



H. Tina Kim  
DEPUTY COMPTROLLER

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OFFICE OF THE COMPTROLLER  
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BUREAU OF AUDIT

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June 25, 2012

The Honorable Dora B. Schriro, Commissioner  
New York City Department of Correction  
75-20 Astoria Boulevard, Suite 305  
East Elmhurst, New York 11370

The Honorable Rose Gill Hearn, Commissioner  
New York City Department of Investigation  
80 Maiden Lane  
New York, New York 10038

The Honorable Vincent N. Schiraldi, Commissioner  
New York City Department of Probation  
33 Beaver Street, 23<sup>rd</sup> Floor  
New York, New York 10004

The Honorable Salvatore J. Cassano, Commissioner  
New York City Fire Department  
9 MetroTech Center  
Brooklyn, NY 11201

The Honorable Joseph F. Bruno, Commissioner  
New York City Office of Emergency Management  
165 Cadman Plaza East  
Brooklyn, NY 11201

The Honorable Raymond W. Kelly, Commissioner  
New York City Police Department  
1 Police Plaza  
New York, NY 10038

Re: **Letter Report on the Public Safety Agencies' Monitoring of Their Employees Who Drive City-Owned or Personally-Owned Vehicles on City Business (Audit Number 7R12-091AL)**

We are sending you this Letter Report regarding the audit of the Public Safety agencies' monitoring of their employees who drive City-owned or personally-owned vehicles on City

business. The Public Safety agencies include the:

Department of Correction  
Department of Investigation  
Department of Probation  
FIRE Department  
Office of Emergency Management  
Police Department

The objective of this audit is to determine whether the Public Safety agencies are effectively monitoring their employees who drive City-owned or personally-owned vehicles on City business. We found that the six Public Safety agencies effectively monitor the driving behavior of their authorized drivers. This opinion and report does not include our review of your agencies' controls regarding your drivers' vehicle usage, which is still ongoing. We anticipate issuing separate reports on these aspects of our engagement. The details of our opinion and this audit follow.

## **Background**

As you are aware, New York City requires that only those employees who exercise reasonable care in operating City- or personally-owned vehicles be allowed to use them to conduct City business. This requirement is outlined in the City of New York's "City Vehicle Driver Handbook" (Regulations). All agency heads through the Agency Transportation Coordinator (ATC) must ensure that all employees assigned a City-owned vehicle either for full-time use or temporary use are authorized to drive. It is also the ATC's responsibility to ensure that these drivers have valid licenses and insurance (if they are driving their personal vehicles). The driver's license should be a New York State License unless the employee is exempt from City residency requirements. If this is the case, then the authorized driver must have a valid license from the state where he/she resides and must have the appropriate classification for the vehicle which he/she is driving on City business. The Regulations further specify that City agencies must establish programs that promote safety along with proper training in the use of motor vehicles.

In following these criteria, City agencies use the New York State Department of Motor Vehicles (DMV) License Event Notification System (LENS). The ATC is responsible for notifying the DMV of all agency-authorized drivers. This enables the DMV's LENS program to notify the ATC of any event that affects the driver's license. This includes: if a license is expiring; points accrued; accidents; driving while impaired; or driving while under the influence. This enables the ATC to ensure that only employees with valid licenses are driving on City business. The City's policy recommends that agencies participate in LENS to monitor the driving behavior of their employees.

## **Conclusion**

We found that all six Public Safety agencies effectively monitor the driving behavior of their authorized drivers. They subscribe to the DMV's LENS program and receive their updates and revoke the privileges of those drivers who have a suspended or revoked license in a timely manner as prescribed by regulations. They also verify that their employees who drive their personal vehicles for City business have insurance. In addition, all six of the Public Safety agencies provided their employees with a required safety awareness program.

## Scope and Methodology

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. This audit was conducted in accordance with the audit responsibilities of the City Comptroller as set forth in Chapter 5, §93 of the New York City Charter.

The scope period of this audit was from January 1, 2010, through March 30, 2012. Our audit reviewed all 52,623 drivers in our scope period for the six City agencies categorized as “Public Safety” in the Fiscal Year 2011 Mayor’s Management Report.

