

SCDOT Implementation Plan - 2016 LAC Audit

No.	LAC Recommendation	Agency Response	SCDOT Action Item	Implementation Timeframe
1	The General Assembly should amend SC Code 1-30-10 to designate either the Secretary or the Commission, but not both, as the governing authority of the S.C. Department of Transportation.	Concur	SCDOT is monitoring legislation concerning governance and assisting members of the General Assembly and legislative staff when requested.	NA
2	The General Assembly should amend SC Code 57-1-360 to prohibit the S.C. Department of Transportation Commission from taking action that impairs the independence of the chief internal auditor or is in conflict with accepted standards as identified in the appropriate professional association pertaining to the internal audit.	Concur	The SCDOT Commission looks forward to working with the General Assembly to address any issues of independence related to the Chief Internal Auditor.	NA
3	The Audit Committee of the S.C. Department of Transportation should change the three revisions to the Chief Internal Auditor’s position description back to the original wording.	Non-Concur	The SCDOT Commission believes that the Internal Audit functions should focus on risk assessment. According to IIA Standard 2100, “the internal audit activity must assess and make appropriate recommendations for improving the governance process in its accomplishment of the following objectives: 1) promoting appropriate ethics and values within the organization; 2) ensuring effective organizational performance management and accountability; and 3) communicating risk and control information to appropriate areas of the organization.	NA
4	The S.C. Department of Transportation should require that interpretations of the statute creating and concerning the Office of the Internal Auditor be constructed and submitted through the regulatory process so that the regulations receive legislative approval.	Concur	The SCDOT Commission is working with SCDOT's Chief Legal Counsel to draft language to introduce during the 2017 legislative session.	Prior to 12/31/17
5	The General Assembly should amend SC Code 57-1-360 to include the Chief Internal Auditor’s duties.	Concur	The SCDOT Commission is working with SCDOT's Chief Legal Counsel to draft language to introduce during the 2017 legislative session.	Prior to 12/31/17
6	The S.C. Department of Transportation Commission’s Office of the Chief Internal Auditor should conduct annual department-wide risk assessments to determine which areas within the organization to audit.	Concur	The Chief Internal Auditor will update its department wide risk assessment and will complete one annually.	Ongoing
7	The S.C. Department of Transportation Commission should consider incorporating the Corporation of Sponsoring Organizations’ enterprise risk management program at the department.	Concur	The SCDOT Commission is pursuing how to best accomplish this.	Prior to 12/31/17
8	The S.C. Department of Transportation Commission should reinstall the hotline under the Office of Chief Internal Auditor or ensure that the Office of the Chief Internal Auditor is aware of all complaints that are referred by the Inspector General if the hotline is not reestablished under the Office of the Chief Internal Auditor.	Non-Concur	The SCDOT Commission believes that the Institute of Internal Auditors (IIA) Standard 2100 (Nature of Work) makes it clear Internal Audit has an obligation to look at governance. According to IIA Standard 2100, “the internal audit activity must assess and make appropriate recommendations for improving the governance process in its accomplishment of the following objectives: 1) promoting appropriate ethics and values within the organization; 2) ensuring effective organizational performance management and accountability; and 3) communicating risk and control information to appropriate areas of the organization.	NA
9	The S.C. Department of Transportation Commission should develop an investigator or compliance officer position within the Office of the Chief Internal Auditor.	Concur	A Position Description was developed and applications have been received for a compliance officer position to work for the Office of Chief Legal Counsel.	Complete
10	The S.C. Department of Transportation should notify all employees that complaints should be directed to the Office of the Chief Internal Auditor’s compliance officer or investigator.	Concur	Once a compliance officer is hired, the Secretary of Transportation will notify employees that complaints should be directed to that person.	Prior to 1/31/17

