

MANAGEMENT AUDIT REPORT
OF
FIRE CERTIFICATIONS AND LICENSES
ALBUQUERQUE FIRE DEPARTMENT

REPORT NO. 10-106



City of Albuquerque
Office of Internal Audit

Fire Certifications and Licenses
Albuquerque Fire Department
Report No. 10-106
Executive Summary

The Office of Internal Audit (OIA) conducted a management audit of Albuquerque Fire Department (AFD) Certifications and Licenses. The audit was included in the fiscal year (FY) 2011 audit plan.

The mission of AFD is to save lives, and protect property and the environment, while continuing to emphasize fire fighter safety and survival. Serving in dual roles as both fire fighters and emergency medical technicians, the men and women of the AFD Fire & Rescue Emergency Services Division (FRES) are responsible for providing fire suppression and emergency medical services. There are regulatory requirements AFD FRES personnel must meet in order to acquire and maintain the licenses and certifications necessary to accomplish their mission.

Is AFD meeting the documentation guidelines of licenses and certifications?

A sample of 23 out of 675 fire department training files were reviewed to determine if they contained the supporting documentation for the required licenses and certifications.

- The files sampled did not contain all of the certification documentation.
- All the files sampled contained the required licensure documentation.
- AFD does not maintain a master listing of certifications for uniformed employees.
- The files sampled indicated that the uniformed employees required to attend driver refresher training had not done so.

There were additional items found as a result of the testing performed for this objective.

- An AFD employee who serves as a trainer for an organization outside of the City did not receive the required written approval from the AFD Chief or the Chief Administrative Officer.
- An AFD employee was granted educational leave to attend courses that were not a requirement of his job.
- Trainers who participate in employment activities outside the City did not have current or properly approved Outside Employment forms.

Are AFD training records secure, both those tracked in the Fire Record Management System (RMS) and those maintained as hard copies?

Training records tracked in Fire RMS and maintained as hard copies are secure.

There were additional items found as a result of the testing performed for this objective.

- An AFD trainer did not follow City cash handling, accounts receivable and accounting policies for the sale of CPR cards.
- AFD does not have a RMS or Incident Qualification Systems user password policy.

Has AFD implemented recommendations made by the New Mexico Department of Health Emergency Medical Systems EMS Bureau in an audit conducted in 2005?

AFD has fully implemented seven, partially implemented three, and has not implemented one of the recommendations.

Recommendations and management responses are included in the audit report.



City of Albuquerque
Office of Internal Audit
P.O. BOX 1293 ALBUQUERQUE, NEW MEXICO 87103

September 2, 2011

Accountability in Government Oversight Committee
City of Albuquerque
Albuquerque, New Mexico

Audit: Management Audit
Fire Certifications & Licenses
Albuquerque Fire Department
10-106

FINAL

INTRODUCTION

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The mission of AFD is to save lives, and protect property and the environment, while continuing to emphasize fire fighter safety and survival. Serving in dual roles as both fire fighters and emergency medical technicians, the men and women of the AFD Fire & Rescue Emergency Services Division (FRES) are responsible for providing fire suppression and emergency medical services. There are regulatory requirements AFD FRES personnel must meet in order to acquire and maintain the licenses and certifications necessary to accomplish their mission.

AFD FRES has 675 firefighters who serve in these dual roles of which 488 are emergency medical technicians (EMT) and 187 are paramedics licensed under New Mexico Administrative Code (NMAC) 7.27.2 Licensing of Emergency Medical Services (EMS). Individuals wanting to become fire fighters for AFD must possess a current, valid, and permanent State of New Mexico EMT license at the basic level or higher as a minimum requirement to be considered for the cadet program.

EMT and paramedic licenses are renewed every two years. The renewal training consists of continuing education (CE) and refresher training. CE is taught in-house, and refresher training is conducted through the University of New Mexico (UNM) Department of Emergency Medicine EMS Academy.

