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Auditor's Certification of the District Department of Transportation's FY 2008 Performance Accountability Report

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EXECUTIVE SUMMARY

PURPOSE

Pursuant to D.C. Official Code § 1-614.13(c)¹, and in accordance with section 455 of Pub. L. No. 93-198², the Office of the District of Columbia Auditor (Auditor) conducted an audit of the District Department of Transportation (DDOT). This audit presents the results of the Auditor's review of DDOT's FY 2008 Performance Accountability Report (PAR).

CONCLUSION

The Auditor's scope included an analysis of four DDOT FY 2008 Initiatives and all 15 Key Performance Indicators (KPI), all of which were contained on the FY 2008 PAR. For the Initiatives and KPIs, the Auditor requested documentation and corroborating evidence to support statements and data contained on the PAR.

For the four Initiatives reviewed, the Auditor agreed with the rating that the Office of the City Administrator (OCA) assigned and found that they were properly rated. The results of the KPI review were 40% certified, 7% certified with qualifications, and 53% not certified.

- Certified- 6
- Certified with qualifications- 1
- Not Certified- 8

The Auditor found an uncharacteristic deterioration in performance reporting from the Infrastructure Project Management Administration (IPMA). Of note, in FY 2008, performance results were not submitted for seven of the eight measures under its purview.

In a May 2004 report, the Government Accountability Office (GAO)³ cited the poor quality of DDOT's performance data and the challenge that posed on the agency's ability to measure its progress. Further, as stated in that report, DDOT officials agreed that performance information was generally unreliable with the majority of the data keyed in manually and subject

¹ See the Government Managers Accountability Amendment Act of 1995, effective May 16, 1995 (D.C. Law 11-16; D.C. Code § 1-614.11 *et seq.* (2002)). Specifically, see D.C. Code § 1-614.14(c) which states that "the District of Columbia Auditor shall conduct an audit of selected performance measures each fiscal year presented in the performance reports of certain agencies each fiscal year."

² See section 455 (b) of the District of Columbia Home Rule Act, approved December 24, 1973 (Pub. L. No. 93-198, 87 Stat. 803); D.C. Code §1-204.55 (b) (2001) which states: "The District of Columbia Auditor shall each year conduct a thorough audit of the accounts and operations of the government of the District in accordance with such principles and procedures and under such rules and regulations as he [she] may prescribe." See also, section 455 (c) of the District of Columbia Home Rule Act, as amended, approved December 24, 1973, (87 Stat. 803, D.C. Code §1-204.55 (c) (2001) which states: "The District of Columbia Auditor shall have access to all books, accounts, records, reports, findings and all other papers, things, or property belonging to or in use by any department, agency, or other instrumentality of the District government and necessary to facilitate the audit."

³ GAO-04-644R District Department of Transportation, May 14, 2004.

to staff interpretation. To rectify this problem, DDOT developed a 2-year plan to significantly upgrade technology and business systems. In the course of this audit, the Auditor observed and documented technological gains in the form of fully automated or partially automated data collection and processing systems.

Notwithstanding, there remain areas for improvement, particularly, as these pertain to supervisory controls and performance reporting. Through site visits and interviews, the Auditor was able to establish that in most instances, adequate levels of capability, competence, and coordination existed within data collection units. However, there was a lack of cohesion across all operations, programs and projects within the scope of DDOT's performance management system. Sustained and proactive oversight of performance reporting was also less than optimal for the period under review.

RECOMMENDATIONS

1. The DDOT Director should notify the OCA and inform them that more specific wording needs to be used to define project outcomes for Initiative 2.2.
2. The DDOT Director should formally assign the responsibility for agency-wide performance reporting to an individual or subordinate entity with sufficient time and resources to accomplish this task.⁴
3. The DDOT Director and the Metropolitan Police Department should develop a Memorandum of Agreement (MOA) that comprehensively defines the parameters of information sharing as this applies to traffic fatality data.
4. The DDOT Director should notify OCA requesting their assistance with redefining KPI 1.2 to make it more meaningful and relevant to DDOT's operations.
5. The DDOT Director should notify OCA requesting their assistance with developing outcome oriented measures premised on proposed replacement KPIs for measure 1.2.
6. The DDOT Director should notify OCA about the differences in survey cycles for federal and local routes and the duration of roadway surveys which overlap preceding fiscal years. The DDOT Director should request OCA to assist with crafting measures that best reflect this reality, i.e.:

⁴ For instance, the Integrity and Compliance Group (office of the Chief of Staff) could assume this responsibility. Another candidate is the System Inspection and Oversight Division (SIOD) of the Transportation Operations Administration (TOA). On the strength of past performance alone, the role of SIOD could be expanded or the control framework replicated to ensure improvements in agency-wide reporting.

- a. Percent of *federal routes* in Good or Excellent condition (reported annually);
 - b. Percent of *local routes* in Good or Excellent condition (DDOT reports estimates in the years the contractor does not issue bi-annual report); and
 - c. Percent of *Bridges* in Good or Excellent condition (DDOT reports estimates in the years the contractor does not issue bi-annual report).
- 7. The DDOT Director should require supervisors responsible for administering the paving plan to develop written Standard Operating Procedures and Quality Assurance guidelines for the data collection and reporting processes.
- 8. The DDOT Director should revisit whether the appropriate entity is charged with oversight for KPI 2.2 outcomes. If management concludes that KPI responsibility resides with the appropriate entity, then the Auditor suggests that the DDOT Director require supervisors to develop appropriate verification procedures that will give the responsible entity the ability to validate the extent and quality of work completed.
- 9. The DDOT Director should require supervisors to report results on all KPIs listed in the agency performance plan. Further, the Auditor recommends that the DDOT Director clarify with the OCA any issues pertaining to the definition of KPIs 3.1, 3.2 and 3.3 with the goal of either redefining these measures or removing them from DDOT's performance plan.

Purpose

Pursuant to D.C. Official Code § 1-614.13(c)¹, and in accordance with section 455 of Pub. L. No. 93-198², the Office of the District of Columbia Auditor (Auditor) conducted an audit of the District Department of Transportation's (DDOT) FY 2008 Performance Accountability Report (PAR).

