

## **Accountability Report Transmittal Form**

Agency Name: The South Carolina Department of Transportation

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## **Section I- EXECUTIVE SUMMARY**

During Fiscal Year 2011-2012, the agency stabilized its cash posture and established new financial management processes; established a customer call center; reorganized Finance, Human Resources, and Administrative portions of our organization; initiated a requirements-based manpower analysis effort; and embarked on developing a new Strategic Management Plan.

### **I.1. Department of Transportation Purpose, Mission, and Vision**

#### **Purpose:**

The primary purpose of SCDOT is to provide adequate, safe, and efficient transportation services for the movement of people and goods. SCDOT has the responsibility for operating and maintaining 41,422 miles of roads and 8,383 bridges, which is the fourth largest state-owned highway system in the nation according to the Federal Highway Administration.

#### **Mission:**

Our mission extracted from statute: *“SCDOT shall execute the systematic planning, design, construction, maintenance, and operation of the state highway system and the development of a statewide intermodal and freight system that is consistent with the needs and desires of the public.”*

#### **Vision:**

Our vision is a brief statement that captures the essence of this Department’s focus, and direction and is intended to give unity and clarity to our individual and collective efforts to accomplish our mission. The SCDOT vision is, *“Striving to provide safe, reliable surface transportation systems and infrastructure and effective support for a healthy South Carolina economy through smart stewardship of all available resources.”*

### **I.2. Major Achievements from the Past Year**

The agency experienced numerous successes during the 2011-2012 fiscal year. These successes reflect the strong leadership and the hard work of the employees of SCDOT. Below are some of the highlights of the major SCDOT achievements and awards during FY 2011-2012:

- Corrected chronic cash management problems and late payment of invoices; instituted Project and Resource Analysis Meetings to manage obligations, workflow and cash flow
- Replaced 27 deficient bridges and repaired 1843 bridges
- Treated 700.6 miles of roads
- Celebrated the 11-year anniversary of the cable guard rail system across South Carolina
- Created and implemented an internet-based Maintenance Work Request System
- Completed I-26 Improvement Project in Charleston County
- Completed US 17- Phase I Widening and Safety Project in Colleton County
- Completed emergency repairs to SC 150 bridge over I-85 in Gaffney, ahead of schedule

- Completed emergency repairs to I-95 over the Lake Marion Bridge at the Clarendon-Orangeburg County line
- Implemented the 511 Traveler Information System in South Carolina
- Received AASHTO Award for “Best Transportation Projects” in the Under Budget Category for the I-385 Widening and Resurfacing in Laurens County
- Received AASHTO Award for “Innovative Management” for the Plan Online System
- Reorganization of critical areas within the agency
- Launched a new SCDOT website
- Successfully implemented SCEIS
- Facilitated the award of eleven scholarships to employees, spouses of employees, and dependents of employees actively enrolled in higher education on behalf of the Southeastern Association of State Highway Transportation Officials
- Received two TIGER III grants for \$12.1 million to construct southbound access for the I-95/US-301 interchange in Orangeburg County and \$12.6 million for the City of Beaufort to reconstruct and enhance Boundary Street, the city’s main thoroughfare

### **I.3. Key Strategic Goals for Present and Future Years**

SCDOT’s key strategic goals are outlined in the development of the agency’s Strategic Management Plan. This plan will capture goals for 2012-2015. Based upon the mission of SCDOT, tasks and requirements were grouped into six Critical Management Areas. The six critical management areas build on each other and are interconnected. These augment the mission and vision, as they remain central to our management efforts. The six Critical Management Areas are:

1. Workforce
2. Customer Service
3. Partnerships
4. Stewardship
5. Planning
6. Transportation Systems and Infrastructure

Additional information about SCDOT’s Strategic Management Plan can be found in Category 2: Strategic Planning.

### **I.4. Key Strategic Challenges**

The department’s biggest challenge is funding for the preservation of South Carolina’s aging highway system. SCDOT’s state funding comes primarily from the 16 cents per gallon motor fuel user fee, which was last adjusted over twenty-five years ago in 1987. According to the American Petroleum Institute, South Carolina’s “user fee” is now the fourth lowest in the nation.

### **I.5. How the Accountability Report is used to improve organizational performance**

This report, coupled with the agency's Strategic Management Plan, will evaluate progress towards improvements and target performance measures. This report is made available to all employees and its preparation is a shared project with all divisions and sub-divisions in the Department.

## **Section II – ORGANIZATIONAL PROFILE**

### **II.1. Your organization's main products and services and the primary methods by which these are delivered**

#### **Engineering**

- **Planning & Environmental** – develops the Statewide Multimodal Plan and manages resultant Statewide Transportation Improvement Program in consideration of roads, bridges, ports, rail, freight and transit; interfaces with all regulatory agencies in meeting requirements for permits.
- **Pre-Construction** – assists the agency in plan preparation, rights-of-way management, obligation management, surveys, local participation agreements, and four regional production groups
- **Construction** – provides construction contract administration for all highway contracts managed by the department's field construction forces, oversight of Research and Materials Office, Site Manager (contract management software), construction manual, construction contracts, bids and lettings
- **Maintenance** – manages the maintenance of the 4<sup>th</sup> largest highway system in the nation, as well as 8,383 bridges through rehabilitation, reconstruction, and preservation methods
- **Traffic** – maintains road inventory; provides staff expertise in all aspects of highway safety; assists the Agency in traffic guidelines, traffic data, Geographic Information System and mapping capabilities, hurricane evacuation information, railroad inspections, road naming, Safe Routes to School, and work zone safety guidelines

#### **Finance and Administration**

- **Accounting** – oversees Accounts Payable and Account Receivable disbursements and the general ledger section
- **Payroll** - provides SCDOT employees with the most accurate detailed information and personal support when it comes to payroll compensation
- **Procurement**- conducts and manages procurement for the acquisition of supplies or services; coordinates the negotiation of consultant contracts, reviews and approves consultant invoices, financial reports, and other billings, manages agency's file storage facility, and monitors consultant contract activity agency-wide
- **Toll Operations** - operates state owned toll facilities in an efficient manner that results in superior customer service and sound finances

- **Resource Management** – responsible for budget; Project and Resource Analysis Meetings (PRAM); Financial Planning

### **Intermodal & Freight Programs**

- **Public Transit** – provides planning, research, administrative functions of state and federal assistance programs, evaluation of existing and proposed programs, and coordination of mass transit projects statewide
- **Rail and Freight** - assists in the development, implementation, and coordination of comprehensive statewide rail and freight transportation plans with other modes of transportation to help facilitate effective and efficient interstate and intrastate movement of people and freight.

### **Support Services**

- **Building management** – provides safe working environment for SCDOT facilities and building grounds and performs day-to-day cleaning, maintenance and repair while upgrading the existing physical condition
- **Business Development & Special Programs**- ensures nondiscrimination in the award and administration of federally-funded contracts, and assists the agency with the Disadvantaged Business Enterprise program
- **ITS and CADD Management** - provides all CADD hardware and software, provides user training and end user assistance
- **Customer Call Center** – handles the agency's customer service requests, problems, or complaints in a central location with courteous and prompt responses.
- **Communications** - supports the agency's public relations and internal communications efforts through media relations, graphic design, photography and video production.
- **Oversize/Overweight Permits (OSOW)** - processes and issues OSOW permits in a timely manner and provides courteous customer service
- **Outdoor Advertising** - administers Highway Advertising Control Act, Junkyard Control Act and Vegetation Management Policy along Interstates, Federal-Aid Primary and National Highway System Routes through review and inventory
- **Postal Services** - provides mail service through pick up, delivery and processing
- **Records Management** – provides management of archived records and plans.

