

Warwick

WARWICK VALLEY CENTRAL SCHOOL DISTRICT

Timothy J. Holmes
Assistant Superintendent for Business
P.O. Box 595
225 West Street Extension
Warwick, NY 10990-0595
PH: 845-987-3000 x10521
FX: 845-987-8114
tholmes@wvcsd.org

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New York State Education Department
Office of Audit Services
89 Washington Avenue, Room 524 EB
Albany, New York 12234

To Whom It May Concern:

Re: 2019-2020 Independent Internal Audit – Corrective Action Plan

I have attached the Management Letter from the Internal Auditors for the Warwick Valley Central School District – Cooper Arias, LLP. The following is the District's Corrective Action Plan to their findings:

PROCEDURES AND FINDINGS

Procedure 1

We interviewed the Assistant Superintendent for Business, the Treasurer and the Transportation Director to understand the internal controls and District policies and procedures relating to the compliance of the bus drivers.

Background

The District hires their own employees for the bus driver positions. The Transportation Department must follow stringent rules and regulations when hiring and retaining bus drivers. The Department must follow the rules and regulations from the New York State and the Federal Department of Education, New York Department of Transportation and New York State Department of Motor Vehicles (DMV). The Department is required to maintain documentation on each of the requirements and employee files for each bus driver.

The District uses a computer software program that tracks the bus routes and helps track the bus drivers' data. The program is used to keep track of all required training, required medical examinations and any other requirements. The program gives reminders of when the bus drivers need new medical examinations, training, etc. The Department maintains a personnel folder with the required documents at the Transportation Department office.

Procedure 2

We selected 20 employees to verify there was documentation of the drivers' qualifications. We then located each of the following required documentation in the employee's file:

1. Article 19-A Bus Driver Application
2. Medical Examination Report of Driver under Article 19-A
3. Carrier's Annual Review of Employee's Driving Record under Article 19-A
4. Report on Annual Defensive Driving Performance under Article 19-A
5. Article 19-A Biennial Behind the Wheel Road Test
6. Article 19-A Oral/Written Examination Results
7. Report of Article 19-A Record Review
8. Valid New York State Driver's license designating "S" for a passenger bus license or equivalent state license.
9. A Final Qualification Notice from NYS Department of Motor Vehicles
10. Abstract of Driving Record from NY and the state of the issued driver's license.
11. Medical Examination Report Form
12. Certificate of School Bus Driver Training
13. SED School Bus Driver Physical Performance
14. Bus Driver Character Reference

Findings

We noted the original Abstract of Driving Record, which should be collected at the date of hire, was missing for all employees. We also noted the following exceptions:

| Employee | Annual Carrier's Review of Employees' Driving Record | Report on Annual Defensive Driving Performance under Article 19-A | Article 19-A Biennial Behind the Wheel Road Test | Annual abstract of Driving Record | Certificate of School Bus Driver Training | SEO School Bus Driver Physical Performance |
|----------|--|---|--|--|---|--|
| A | Missing Employee Signature | | Unavailable | New York Available New Jersey Unavailable | | |
| B | | | Unavailable | | | |
| C | | | | | Unavailable | |
| D | | | | | Unavailable | |
| E | | | | | Unavailable | |
| | | Unavailable | Unavailable | | | |

| | | | | | | |
|-------------------------|----------|----------|----------|----------|----------|-------------|
| F | | | | | | |
| G | | | | | | Unavailable |
| H | | | | | | Unavailable |
| Total Exceptions | 1 | 1 | 3 | 1 | 3 | 2 |

Response:

The District agrees with the audit recommendations. The District issued a memo to the Transportation Supervisor and explained that it was critically important that all driver files are current and up to date with the required documentation of driver qualifications. Additionally, we requested that staff review driver files and make sure the 14 required documents are in each.

Procedure 3

We verified the District Transportation Department was in compliance and had the following reports:

| Report | Compliance |
|---|--|
| Carrier's Driver Refresher Course Training Sign-in Sheets | The drivers are required to have the main training course within one year from the date of service. |
| Random Drug Test and Results | The District uses an outside vendor to perform the DOT Physicals and Drug and Alcohol Testing services. The vendor provides reporting to the Director of Transportation. |
| School Bus Safety Drill Compliance forms | The District bus drivers must inspect the bus before and after the morning and afternoon runs. The form must be submitted to the Head Mechanic each day. If there are any problems, it is noted on the form and must be fixed before the next run. The Head Mechanic keeps these forms for each bus on file in the Bus Garage. |
| NYS Bus Inspection System Operator Profile | The Head Mechanic maintains records of all the inspections for the profile. |
| DOT Passenger and Freight Safety Division Bus Safety Inspection Program | The Head Mechanic maintains records for all the DOT inspections |
| Article 19-A Annual Affidavit of Compliance | The Director provided the copy of the Article 19-A Annual Affidavit of Compliance. |

Findings

No exceptions noted as a result of these procedures.

Response:

No response required.

Sincerely,



Timothy Holmes