Objectives, Scope and Methodology

The objectives of the audit were to:

1. determine the accuracy, quality, and utility of performance results presented in DDOT's FY 2008 performance report; and
2. evaluate the procedures and internal controls that were used in collecting, analyzing and reporting performance data.

The scope of the audit was DDOT's Fiscal Year 2008 Performance Accountability Report (PAR). Our audit focused on accomplishments and measurable data elements contained in the PAR, notably four 'Fully Achieved' Initiatives (one for each agency objective) and all 15 Key Performance Indicators (KPIs). Appendix A lists the Initiatives and KPIs from DDOT's 2008 PAR.

To accomplish the audit objectives, the Auditor submitted preliminary survey questionnaires to all supervisory staff with immediate responsibility for KPI outcomes. Further, the Auditor interviewed officials from DDOT responsible for performance accountability matters and also corresponded with the Metropolitan Police Department's Traffic Crash Unit to obtain information about data sharing arrangements with DDOT. The Special Assistant to the Director at DDOT was responsible for coordinating the compilation of the agency's data, statistics, and information used in the PAR and was the point-of-contact for this audit.

The Special Assistant to the Director also submitted the information compiled for Initiatives and KPIs to the Office of the City Administrator's (OCA) CapStat Unit. Since the

¹ See the Government Managers Accountability Amendment Act of 1995, effective May 16, 1995 (D.C. Law 11-16; D.C. Code § 1-614.11 *et seq.* (2002)). Specifically, see D.C. Code § 1-614.14(c) which states that "the District of Columbia Auditor shall conduct an audit of selected performance measures each fiscal year presented in the performance reports of certain agencies each fiscal year."

² See section 455 (b) of the District of Columbia Home Rule Act, approved December 24, 1973 (Pub. L. No. 93-198, 87 Stat. 803); D.C. Code § 1-204.55 (b) (2001) which states: "The District of Columbia Auditor shall each year conduct a thorough audit of the accounts and operations of the government of the District in accordance with such principles and procedures and under such rules and regulations as he [she] may prescribe." See also, section 455 (c) of the District of Columbia Home Rule Act, as amended, approved December 24, 1973, (87 Stat. 803, D.C. Code § 1-204.55 (c) (2001) which states: "The District of Columbia Auditor shall have access to all books, accounts, records, reports, findings and all other papers, things, or property belonging to or in use by any department, agency, or other instrumentality of the District government and necessary to facilitate the audit."

CapStat Unit was responsible for assigning a performance assessment rating for Initiatives and KPIs, we also corresponded with that office. The Auditor also examined and evaluated data that was used in the PAR, primarily through testing, ensuring that it could be reconciled or verified to source documentation.

The audit was conducted 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.

Background

Pursuant to D.C. Official Code § 1-614.13(c), the Auditor is required to conduct an audit of selected performance measures presented in the performance report of certain agencies each fiscal year. By doing so, the Auditor hopes to assist the District government to operate more efficiently, effectively, and economically, while providing a higher quality of service to its residents.

The mission of the District Department of Transportation (DDOT) is to enhance the quality of life for District residents and visitors by ensuring that the mobility needs of people and goods are met safely, with minimal adverse impact on residents and the environment.

DDOT executes its mission through the work of five groups or Administrations. *The Infrastructure Project Management Administration* (IPMA) designs and builds roads and bridges, trails, and other transportation projects. *The Mass Transit Administration* (MTA) provides public transportation service through the 'Circulator' system and oversees the District's support of WMATA. *The Traffic Operations Administration* (TOA) ensures a safe and user-friendly transportation environment. *The Transportation Policy and Planning Administration* (TPPA) develops strategic goals for the agency. Finally, the *Urban Forestry Administration* (UFA) maintains the District's tree canopy, providing the District with improved air quality, increased ground water retention that minimizes runoff and flooding, temperature moderation, and aesthetics.

In FY08, there were four external contributors of raw data to DDOT's performance reporting system, namely, the Metropolitan Police Department (MPD), Applied Research Associates Inc. (ARA), the Washington Metropolitan Area Transit Authority (WMATA), and ACS Inc. The lone external recipient of processed data was the Office of the City Administrator's CapStat Unit. A visual illustration of the system can be found in Appendix B. The diagram shows the logical flow of performance data through the system, mapping the responsible entity to the KPI. Further, a color-coded scheme has been used to depict the Auditor's assessment of the adequacy of associated controls.

Results of Audit

A. Initiatives

Overview

The District of Columbia's Office of the City Administrator (OCA) defines initiatives as specific activities that are expected to occur over the next one-to-three fiscal years. Ideally, implementation of initiatives would have quantifiable results reflected in performance measures. The OCA believes that initiatives also allow the department to be more productive by focusing on a common guideline.

Details

As shown in Appendix A, DDOT reported on 16 initiatives of which 9 were classified as 'Fully Achieved,' 5 were classified as 'Partially Achieved,' and 2 were classified as 'Not Achieved.' To ensure a sufficiently broad and comprehensive review of activities linked to each of DDOT's objectives, the Auditor reviewed 4 'Fully Achieved' initiatives (one from each area).

The Auditor requested and received corroborating documentation from DDOT's liaison and designees, which supported the PAR ratings. The Auditor also conducted selected site visits and physically inspected the work referenced in submitted documentation. For all 4 initiatives, the Auditor agreed with the rating the CapStat Unit assigned and found that they were properly rated.

However, for Initiative 2.2, DDOT's designated Program Manager expressed some concern about the potential for the misinterpretation of the words "initiate work" used in describing actions taken by DDOT to address the structural deficiencies of the 11th Street Bridge. The Program Manager noted that while actual construction/repair work had not yet begun, design and procurement milestones were achieved in the period under review. The Program Manager noted that in the context of the latter statement, work was indeed initiated.

The Auditor agrees with this assessment and recommends that going forward initiative goals crafted in concert with the OCA CapStat Unit need to be more specific in order to avoid erroneous conclusions on the part of stakeholders and misunderstandings in terms of outcomes on the part of DDOT.

Table I presents a brief explanation regarding the Auditor's analysis of the four DDOT Initiatives reviewed and the corresponding achievement level for each of the initiatives.