### **Human Resources**

- **Benefits** – administers and processes the State's Benefit Program including health, dental, life, vision, disability, and retirement
- **Classification/Compensation** – handles daily administration, manages succession planning, reviews position descriptions, and analyzes and assess justifications for requested salary actions and develop sound salary recommendations for management

- **Employee Relations** – governs and oversees affirmative action issues, grievances, grievance policy & procedures, overseeing disciplinary actions, affirmative action policy, sexual harassment policy, and workplace violence policy
- **Employee Development** – provides educational and professional training programs and handles employee award and recognition programs
- **Operations** – oversees job postings, applications, freedom of information, employee performance management system, recruiting, and employee classifications

#### Additional products and services

- Adopt A Highway program
- Assist Emergency Management Division with emergency situations and planning
- Beautification of roadsides
- Encroachment permits
- Environmental Stewardship
- Emergency customer service – toll-free hotline during weather related emergencies
- Governmental Affairs – federal and state
- Incident Response Teams (Blue Trucks)
- Legal Services
- Management of C-funds for 27 counties
- Operation and maintenance of rest areas on the interstates
- Pedestrian and bicycle accommodations
- Special Projects
- Staffing and managing design and construction of South Carolina Transportation Infrastructure Bank projects
- Scenic Byways
- Statewide Intermodal Planning
- Strategic Highway Safety Plan in partnership with Department of Public Safety
- Virtual Transit Enterprise
- Vehicle Acquisition Program (transit)

## II.2. Key customer/groups and their key requirements/expectations

- Federal Highway Administration (FHWA) expects compliance
- Federal Transit Authority (FTA) expects compliance
- Federal Rail Administration (FRA) expects compliance
- Motoring public expects well-maintained and safe roads
- Citizens who use public transportation expect safe and reliable transportation

## II.3. Key stakeholder groups (other than customers)

- Governor's Office
- General Assembly

- Local Governments
- SCDOT Commission

#### **II.4. Key suppliers and partners** (approximate numbers)

- 17,000 suppliers in SCDOT's Automated Procurement System
- 77 key suppliers
- 460 contractors

#### **II.5. Operating locations**

- SCDOT has presence in the state's 46 counties
- The central headquarters is located in Columbia

#### **II.6. The number of employees you have, segmented by employee category**

- 4,463 classified employees
- 4 unclassified employees
- 44 temporary employees
- 13 temporary grant employees

#### **II.7. The regulatory environment under which your organization operates**

- State and Federal laws
- Governor's policy
- SCDOT Transportation Commission
- Occupational Safety & Health Administration (OSHA)
- Federal Regulations
- National Environmental Policy Act of 1969 (NEPA)
- Permits (to include, but not limited to, 401 and 404 Permits (water quality and impacts to water in US), US Army Corp of Engineers, Department of Health and Environmental Control, Fish and Wildlife, Department of Natural Resources, etc.)

#### **II.8. Performance improvement system(s)**

- The Secretary evaluates each division's performance during quarterly meetings
- Senior leadership monitors specific strategic goals and objectives
- District personnel develop business plans
- Quarterly Employee Performance Feedback reviews
- Annual Employee Performance Management System (EPMS) reviews

#### **II.9. Organizational structure**

- SCDOT is a Cabinet agency

- The Governor appoints the Secretary of Transportation, who administers the day-to-day affairs of the Agency
- The Secretary of Transportation is assisted by a Chief of Staff and six Direct Reports
- Direct reports manage the following units within the agency:
  1. Engineering
  2. Finance and Procurement
  3. Human Resources
  4. Intermodal and Freight Programs
  5. Legal Services
  6. Support Services
- SCDOT is governed by a Transportation Commission, which is comprised of seven members, six of whom are elected by the legislative delegations of each of the state's Transportation Districts and one at-large member appointed by the Governor.
- The Commission body elects its own Chairman and sets policy for the agency

## II.10. Expenditures/Appropriations Chart

The expenditures and appropriations below reflect state and federal dollars.

Accountability Report Appropriations/Expenditures Chart						
Base Budget Expenditures and Appropriations						
Major Budget Categories	FY 10-11 Actual Expenditures		FY 11-12 Actual Expenditures		FY 12-13 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	\$ 182,647,909		\$ 175,186,058		\$ 182,240,396	
Other Operating	\$ 309,977,943	\$ 195,239	\$ 347,470,715	\$ 197,787	\$ 278,435,000	
Special Items	\$ -	\$ 3,131	\$ -			
Permanent Improvements	\$ 516,517,642	\$ 315,339	\$ 667,669,514	\$ 2,478,102	\$ 823,570,248	
Debt Service	\$ 4,567,972		\$ 59,024,347		\$ 4,981,752	
Distributions to Subdivisions	\$ 26,152,804	\$ 57,270	\$ 28,928,405	\$ 57,270	\$ 39,537,270	\$ 57,270
Fringe Benefits	\$ 70,005,758		\$ 69,938,580		\$ 73,000,000	
Non-recurring			\$ -			
<b>Total</b>	<b>\$ 1,109,870,028</b>	<b>\$ 570,979</b>	<b>\$ 1,348,217,619</b>	<b>\$ 2,733,159</b>	<b>\$ 1,401,764,666</b>	<b>\$ 57,270</b>



**II.11. Major Program Areas Chart**

Major Program Areas					
Program Number and Title	Major Program Area Purpose (Brief)	FY 10-11 Budget Expenditures		FY 11-12 Budget Expenditures	
		State:		State:	
		Federal:		Federal:	
		Other:		Other:	
		Total:		Total:	
		% of Total Budget:		% of Total Budget:	
05010000 - General Administration	General Administration is the agency-wide executive management and support service function.	State:		State:	
		Federal:		Federal:	
		Other:	48,099,663.33	Other:	43,164,255.89
		Total:	48,099,663.33	Total:	43,164,255.89
		% of Total Budget:	4%	% of Total Budget:	3%
200100000 - Engineering Administration	Program funds the core management to support the delivery of the highway construction program.	State:		State:	
		Federal:		Federal:	
		Other:	82,715,179.28	Other:	80,781,303.86
		Total:	82,715,179.28	Total:	80,781,303.86
		% of Total Budget:	7%	% of Total Budget:	6%
20030000 - Engineering Construction	Program funds the construction of roads, bridges, and rest areas.	State:		State:	
		Federal:		Federal:	
		Other:	626,578,599.67	Other:	885,339,701.98
		Total:	626,578,599.67	Total:	885,339,701.98
		% of Total Budget:	56%	% of Total Budget:	66%
20050000 - Highway Maintenance	Program funds the maintenance of roads, bridges, buildings, rest areas, and welcome centers.	State:		State:	
		Federal:		Federal:	
		Other:	217,370,942.60	Other:	218,561,937.26
		Total:	217,370,942.60	Total:	218,561,937.26
		% of Total Budget:	20%	% of Total Budget:	16%
35000000 - Non-Federal Aid Highway Fund	Program funds maintenance projects on state primary and secondary roads.	State:		State:	
		Federal:		Federal:	
		Other:	35,393,270.01	Other:	18,141,341.14
		Total:	35,393,270.01	Total:	18,141,341.14
		% of Total Budget:	3%	% of Total Budget:	1%
<b>Below: List any programs not included above and show the remainder of expenditures by source of funds.</b>					
05050000 - Land and Buildings					
30000000 - Toll Operations					
95050000 - State Employer's Contributions					
4000000 - Mass Transit					
99000000 - Capital Projects					
	<b>Remainder of Expenditures:</b>	State:		State:	
		Federal:		Federal:	
		Other:	100,283,352.30	Other:	104,962,238.15
		Total:	100,283,352.30	Total:	104,962,238.15
		% of Total Budget:	10%	% of Total Budget:	8%

**Section III – ELEMENT OF MALCOLM BALDRIGE CRITERIA****Category 1 – Senior Leadership, Governance, and Social Responsibility**

**III.1.1. How do senior leaders set, deploy, and ensure two-way communication throughout the organization and with customers and stakeholders, as appropriate for (a) short and long term organizational direction and priorities, (b) performance expectations, (c) organizational values, and (d) ethical behavior?**

The Direct Reports, under direction of the Secretary of Transportation, communicate with senior staff to review the goals and objectives in the agency's Strategic Management Plan. Both short and long-term goals are identified in the plan.

Act 114 of 2007, requires SCDOT Commissioners, the Secretary of Transportation, the Chief Internal Auditor and senior staff to take two hours of training every two years concerning ethics. All other employees received two hours of ethics training as required by Act 114.

Additionally, the Office of Chief Internal Auditor identifies potential risks resulting in fraud, waste, and abuse. A Fraud Reporting Hotline was developed and a post office box has been set up for the anonymous reporting of alleged fraudulent behavior.

#### **III.1.3. How does the organization address the current and potential impact on the public of its programs, services, facilities and operations, including associated risks?**

SCDOT uses a multitude of forums to determine and address highway and public transit issues that affect the public in South Carolina. The SCDOT Commission holds monthly meetings, which are open to the public. Additionally, public hearings are conducted before construction projects are permitted and approved.

SCDOT updates the State Transportation Improvement Plan (STIP) with input from the Regional Transit Authority, the Metropolitan Planning Organizations (MPO), and the Councils of Government (COG) which gathers input from all 46 counties. Public involvement is encouraged at all levels of a project, through public hearings, press releases, SCDOT website, newspaper editorials or announcements. SCDOT Public Hearing Officers facilitate the formal portion of public hearings to ensure feedback from the public in compliance with Act 114 of 2007.

#### **III.1.4. How do senior leaders maintain fiscal, legal, and regulatory accountability?**

The Office of State Auditor conducts an annual financial audit of the agency. The internal Office of Chief Internal Auditor reports directly to the SCDOT Commission and conducts regular audits. SCDOT places all expenditures on the South Carolina Government Transparency Website in accordance with Executive Order 2007-14.