The firefighters who want to specialize in various fire suppression disciplines such as Wild Land and Hazardous Materials must be certified. These specialized certifications require an initial examination and periodic refresher training. Some certifications, such as firefighter I and II must be achieved while the individual is enrolled in the AFD cadet program. These require an examination, but do not require additional refresher training.

AFD has revised a Fire Chief's Directive known as the Promotional Eligibility Requirements. Beginning in FY 2012, AFD uniformed personnel interested in being considered for promotion to higher levels of rank, such as driver, lieutenant, captain, and commander will have to achieve various certifications as well as a certain number of college course hours. The requirements for each position will increase every two years until FY 2020 when the requirements will be at the maximum level. Some positions, such as captain and commander, will require an associates or bachelor degree.

AUDIT OBJECTIVES

The objectives of the audit were to determine:

- Is AFD meeting the agency and department documentation guidelines of licenses and certifications?
- Are AFD training records secure, both those tracked in the Fire record management system (RMS) and those maintained as hard copies?
- Has AFD implemented recommendations made in the 2005 audit conducted by the EMS Bureau?

SCOPE

Our audit did not include an examination of all functions and activities related to AFD Certifications and Licenses. Our scope primarily focused on the maintaining, tracking, and securing of certification and licensure documentation during FY 2010 and 2011.

This report and its conclusions are based on information taken from a sample of transactions and do not intend to represent an examination of all related transactions and activities. The audit report is based on our examination of activities through the completion of fieldwork, May 11, 2011 and does not reflect events or accounting entries after that date.

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.

METHODOLOGY

OIA interviewed AFD personnel, Department of Finance and Administrative Services (DFAS) - Information Technology Services Division personnel, EMS Bureau personnel, and UNM EMS Academy personnel. Documents and processes reviewed include the following:

- NMAC 7.27.2. Licensing of EMS Personnel
- National Fire Protection Association Standards
- Fire Record Management System (RMS) Administrator's and User's Guide
- EMS Bureau Audit Report issued on April 13, 2005
- EMS Bureau Continuing Education Guidelines, revised January 2010
- Albuquerque Area Fire Fighters Collective Bargaining Agreement for the period July 1, 2008 through June 30, 2011
- AFD Standard Operating Guidelines
- City of Albuquerque (City) Personnel Rules and Regulations
- OSHA Regulations
- International Code Council certification renewal requirements
- IT Governance Institute's Control Objectives for Information and related Technology (CobIT) audit guidelines
- Government Finance Officers Association (GFOA) Best Practices
- Administrative Instruction (AI) 2-8: Handling Deposit of Public Monies
- The City Cash Management Policies & Procedures Manual (Cash Handling Manual)
- AI 2-2: Credit, Collection and A/R Policy

FINDINGS

The following findings concern areas that we believe could be improved by the implementation of the related recommendations.

1. AFD SHOULD IMPLEMENT A MASTER CERTIFICATION LISTING AND DRIVER REFRESHER TRAINING.

The AFD -Training Division (Training) maintains files containing licenses and certification training documentation for 675 uniformed employees. OIA tested a statistical sample of 23 employees to verify if AFD is meeting licensure and certification guidelines.

A. Missing Certification Documentation

OIA determined that 17 of 23 files (74%) were missing one or more certifications. In total 53 certifications were not found. All of the files tested contained supporting documentation for licensures.

AFD does not maintain a master listing of certifications by uniformed employee. Instead, they rely on the contents of each individual file to determine which certifications each employee holds. AFD Standard Operating Guideline (SOG) 9-1-03 states that certifications will be kept on file at the AFD Training Academy.

If certifications are not tracked, it will be difficult to determine which certifications are held by individuals and if they are current on their training.

B. Driver Training

OIA also determined that 13 of 23 uniformed employees (57%) have not attended driver refresher training. The remaining 10 uniformed employees tested (43%) are in jobs that do not require driver refresher training.