Table I

DDOT Initiatives

Initiative Title (short title)	Rating Assigned by OCA	Auditor Comments
1.4: Implement new regulations that require protected pedestrian walkways for construction sites adjacent to roadways.	Fully Achieved	Agree. The Auditor reviewed a copy of the regulation that became effective December 19, 2007.
2.2: Initiate work on structurally deficient bridges.	Fully Achieved	Agree. Based on document reviews and site visits to the South Capitol Street Bridge (aka Frederick Douglas Bridge) and the 11th Street Bridge (Spanning the Anacostia), the Auditor concluded that work was in fact initiated in FY08.
3.6: Replace all series circuit streetlights by the end of FY08.	Fully Achieved	Agree. Based on document reviews and site visits, the Auditor concluded that work was in fact completed on the following approximate dates and sites in FY08: South Capitol Street (05/28/08), Spring Valley neighborhood (07/18/08), and Kenilworth (09/30/08).
4.2: Plan, initiate and communicate current year pavement ratings to the public.	Fully Achieved	Agree. Based on document reviews, the Auditor concluded that the paving plan was indeed published at DDOT's website on or about April 18, 2008.

Summary

Based on the above, the Auditor found that DDOT should notify the CapStat Unit and inform them that clearer language should be used in defining the goals for projects comparable to Initiative 2.2. Accurate reporting in government processes provides government managers and stakeholders with the level of progress and accountability needed to effectively assess performance.

RECOMMENDATION

The DDOT Director should notify the OCA and inform them that more specific wording needs to be used to define project outcomes for Initiative 2.2.

B. Key Performance Indicators

Overview

KPIs are commonly associated with an agency's objectives. KPIs should include a mix of outcomes, effectiveness, productivity/efficiency, demand, and outputs. KPIs must not only reflect the organization's goals, but must also be central to its success, and be quantifiable (measurable). These indicators are usually long-term considerations that will ultimately assist the organization to meet and exceed their expectations for the future.

The Auditor utilized a state auditor model certification rating³ to report on the results of our testing and evaluation of the KPIs contained in DDOT's FY 2008 PAR. (The Auditor made some minor changes to the "Not Certified" category.)

Ratings were classified as follows:

Certification Ratings	
Certified	a. The reported performance indicator is accurate (+/- 5%) <i>and,</i> b. Adequate procedures are in place for collecting and reporting performance data.
Certified with Qualifications	a. The reported performance indicator is accurate (+/- 5%) <i>but,</i> b. Adequate procedures are not in place for collecting and reporting performance data.
Not Certified	a. Actual performance is not within 5% of reported indicator <i>or,</i> b. Actual data for the performance indicator could not be verified due to inadequate procedures, insufficient documentation, or because no data was reported by the agency.

As shown in Appendix A, DDOT reported on 15 KPIs. The Auditor reviewed all 15 KPIs to determine the accuracy and reliability of the data DDOT reported. Additionally, we

³ The model is a replica of the rating process that is utilized by at least two municipal audit offices to report on audits that focus on performance measures. The Texas State Auditor's Office and the Maricopa County Auditor's Office use this reporting standard.

reviewed the internal control environment for each KPI to ensure that controls and processes associated with procedures for gathering and reporting data for each KPI were reliable. When controls were lacking, the Auditor made recommendations to strengthen them.

Unless otherwise noted, the recommendations to improve controls were all derived from model standards developed by the Government Accountability Office and identified in their publication, Standards for Internal Control in the Federal Government, (GAO/AIMD-00-21.3.1).

Details

As previously noted, DDOT was required to report on 15 KPIs. Although DDOT did not submit data for 7 KPIs, the Auditor reviewed all 15 KPIs to determine the accuracy and reliability of the data (if available) and/or the adequacy of controls. For each KPI, the Auditor attempted to reconcile performance data to source documentation and records of original entry. Accordingly, we reviewed intake processes, approval processes, and validation processes. In those instances where DDOT reported a KPI as *Not Achieved* or *Data Not Reported*, the Auditor was less concerned with reconciling data (since data was either unavailable or limited) and more focused on determining the causes for not achieving target success levels. Details on the results of our analyses regarding these 15 KPIs are as follows.

1) KPI 1.1: Percent change in injuries and traffic crashes: Current year vs. Five year rolling average

Certification Discussion. Through an examination of responses provided by a Sergeant, Captain, and Civilian Director of the Metropolitan Police Department, and the OCA CapStat Director, the Auditor found that some data was transmitted to DDOT by the Metropolitan Police Department's Major Crash Unit. However, since DDOT did not submit performance results to OCA and without access to the data repository that DDOT would have queried to prepare final statistics, appropriate sample tests could not be performed. As a result, KPI 1.1 was assigned a **Not Certified** rating.

Internal Control Discussion. The Auditor determined that DDOT did not have Standard Operating Procedures (SOP) or Quality Assurance guidelines to administer the data collection process. The Auditor also found that data to report on the KPI was not transmitted to the OCA CapStat Unit to facilitate quarterly and annual reporting.

DDOT asserts that a contract enabling the transfer of data had expired; therefore, MPD did not submit data to DDOT's point of contact. MPD, however, asserts that a formal agreement is not required to share information with DDOT and traffic fatality data was transmitted monthly to DDOT's point of contact.

The Auditor also found that DDOT did not have a SOP to administer the data collection process and DDOT and MPD did not have a mutually agreed upon Quality Assurance guideline stipulating performance standards for the data collection process. As a result, performance results were not reported in the FY 2008 PAR resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. Further, there was an inadequate audit trail to ensure data quality and accuracy. Consequently, the Auditor found that controls associated with this KPI were insufficient.

2) KPI 1.2: Percent change in injuries and fatalities at high hazard intersections

Certification Discussion. Through an examination of responses provided by a Sergeant, Captain, and Civilian Director of the Metropolitan Police Department, and the OCA CapStat Director – the Auditor found that some data was transmitted to DDOT by the Metropolitan Police Department's Major Crash Unit. However, since DDOT did not submit performance results to the OCA and without access to the data repository that DDOT would have queried to prepare final statistics, appropriate sample tests could not be performed. As a result, KPI 1.2 was assigned a **Not Certified** rating.