To meet our objectives, we obtained and reviewed the City of New York “City Vehicle Driver Handbook” issued February 2009 and the subsequent addendum. To determine whether the Public Safety agencies monitor their drivers in accordance with the City’s Regulations, we obtained and reviewed the following: 1) list of all employees for each agency who were authorized to drive on City business during our scope period, which included whether a license was necessary to maintain employment; 2) copy of the agency’s annual LENS Report, which lists all the individuals that the agency has authorized to drive on behalf of City business; 3) copy of the monthly LENS reports for October 2011 through December 2011; 4) copies of the weekly LENS reports through March 30, 2012; 5) documentation that the agency periodically checks the driver’s license and insurance coverage of all employees who use a personally-owned vehicle; 6) documentation regarding disciplinary action (if necessary) for DMV notifications of change in driver’s license status; and 7) copy of policies and procedures concerning driving a City- or personally-owned vehicle on City business. We used the LENS reports and agency documentation to determine if the agencies were appropriately notifying DMV of drivers who were authorized to drive for City business as well as to determine if agencies were monitoring those drivers’ DMV records.

To assess the reliability of the database of authorized drivers received from each agency, we matched the number of drivers on each agency’s list with the number of drivers on each agency’s LENS report listing.

To determine whether Public Safety agencies offered driver’s safety programs according to the Regulations, we requested and reviewed documentation regarding their safety programs. We also accessed the DMV-Dial-In Inquiry to determine the driving status of those employees who resided outside of New York State. We also performed DMV searches for the driving records of those employees.

Based on our positive conclusion, we have no recommendations and do not see the need for a formal exit conference. On June 6, 2012, we submitted a draft letter providing you with an opportunity to formally respond. The Public Safety agencies’ responses were received by June 21, 2012. All six of the Public Safety agencies agreed with the report.

The full texts for the four formal Public Safety agency responses we received are included as addenda to this report.

Sincerely yours,

A handwritten signature in blue ink, appearing to be 'TK' or similar initials, written in a cursive style.

Tina Kim

- c. Lewis Finkelman, Deputy Commissioner, Department of Correction
- Alberta Ancrum, Assistant Commissioner, Department of Investigation
- Charles Harris, Director of Audits, Department of Probation
- Domenick F. Loccisano, Executive Director, Fire Department
- Stacy Rosenfeld, Assistant Commissioner, Office of Emergency Management
- John K. Donohue, Deputy Chief, Analysis and Planning, Police Department
- Elizabeth Weinstein, Director, Mayor's Office of Operations
- George Davis III, Deputy Director, Mayor's Office of Operations



**ADDENDUM I**

**NEW YORK CITY DEPARTMENT OF CORRECTION**  
**Dora B. Schriro, Commissioner**

**Office of the Commissioner**  
75-20 Astoria Boulevard, Suite 305  
East Elmhurst, N.Y. 11370  
Tel: 718•546•0890  
Fax: 718•278•6022

June 11, 2012

H. Tina Kim, Deputy Comptroller  
City of New York Office of the Comptroller  
Bureau of Audit  
Municipal Building  
One Centre Street, Room 1100  
New York, N.Y. 10007-2341

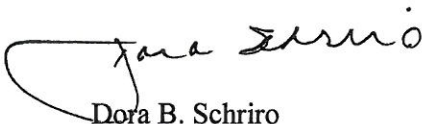
Dear Deputy Comptroller Kim:

This letter constitutes the response of the New York City Department of Correction (DOC) to the Draft Letter Audit Report on the Public Safety Agencies' Monitoring of Their Employees Who Drive City-Owned or Personally-Owned Vehicles on City Business (Audit Number 7R12-091A).

The Department is committed to every facet of public safety. I was pleased to receive your report and agree with the audit's positive conclusion that DOC is effectively monitoring the driving behavior of its authorized drivers by: (1) subscribing to the DMV's LENS program and receiving program updates; (2) revoking the privileges of those drivers who have a suspended or revoked license in a timely manner; (3) verifying that employees who drive their personal vehicles for City business have insurance coverage; and (4) providing employees with the requisite safety awareness program. I assure you that DOC will continue its efforts to effectively monitor the driving behavior of all of its authorized drivers and maintain the high level of performance acknowledged in the draft audit.

