

Office of Internal Compliance

Audit Committee Meeting

January 31, 2019

8:30AM

Presented by:

Connie Brown, Executive Director – Internal Compliance

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Content

- OIC Update
 - Audit Plan – SY2019 Status Update
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 - Transportation - Certifications & Inspections Audit Review
 - Administrative Update
- - Council of the Great City Schools Discussion
 - Service Offerings
- Equity Audit

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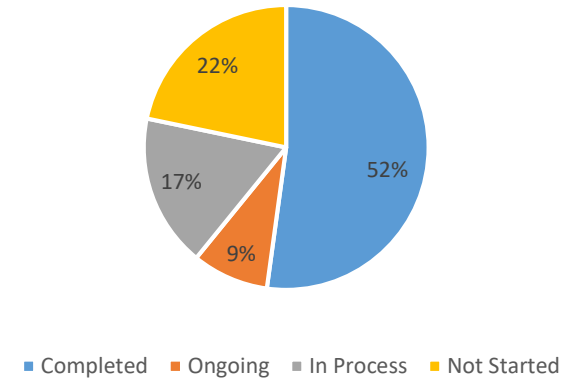


Audit Plan – Status Update

	Status Update 01/31/2019
Audit Priorities	
SY18 Carry Over Audits	
Transportation - Certification & Inspections	Completed
P-Card Audit	Completed
Employee/Vendor Background Check	In Process
IT General Controls Review	Completed
Miscellaneous Cash Activity Account Funds (MCAAF) Audits	
MCAAF Audits - New Principals	
Young MS	Completed
Tuskegee Airman Global Academy	Completed
Dunbar ES	Completed
Smith ES	Completed
Bunche MS	Completed
Brandon ES	Completed
Bolton ES	Completed
Cascade ES	Completed
Procurement Audit	In Process
Nutrition Vendor Management & Oversight Review	Not Started
Construction Audit	Not Started
Charter School Operations	In Process
Pay Parity Audit	Not Started
Special Projects	
Investigations	Ongoing
Mkinsight Implementation, Training & Set Up	Completed
Audit Follow Up	
2015 Information Technology Risk Items Follow Up**	
	Not Started
Review of Business Continuity Plan**	
	Not Started
Infinite Campus Access Controls**	
	In Process

**Audit to be performed by service provider.

SY2019 Audit Plan Update
1/31/19



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Transportation Certification Audit Overview

Audit Start Date: April 12, 2018

Report Issue Date: December 17, 2018

Objectives:

- Provide assurance that adequate controls to manage the Transportation Department's Certifications and Inspections are in place and operating effectively
- Determine if processes are managed in an efficient and effective manner

Tasks Performed to Achieve Objectives:

- Interviewed key personnel
- Reviewed and analyzed documentation (i.e. Work orders, inspection reports, inventory records, personnel training records, etc.)

Scope: July 01, 2017 through June 30, 2018

Results:

Eleven observations & related recommendations; Management accepted all recommendations and agreed to develop and implement corrective action plans.

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Transportation Certification Audit Overview

While Transportation policies related to the Certification and Inspection process exist, the lack of consistent execution of key controls has created issues that could have an adverse effect on the district and our students.

- Key controls were not in place to ensure all buses are inspected and repairs are completed.
- Improvement efforts are needed in several areas to ensure the enforcement of APS Board Policy, state rules, and federal regulations:
 - *EBC-R(2) Security – Fleet Safety Control Program*
 - **Georgia Department of Education (GaDOE) Rule 160-5-3-.03, School Bus Inspections**
 - *U. S. Department of Transportation, Federal Motor Carrier Safety Administration (FMCSA), 49 CFR Parts §396.17, §396.21(a)*

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Transportation Certification Audit Overview

- Observation #1: 6 of the 24 CDL drivers (25%) did not obtain physical examinations. It was also noted that the physical examination forms used to validate a physical was performed were not consistently reviewed to ensure qualification success.
 - *Fleet Focus will provide ample record keeping functionality. The vendor providing annual physical examination services is required to provide the district with the results of each employee's examination via email. These documents will be directly uploaded into the Fleet Focus employee information section.*
Implementation Date: April 2019
- Observation #2: 3 of 19 Bus Operators (18%) did not attend required training.
 - *Going forward, bus operator Annual Recertification course completions will be tracked via the district's MYPLC professional development platform. Each operator will be required to register for the training and attest to completing the training after course completion.*
Implementation Date: July 2019

