

PROGRAM EVALUATION REPORT

South Carolina Department of Transportation

Date of Submission: May 22, 2015 – **AMENDED 8-31-2015**

| | Name | Date of Hire | Email |
|--------------------------|------------------------|---------------|----------------------|
| Agency Director | Secretary Janet Oakley | May 22, 2014 | oakleyjp@scdot.org |
| Previous Agency Director | Secretary Bob St. Onge | Feb. 10, 2011 | rjstonge47@gmail.com |

| | Name | Phone | Email |
|--------------------|----------------|--------------|----------------------|
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The following information is provided by the Legislative Oversight Committee to comply with Section 2-2-60(A)

| | |
|---|---|
| Agency Program or Operations the Legislative Oversight Committee intends to Investigate: | All current agency programs |
| Information the agency must include in the Program Evaluation Report: | Information contained on the following pages in the Program Evaluation Report Guidelines. |
| Date the agency must submit the Program Evaluation Report to the House Legislative Oversight Committee: | May 22, 2015 – Original August 31, 2015 - Amended |

Testimony Provided in Effort to Build Greater Confidence in State Government

In an effort to build greater confidence in state government, I am signing my name below to affirm that I have reviewed and approve this report and the information contained in it. In addition, I affirm I am willfully submitting the information in this report as testimony before the Committee, as those terms are used in S.C Code Section 2-2-100. I understand that providing false, materially misleading, or materially incomplete information is a criminal offense.

In addition, by way of their signature on the attached Personnel Involved Chart, each person listed on that sheet(s) affirms they are willfully submitting the information, which appears in response to the question which is typed by their name in the Personnel Involved Chart, as testimony before the Committee, as those terms are used in S.C Code Section 2-2-100. Each person understands that providing false, materially misleading, or materially incomplete information is a criminal offense.

Current Agency Director
(Sign/Date):

See Original Copy

(Type/Print Name):

Janet P. Oakley, Secretary of SCDOT

Board/Commission Chair
(Sign/Date):

See Original Copy

(Type/Print Name):

Jim Rozier, Chairman of SCDOT Commission

PROGRAM EVALUATION REPORT

Standard Questions

General¹

1. See Excel Chart - Agency **Glossary Chart**.
2. See Excel Chart - Personnel **Involved Chart**.
3. The Appropriations Act includes “Major Program Areas.” Individual programs are often grouped together within one or more of these major areas. When thinking about the individual programs, how does the agency define the term “program” (i.e., what is an individual program mean at the agency)?
 - a. Anytime the agency sees the term “program” used in any questions in this report, it refers to an individual program and means the same as the agency has defined it in response to this question.

| | |
|---|--|
| I.A. General Administration | Agency-wide executive management and support service function. |
| II.A. Engineering Administration & Project Management | Program funds the core management and the statewide delivery of the annual highway and bridge programs. |
| II.B. Engineering & Construction | Program funds the construction and maintenance activities on roads and bridges statewide. |
| II.C. Highway Maintenance | Program funds the routine day-to-day maintenance of statewide roads, bridges, buildings, and other facilities, such as rest areas. |
| IV. Non Federal Aid Fund | Operating expenses for maintenance on non-federal aid secondary roads. |
| V. Mass Transit | Allocations and aid for transit services, equipment, and operating expenses. |
| VI. Employee Benefits | State employer contributions and total fringe benefits. |

4. Explain how the budget is broken down for agency management (including the director and deputy directors); outside of the way it is grouped for the Appropriations Act. If it is easier to simply provide a copy of the budget, in its most detailed version, the agency may do so.

¹ 2-2-60(B)(12) - any other relevant information specifically requested by the investigating committee.

PROGRAM EVALUATION REPORT

Management has access to the SCDOT annual budget and expenditures to date with a more detail analysis provided than would be viewed by simply looking at the Appropriations Act. A granular view of the budget would include information down to the cost center and project categories, for example; Bridges, Widening, and Operation & Safety. A granular view of expenditures to date would include information to the functional area and commitment item, which are the lowest levels of visibility and most granular view within the larger categories outlined in the Appropriations Act.

The agency monthly conducts a Program and Resource Analysis (PRAM) meeting where top management from each of the agency's divisions meet to discuss cash flows, project delivery status, contract and consultant status, manpower, budget and other resource allocation and utilization items.

5. Provide a list of the types of searches the agency can perform within the electronic version(s) of its budget, maintained at the agency (i.e. budget by year, office, department, program, etc.)