Internal Control Discussion. Through an examination of responses to the preliminary survey submitted by the Auditor to DDOT, the Auditor determined that DDOT did not have SOPs or Quality Assurance guidelines to administer the data collection process. The Auditor also found that data to report on the KPI was not transmitted to the CapStat Unit to facilitate quarterly and annual reporting.

DDOT asserts that a contract enabling the transfer of data had expired; therefore, MPD did not submit data to DDOT's point of contact. MPD, however, asserts that a formal agreement is not required to share information with DDOT and traffic fatality data was transmitted monthly to DDOT's point of contact.

The Auditor also found that DDOT did not have a SOP to administer the data collection process and DDOT and MPD do not have a mutually agreed upon Quality Assurance guideline stipulating performance standards for the data collection process. As a result, performance results were not reported in the FY 2008 PAR resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. Further, there was an inadequate audit trail

to ensure data quality and accuracy. Consequently, the Auditor found that controls associated with this KPI were insufficient.

3) KPI 1.3: Percent change in transit ridership (DC lines and WMATA, plus Circulator)

Certification Discussion. The Auditor obtained a description of WMATA's data collection process from the direct report to the Project Manager and Associate Director of the Mass Transit Administration to determine whether control deficiencies existed. The existence of control deficiencies would have compromised the quality and integrity of data transmitted to DDOT. The Auditor requested that DDOT provide original emailed files from WMATA personnel (those responsible for collecting raw data) for the months of December 2007 and August 2008.

Subsequently, the Auditor tested to determine whether numbers sent via email were identical to the numbers keyed into the master spreadsheet. The Auditor found data to be within 5% of the reported indicator, and as a result, the Auditor assigned KPI 1.3 a **Certified** rating.

Internal Control Discussion. In response to preliminary survey questions, WMATA reported that it had SOPs but that it did not have formal Quality Assurance guidelines. The Auditor deemed Quality Assurance concepts contained in the SOP to be sufficient. Further, the Auditor found that controls instituted for this measure were sound.

4) KPI 1.4: Percent of public space permits issued within 45 days

Certification Discussion. Information received from DDOT either did not address questions posed in the preliminary survey submitted by the Auditor to DDOT or were not applicable to the period under review. Further, the Auditor did not receive any information regarding DDOT's data collection process or access to its data repository. As a result, KPI 1.4 was assigned a **Not Certified** rating.

5) KPI 2.1: Percent of Streets in Good or Excellent Condition

Certification Discussion. In response to the Auditor's preliminary survey, the Chief of Asset Management reported that the data collection process was fully automated and was not subject to any manual intervention. Further, the raw data collected was in a proprietary format that: (1) could not be tested without expert knowledge of the programming language; and (2) could not be analyzed until processed by a software application. The Auditor observed the process during a scheduled system demonstration. The Auditor assigned a **Not Certified** rating to this KPI because DDOT failed to submit FY 2008 performance results to the OCA.

Internal Control Discussion. In response to preliminary survey questions, DDOT reported that it had SOPs and Quality Assurance guidelines. The Auditor found that data was not transmitted to OCA to facilitate quarterly and annual reporting, resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. Further, the Auditor found that surveys were conducted and reported on every two years therefore rendering annual reporting impractical.

6) KPI 2.2: Percent of blocks in paving plan complete

Certification Discussion. In response to the Auditor's preliminary survey, the Deputy Director for Resource Allocation reported that the data collection process was automated and was not subject to any manual intervention. The Auditor observed the process during a scheduled system demonstration. Upon further examination, the Auditor found that the Unit responsible for this measure had no control over the quality of/vetting of data that was manually keyed into a 'SharePoint' database. Further, the Auditor found that the responsible Unit had no means to effectively audit data collection and assess outcomes before disbursing payments to contractors. As a result, KPI 2.2 was assigned a **Certified with Qualifications** rating.

Internal Control Discussion. In response to the Auditor's preliminary survey questions, DDOT reported that it did not have written SOPs or Quality Assurance guidelines. However, the Auditor found system protocols that provided some degree of management control. The Auditor reviewed DDOT's response to the preliminary survey, and although no official documentation had been prepared, the Auditor found the control environment (relative to the collection and initial reporting of raw data) to be adequate.

7) KPI 2.3: Percent of non-roadway assets (sidewalks, bridges, alleys, trees, parking meters, street lights, and signs) in Good or Excellent condition

Certification Discussion. In response to the Auditor's preliminary survey, the Chief of Asset Management reported that the data collection process was fully automated and was not subject to any manual intervention. Further, the raw data collected was in a proprietary format that: (1) could not be tested without expert knowledge of the programming language; and (2) could not be analyzed until processed by a software application. The Auditor observed the process during a scheduled system demonstration. KPI 2.3 was assigned a **Not Certified** rating because DDOT failed to submit FY 2008 performance results to the OCA.

Internal Control Discussion. The Auditor found that data was not transmitted to the OCA to facilitate quarterly and annual reporting, resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. Further, the Auditor found that surveys were conducted and reported on every two years therefore rendering annual reporting impractical.

8) KPI 2.4: Number of public space violation citations per inspector labor hour

Certification Discussion. In response to the Auditor's preliminary survey, the Chief of the System Inspection Oversight Division (SIOD) reported that SIOD's data collection process is partially automated. The Auditor observed the process during a scheduled system demonstration. Further, the Auditor randomly sampled violation citations in the end of year report published by the Office of Administrative Hearings (OAH). The Auditor found data to be within 5% of the reported indicator. As a result, the Auditor assigned a **Certified** Rating to this KPI.

Internal Control Discussion. In response to preliminary survey questions, the DDOT reported that it had written SOPs and Quality Assurance guidelines. In addition to the review of these documents, the Auditor conducted an unscheduled visit to the Inspectors office with the goal of determining whether conditions in the control environment were such that employees were pressured to issue increasing numbers of violation citations.

The Auditor interviewed three inspectors who acknowledged an increase in the numbers of personally issued citations (specifically for 'failure to perform restoration') beginning in FY 2007. In the inspector's view, this increase was attributed to being better versed in identifying violations and to some degree, the partial automation of the citation process.