#### **III.1.5. What performance measures do senior leaders regularly review to inform them on needed actions?**

In 2011, the Secretary instituted the Project and Resource Analysis Meeting (PRAM) to bring key leaders in the Engineering and Finance Divisions together bi-monthly. The PRAM group discusses budget, procurement, obligations, and cash flow issues. The Secretary has established a goal for FY12/13 to use these meetings as a forum to review performance measures of the Strategic Management Plan and key dashboard measures will be tracked and posted on the SCDOT web site when available.

**III.1.6. How do senior leaders use organizational performance review findings and employee feedback to improve their own leadership effectiveness, the effectiveness of management throughout the organization including the head of the organization, and the governance board/policy making body? How do their personal actions reflect a commitment to organizational values?**

Frequent meetings are held with employees and employees are encouraged to take training classes, and all managers and supervisors are required to take leadership training.

**III.1.7. How do senior leaders promote and personally participate in succession planning and the development of future organizational leaders?**

All managers and supervisors are required to take leadership training and are offered a high-level management training course that covers concepts such as leadership vision, creating a motivational environment, empowerment, delegation, goal setting, prioritizing, communication, and coaching.

**III.1.8. How do senior leaders create an environment for performance improvement and the accomplishment of strategic objectives?**

SCDOT encourages employee involvement in professional groups, education/certification courses, and best practices forums.

**III.1.9. How do senior leaders create an environment for organizational and workforce learning?**

Employees are encouraged to pursue professional training and continued education. SCDOT has internal training and also offers external training. Many of the in-house trainings offer classes to certify employees in different elements of their job. New employees are immediately introduced to the organization through E-learning, which is a web-based module for new employee orientation. This module acquaints new employees with SCDOT's organizational structure, providing an overview of Human Resources policies and procedures, professional development, and benefits, and includes information from both the Chief Internal Auditor's Office and the Safety Office.

**III.1.10. How do senior leaders engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?**

SCDOT employees are rewarded for their creativity and innovative ideas. SCDOT rewards innovation with three types of recognition: the Thank-You Card, the R.I.G.H.T. Award and the Excellence Award. The Thank-You Card is given by employees to fellow employees as a means of showing appreciation for helping one another. The R.I.G.H.T. Award enables employees in leadership positions to recognize employees by showing appreciation for an

employee who performs above and beyond his/her normal duties and responsibilities. Recipients are able to choose from a list of merchandise. The Excellence Award is designed to show appreciation for those exceptional employees that optimize superior performance. In FY 2011-2012, 169 employees received the R.I.G.H.T. Award.

In May 2012, in honor of National Public Employees Recognition Week, the Secretary of Transportation sent a letter to all employees thanking them for their efforts and contributions throughout the year.

**III.1.11. How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, the workforce, and the organization contribute to improving these communities.**

SCDOT is actively involved in strengthening the communities in which the agency's people work and live. Senior leaders often serve as guest speakers at the state and national levels. Many employees serve on intra-agency committees and task forces. To be good corporate citizens, SCDOT employees participate in numerous volunteer programs and activities throughout the year such as:

- “Adopt-a-DOT Family” – a voluntary program for SCDOT employees to provide food, gifts, and monetary donations to anonymous SCDOT employees/families who may be going through a difficult time and are in need
- American Heart Walk
- American Red Cross Blood Drive
- United Way
- Community Health Charities
- Engineering in Schools
- Lunch Buddies Program – a voluntary mentoring program for underprivileged children conducted by SCDOT employees
- Harvest Hope Food Bank
- Career Fairs
- Walk to School Day
- SCDOT Scholarship Program

**Category 2 – Strategic Planning**

**III.2.1. What is your Strategic Planning process, including key participants, and how does it address: (a) your organizations’ strengths, weaknesses, opportunities and threats (b) financial, regulatory, societal and other potential risks (c) shifts in technology and customer preferences (d) workforce capabilities and needs (e) organizational continuity in emergencies, and (f) your ability to execute the strategic plan**

The Secretary of SCDOT spearheaded the strategic process for the agency in early 2012. Since Secretary St. Onge's appointment in January 2011, the agency has undergone many positive changes, including the start of a Strategic Management Plan. The new Strategic Management Plan will be effective later this year.

The plan evolved early this year through a detailed management planning process with the Secretary and senior leaders. The initial step in the planning process was to identify the priorities of the agency, as well as the risks and mitigations of the agency, all which were a result of our strengths, weaknesses, opportunities, and threats. SCDOT conducted a risk assessment with related mitigation efforts. These risks contributed to the development of goals, objectives, and metrics. These documents are works-in-progress that have been shared with the Governor and the SCDOT Commission.

### **III.2.2. How do your strategic objectives address the strategic challenges you identified in your Executive Summary?**

The Strategic Management Plan is the foundational document that guides daily and long-term operations for the agency. The critical management areas (CMA's) of the plan are Workforce, Customer Service, Partnerships, Stewardship, Planning, and Transportation Systems and Infrastructure. The CMA's are interwoven by their objectives and are in concert with the challenge of funding for the aging highway system.

Funding for the aging highway system is a continual challenge. SCDOT coordinates with all Metropolitan Planning Organizations and Councils of Government to produce the Statewide Transportation Improvement Program (STIP), which identifies the transportation programs and projects across the state. The STIP is a scheduling and funding program document that is fiscally constrained. The future transportation projects and committed funds are yoked together in this program.

### **III.2.3. How do you develop and track action plans that address your key strategic objectives, and how do you allocate resources to ensure the accomplishment of your action plans?**

All strategic objectives are reviewed frequently by senior staff.

### **III.2.4. How do you communicate and deploy your strategic objectives, action plans and related performance measures?**

It is intended that appropriate business plans to support the Strategic Management Plan will be developed by each major organizational unit. SCDOT is still in the process of finalizing the Strategic Management Plan that will become effective later in 2012.

#### **III.2.5. How do you measure progress on your action plans?**

Quarterly updates regarding progress on performance measures will be available to all managers. Progress will be tracked using a web-based dashboard performance measurement, as well as through the Employee Performance Management System.

#### **III.2.6. How do you evaluate and improve your strategic planning process?**

SCDOT reviews the strategic planning process through periodic reviews by senior management.

#### **III.2.7. If the agency's strategic plan is available to the public through the agency's internet homepage, please provide a website address for that plan.**

SCDOT will host its new Strategic Management Plan on the [scdot.org](http://scdot.org) website once it has been deployed.

### **Category 3 – Customer Focus**

#### **III.3.1. How do you determine who your customers are and what their key requirements are?**

SCDOT determines its customers and their requirements by interacting with elected representatives and governmental agencies at the federal, state, county, and municipal levels. SCDOT holds public forums and performs specific surveys of different stakeholders. SCDOT also meets with chambers of commerce and civic organizations when invited.

#### **III.3.2. How do you keep your listening and learning methods current with changing customer/business needs and expectations?**

SCDOT is actively involved in a myriad of professional associations and is active in the university community. Some of the organizations include the American Association of State Highway and Transportation Officials, the Transportation Research Board, the Transportation Association of South Carolina, Transportation Curriculum Coordination Council, Community Transportation Association of America, American Public Transportation Association, and the American Society for Civil Engineers.

At the local level, SCDOT is involved in the community and its employees are members of community and support organizations. SCDOT has made multiple presentations to groups such as the Associated General Contractors of America, the American Planning Association, and the South Carolina Alliance to Fix Our Roads. Regular meetings are held with the assistance of the Associated General Contractors, American Council of Engineering



Companies, the Asphalt Association, the Concrete Association, and the Trucking Association to discuss issues regarding their respective industries.

**III.3.3. What are your key customer access mechanisms, and how do these access mechanisms enable customers to seek information, conduct business, and make complaints?**

Customers are able to contact SCDOT through telephone, personal contact, US mail, email, website comments, and customer surveys.

**III.3.4. How do you measure customer/stakeholder satisfaction and dissatisfaction, and use this information to improve?**

SCDOT measures customer and stakeholder satisfaction from the surveys obtained and numerous comments from the public via its website comment line. Based on the data collected, SCDOT is able to evaluate resourcing and process management to make improvements as necessary to the programs. SCDOT tracks all correspondence received (more than 70,000 requests annually) to ensure a timely response and resolution to issues of concern. In an effort to meet the needs of the public, SCDOT created a Customer Call Center earlier this year to handle telephone inquiries

**III.3.5. How do you use information and feedback from customers/stakeholders to keep services and programs relevant and provide for continuous improvement?**

SCDOT invites the public to information meetings on all major highway projects where program managers are present to answer questions regarding the project.

**III.3.6. How do you build positive relationships with customers and stakeholders to meet and exceed their expectations? Indicate any key distinctions between different customer and stakeholder groups.**

SCDOT management meets with stakeholders, like elected officials and environmental advocates, when necessary to understand their concerns conveyed on behalf of their constituencies as they relate to transportation projects.