Currently, AFD does not offer regular driver refresher training. National Fire Protection Association Standard 1451 Fire Service Vehicle Operations Training Program requires driver training to be provided for all members as often as necessary, but not less than twice each year. SOG 6-1-03 requires all firefighters eligible to upgrade to the rank of driver, promoted drivers, quality improvement officers, and field commanders to attend a driver refresher class annually.

If AFD drivers do not regularly receive training, they may pose a hazard to themselves, other AFD members, or the public.

RECOMMENDATION

AFD should create a master certification listing to ensure that all uniformed employees holding certifications are current on their training. AFD should provide driver refresher training at least twice a year in order to meet professional standards.

RESPONSE FROM AFD

“A master certification listing that includes all uniform employees can be created and maintained.”

“The department agrees that driver refresher training would improve performance. The department has over 300 personnel that would require driver refresher training. NFPA 1451 requires hands-on training at least twice a year for personnel with driving responsibilities. The Training Division will be tasked with developing a training regimen that meets the requirements.”

ESTIMATED COMPLETION DATE

“The master certification listing that includes all uniform employees will be completed by the end of FY12. A driver refresher training program can be implemented to FY12.”

2. AFD SHOULD FOLLOW PERSONNEL RULES AND REGULATIONS IN RELATION TO TRAINERS, EDUCATIONAL LEAVE, AND OUTSIDE EMPLOYMENT.

AFD-Training has 19 trainers. OIA tested all 19 trainers to determine if:

- Trainers submitted current Request for Permission to Engage in Employment Outside the City of Albuquerque (Outside Employment) forms.
- Trainers had time coded as Work Off Site (WOS) in the TeleStaff scheduling system.
- WOS time was job related, or for outside employment.

OIA identified the following:

A. Approval to Serve as a Trainer

An AFD employee, who serves as a trainer for an organization outside of the City, did not receive written approval from the AFD Chief or the Chief Administrative Officer (CAO). AFD was not aware of this requirement.

City Personnel Rules and Regulations *Section 310.4 Expert Witnesses/Trainers* requires that employees who are requested to serve as a trainer must receive the written approval of the department director or the CAO.

If trainers do not get the required written approval, a conflict might result between the employees' official duties and the organization for which they provide training. The conflict may result in defamation, embarrassment, or discredit to the City.

B. Educational Leave

While reviewing the trainers' time coded to WOS, OIA identified an AFD employee that was granted educational leave of six hours a week to attend courses that were not requirements of the individual's job. These hours were coded as three hours WOS and three hours Other Paid Absence. The educational leave occurred during the period September 2009 through April 2010. AFD could not provide relevant documentation approving the leave. Management stated that a former AFD Deputy Chief, approved the leave and they are not sure why the educational leave was granted.

City Personnel Rules and Regulations *Section 502.2 Conditions of Educational Leave* states:

- (B) If the department director determines that a course or seminar is a requirement for the employee's current position, the employee will receive leave with pay to attend and such time will be recorded as Work Off Site.
- (C) If an employee is enrolled in a course approved by the Training and Education Committee and meets the criteria established in 502.2 (A), the department director, may grant educational leave not to exceed three (3) hours per week.

This was an inappropriate use of paid leave, and did not benefit the City.

C. Outside Employment Forms

While reviewing the personnel files of the 19 AFD trainers, OIA identified:

- Five of 19 trainers (26%) who participate in employment activities outside the City did not have a current Outside Employment form.
- One of 19 trainers (5%) had a current Outside Employment form, but it was not signed by the CAO.
- Thirteen of 19 trainers (69%) did not participate in employment activities outside the City.

AFD stated that it has not been ensuring its employees are turning in the Outside Employment form. City Personnel Rules and Regulations *Section 310.2 Approval of Outside Employment* requires employees to submit requests prior to engaging in outside employment, and to renew the requests in January each year.

If Outside Employment forms are not submitted and properly approved, the City has no assurance that a conflict will not result between the employees' official City duties and their outside employment.