The Auditor found that emergency permit applicants were required to fax their requests to SIOD the morning of planned work. The Auditor was advised that there were rare occasions when the office fax machine might be off-line. The Auditor inquired as to whether, because of this occasional communication lapse, violation citations might be erroneously issued. The Auditor was advised that alternate procedures existed to transmit the information of which the applicants (utility companies) were well aware having dealt with the Unit for many years. Further, the Auditor was advised that such occurrences, if at all, were all but negligible and would be promptly addressed by the SIOD in response to a complaint filed by an applicant.

The Auditor found that SIOD does not have an award program that rewards inspectors for the total number of citations issued. Further, the SIOD Chief asserted that citation quotas were not given to individual inspectors.

9) KPI 3.1: Percent of current-year projects completed within 10 percent of budget (except for those with scope changes)

Certification Discussion. The Auditor requested but did not receive any applicable information regarding DDOT's data collection process or access to its data repository. Since DDOT did not submit performance results, and without access to the data repository DDOT would have queried to prepare final statistics, appropriate sample tests could not be performed. As a result, KPI 3.1 was assigned a **Not Certified** rating.

Internal Control Discussion. Applicable information was not provided in response to the Auditor's preliminary survey sent to DDOT. Additionally, the Auditor found that data was not transmitted to the OCA to facilitate quarterly and annual reporting, resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. Further, the Auditor found that, although DDOT asserts that a clear definition of this measure did not exist, document reviews and interviews conducted by the Auditor found that performance results were reported in prior years (FY06 and FY07) and the KPI definition remained unchanged.

10) KPI 3.2: Percent of projects rated Good or Excellent by adjoining neighbors in post-project survey

Certification Discussion. The Auditor requested but did not receive any applicable information regarding DDOT's data collection process or access to its data repository. Since DDOT did not submit performance results, and without access to the data repository DDOT would have queried to prepare final statistics, appropriate sample tests could not be performed. As a result, KPI 3.2 was assigned a **Not Certified** rating.

Internal Control Discussion. Applicable information was not provided in response to the Auditor's preliminary survey sent to DDOT. Additionally, the Auditor found that data was not transmitted to the OCA to facilitate quarterly and annual reporting, resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. DDOT officials purport that this measure was defined without sufficient buy-in from the agency and therefore, management had rejected this measure.

11) KPI 3.3: Percent of current-year projects completed within 60 days of planned end date (except for those with scope changes)

Certification Discussion. The Auditor requested but did not receive any applicable information regarding DDOT's data collection process or access to its data repository with regard to this KPI. Since DDOT did not submit performance results, and without access to the data repository DDOT would have queried to prepare final statistics, appropriate sample tests could not be performed. As a result, KPI 3.3 was assigned a **Not Certified** rating.

Internal Control Discussion. Applicable information was not provided in response to the preliminary survey sent to DDOT. The Auditor also found that data was not transmitted to the OCA to facilitate quarterly and annual reporting, resulting in non-compliance with the Government Managers' Accountability Amendment Act of 1995. Further, the Auditor found that although DDOT asserts that a clear definition of this measure did not exist, the Auditor found that performance results were reported in prior years (FY 2006 and FY 2007) and the KPI definition remained unchanged.

12) KPI 4.1: Percent of snow events where new standards are met

Certification Discussion. In response to the Auditor's preliminary survey, the City Wide Program Manager submitted copies of the spreadsheets used to gather snow event data. The accompanying calculation worksheets were also tested for accuracy. The Auditor found data to be within 5% of the reported indicator. As a result, the Auditor assigned a **Certified** Rating to KPI 4.1.

Internal Control Discussion. The DDOT provided written SOPs and Quality Assurance guidelines. The Auditor reviewed these submissions and deemed the controls adequate.

13) KPI 4.2: Percent of potholes filled within the new standards of 48 hours

Certification Discussion. In response to the preliminary survey, the Chief of the Street and Bridge Maintenance Field Operations Branch reported that the data collection process was fully automated and was not subject to any manual intervention. The Auditor observed the process during a scheduled system demonstration. Based on the existence of a fully automated system verified by the Auditor through simulated testing, KPI 4.2 was assigned a **Certified** Rating.

Internal Control Discussion. In response to the preliminary survey, DDOT reported that it did not have any formal SOPs or official Quality Assurance procedures. However, the Auditor deemed the automated system to have sufficient built-in controls to foster an adequate control environment.

14) KPI 4.3: Percent of parking meters working

Certification Discussion. In response to the Auditor's preliminary survey, the City Wide Program Manager reported that the data collection process was fully automated and was not subject to any manual intervention. The Auditor observed the process during a scheduled system demonstration. Based on the existence of a fully automated system verified by the Auditor through simulated testing, and the input of accurate data by an external contributor, KPI 4.3 was assigned a **Certified** Rating.

Internal Control Discussion. The DDOT provided written SOPs and Quality Assurance guidelines. The Auditor reviewed these submissions and deemed the control environment to be adequate.

15) KPI 4.4: Percent of tree population tended per year

Certification Discussion. In response to the preliminary survey, the Associate Director of the Urban Forestry Administration reported that the data collection process was fully automated and was not subject to any manual intervention. The Auditor observed the process during a scheduled system demonstration. Based on the existence of a fully automated system verified by the Auditor through simulated testing, and adequate controls, KPI 4.4 was assigned a **Certified** rating.

Internal Control Discussion. The DDOT provided written SOPs, and Quality Assurance guidelines. The Auditor reviewed these submissions and deemed the controls to be adequate.

Summary and Recommendations

The following is a summary of the Auditor's certification rating for each KPI, as well as the adequacy of the internal control processes associated with each KPI, and resultant recommendations. For more detail on the Auditor's certification rating, see Appendix C.

