. Requires near-term agency attention.	Agency Management and State Audit Committee
High	Observation has broad (state or agency wide) impact and possible or existing material exposure requiring immediate agency attention and remediation.	Agency Management and State Audit Committee