RECOMMENDATION

AFD should ensure that:

- Employees who serve as trainers outside of the City receive written approval from the AFD Chief or the CAO.
- It follows City Personnel Rules and Regulations when granting educational leave to employees.
- Employees who participate in outside employment submit the required form.
- Outside Employment forms are approved by the CAO.

AFD should change the educational leave taken by the employee to either his vacation or compensatory time.

RESPONSE FROM AFD

“As defined in City Personnel Rules and Regulations Section 310.4 and within the scope of the Audit, the only trainers our department has would be those employees

that hold a teaching position as a form of outside employment. The department will ensure that employees that serve as trainers outside of the City receive written approval from the Fire Chief. The department will also ensure employees that participate in outside employment turn in the Outside Employment form. These improvements can be implemented in the fall of 2011 so that the required documentation is submitted as required in January 2012.

“Section 18.3 of the Agreement between the City of Albuquerque and the Albuquerque Area Fire Fighters Union, IAFF Local 244, City Chapter, states “Bargaining unit members may be granted leave to attend courses at the high school, vocational school, or college level. Requests for leave will be judged on the basis of job performance and the department workload”. This is in conflict with Section 502.2 of the City Personnel Rules and Regulations that states a course or seminar has to be a “requirement for the employee’s current position”. In following the language in the Agreement, the department believes it followed policy correctly.

“As for the number of hours granted for educational leave, the department did err in granting both WOS and OPA for attendance. The department will adhere to the Section 502.2 that limits educational leave to 3 hours per week.

“The department disagrees with the finding that the time granted for educational leave did not benefit the City. The education and training received by the department member while on leave did benefit our firefighters. Training based on the education received was provided to all department members as a portion of a continuing education compliment required to maintain EMS licensure. All courses being considered for continuing education are approved and assigned a CE number by the EMS Bureau. The Bureau found benefit in the educational material, as did the department. Finally, given that the employee was granted the educational leave by a ranking supervisor, the department does not intend to change the educational leave granted to either vacation or compensatory time.”

ESTIMATED COMPLETION DATE

“A submission of outside employment forms are completed in January of each year but is a continuous process as employees engage in outside employment throughout the year.”

AUDITOR'S COMMENT

The Para Captain who was granted the educational leave oversees AFD EMS training. The Para Captain stated to the auditor that he was going to school to be an airplane mechanic because that was something he wanted to do when he retired from AFD in the next couple of years. The department states that time granted for educational leave did benefit the City. The benefit to the City is not clear.

3. AFD SHOULD MONITOR ALL FISCAL RESPONSIBILITIES ASSOCIATED WITH CPR CARDS.

While performing test work on the security of training records, OIA learned an AFD Training employee (AFD trainer) keeps a supply of Cardiopulmonary Resuscitation (CPR) cards locked in a filing cabinet in his office. According to the AFD trainer, the cards are issued to AFD uniformed employees when they complete training to maintain their EMT license. AFD also sells the cards to third party customers who provide CPR training to the public at a price of \$5 per card. AFD provided documentation for 173 cash/check transactions for CPR card revenue that totaled \$26,817, for the period July 2009 through March 2011, for OIA to review.

A. *Verification and Reconciliation*

OIA reviewed 18 batches and determined:

- Four of 18 (22%) consisted of cash, checks, or a combination, totaled \$2,182, did not show evidence of ever being deposited with DFAS-Treasury Division (Treasury)
- Seven of 18 (39%) included Accounts Receivable (A/R) transactions, totaled \$2,859, for which it could not be determined if payment had been received by the City.
- One of 18 (6%) posted to the wrong general ledger (G/L) account

AFD-Accounting Division (Accounting), was not aware of these issues. AFD-Accounting management stated that they do not have a process for dual verifying and logging cash received, or reconciling cash and checks deposited with DFAS-Treasury to the G/L to verify they have been posted. AFD-Accounting also stated that they do not have a process for reconciling accounts receivable to the G/L.