KPI No.	Certified	Certified with Qualifications	Not Certified	Internal Controls Adequate?
1.1			X	NO
1.2			X	NO
1.3	X			YES
1.4			X	NOT TESTED
2.1			X	YES
2.2		X		YES
2.3			X	YES
2.4	X			YES
3.1			X	NOT TESTED
3.2			X	NOT TESTED
3.3			X	NOT TESTED
4.1	X			YES
4.2	X			YES
4.3	X			YES
4.4	X			YES

RECOMMENDATIONS:

1. The DDOT Director should formally assign the responsibility for agency-wide performance reporting to an individual or subordinate entity with sufficient time, experience, and resources to accomplish this task.⁴
2. The DDOT Director and the Metropolitan Police Department should develop a Memorandum of Agreement (MOA) that comprehensively defines the parameters of information sharing as this applies to traffic fatality data.
3. The DDOT Director should notify OCA requesting their assistance with redefining KPI 1.2 to make it more meaningful and relevant to DDOT's operations.
4. The DDOT Director should notify OCA requesting their assistance with developing outcome oriented measures premised on proposed replacement KPIs for measure 1.2.
5. The DDOT Director should notify OCA about the differences in survey cycles for federal and local routes and the duration of roadway surveys, which overlap preceding fiscal years. The DDOT Director should request OCA to assist with crafting measures that best reflect this reality, i.e.:
 - a. Percent of *federal routes* in Good or Excellent condition (reported annually);
 - b. Percent of *local routes* in Good or Excellent condition (DDOT reports estimates in the years the contractor does not issue bi-annual report); and
 - c. Percent of *Bridges* in Good or Excellent condition (DDOT reports estimates in the years the contractor does not issue bi-annual report).
6. The DDOT Director should require supervisors responsible for administering the paving plan to develop written Standard Operating Procedures and Quality Assurance guidelines for the data collection and reporting processes.
7. The DDOT Director should revisit whether the appropriate entity is charged with oversight for KPI 2.2 outcomes. If management concludes that KPI responsibility resides with the appropriate entity, then the Auditor suggests that the DDOT Director require supervisors to develop appropriate verification procedures that will give the responsible entity the ability to validate, in real-time, the extent and quality of work completed.

⁴ For instance, the Integrity and Compliance Group (office of the Chief of Staff) could assume this responsibility. Another candidate is the System Inspection and Oversight Division (SIOD) of the Transportation Operations Administration (TOA). On the strength of past performance alone, the role of the SIOD could be expanded or the control framework replicated to ensure improved agency-wide reporting.

8. The DDOT Director should require supervisors to report results on all KPIs listed in the agency performance plan. Further, the Auditor recommends that the DDOT Director clarify with the OCA any issues pertaining to the definition of KPIs 3.1, 3.2 and 3.3 with the goal of either redefining these measures or removing them from DDOT's performance plan.

CONCLUSION

The Auditor's scope included an analysis of four DDOT FY 2008 Initiatives and all 15 Key Performance Indicators (KPI), all of which were contained on the FY 2008 PAR. For the Initiatives and KPIs, the Auditor requested documentation and corroborating evidence to support statements and data contained on the PAR.

For the four Initiatives reviewed, the Auditor agreed with the rating that the Office of the City Administrator (OCA) assigned and found that they were properly rated. The results of the KPI review were 40% certified, 7% certified with qualifications, and 53% not certified.

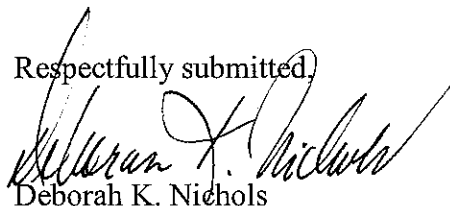
- Certified- 6
- Certified with qualifications- 1
- Not Certified- 8

The Auditor found an uncharacteristic deterioration in performance reporting from the Infrastructure Project Management Administration (IPMA). Of note, in FY 2008, performance results were not submitted for seven of the eight measures under its purview.

In a May 2004 report, the Government Accountability Office (GAO)⁵ cited the poor quality of DDOT's performance data and the challenge that posed on the agency's ability to measure its progress. Further, as stated in that report, DDOT officials agreed that performance information was generally unreliable with the majority of the data keyed in manually and subject to staff interpretation. To rectify this problem, DDOT developed a 2-year plan to significantly upgrade technology and business systems. In the course of this audit, the Auditor observed and documented technological gains in the form of fully automated or partially automated data collection and processing systems.

Notwithstanding, there remain areas for improvement, particularly, as these pertain to supervisory controls and performance reporting. Through site visits and interviews, the Auditor was able to establish that in most instances, adequate levels of capability, competence, and coordination existed within data collection units. However, there was a lack of cohesion across all operations, programs and projects within the scope of DDOT's performance management system. Sustained and proactive oversight of performance reporting was also less than optimal for the period under review.

Respectfully submitted,



Deborah K. Nichols

District of Columbia Auditor

⁵ GAO-04-644R District Department of Transportation, May 14, 2004.

APPENDICES

Appendix A – DDOT Performance Accountability Report



Performance Initiatives – Assessment Details

Performance Assessment Key:

- Fully achieved
 Partially achieved
 Not achieved
 Data not reported

OBJECTIVE 1: Ensure pedestrians and vehicles can travel safely throughout the District.

- INITIATIVE 1.1: Make improvements to 56 hazardous intersections and roadway segments through the implementation of safety improvements and other measures by August 2008.**
Partially Achieved. DDOT has installed 130 speed-humps and one Rapid Flash Crosswalk Beacon. DDOT plans to have initiated or completed safety improvements in 61 hazardous intersections by the end of 2008.
- INITIATIVE 1.2: Install pedestrian countdown signals at all signalized crosswalks by December 2008.**
Partially Achieved. Of the total 372 signalized crosswalks without pedestrian countdown signals, 247 had received the countdown upgrade by mid-July. By the end of December, every signalized intersection crosswalk in the District will have a countdown pedestrian signal.
- INITIATIVE 1.3: Expand enhanced bus service options (Circulator and Metro EXTRA).**
Not Achieved. Procurement and production delays pushed back the receipt of the 14 new Circulator buses needed to expand the two Circulator routes until the spring of 2009. DDOT and WMATA began developing a plan for the introduction of limited-stop bus service on 16th Street in FY2009.
- INITIATIVE 1.4: Implement new regulations that require protected pedestrian walkways for construction sites adjacent to roadways.**
Fully Achieved. DDOT has written and implemented regulations which require protected walkways near construction sites.