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Transportation Certification Audit Overview

- Observation #3: Transportation was unable to provide evidence to support the completion of Dry Runs prior to the start of the school year.
 - *Going forward, bus operators will be required to sign a document attesting to the completion of annual dry-runs.*
Implementation Date: July 2019
- Observation #4: The MVR Review process is not designed effectively to review all APS CDL drivers' driving records.
 - *An email notification plan has been implemented for any employees with a CDL showing licensure issues. The Executive Director and Administrative Manager will be immediately notified and will immediately remove the bus operator from duty until the issue is resolved.*
Implementation Date: February 1, 2019

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Transportation Certification Audit Overview

- Observation #5: Pre-Trip and Post-Trip Inspections are not conducted consistently on a daily basis by the Bus Operators. 17 of 24 bus operators (71%) did not perform a Pre-Trip and/or Post-Trip Inspection on the date selected.
 - *Daily reports will be generated and reviewed by Transportation Supervisors and progressive disciplinary actions will be administrated to bus operators that fail to complete Pre and Post-Trip inspections.*
Implementation Date: Immediately
- Observation #6: Work Orders for bus repairs are not assigned a priority once they are created in the Dolphin Fleet Management System.
 - *Upon the successful board approval of Fleet Focus at the November 5, 2018 BOE meeting, the strategy for workflow will change significantly. The workflow will route work orders from the originator, to service control and then to a Master Fleet Technician. Work order productivity will be monitored by the Fleet Manager and Fleet Foreman. All bus operators will be able to submit work orders electronically via work stations located at all three compounds (Metropolitan, Lakewood and North Atlanta).*
Implementation Date: April 2019

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Transportation Certification Audit Overview

- Observation #7: A user's username and password were shared with a Master Fleet Technician and the Fleet Manager.
 - *Between now and the time Fleet Focus is operationalized (April 2019 projected) the current Fleet Maintenance software, Dolphin, will be used. Users no longer employed with APS have been removed. A refresh of all privileges and passwords will be completed by October 19, 2018.*
Implementation Date: April 2019
- Observation #8: 283 buses were inspected and 146 buses missed inspection.
 - *Transportation launched a new accountability model in August 2018.*
 - *Upon inspection, a team of APS Technicians will follow the buses to inspect, repair and service the red tags.*
Implementation Date: August 2018

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Transportation Certification Audit Overview

- Observation #9: In reviewing the Department of Public Safety School Bus Inspection Report for March 2018, 1 of 25 buses tested did not have an annual inspection. During the review, we noticed fifty-five (55) buses with no current annual decal. We reviewed the movement of five buses with no current annual decal and determined that the five buses were used to transport students. 51 of the 55 buses were not identified as out-of-service or surplus by Transportation during March 2018.
 - *In the future, the Transportation Department will communicate annual state inspection dates to school house administrators as soon as those dates are communicated to the district; anticipated inspection window March 2019.*
 - *Transportation will work with the Department of Public Safety to obtain annual decals after putting busses back into service, after repair and removal from the Out of Service list prior to transporting students.*
Implementation Date: *March 2019 (projected)*

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Transportation Certification Audit Overview

- Observation #10: Transportation management was unable to verify that 13 of 13 fleet employees tested had earned all of the required ASEs within six months of their hire date.
 - *Securing ASE certifications will be a part of each employee's Employee Performance Appraisal Tool goal setting for SY18-19.*
 - *ASE certification requirement will be removed from the Mechanic I job description as a requirement and updated as a preferred qualification.*
Implementation Date: June 30, 2019
- Observation #11: The Transportation Department does not have standard operating procedures developed around the Certifications and Inspections process.
 - *Standard Operating Procedures (SOP) for the following areas will be completed:*
 - *Annual Recertification of Bus Operators;*
 - *Annual physicals for CDL holders;*
 - *Motor vehicle record checks;*
 - *Bus inspections (annual DOT and 20-day DOE);*
 - *Annual Emissions testing; and*
 - *Fleet Focus work flow.***Implementation Date: June 2020**

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Administrative Update

OIC - Vacant Position

- Administrative Assistant II (effective 1/4/2019)

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Discussion: Council of the Great City Schools

Service Offerings

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Discussion: Equity Audits

Equity Audits

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