**Category 4 – Measurement, Analysis, and Knowledge Management**

**III.4.1. How do you decide which operations, processes and systems to measure for tracking financial and operational performance, including progress relative to strategic objectives and action plans?**

The bi-monthly Project and Resource Analysis Meetings (PRAM) were established by the Secretary of Transportation to stabilize SCDOT's financial status. This was a precursor to the development of the new Strategic Management Plan. The goals, objectives and the business plans will be assessed periodically on a schedule tied to the PRAM. The review of

operations, processes, and systems will be discussed through constant review and updates to the Strategic Management Plan.

**III.4.2. How do you select, collect, align, and integrate data/information for analysis to provide effective support for decision making and innovation throughout your organization?**

SCDOT uses comparative data from other transportation agencies across the nation, Federal Highway Administration statistics, as well as information provided by professional organizations such as American Association of State Highway and Transportation Officials and the Transportation Research Board. SCDOT has a number of automated systems that allow it to select data to review for timely decision-making.

**III.4.3. What are your key measures, how do you review them, and how do you keep them current with organizational service needs and directions?**

Our key measures are customer satisfaction, financial stability, and safety and efficiency on highway infrastructure. Many of these are reviewed through the bi-weekly PRAM meetings and quarterly Strategic Management Plan meetings.

**III.4.4. How do you select and use key comparative data and information to support operational and strategic decision making and innovation?**

SCDOT focuses on the key measures above. SCDOT also uses comparative data from other state DOT's, either nationally or those in the southeast region.

**III.4.5. How do you ensure data integrity, reliability, timeliness, accuracy, security and availability for decision making?**

SCDOT consistently uses data from national and statewide sources, which have proven reliable, especially for trend data. The S.C. Enterprise Information System (SCEIS) went online for SCDOT in September 2011 and is the most significant change in agency data management. SCDOT continues to implement the system which will enhance the ability of management to evaluate financial and business trends.

**III.4.6. How do you translate organizational performance review findings into priorities for continuous improvement?**

Performance review findings indicate strengths and opportunities for improvement. These opportunities may require a shifting of resources or a need for training and corrective action.

**III.4.7. How do you collect, transfer, and maintain organizational and workforce knowledge (knowledge assets)? How do you identify, share and implement best practices, as appropriate?**



In the last year the PRAM meetings have been a critical source of gathering and sharing information. SCDOT compares processes used by other transportation departments to identify potential areas of growth.

## **Category 5 – Workforce Focus**

### **III.5.1. How does management organize and measure work to enable your workforce to: 1) develop to their full potential, aligned with the organization’s objectives, strategies, and action plans; and 2) promote cooperation, initiative, empowerment, teamwork, innovation, and your organizational culture?**

SCDOT is committed to developing and maintaining programs that foster individual growth for employees, target internal staff for advancement, and aid in creating a diverse workforce. Currently, SCDOT has reached 88.2% of its EEO/Affirmative Action goal attainment. This is attributed to the advertising and filling of positions internally.

### **III.5.2. How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations? Give examples.**

Communication is a key for SCDOT especially since a majority of the workforce is located in the districts that spread across South Carolina. In the field, quarterly meetings are held with the District Engineering Administrators and the Engineering Division Directors to discuss relevant issues and concerns, which are then relayed to employees. Monthly safety meetings are also held with all employees in the seven engineering districts within the Agency.

Additionally, the Human Resources Director meets with District HR Coordinators and Headquarters HR Liaisons to discuss relevant topics such as changes in policy and processes, new HR legislation, and other pertinent human resources issues. Communication of topic or issues is handled through meetings and in many cases, email broadcasts are used to disseminate information.

### **III.5.3. How does management recruit, hire, place, and retain new employees? Describe any barriers that you may encounter.**

SCDOT participates in several career fairs at learning institutions throughout the state. The Agency advertises its positions through a variety of sources in order to attract a diverse applicant pool.

### **III.5.4. How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels?**

In conjunction with the Employee Performance Management System (EPMS) review, SCDOT supervisors meet with their employees quarterly for general reviews and annually to identify at least three (3) professional development activities to be successfully completed

during the upcoming year in an effort to assist the employee in strengthening competencies in his/her current position and/or obtaining relevant skills in preparation for more responsible roles.

**III.5.5. How does your workforce performance management system, including feedback to and from individual members of the workforce, support high performance work and contribute to the achievement of your action plans?**

EPMS helps bring focus to the Agency's mission, strategic goals and values. Performance evaluations and ongoing input and feedback between staff and supervisors allow SCDOT to continuously focus on meeting the needs of customers and fulfilling the Agency's mission.

The Human Resources Office has collaborated with the Information Technology Department to continue improvements to the computerized program, HR Suite, which houses electronic versions of all position descriptions within the Agency. These improvements to HR Suite have directly affected EPMS preparation since the job description serves as a foundation for EPMS.

**III.5.6. How does your development and learning system for leaders address the following: a. development of personal leadership attributes; b. development of organizational knowledge; c. ethical practices; d. your core competencies, strategic challenges, and accomplishment of action plans?**

SCDOT participates in several structured leadership opportunities. For FY 2011-2012, five (5) SCDOT employees were enrolled in the Certified Public Manager Program that provides leadership development opportunities. Additional in-house training is offered - Essence of Leadership, Fundamentals of Human Resources Management, 7 Habits of Highly Effective People, and Resident Engineer Academy.

The SCDOT Commissioners, the Secretary of Transportation, the Chief Auditor and senior staff are required to take two hours of training every two years concerning ethics and the Administrative Procedures Act.

**III.5.7. How do you identify and address key developmental training needs for your workforce, including job skills training, performance excellence training, diversity training, management/leadership development, new employee orientation, and safety training?**

SCDOT has implemented cost-savings measures in the area of training, to include on-the-job training, on-line training, and by offering professional development opportunities within the Agency. SCDOT University is an online system based on the corporate university model. This model is designed to develop a more agile workforce, provide a core of technical training, focus on problem solving skills, analyze the workforce to anticipate new skill needs

as well as potential skill loss, and provide an orientation experience to motivate new employees.

As part of workforce planning for SCDOT's future staffing requirements, opportunities are available for selected staff to participate in the following programs:

- Associate Public Manager Program (APM)
- Engineering Orientation Program (EOP)
- Essence of Leadership
- Fundamentals of HR Management
- Human Resources Professional Development Program (HRPD)
- Public Professional Development Program (PPD)
- Resident Engineer Academy

Additionally, SCDOT requires its employees to attend Prevention of Workplace Violence training and Prevention of Sexual Harassment training. In FY 2011-2012, two hundred and one (201) employees were trained in Prevention of Workplace Violence; one hundred and sixty-four (164) employees were trained in Prevention of Sexual Harassment this fiscal year; and eighty-eight (88) were trained in the Fundamentals of HR Management.

New employees at SCDOT begin their employment with an orientation program through eLearning. The new hires learn about the Agency's organizational structure, mission, and values.

#### **III.5.8. How do you encourage on-the-job use of new knowledge and skills?**

All of the Agency's positions require specific knowledge, skills, and abilities to perform the essential and marginal functions of the job, which is tied to the Employee Performance Management Review. Employees must demonstrate proficiency in the knowledge, skills, and abilities required for their respective position.

#### **III.5.9. How does employee training contribute to the achievement of your action plans?**

One of the Agency's goals is to maintain a qualified, well-trained workforce. Employees have a development plan linked to their specific job duties. By improving the skills and knowledge of our workforce, we improve the products and services offered to our customers.

#### **III.5.10. How do you evaluate the effectiveness of your workforce and leader training and development systems?**

Training evaluations are distributed at the end of training classes for participants to offer feedback on the trainer and the class content. Training opportunities for all employees is compiled by hardcopy and electronically. These opportunities provide an overview from a

district and Headquarters viewpoint to ensure employees are appropriately trained to meet the needs of the Agency and their areas of expertise.

The HR Development unit continuously reviews training programs for cost-effectiveness and content. SCDOT has employed training delivery methods such as videoconferencing in order to reduce travel time and expense, and has also purchased e-learning authoring tools, which have enabled us to provide over forty-two (42) e-learning modules.

