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**For Information**

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**REPORT TITLE:**     **Driver Certification Program Compliance Audit**

**FROM:**             Jennifer Weinman, Director, Internal Audit

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**OBJECTIVE**

To inform the Audit and Risk Committee of the results of the Driver Certification Program Audit.

**REPORT HIGHLIGHTS**

- The Ministry of Transportation Ontario has approved the Region of Peel as a Recognized Authority under the provincial Driver Certification Program. Under this authority, the Region provides training and testing to employees for the purpose of upgrading or renewing driver's licences.
  - The Audit was completed in accordance with the Ministry's requirements. There were no infractions observed during the audit testing.
  - The Region of Peel is in compliance with the Ministry's Driver Certification Program requirements.
  - An opportunity to strengthen controls and practices in the Region's Driver Certification Program was identified involving the need to standardize the maintenance of driver file documentation.
  - Management has implemented actions to address the risk identified.
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**DISCUSSION**

**1. Background**

Under the approved authority by the Ministry of Transportation Ontario, the Region's Public Works Operations Support Division provides Driver Certification Program (Program) training and testing to employees for the purpose of upgrading or renewing driver's licences.

Classes of licence certified include A, D, F and Z. During the audit period, from June 2019 to May 2022, the Manager, Fleet, Facilities and Supply Management served as the Recognized Authority Official for the Region and is directly responsible for effectively delivering the Program. Further, the Region had six approved Signing Authorities who perform training and testing of over 600 licence activities. Approximately 85 per cent of all activities were licence renewals and 15 per cent were licence upgrades.

In 2014, the Ministry implemented a process to ensure that all Recognized Authorities are in compliance with the Ministry requirements by delegating the authority to conduct audits on their behalf. The Region of Peel's Internal Audit Division has qualified internal auditors who fully meet the criteria to conduct Driver Certification Program audits on behalf of the Ministry.

## **Driver Certification Program Compliance Audit**

The last Driver Certification Program audit was reported to the Audit and Risk Committee on September 19, 2019. There was no infraction resulting from that audit. The next audit is scheduled for March 2025.

### **2. Audit Objectives and Scope**

The objective of this audit was to determine if the Region of Peel complied with the requirements of the Driver Certification Program set out by the Ministry of Transportation Ontario.

The procedures of this Compliance Audit were specified by the Ministry and incorporated into the defined audit program and reporting requirements provided by the Ministry.

Specifically, the audit focused on assessing the Region's compliance to various Ministry requirements including:

- General record-keeping practices and driver file requirements, requirements for facilities/teaching aids, vehicles used for training and testing, and training curriculum and testing;
- Requirements for the staff holding the Recognized Authority Official and Signing Authority roles; and
- Vehicle Safety Inspection requirements.

The scope of the audit included a review of records and transactions from June 2019 to May 2022.

This audit was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*.

### **3. Audit Observations and Management Response**

The Driver Certification Program Audit was conducted in accordance with the Ministry of Transportation Ontario's requirements. There were no infractions noted for the audit. The audit results were uploaded to the Ministry's database before the due date of July 1, 2022.

As part of the work to assess if the Region is in compliance with the Ministry's Driver Certification Program requirements, an opportunity to strengthen controls and enhance the maturity of the Driver Certification Program process was identified.

#### **Documentation and Record-Keeping Practices**

Supporting documentation for driver certification should be kept on file and updated in a consistent and standardized manner when licensing activity occurs. The following are areas for improvement:

- a) Update practices to ensure consistency in the Training Logs to ensure there are not incomplete, missing, or inconsistent Training Logs and to ensure the training logs have all the necessary fields for required information.
- b) Update practices to ensure written examination papers clearly note the driver's identity and date of testing and they are checked for errors.

## Driver Certification Program Compliance Audit

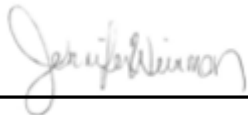
There is a medium risk that inconsistency in documentation and errors in examination marking increase Region's risk of non-compliance with Driver Certification Program.

Management has addressed the risk identified and this has been verified by Internal Audit. Management has implemented a number of changes to help standardize and streamline the maintenance of driver files, including modifying and requiring consistent use of the new Training Log, ensuring that all transactions are accurately recorded, and re-verifying testing scores prior to completing the testing process.

## CONCLUSION

Based on the results of the audit, the Region of Peel, as the Recognized Authority, is in compliance with the Ministry of Transportation's Driver Certification Program requirements and the Program is delivered effectively.

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