Currently, SCDOT management has access to budget/expenditure information in many formats. For example; state fiscal year reporting to date, budget and expenditure data by department, by cost center, by type of budget category, by type of expenditure category (General Ledger Classification), by source of funds (State, Earmarked, Restricted and Federal), and various reports extracted from SCEIS depending upon specific search criteria. Additionally, SCDOT monitors future commitments and construction obligations in an effort to prudently manage agency budget and cash beyond the current fiscal year.

PROGRAM EVALUATION REPORT

Performance, Organizational Structure and Responsibilities²

1. Does the agency have a strategic plan other than the one it provided in the Strategic Plan Template of the FY 2013-14 Accountability Report? If yes, please provide the Committee a copy and state the date it was last updated (if that information is not included on the printed version of the strategic plan).

The "Strategic Direction" is the title for the strategic plan of the Agency and is included. It was last updated in the summer of 2014.

2. See Excel Chart - **Funding Sources Chart**.
3. See Excel Charts - **Strategic Plan Investment Chart** and **Performance Measures Status Chart**.
4. See Excel Chart - **Program Effectiveness Ranking Chart**.
5. See Excel Charts - **Program Details Charts** for each individual agency program.
6. Are there any reports or reviews based on an audit or investigation of the agency during the last ten years that are not linked under Legislative Audit Council, or the agency, on the publications page of www.statehouse.gov? If so, please provide the Committee a copy of these reports.

The reports and reviews of the Office of the Chief Internal Auditor are posted on the SCDOT website and are located at: http://www.scdot.org/inside/Internal_Auditor/reports.aspx.

² 2-2-60(B)(2) (a)-(c) - a description of each program administered by the agency identified by the investigating committee in the request for a program evaluation report, including the following information: (a) established priorities, including goals and objectives in meeting each priority; (b) performance criteria, timetables, or other benchmarks used by the agency to measure its progress in achieving its goals and objectives; (c) an assessment by the agency indicating the extent to which it has met the goals and objectives, using the performance criteria. When an agency has not met its goals and objectives, the agency shall identify the reasons for not meeting them and the corrective measures the agency has taken to meet them in the future; 2-2-60(B)(3) - organizational structure, including a position count, job classification, and organization flow chart indicating lines of responsibility; 2-2-60(B)(6) - identification of the constituencies served by the agency or program, noting any changes or projected changes in the constituencies;

PROGRAM EVALUATION REPORT

Public³

1. See Excel Chart - **Paperwork Filed by the Public Chart**.

Are there any other agency policies for collecting, managing, and using personal information over the Internet, which were not described in the Paperwork Filed by the Public Chart? If so, please explain. Yes.

Once SCDOT collects any information that is defined as Personally Identifiable Information (PII), federal and state laws dictate how that data is handled. These laws cover PII in electronic form, as well as, hard copies. The Privacy Act of 1974 and the SC Code of Laws (Title 30 Public Records Article 1 Family Privacy Protection Act of 2002) require that personal information be secured. Personal information is defined as "information that identifies or describes an individual including, but not limited to, an individual's photograph or digitized image, social security number, date of birth, driver's identification number, name, home address, home telephone number, medical or disability information, education level, financial status, bank account numbers, account or identification number issued by or used, or both, by any federal or state governmental agency or private financial institution, employment history, height, weight, race, other physical details, signature, biometric identifiers, and any credit records or reports. Handling PII data is covered in SCDOT's IT Risk Strategy and Data Protection & Privacy Policies.

Additionally, SCDOT has departmental memorandums entitled, "Establish guidelines for Network, E-Mail, and Internet Use (Departmental Directive #37)" and "Internet Content Policy and Procedures (Departmental Directive #39)."

2. Are there any other agency policies for collecting managing, and using personal information non-electronically, which were not described in the Paperwork Filed by the Public Chart? If so, please explain.

Yes, SCDOT has an internal policy (Departmental Directive #38) entitled "Provide for the Timely Notification to Designated Contact of an Employee who Dies While on the Job" that contains personal information and is maintained by the appropriate supervisor.