#### **III.5.11. How do you motivate your workforce to develop and utilize their full potential?**

SCDOT provides incentives and benefits to encourage employees to perform at their full potential. Below is a listing of formal and informal strategies that is offered to all SCDOT employees:

- Workforce planning
- Staff meetings
- Employee Appreciation Day (also includes discounts from other state agencies)
- Service Awards
- The Connector- spotlights an employee in each district in the quarterly publications
- Annual Employee Appreciation Night (entry for employee and family to the Capitol City Bombers Baseball Game)
- Ongoing opportunities for professional development training
- Wellness Screenings (Health-scan)
- District employee receive hearing evaluations
- Flexible Work Schedules
- Casual Fridays
- Employee Appreciation and Service Pins

#### **III.5.12. What formal and/or informal assessment methods and measures do you use to obtain information on workforce well-being, satisfaction, and motivation? How do you use other measures such as employee retention and grievances?**

SCDOT utilizes surveys to gather information from training classes, wellness events, and customer satisfaction levels. Responses to the surveys have been helpful in assessments. With an agency of approximately 5,000, the number of grievances remains low. There were 18 grievances filed in SCDOT for FY 2011-2012

Employees complete exit interviews upon the termination of their employment with SCDOT. The employee is encouraged to respond and return the form to SCDOT where the information is reviewed and evaluated.

#### **III.5.13. How do you manage effective career progression and effective succession planning for your entire workforce throughout the organization?**

Upon request, workforce planning reports are provided to management to use as a planning tool in anticipation of pending retirements. While these reports highlight positions held by TERI participants and those eligible for early and full retirement, special interest is given to positions filled by TERI employees, since their date of termination from the Agency is established. Currently, there are 253 employees participating in the TERI program. Within the next five (5) years at SCDOT, there are 1,632 (or 36.5%) employees eligible for retirement.

#### **III.5.14. How do you maintain a safe, secure, and healthy work environment?**

SCDOT has a Health and Wellness Program that is co-managed by the Agency's nurse and the benefits coordinators. Most work locations also have a volunteer wellness coordinator. SCDOT held four blood drives in FY 2011-2012. SCDOT participates in the South Carolina Budget and Control Board-sponsored Prevention Partners Wellness Walk.

Monthly the seven engineering districts have safety meetings. The Occupational Safety and Health office also produces a quarterly newsletter that is distributed to all employees. This office also conducts routine workspace inspections to identify safety and health hazards.

### **Category 6 – Process Management**

#### **III.6.1. How do you determine and what are your organization's core competencies, and how do they relate to your mission, competitive environment, and action plans?**

SCDOT's core competencies are overseeing the engineering and allocation of resources to build and maintain the state highway system, which is the statutory mission of the agency.

#### **III.6.2. How do you determine and what are your key work processes that produce, create or add value for your customers and your organization and how do they relate to your core competencies? How do you ensure these processes are used?**

SCDOT is guided by statutory requirements and federal and state regulations when determining our work processes and limits.

#### **III.6.3. How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?**

Each area within SCDOT has specific goals and measures related to respective fields. Much of the organizational knowledge is enhanced by using training resources specific to that area. For example, engineering uses training resources provided by the National Highway Institute, AASHTO, American Public Transportation Association, and other professional organizations to ensure standards and compatibility among states. Specific software systems, like AASHTO Bridge Inventory Systems, are utilized in all state Department of Transportations to ensure accepted design and delivery. The Department has active quality

teams for both construction and maintenance that ensure efficiency and effectiveness. As an extension of the Construction office, the Office of Materials and Research operates an accredited laboratory that tests material samples used in road construction projects that ultimately affects design and delivery of projects.

#### **III.6.4. How does your day-to-day operation of these processes ensure meeting key performance requirements?**

SCDOT ensures that key performance requirements are met by the development of performance measures that are incorporated in SCDOT's Strategic Management Plan. Accountability for the measures resides with the appropriate senior leader.

#### **III.6.5. How do you systematically evaluate and improve your key product and service related work processes?**

The Secretary of Transportation and senior management regularly review products and services provided by SCDOT. Results for each area are tracked and compared to results from previous years to determine positive or negative trends. Feedback provided from stakeholders, customers, and employees assists in determining program effectiveness.

The Code of Federal Regulations (CFR) 23 CFR 637 requires that SCDOT maintain a fully accredited testing laboratory. Annual accreditation of the Office of Materials and Research requires participants to maintain a high level of quality in personnel certification, equipment calibration, record keeping, and test result reporting. This accreditation in turn, ensures that SCDOT projects are constructed using proper techniques and appropriate materials.

#### **III.6.6. What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?**

The key support processes of SCDOT include Engineering, Finance and Administration, Intermodal and Freight Services, Human Resources, and Support Services in addition to many other auxiliary, yet critical, functions of the agency. SCDOT uses research, survey responses, state and agency comparisons, best practices, and tested information to improve processes.

#### **III.6.7. How does your organization determine the resources needed to meet current and projected budget and financial obligations?**

SCDOT uses historical data and analysis to estimate current and projected financial obligations. Bi-monthly, the PRAM group continues to meet and address financial obligations, budget, procurement, obligations, and cash flow issues. The focus of the meetings is on major payout inputs that include construction contracts, maintenance operations, procurement, payroll, debt service payments, and consultant contract.



One of the governing documents for transportation projects is the Statewide Transportation Improvement Program (STIP). The STIP is a scheduling and funding program document. It covers all federally funded improvements for which funding has been approved and that are expected to be undertaken during the upcoming six-year period. The STIP is updated every three (3) years; normal program amendments and corrections occur as necessary to keep the document current. This document assists the Agency in determining current and projected financial obligations.

### Category 7 – Key Results

#### III.7.1. What are your performance levels and trends for your key measures of mission accomplishment/product and service performance that are important to your customers? How do your results compare to those of comparable organizations?

##### Safety

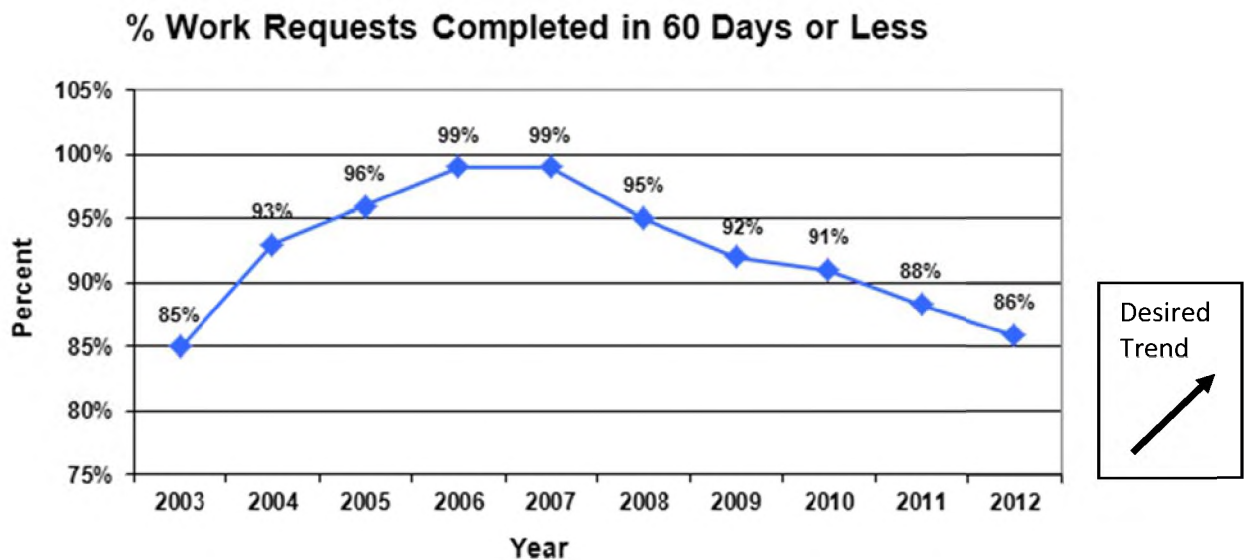
The SCDOT Incident Response Program celebrated 12 Years of Service in FY 2011-2012. This program uses specially equipped “blue trucks” along major corridors across the state. The truck are stamped with SCDOT’s logo and are equipped with arrow-boards, cones, tow ropes, fire extinguishers, fuel, water, and tools to enable quick clearance of incidents including traffic crash and disabled motor vehicles. The Incident Responders have contact with the Highway Patrol and other emergency responders. **Figure 7.1-1** depicts the number of motorists SCDOT’s Incident Response Program has assisted in the past three (3) fiscal years.

Incident Response Program			
Areas	FY2010	FY2011	FY2012
Columbia	5,315	5,327	7,584
Upstate (Greenville & Spartanburg)	4,985	4,672	5,295
Rock Hill	3,428	2,845	2,422
Charleston	10,269	10,255	10,115
Anderson	1,829	1,461	544
Myrtle Beach	3,710	3,272	2,869
Beaufort	1,600	1,615	103*
Florence	3,784	3,694	3,326
Cherokee	668	546	973
<b>Total Responses</b>	<b>35,588</b>	<b>33,687</b>	<b>33,128</b>
* Beaufort ceased operation on route August 31,2011			

**Figure 7.1-1**

### Customer Service

Customer service is and has been a major part of the Strategic Management Plan. To assist with the number of maintenance requests for the 41,422 miles of roads and 8,383 bridges across South Carolina, SCDOT created and implemented an Internet-based Maintenance Work Request System. To ensure these work requests are completed, SCDOT monitors its response to citizen work requests with a goal to complete all work requests within 60 days. SCDOT completed 86 percent of work requests within 60 days. **Figure 7.1-2** below shows this percentage.