City Personnel Rules and Regulations *Section 301.11 City Funds*, states that employees are personally accountable for City money over which they have possession or control. *AI 2-2:*

Credit, Collection and A/R Policy, Section E. 9. Monitoring and Reconciliation of Accounts, requires departments to reconcile their A/R to the City G/L monthly.

B. Deposit of Funds Received

The AFD trainer stated that he receives cash and checks directly when he sells CPR cards. In some cases, the AFD trainer asks AFD-Accounting to setup an A/R to bill his customers. The AFD trainer told OIA that he turns in the batches consisting of cash, checks, and billing requests to AFD-Accounting on a monthly basis.

OIA determined that the AFD trainer held the funds received from selling CPR cards an average of 38 days before he submitted them to AFD-Accounting. The AFD trainer stated that in the past, when he has tried to submit his funds to AFD-Accounting, there is not always someone available to receive them, which makes it very inconvenient.

OIA determined that four of the 18 batches (22%) were held for more than 24 hours before they were deposited with DFAS-Treasury. AFD-Accounting management stated that they are not sure why the four batches were held for more than 24 hours.

AI 2-8: Handling Deposit of Public Monies requires persons depositing public funds to deliver them directly to DFAS-Treasury before close of the business day following receipt of such funds.

The *City Cash Handling Manual* states,

“All cash received by the City must be deposited with the City Treasurer or with the City’s fiscal agent within 24 hours of receipt, unless otherwise directed and approved by the Treasurer. Any employee who does not deposit City money in a timely manner may be subject to disciplinary action.”

When cash and checks are not deposited within 24 hours of receipt they are at risk of being lost or misused.

C. Inventory Records

The AFD trainer could not provide an inventory listing of the CPR cards, and stated that he had never been requested to provide one. GFOA recommends periodic verification of inventories, and states that management should periodically compare data in accounting records to what they

represent. If AFD does not maintain an inventory listing, there is an increased risk that City assets may be misused.

D. Separation of Duties

The AFD trainer is responsible for the receipt of cash and checks for the sale of CPR cards. The same individual submits batches of cash and checks for deposit to AFD-Accounting and also authorizes transactions requiring an invoice to be mailed out requesting payment.

GFOA states that incompatible duties enable one individual to commit an irregularity and then conceal it in the ordinary course of duties. Incompatible duties should be separated among different individuals within the same department. The following three functions are considered to be incompatible: authorization of transactions, record-keeping, and custody of assets.

RECOMMENDATION

AFD should develop a process to manage the CPR card inventory and the revenue from the sale of the cards that include:

- Reconciling cash and A/R to the G/L monthly
- Ensuring that funds are deposited within 24 hours of receipt
- Creating and maintaining an inventory of CPR cards
- Ensuring separation of duties

AFD should determine why batches of cash and checks could not be reconciled to deposits in the G/L.

RESPONSE FROM AFD

“The AFD Fiscal division and AFD EMS training division have implemented City procedures for the tracking and reconciliation of monies. The AFD training Captain has developed a spread sheet that tracks the number of CPR cards on hand and those disbursed to AFD personnel and Civilians. The monies are now tracked by a separate identified member of the AFD training staff and all funds are remitted to the fiscal Division at the end of each day by the close of business.

“The authorization of transactions is the responsibility of the EMS Division Commander and will be executed by the AFD Fiscal Division.”

ESTIMATED COMPLETION DATE

“Currently implemented.”

4. AFD SHOULD ENSURE USERS WITH SYSTEM ACCESS REGULARLY CHANGE THEIR PASSWORDS.

Fire Record Management System (RMS)

Twelve AFD employees have user access to the Fire RMS Training Module. OIA tested the security of the Fire RMS Training Module by trying to login in as each of the 12 users. OIA successfully logged in as four of the 12 users (33%):

- Two of four users have administrator level access which allows them to update and change files, records, and data within the entire Fire RMS. These users have access to AFD related incidents, such as fires and other 911 related emergencies, in addition to training records.
- Two of four users have training level access which allows them to input information and change records in the Fire RMS training module.