If you require any additional information with respect to this audit, please contact Joel Lampert, Agency Audit Liaison, at (718) 546-0646.

Sincerely,



Dora B. Schriro

C: Elizabeth Weinstein, Director, Mayor's Office of Operations  
George Davis III, Deputy Director, Mayor's Office of Operations



The City of New York  
Department of Investigation

ROSE GILL HEARN  
COMMISSIONER

80 MAIDEN LANE  
NEW YORK, NY 10038  
212-825-5900

June 19, 2012

By Hand

Tina Kim  
Deputy Comptroller for Audit  
Office of the Comptroller  
City of New York  
1 Centre Street  
New York, New York 10001

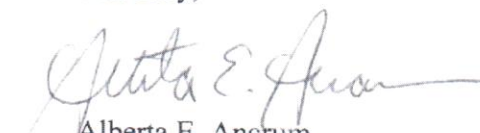
**Re: Audit on the Public Safety and Legal Affairs Agencies: How They Monitor Employees Using City or Personally Owned Vehicles to Conduct City Business, Audit # 7R 12-091A**

Dear Ms. Kim:

The Department of Investigation ("DOI") is in receipt of your Draft Letter Report regarding the audit of Public Safety agencies' monitoring of their employees who drive City vehicles and private vehicles for City business. We appreciate your recognition of the serious attention DOI has given to this matter as part of your finding that all of the public safety agencies audited, including DOI, effectively monitor the driving behavior of their authorized drivers. Indeed, DOI's efforts have in the past extended beyond its own staff and, as part of a City-wide safety review undertaken during Mayor Bloomberg's first term, DOI engaged in an initiative to get every relevant City agency enrolled in the LENS program.

Thank you very much for your consideration.

Sincerely,

  
Alberta E. Ancrum  
Assistant Commissioner

c. Ernestine M. Rivers-Merritt, Audit Manager



FIRE DEPARTMENT

9 METROTECH CENTER

BROOKLYN, N.Y. 11201-3857

SALVATORE J. CASSANO  
Fire Commissioner

Suite 8W-6

June 8, 2012

H. Tina Kim  
Deputy Comptroller  
Bureau of Audit  
The City of New York Office of the Comptroller  
1 Centre Street  
New York, NY 10007-2341

**Re: Draft Letter Audit Report on the Public Safety Agencies' Monitoring of Their Employees Who Drive City-Owned or Personally-Owned Vehicles on City Business (Audit Number 7R12-091A)**

Dear Deputy Comptroller Kim:

I write in response to the "Draft Letter Audit Report on the Public Safety Agencies' Monitoring of Their Employees Who Drive City-Owned or Personally-Owned Vehicles on City Business", dated June 6, 2012.

The above audit revealed no recommendations and found that the Fire Department effectively monitors the driving behavior of its authorized drivers. Please thank your staff for the time and diligence that they put into this audit.

If you have any questions, please contact Domenick Loccisano, Executive Director of Internal Audit and Control, at (718) 999-5180.

Sincerely,


Salvatore J. Cassano  
Fire Commissioner

cc: Edward Kilduff, Chief of Department  
Robert Sweeney, Chief of Fire Operations  
Abdo Nahmod, Chief of EMS Operations  
Michael Vecchi, Associate Commissioner of Management Initiatives  
Stephen Rush, Assistant Commissioner of Budget & Finance  
Donay Queenan, Assistant Commissioner of Human Resources  
Elizabeth Weinstein, Director, Mayor's office of Operations  
George Davis III, Deputy Director, Mayor's Office of Operations

**New York City Office of Emergency Management**

165 Cadman Plaza East  
Brooklyn, New York, 11201

To: Tina Kim  
Deputy Comptroller, Bureau of Audit  
NYC Comptroller's Office

From: Stacy Rosenfeld   
Assistant Commissioner  
NYC OEM

Subject: Driver's Audit (7R12-091A)  
Part #1 – Driving Behavior

The Office of Emergency Management received your draft audit report on "Public Safety Agencies' Monitoring of Their Employees Who Drive City-Owned or Personally-Owned Vehicles on City Business" dated June 6<sup>th</sup>, 2012. The draft report revealed no recommendations and found that OEM effectively monitors the driving behavior of its authorized drivers.

Thank you.