**Figure 7.1-2**

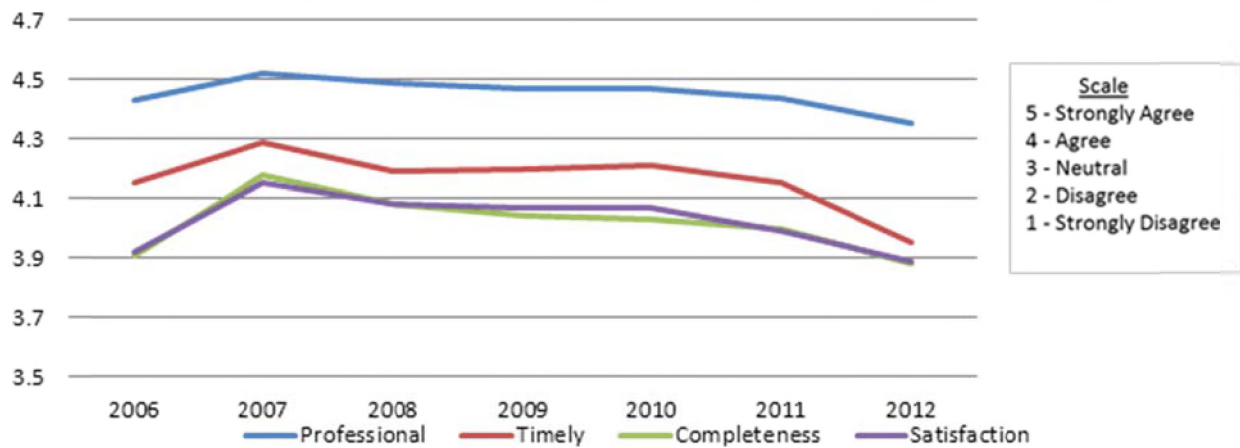
### III. 7.2 What are your performance levels and trends for your key measures on customer satisfaction and dissatisfaction (a customer is defined as an actual or potential user of your organization's products or services)? How do your results compare to those of comparable organizations?

#### Customer Survey - Maintenance

To evaluate customer service performance, the Maintenance Office has implemented a customer survey program. Feedback from this survey program helps gauge performance and identifies areas of opportunity for improvement. All negative responses are sent to the appropriate district with a request that the unsatisfied customer be contacted and additional effort made to improve service. Several districts and counties have also developed programs to improve their customer service performance. The results of this follow-up contact are then reported back to the Maintenance Office. Results are seen in **Figure 7.2-1** on the following page.



### Maintenance Customer Survey - Average Response



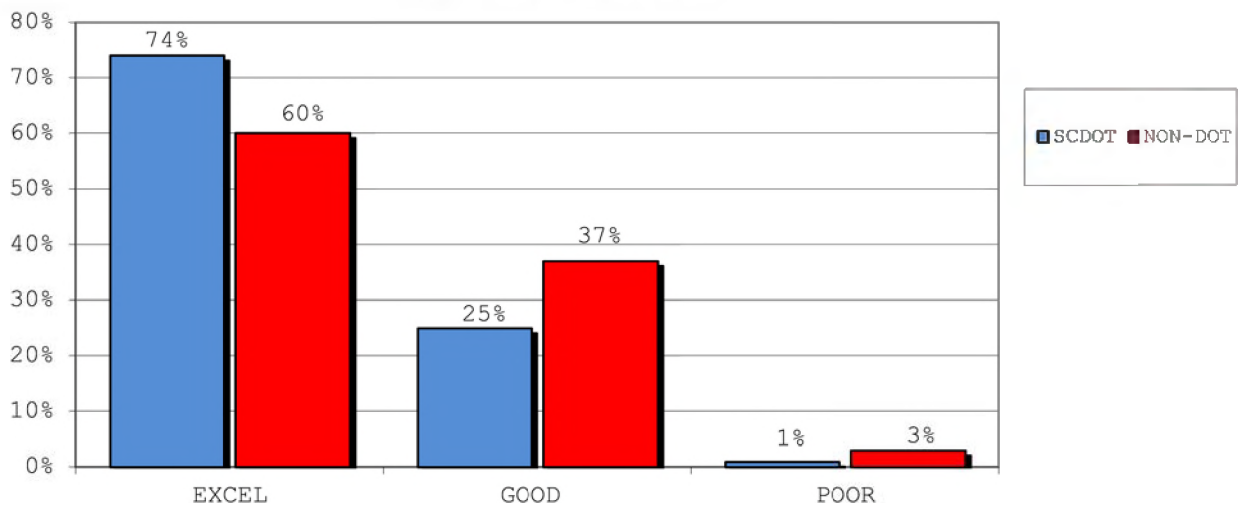
**Figure 7.2-1**

#### Customer Survey – Right of Way

SCDOT Right-of-way (ROW) agents negotiate with land owners on behalf of SCDOT to acquire the private property or gain the rights to use it. The Right-of-way agents prepare estimates of property value based on fair market value and present an offer to the landowner to accept or reject. On occasion, SCDOT will contract with third party agents to complete acquisition on a project. **Figure 7.2-2** shows the results of the landowner opinion survey for SCDOT agents and Non-DOT agents. The survey was implemented by the Right-of-Way Office.

### Landowner Opinion Survey Results

July 2011 – June 2012

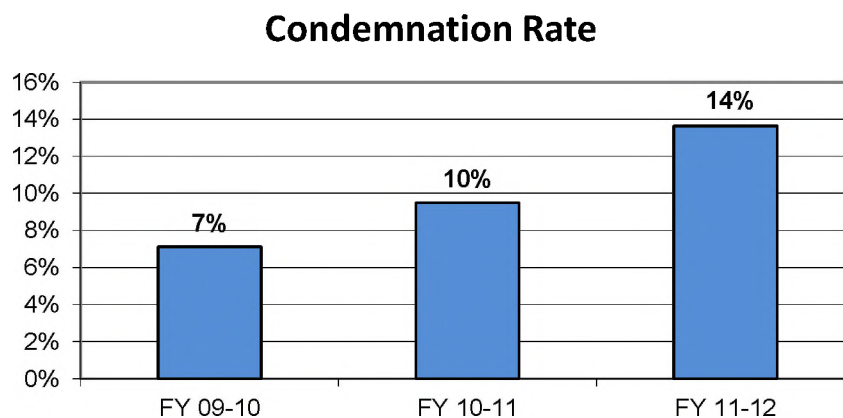


**Figure 7.2-2**

### III.7.3 What are your performance levels for your key measures on financial performance, including measures of cost containment, as appropriate?

#### Engineering - Condemnation Rate

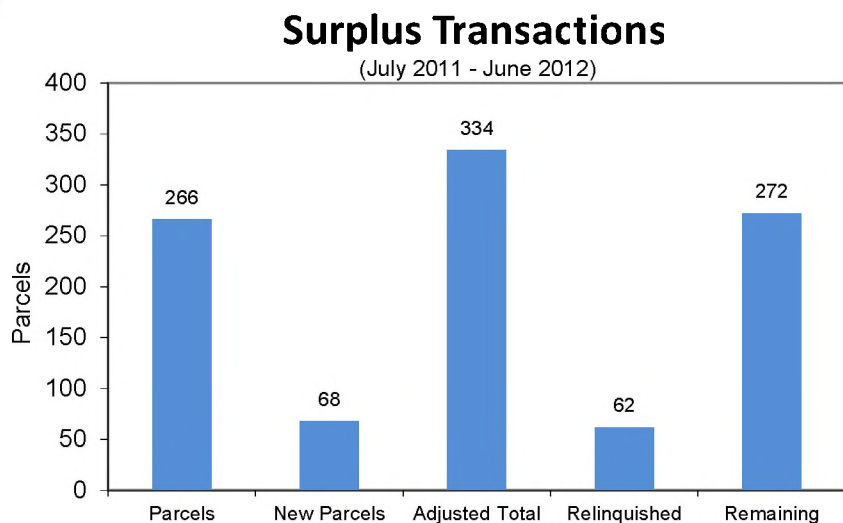
Right-of-Way (ROW) acquisition for highway and transportation projects can be expensive. An important performance indicator for ROW is cost to the project, which can be measured through condemnation rates. The lower the condemnation rate, the higher the successful ROW of acquisitions; therefore the lower the project cost. **Figure 7.3-1** depicts the condemnation rates for the last three years. In FY 2011-2012, there were 1012 parcels acquired; 874 (or 86 percent) were successful with 138 (or 14 percent) requiring condemnation.