OIA determined that the four users had not changed their passwords from the initial defaults assigned to them when they were granted access to Fire RMS. The Fire RMS does not have the ability to force users, and AFD does not have a written policy requiring users to change their passwords regularly.

B. Incident Qualifications System (IQS)

OIA became aware of the IQS while performing test work of AFD certifications. AFD uses the IQS to track qualifications, experience, and fitness levels for the Wild Land certification. Five AFD employees have user access to the IQS. OIA successfully logged in as two users:

- One of the two users had never changed the default password.
- One of the two users had a very simple password that was easy to guess.

Both users had access to records that included social security numbers.

CobiT's Security Plan suggests having procedures to implement and enforce policies and standards and providing security awareness and training.

If users do not regularly change their passwords, unauthorized individuals might be able to gain access to and/or update confidential information.

RECOMMENDATION

AFD should:

- Establish policies and procedures requiring users to change their passwords regularly.
- Ensure that any newly implemented information technology systems have the ability to force users to change their passwords regularly.

RESPONSE FROM AFD

“AFD will be upgrading the Fire RMS program this fiscal year. The upgrade will include an automatic rotating password configuration. This will require the user to change their password at identified intervals. Prior to the implementation of the upgraded program, a memo on procedures regarding password development and change intervals will be disbursed. These procedures will be utilized for all technology platforms within AFD. The limiting factor in reference to the upgraded Fire RMS is training. The new program will require that all personnel receive training in its use. The program has changed somewhat and requires a change in the method in which data is entered. The projected training would take place during a previously scheduled training / CE cycle. This is slated to begin in September 2011.”

“The department will establish policies and procedures that require members with IQS access to change their passwords regularly. This improvement can be implemented immediately.”

ESTIMATED COMPLETION DATE

“In process and coincides with software upgrades.”

5. AFD SHOULD IMPLEMENT EMERGENCY MEDICAL SYSTEMS BUREAU RECOMMENDATIONS THAT HAVE NOT BEEN IMPLEMENTED.

The New Mexico Department of Health Emergency Medical Systems (EMS) Bureau audited the AFD Training Division in April 2005. OIA performed test work to determine if AFD implemented 11 recommendations made by the EMS Bureau, and determined the following:

Recommendation: (1) Assign an additional full time equivalent (FTE) with database management experience to the AFD Training EMS Section.

What AFD Did? (2) Per discussion with AFD personnel, review of personnel files, and PeopleSoft Human Resource (HR) system data, OIA determined that AFD has had someone assigned to the Training Division as an additional FTE with database experience since July 2005.

Implemented? (3) Fully Implemented

(1) – Recommendations made by the EMS Bureau

(2) – What AFD did to implement the recommendation, and test work performed by OIA

(3) – Fully, Partially, or **Not Implemented**

Recommendation: Ensure documentation in training files is complete.

What AFD Did? OIA sampled 23 training files and determined that all 23 contained EMS training documentation.

Implemented? Fully Implemented

Recommendation: Follow the hour and content requirements of the NM refresher blueprint found in the EMS guidelines.

What AFD Did? OIA reviewed the 2009 and 2011 EMS refresher training for Basic & Intermediate (Int) emergency medical technicians (EMT), and Paramedic EMTs. Both the 2009 and 2011 EMT Basic and Int, and the 2011 EMT Paramedic refresher training met the EMS guidelines. The 2009 EMT Paramedic refresher training was one hour short on Trauma Emergency training.

Implemented? Fully Implemented

Recommendation: Do not use carded courses to meet multiple or additional Continuing Educations (CE) requirements.