3. See Excel Chart - **Agency Information Available to the Public Chart**.

Cooperative Arrangements and Alternative Delivery⁴

³ 2-2-60(B)(11) - a list of reports, applications, and other similar paperwork required to be filed with the agency by the public. The list must include: (a) the statutory authority for each filing requirement; (b) the date each filing requirement was adopted or last amended by the agency; (c) the frequency that filing is required; (d) the number of filings received annually for the last seven years and the number of anticipated filings for the next four years; (e) a description of the actions taken or contemplated by the agency to reduce filing requirements and paperwork duplication; 2-2-60(B)(10) - agency policies for collecting, managing, and using personal information over the Internet and non-electronically, information on the agency's implementation of information technologies;

⁴ 2-2-60(B)(5) - identification of areas where the agency has coordinated efforts with other state and federal agencies in achieving program objectives and other areas in which an agency could establish cooperative arrangements including, but not limited to, cooperative

PROGRAM EVALUATION REPORT

1. Do the agency's strategies or objectives reflect specific activities by the agency to ensure coordination of its efforts with other agencies that share a similar goal? If not, please explain why. If yes, please list which strategies and/or objectives. With respect to Strategies 3.2 and 3.3, SCDOT leads and staffs the South Carolina Interagency Transportation Coordination Council, established by Executive Order 2009-13 on September 25, 2009. The Executive Order identified 19 seats for state agencies, legislative appointments, and public transit agency representatives, and the Council is tasked with planning and developing mechanisms for increasing coordination of transit funding streams and resources at both the state and local levels, and enhancing coordination between resource agencies in order to maximize the efficient use of public transportation. With respect to Strategy 4.1, SCDOT instituted and leads the Statewide Freight Advisory Council, whose invited membership is made up of nine industry trade associations and six seats for state agencies, the Federal Highway Administration, and the state's regional councils of Governments. The Freight Advisory Council directly advises SCOOT on freight-focused transportation infrastructure needs and strategies, and developing collaborative freight transportation initiatives.
2. Please identify other areas where the agency could establish cooperative arrangements, including, but not limited to, cooperative arrangements to coordinate services and eliminate redundant requirements, which were not identified in the Paperwork Filed by the Public Chart.
Cooperative agreements could be established for participation agreements on partnered projects with the County Transportation Committee (paving, widening, etc.), county and municipal governments, as well as, adjacent states for shared assets.
3. Please provide a summary of all efforts by the agency regarding the use of alternative delivery systems, including privatization, in meeting its goals and objectives, outside those identified in the individual Program Details Chart and in the Paperwork Filed by the Public Chart.
 - Partnerships and Collaboration with Other State Agencies:
 - State Infrastructure Bank – capital projects
 - Dept. of Health and Environmental Control - regulatory
 - Dept. of Parks and Recreation – welcome centers
 - Dept. of Motor Vehicles – traffic records
 - Department of Public Safety – highway safety
 - Dept. of Natural Resources - regulatory
 - Emergency Management Division – emergency events
 - SC Dept. of Health and Human Services – transit
 - Lieutenant Governor's Office on Aging – transit
 - SC Dept. of Disabilities and Special Needs – transit
 - SC Dept. of Employment and Workforce – transit

arrangements to coordinate services and eliminate redundant requirements; 2-2-60(B)(7) - a summary of efforts by the agency or program regarding the use of alternative delivery systems, including privatization, in meeting its goals and objectives;

PROGRAM EVALUATION REPORT

- SC Dept. of Social Services – transit
- Office of Regulatory Staff – transit
- SC Vocational Rehabilitation Department – transit
- Dept. of Corrections – litter control
- SC Dept. of Commerce – capital projects and planning
- SC State Ports Authority – capital projects and planning
- Partnerships and Collaboration with Cities and Counties:
 - Municipal agreements
 - Local Program Administration
 - Local participation agreements
 - Maintenance agreements
 - Intergovernmental agreements
 - Metropolitan Planning Organizations
 - Councils of Governments
 - FTA Fund Sub-recipients
- Privatization:
 - Design/Build
 - Construction and maintenance contracts
 - Bridge asset management contracts
 - Training
 - Professional services
- Partnerships with Federal Regulatory Agencies (FHWA, FTA, Army Corps of Engineers, EPA, USFWS)
 - Innovative financing
 - Accelerated project delivery
 - Best practices
 - Permitting and Mitigation
- Partnerships with Neighboring States
 - Delivery of state line bridge and road projects

Laws⁵

1. See Excel Chart - **Evaluation of Legal Standards Chart.**

⁵ 2-2-60(B)(1) - enabling or authorizing law or other relevant mandate, including any federal mandates; 2-2-60(B)(9) - a comparison of any related federal laws and regulations to the state laws governing the agency or program and the rules implemented by the agency or program;