**Figure 7.3-1**

#### Surplus Transactions

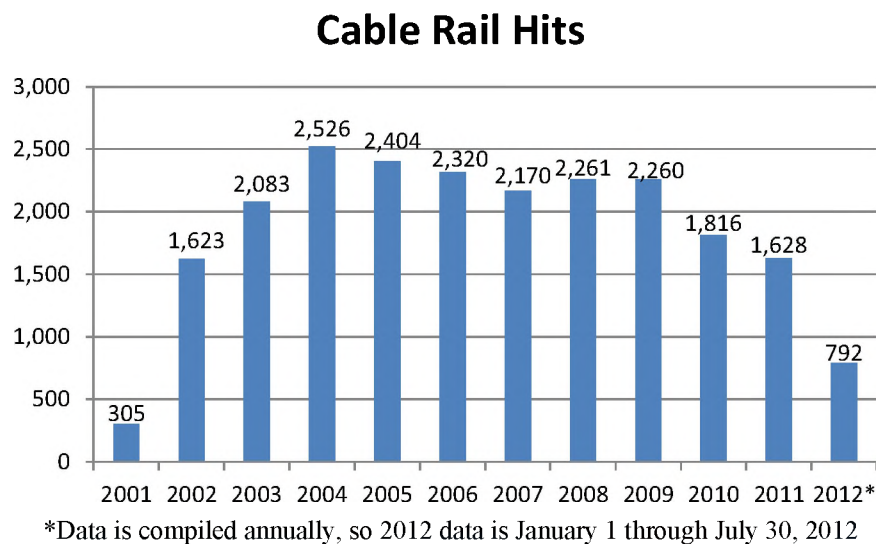
SCDOT tracks the number of parcels/land areas owned. Some of these parcels are deemed in excess to the Department's needs and can be sold. *Parcels* are areas of land, variable in size that SCDOT acquired for highway improvements that are surplus. Parcels are categorized into five (5) categories. *New parcels* are areas of land acquired under current projects and compile the Department's inventory. *Adjusted parcels* are the current number of surplus parcels and the new parcels added to inventory. The *Relinquished parcels* are those that have been conveyed. The *Remaining parcels* are the net figures of parcels on the Department's inventory after adjustments for sales and additions of new parcels. **Figure 7.3-2**



## Safety

SCDOT has installed 480 miles of this barrier on interstate and controlled access corridors since the inception of the program in 2001. There have been 22,188 hits on these cables by out-of-control vehicles from June 2001 to July 2012. The use of cable barriers has resulted in a significant reduction of crossover collisions on South Carolina's Corridors.

In the eleven year tracking period, there have been thirty-eight fatal collisions due to median crossovers on these routes. In calendar year 2011, seven of the twelve months had the lowest number of "hits" since the inception of the program.



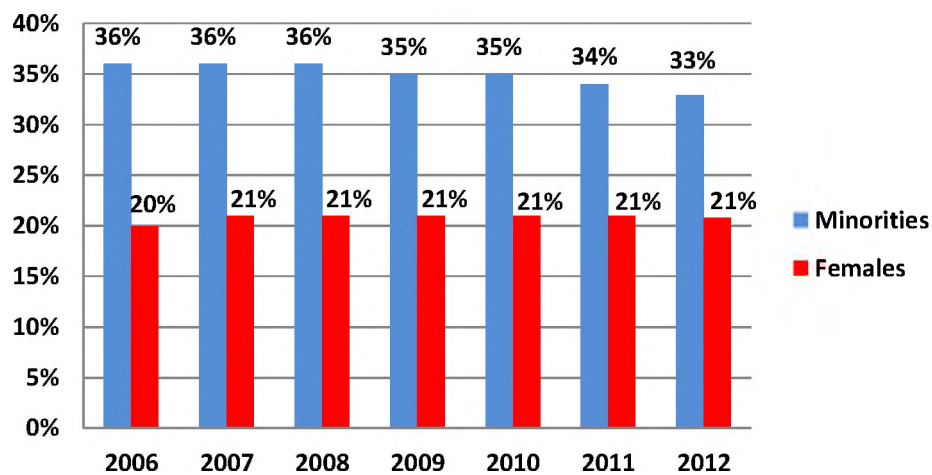
**Figure 7.3-3**

### III.7.4 What are your performance levels and trends for your key measures of workforce engagement, workforce satisfaction, the development of your workforce, including leaders, workforce retention, workforce climate including workplace health, safety, and security?

#### Workforce

The Human Resources Office supports employee development and the Agency's mission by focusing on programs, measurements, processes, and systems that recruit, retain, and professionally develop employees to obtain the necessary skills and competencies to meet future workforce needs and challenges. **Figure 7.4-1** reflects the Department's efforts to maintain a diverse workforce.

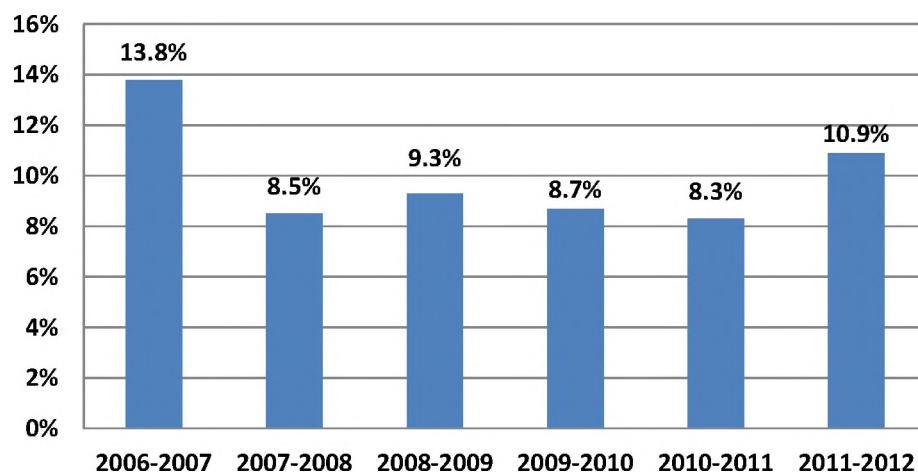
### SCDOT Total Workforce



**Figure 7.4-1**

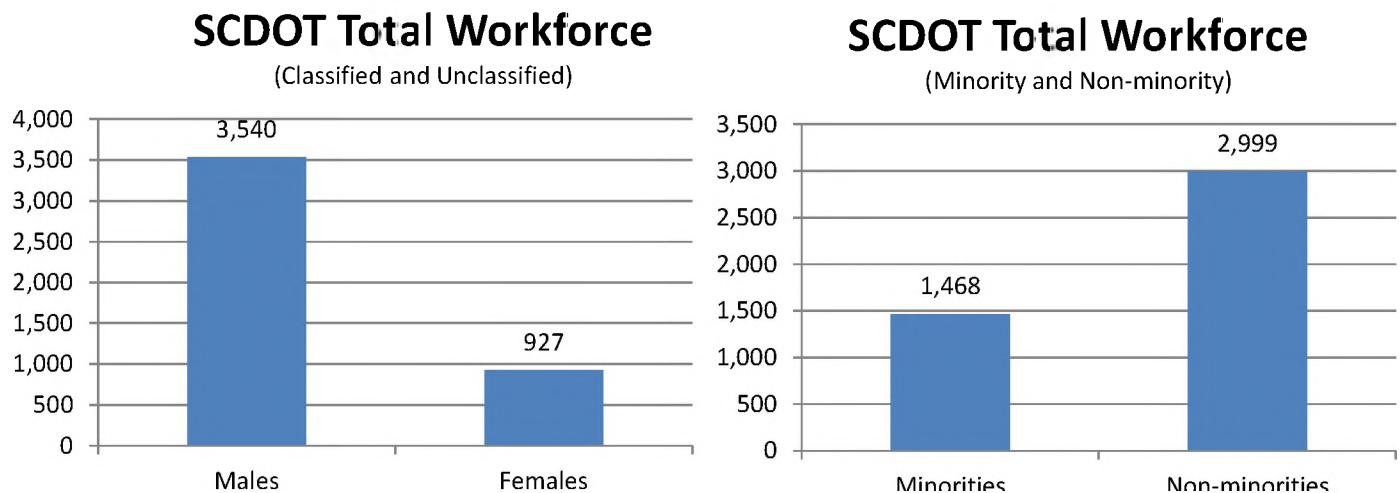
SCDOT analyzes turnover in a variety of ways in order to develop strategies to retain its most valuable asset, its employees. Turnover is analyzed by separation reason code, job classification, geographic location, and probationary status. Analysis of the FY 2011-2012 data reveals that the primary reasons for separation of employment are resignation (43.7%), full retirement (31.4%), and discipline (8.8%). **Figure 7.4-2** provides trend data for SCDOT employee turnover for the past five (5) years.