OBJECTIVE 2: Ensure that the District's transportation infrastructure is in a state of good repair.

- INITIATIVE 2.1: Implement a six-year program, by December 2007, to increase the number of streets, sidewalks, and alleys earning a Good or Excellent condition rating.**
Partially Achieved. DDOT continues to maintain a condition inventory of its transportation infrastructure. Due to budgetary constraints, we have deferred from publishing a six-year needs assessment and will instead post on the DDOT website a more modest street, sidewalk, and alley paving plan for the current fiscal year along with a four-year look ahead.
- INITIATIVE 2.2: Initiate work on structurally deficient bridges.**
Fully Achieved. During FY2008, DDOT completed major rehabilitation work on the 11th Street Bridge over D Street and the CSX railroad and the South Capitol Bridge over the Anacostia River. Work began or was in progress for all remaining structurally deficient bridges in FY08.
- INITIATIVE 2.3: By 2010, plant trees in all viable tree boxes.**
Fully Achieved. DDOT's Urban Forestry Administration planted approximately 3,800 trees in FY08. Assuming no significant changes in funding, DDOT is on pace to plant the estimated 13,500 trees (down from original estimate of 15,000 trees) by FY2010.

Appendix A – Performance Accountability Report – contd.



OBJECTIVE 3: Implement infrastructure projects to meet the transportation needs of the residents of the District of Columbia.

 INITIATIVE 3.1: Begin the 11th Street Bridge project.

Fully Achieved. The District received a Record of Decision from the FHWA on its Environmental Impact Study for the project in FY2008. Five design-build teams have submitted SOQs for the project, and DDOT has begun industry review meetings with these firms.

 INITIATIVE 3.2: Initiate construction on three Great Streets corridors.

Partially Achieved. In FY2008, construction continued on the Benning Road reconstruction along with improvements to the intersection of New Hampshire and Georgia avenues. Construction on H Street, NE, began in FY2009. Other streets are in various stages of design with Pennsylvania Ave SE, Section II and Nannie Helen Boroughs slated for bidding and contract award next spring, and MLK Ave slated for bidding and contract award next fall.

 INITIATIVE 3.3: Complete portions of the Metropolitan Branch Trail.

Partially Achieved. Progress on the design of the FY08 segments of the Metropolitan Branch Trail has been delayed due to the difficulty in receiving control of the property. Design work is underway and the contractor may break ground by the end of the year on an initial segment. The trail from New York Avenue to Franklin Street, excluding the bridge, will be completed in the summer of 2009.

 INITIATIVE 3.4: Begin the design of the Frederick Douglass Memorial Bridge replacement.

Fully Achieved. In FY2008, DDOT continued environmental studies and commenced preliminary engineering activities for the construction of a replacement bridge to the south of the existing facility.

 INITIATIVE 3.5: Commence construction of the Anacostia Streetcar Demonstration Line.

Not Achieved. In FY2008, DDOT completed the design of the Anacostia Streetcar Demonstration Line and advertised the construction contract in the summer of 2008. DDOT has received two bids and expects to award the construction contract in the fall of 2008.

 INITIATIVE 3.6: Replace all series circuit streetlights by the end of FY08.

Fully Achieved. DDOT has completed series streetlight work at all three locations – Kenilworth Avenue, South Capitol Street, and Spring Valley.

OBJECTIVE 4: Respond effectively to our customers, District residents and visitors.

 INITIATIVE 4.1: Plow primary streets to bare pavement during snow events.

Fully Achieved. All primary streets were plowed to the new bare pavement standard during FY08 snow storms.

 INITIATIVE 4.2: Plan, initiate and communicate current year pavement ratings to the public.

Fully Achieved. DDOT's local and federally-funded contractor paving activity (streets, alleys, and sidewalks) was uploaded to DDOT's public webpage during the summer of 2008. Great care was taken to establish a format which would provide accurate and understandable information to the public.

 INITIATIVE 4.3: Implement a seven year pruning cycle program for Parks trees.

Fully Achieved. DDOT has begun a seven-year pruning cycle and has pruned all of the trees located at Parks Department Recreation Centers in FY2008.

Appendix A – Performance Accountability Report – contd.

Key Performance Indicators – Details

Performance Assessment Key:

☒ Fully achieved
 ☐ Partially achieved
 ☒ Not achieved
 ☒ Data not reported

	FY06 Actual	FY07 Actual	FY08 Target	FY08 Actual	FY09 Projection
OBJECTIVE 1: Ensure pedestrians and vehicles can travel safely throughout the District.					
☒ Percent change in injuries and traffic crashes: current year vs. 5 year rolling average	-8.8%	-8.8%	-5.0%	N/A	-9.0%
☒ Percent change in injuries and fatalities at high hazard intersections.	11.3%	11.3%	23.0%	N/A	11.50%
☒ Percent change in transit ridership (DC lines and WMATA, plus Circulator).	2.6%	1.0%	1.5%	5.3%	1.5%
☒ Percent of public space permits issued within 45 days	90.2%	90.5%	90.0%	95.0%	93.0%
OBJECTIVE 2: Ensure that the District's transportation infrastructure is in a state of good repair.					
☒ Percent of streets in Good or Excellent condition.	66%	63%	64%	TBD	64%
☒ Percent of blocks in paving plan completed.	N/A	20%	100%	59%	100%
☒ Percent of non-roadway assets (sidewalks, bridges, alleys, trees, parking meters, streetlights, and signs) in Good or Excellent condition*.	N/A	N/A	46%	N/A*	47%
☒ Number of public space violation citations per inspector labor hour.	0.015	0.023	0.025	0.033	0.028
OBJECTIVE 3: Implement infrastructure projects to meet the transportation needs of the residents of the District of Columbia.					
☒ Percent of current year projects completed within 10% budget (except for those with scope changes).	96.3%	91.7%	90.0%	N/A	N/A
☒ % of projects rated good or excellent by adjoining neighbors in post project survey.	N/A	N/A	N/A	N/A	N/A
☒ Percent of current year projects completed within 60 days of planned end date (except for those with scope changes).	96.3%	91.7%	90.0%	N/A	N/A
OBJECTIVE 4: Respond effectively to our customers, District residents and visitors.					
☐ Percent of snow events where new standards are met.	N/A	N/A	94%	75%	90%
☒ Percent of potholes filled within the new standards of 48 hours	N/A	N/A	95%	98.2%	95%
☒ Percent of parking meters working	N/A	N/A	95%	97%	97%
☒ Percent of tree population tended per year.	25.3%	26.4%	24.5%	34.7%	24.5%

*Percent of streets in good or excellent condition is reported quarterly as an estimate; it is listed as "N/A" for FY08 because the actual number is determined by a third party survey conducted after the fiscal year has ended.

