



Audit, Risk and Compliance: Driver Certification Program - Specified Procedures Inspection Report

Date: September 19, 2019

To: TTC Audit and Risk Management Committee

From: Head of Audit, Risk and Compliance

Summary

The Driver Certification Program (DCP) is a voluntary program administered by the Ontario Ministry of Transportation's (MTO) Driver Programs Office. Under the DCP, the MTO grants certain organizations the authority to train and test drivers for upgrading or renewing classes of licenses and endorsements. All training programs under the DCP must include a curriculum that meets or exceeds the MTO's standards; and each license class requires a separate curriculum.

The TTC is a designated Recognized Authority (RA) having successfully completed the application process to participate in the DCP. Each RA must appoint a senior level employee as the Recognized Authority Official (RAO) directly responsible for effectively delivering the DCP. The designated RAO at the TTC is the Head of the Operations Training Centre.

As of 2014, the MTO implemented a process to ensure all RAs are in compliance with the DCP requirements by delegating the authority to conduct audits on their behalf. The MTO's list of acceptable auditors includes internal auditors with credentials and a separate reporting structure. The TTC's Audit, Risk and Compliance (ARC) Department meets these requirements.

ARC completed the latest DCP Specified Procedures Inspection Report on June 11, 2019, covering the period of April 1, 2016 to March 31, 2019. No major or minor program infractions/exceptions to the compliance requirements tested were noted (i.e. the procedures identified "NIL" exceptions).

Recommendations

It is recommended that the TTC Audit and Risk Management Committee:

1. Receive this report for information.

Financial Summary

There are no financial implications to this report.

The CFO has reviewed this report and agrees with the financial summary information.

Equity/Accessibility Matters

There are no accessibility or equity impacts associated with this report.

Decision History

The MTO notified the TTC on February 1, 2019 that a Specified Procedures Inspection Report was due July 1, 2019. Failure to comply would result in applied sanctions. As such, the Operations Training Centre requested ARC to perform an independent inspection of their delivery and maintenance of the program as required by the MTO for continued participation in the DCP.

The last DCP Specified Procedures Inspection Report covered the period of July 1, 2014 to March 31, 2016. It was completed by ARC and submitted to the MTO on June 14, 2016. The procedures identified no major or minor program infractions/exceptions to the compliance requirements tested.

[http://www.ttc.ca/About the TTC/Commission reports and information/Committee meetings/Audit Risk Management/2016/July20/Reports/2. Internal Audit Activities Q2 2016.pdf](http://www.ttc.ca/About%20the%20TTC/Commission%20reports%20and%20information/Committee%20meetings/Audit%20Risk%20Management/2016/July20/Reports/2.%20Internal%20Audit%20Activities%20Q2%202016.pdf)

Comments

Consistent with past requirements, ARC verified the TTC's level of compliance to program requirements by completing procedures prescribed by MTO for the following aspects of the DCP:

- The Recognized Authority general requirements including stock, driver, facilities, teaching aids and vehicles used for testing;
- The Recognized Authority Official;
- The Signing Authority; and
- Vehicle Safety Inspection.

Samples tested for each specified procedure were calculated in accordance with the MTO's stated methodology as required to cover the population of 727 license renewals and 2,263 license upgrades during the period under review.

No major or minor program infractions/exceptions to the compliance requirements tested were noted (i.e. the procedures identified "NIL" exceptions). The results were electronically submitted as required to the MTO on June 11, 2019.

In addition, ARC identified opportunities to improve the planning, monitoring and delivery of the DCP by TTC Management. Recommendations put forth to the RAO related to:

- Developing a data protection solution that will enhance the storage backup and data recovery of DCP files; and
- Implementing a digital storage for the driver files.

The recommendations were accepted by the RAO and implementation is in progress.

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Signature

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