### SCDOT Turnover



**Figure 7.4-2**

**Figures 7.4-3 and 7.4-4** reflect the Department's efforts to have a diverse work force. Of the 4,467 classified and unclassified employees at SCDOT, there are 3,540 males (79.2%) and 927 females (20.8%) (see **Figure 7.4-3**). Of those represented, there are 1,468 (or 32.9%) minorities and 2,999 (or 67.1%) non-minorities (see **Figure 7.4-4**). When comparing SCDOT's workforce demographics to that of South Carolina State Government, SCDOT's minority population percentage is relative to the states.



### III.7.5 What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency, and work system performance (include measures related to the following: product, service, and work system innovation rates and improvement results; improvements to cycle time; supplier and partner performance; and results related to emergency drills or exercises)?

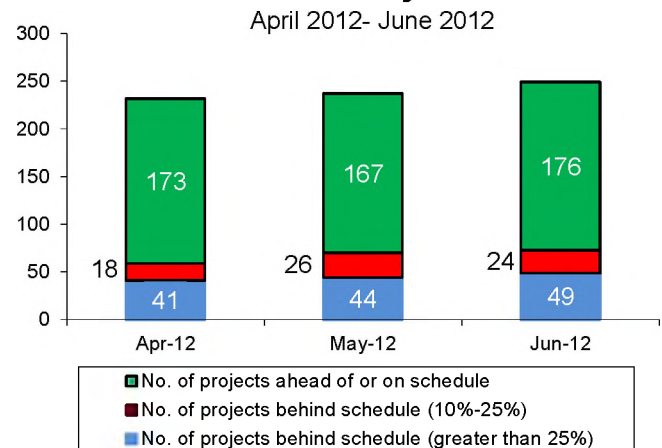
One of the major areas within SCDOT organization is the Engineering group that includes Planning and Environmental, Preconstruction, Construction, and Traffic Engineering. Each quarter a Dashboard report is captured on major components within these areas. A few charts from the 2012 final quarter (April-June) Dashboard report are included.

#### Project Schedule

A large portion of the SCDOT budget is dedicated to Construction. Project cost estimates for Construction are based on the project schedule. Typically, projects that are on schedule or ahead of schedule represent projects that are below or near the estimated cost. SCDOT tracks the schedule of all construction projects.

**Figure 7.5-1**

#### Construction Project Schedule



Below is a snapshot of the Dashboard report for Transportation Systems. These represent key measures for bridges, roadway systems, pavement service life, and traffic signal installations. These measures are tracked each month and are reported out quarterly. This report is for the final quarter April 2012 through June 2012.

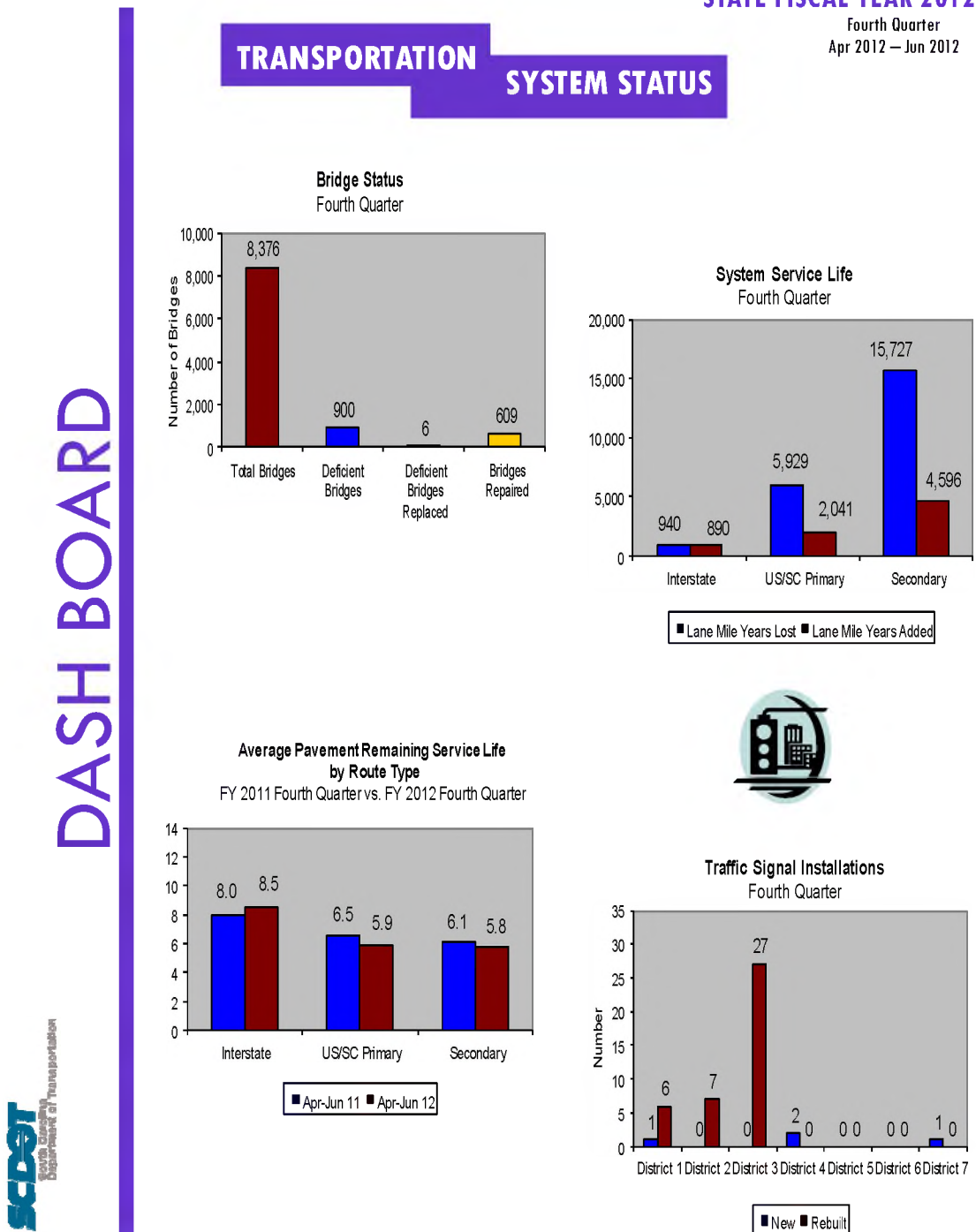


Figure 7.5-2

### III.7.6 What are your performance levels and trends for the key measures of regulatory/legal compliance and community support?

Some of the regulatory environments under which SCDOT operates, are the requirements to obtain permits. The permits vary in nature based on the project (bridge replacement, intersection improvement, roadway improvement, etc.). SCDOT tracks the number of permits submitted and the average number of days for the permits to be processed and issued. The approval time is the time from permit submittal to permit approval.

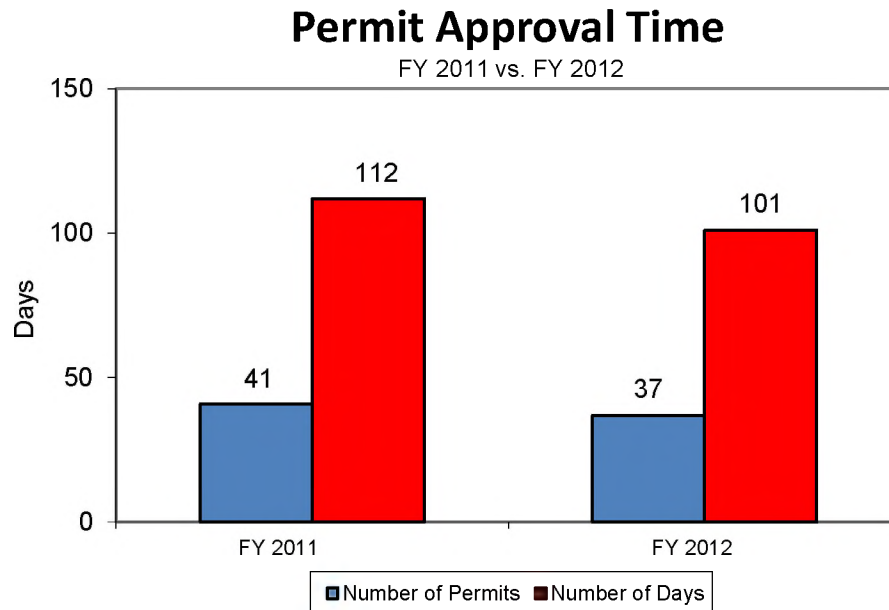


Figure 7.6-2