Office of the
District of Columbia Auditor

[illegible]

ABBREVIATIONS	
ACS	DOT Vendor
ARA	DOT Vendor
IPMA	Infrastructure Project Mgmt Administration
OCA	Office of the City Administrator
OD	Chief of the Director, DOT
MPD	Metropolitan Police Department
MFA	Mass Transit Administration
MTA	Transportation Operations Administration
TDA	Transportation Policy & Planning Administration
TPFA	Urban Forestation Administration
UFA	WMATA Washington Metropolitan Transit Authority

	Adequate Controls	KPI 1.1: ▲ in injuries and traffic crashes
	At-Risk Controls	KPI 1.2: ▲ in injuries and fatalities at high hazard intersections
	Worst Controls	KPI 1.3: ▲ in transit ridership
	Percent Change Result Not Reported	KPI 1.4: % of public space permits issued in 45 days
		KPI 2.1: % of streets in Good or Excellent condition
		KPI 2.2: % of blocks in parking plan completed
	Result Reported	KPI 2.3: % of non-roadway assets in Good or Excellent condition
		KPI 2.4: Number of public space violation citations per Insp. labor hr
		KPI 3.1: % of current yr projects completed within 10 % of budget
	Result Reported	KPI 3.2: % of projects rated Good or Excellent by adjoining neighbors in post-project survey
		KPI 3.3: % of current yr projects completed within 80 days of planned end date
		KPI 4.1: % of snow events where new standards are met
	Result Reported	KPI 4.2: % of pot holes filled within the new standard of 48 hours
		KPI 4.3: % of parking meters working
		KPI 4.4: % of tree population felled each year

LEGEND

Appendix C – Certification Ratings

**Ratings Scale

Certified:

1. The reported performance indicator is accurate (+/- 5%); And
2. Adequate procedures are in place for collecting and reporting performance data.

Certified with Qualifications:

1. The reported performance indicator is accurate (+/- 5%); And
2. Adequate procedures are not in place for collecting and reporting performance data.

Not Certified:

1. Actual performance is not within 5% of reported indicator; Or
2. Actual data for the performance indicator could not be verified due to inadequate procedures, insufficient documentation, or because no data was reported by the agency.

Key Performance Indicators (KPIs)	An assessment of the accuracy, quality and utility of Performance Results				Evaluation of the procedures and internal controls used in the collection, analysis and reporting of performance data			
	Data Sampling and Testing Results	Judgement on KPI Accuracy	Assessment of Input Controls	Assessment of Process Controls	Assessment of Supervisory Controls	Assigned Rating**		
1.1 Percent change in injuries and traffic crashes: current year vs. five-year rolling average	Partial Sampling of Data from Third Party	Insufficient data to make determination	At-risk	At-risk	Weak	Not Certified		
1.2 Percent change in injuries and fatalities at high-hazard intersections	Partial Sampling of Data from Third Party	Insufficient data to make determination	At-risk	At-risk	Weak	Not Certified		
1.3 Percent change in transit ridership (D.C. lines of WMATA, plus Circulator bus)	Full Sampling of Data from Third Party	Deemed accurate	Adequate	Adequate	Adequate	Certified		
1.4 Percent of public space permits issued within 45 days	Data not Provided	Data not Provided	Information provided insufficient or Not Applicable	Information provided insufficient or Not Applicable	Information provided insufficient or Not Applicable	Not Certified		
2.1 Percent of streets in good or excellent condition	Data Not Reported	Deemed accurate; data collection fully automated	Adequate	Adequate	Adequate	Not Certified		
2.2 Percent of blocks in paving plan completed	Data Sampled via System Demo	Deemed accurate; data collection fully automated	At-risk	Adequate	At-risk	Certified with Qualifications		
2.3 Percent of non-roadway assets (sidewalks, bridges, alleys, trees, parking meters, street lights, and signs) in good or excellent condition	Data Not Reported	Deemed accurate; data collection fully automated	Adequate	Adequate	Adequate	Not Certified		
2.4 Number of public space violation citations per inspector labor hour	Data Sampled	Deemed accurate; data collection partially automated	Adequate	Adequate	Adequate	Certified		
3.1 Percent of current-year projects completed within 10 percent of budget (except for those with scope changes)	Data Not Reported	No data available to make determination	No information provided to make determination	No information provided to make determination	No information provided to make determination	Not Certified		
3.2 Percent of projects rated good or excellent by adjoining neighbors in post-project survey	Data Not Reported	No data available to make determination	No information provided to make determination	No information provided to make determination	No information provided to make determination	Not Certified		
3.3 Percent of current-year projects completed within 60 days of planned end date (except for those with scope changes)	Data Not Reported	No data available to make determination	No information provided to make determination	No information provided to make determination	No information provided to make determination	Not Certified		
4.1 Percent of snow events where new standards are met	Data Sampled	Deemed accurate	Adequate	Adequate	Adequate	Certified		
4.2 Percent of potholes filled within the new standard of 48 hours	Data Sampled via System Demo	Deemed accurate; data collection fully automated	Adequate	Adequate	Adequate	Certified		
4.3 Percent of parking meters working	Data Sampled via System Demo	Deemed accurate; data collection fully automated	Adequate	Adequate	Adequate	Certified		
4.4 Percent of tree population tended per year	Data Sampled via System Demo	Deemed accurate; data collection fully automated	Adequate	Adequate	Adequate	Certified		

AGENCY COMMENTS

AGENCY COMMENTS

On January 27, 2010, the Office of the District of Columbia Auditor submitted the report in draft for review and comment to the Director of the District Department of Transportation (DDOT). The Auditor did not receive a response from the DDOT Director.