What AFD Did? OIA sampled 23 employees, reviewed the CE history log for each individual and determined that card courses were not applied towards the CE hours requirement.

Implemented? Fully Implemented

Recommendation: Cross reference sign-in rosters to the individual CE Summary Sheet.

What AFD Did? OIA sampled 23 employees, reviewed the CE history log for each individual and determined all 23 cross referenced with the sign-in rosters.

Implemented? Fully Implemented

Recommendation: Comply with American Heart Association (AHA) process and issue certification cards after course is successfully completed.

What AFD Did? OIA sampled 23 employees, determined when the AHA course was completed, and compared to when the card was issued. All 23 employees were issued AHA cards after the courses were completed.

Implemented? Fully Implemented

Recommendation: Contact the AHA and request a systems review.

What AFD Did? OIA determined that AFD received and passed a training center review on July 18, 2006. OIA also reviewed AFD's most recent AHA training center review on April 16, 2010, and verified that AFD passed.

Implemented? Fully Implemented

Recommendation: Review computer software for adequacy of tracking CE, EMS refreshers, and AHA certification.

What AFD Did? AFD implemented the Fire RMS, which tracks CE, but not EMS refreshers, or AHA certifications

Implemented? Partially Implemented

Recommendation: Stop altering original documentation in training files.

What AFD Did? OIA sampled ten class rosters from 2010 and identified one (10%) in which the EMS trainer signed off as “Cadre” with his initials. Per OIA’s discussion with the AFD EMS trainer, during the April 2005 audit an EMS auditor told him (EMS trainer) this would be alright to do. The EMS Bureau told OIA that this is not an approved practice. OIA reviewed the remaining 168 rosters and did not find any others in which the EMS trainer signed off.

Implemented? Partially Implemented

Recommendation: Include a verification and affidavit statement with original signature on the CE Summary Sheet.

What AFD Did? OIA sampled 23 employees, reviewed the CE summary sheets, and determined that all 23 were signed with the original signature of the AFD EMS trainer, but did not include a verification of affidavit statement.

Implemented? Partially Implemented

Recommendation: Date refresher course certificates at the end of course completion.

What AFD Did? OIA sampled 23 training files, and determined all 23 certificates were dated July 10, 2009. Per discussion with the AFD EMS trainer, on page 22 of the EMS audit report in the AFD response, a conversation between AFD and the EMS Bureau is documented indicating this is an ok practice. Per discussion between OIA and the EMS Bureau, AFD must have misinterpreted this conversation.

Implemented? Not Implemented

RECOMMENDATION

AFD should implement the recommendations that were not fully implemented.

RESPONSE FROM AFD

“AFD will review Computer software for adequacy of tracking CE, EMS refreshers and AHA certification. The upgraded version of Fire RMS to be implemented in December 2011 – January 2012 will address electronic tracking of AHA certifications and refresher hours. AFD will stop altering original documentation in training files. This practice has been addressed and in areas where confusion may exist, AFD has elected to implement the most current procedures utilized and enforced by the EMS bureau, i.e. Signatures of class rosters will reflect appropriately those in attendance and those instructing. AFD will date refresher course certificates at the end of course completion and will initiate a conversation with the EMS bureau to clarify the concerns. Implementation of the appropriate direction will take place upon explanation.”

ESTIMATED COMPLETION DATE

“Ongoing.”

CONCLUSION

This audit will help AFD identify and implement controls for monitoring fiscal responsibilities, comply with applicable rules and regulations relating to training and outside employment, and identify controls to protect data and confidential information.

The Accountability in Government Oversight (AGO) Committee has requested a follow up be conducted on this audit in approximately 60 days. The follow up will be presented at the December 14, 2011 AGO meeting for approval. AFD should prepare a detailed plan to demonstrate how it will implement the recommendations.

We appreciate the assistance and cooperation of AFD personnel during the audit.

Senior Information Systems Auditor

REVIEWED/APPROVED:

APPROVED FOR PUBLICATION:

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