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11	The Office of the Chief Internal Auditor should periodically conduct a risk assessment on major IT systems at the S.C. Department of Transportation to determine any vulnerable systems that need to be audited.	Concur	OCIA is working with agency procurement to develop an RFP to acquire software that will audit IT systems.	Prior to 12/31/17
12	The Office of the Chief Internal Auditor should establish a follow-up process to monitor the implementation of audit recommendations.	Concur	The SCDOT Commission will establish a follow-up process for OCIA to monitor the implementation of audit recommendations.	Prior to 12/31/17
13	The Office of the Chief Internal Auditor should conduct follow-up audits of its BAMS-DSS and SiteManager audits.	Concur	OCIA is working with agency procurement to develop an RFP to acquire software that will audit IT systems, including the BAMS-DSS and SiteManager systems.	Prior to 12/31/17
14	The S.C. Department of Transportation should seek equivalency approvals from the Division of State Human Resources for those employees who do not meet the minimum qualifications for their job class and for whom there is not an approval on file and reclassify those not approved.	Concur	HR is writing a procedure to ensure that equivalency approvals are obtained from the Division of State Human Resources for employees who do not meet the minimum qualifications for their job class.	Prior to 7/1/16
15	The S.C. Department of Transportation should request a change of the state job classification to separate the “engineer” and “associate engineer” positions into separate classifications with appropriate minimum educations and experience requirements for each.	Concur	HR is submitting a formal request to the Division of State Human Resources to separate "engineering" and "associate engineering" positions.	Prior to 1/31/17
16	The S.C. Department of Transportation’s Human Resources Department should ensure that all changes to salaries include a justification.	Concur	HR is writing a procedure to ensure that changes to salaries include a justification.	Prior to 7/1/16
17	The S.C. Department of Transportation should add performance measures related to encroachment permit processing times to the annual accountability report and make the information available on the department website.	Concur	Encroachment Permit processing times are currently an Engineering Division Goal and have been added to the Secretary's Monthly Management Report for publication. This measure will be migrated over to the Performance Management Dashboard and will be included in the updates to the Strategic Plan and Annual Accountability Report.	Prior to 1/31/17
18	The S.C. Department of Transportation should add stronger controls to the encroachment permit processing system to prevent employees from altering dates or permit status after being set by the system.	Concur	SCDOT will modify EPPS to strengthen internal controls by requiring only supervisors to alter dates and other critical information that relates to the performance measures.	Prior to 7/1/16
19	The S.C. Department of Transportation should measure and report the timeliness of completing maintenance work requests submitted by the public on a quarterly basis on the department website.	Concur	Timelines for completing maintenance work requests is currently an Engineering Division Goal and has been added to the Secretary's Monthly Management Report for publication. This measure will be migrated over to the Performance Management Dashboard and will be included in the updates to the Strategic Plan and Annual Accountability Report.	Prior to 1/31/17
20	The S.C. Department of Transportation should capture and retain work request completion timeliness data so that performance can be measured over time.	Concur	Historical data regarding timelines for completion of maintenance work requests is being captured and trend lines will be reviewed.	Ongoing
21	The S.C. Department of Transportation should require that any county maintenance office or district that is not meeting the target completion percentage file a plan with the Director of Maintenance to meet the goal within a defined period of time.	Concur	The Engineering Division has developed internal goals regarding timelines for completion of maintenance work requests. County offices showing underachievement in this area will be required to develop a corrective action plan annually.	Ongoing
22	The S.C. Department of Transportation should implement a policy to require that any requests for assistance from a local government entity for work to be performed outside of the department’s right-of-way be submitted in writing on official letterhead.	Concur	An Engineering Directive will be developed to require requests for assistance from a local government entity for work to be performed outside of the Department's right-of-way for public benefit be submitted in writing on official letterhead.	Prior to 1/31/17

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23	The S.C. Department of Transportation should reinstate Departmental Directive 49 addressing the prohibition of the use of departmental resources on private property and it should be applicable to all departmental employees, not just those in engineering units.	Concur	This directive was reinstated and signed by the Secretary of Transportation on April 8, 2016.	Complete
24	The General Assembly should add language to state statute prohibiting the use of S. C. Department of Transportation resources, including personnel and equipment, on private property unless there is a legitimate departmental purpose involved.	NA	NA	NA
25	The S.C. Department of Transportation should revise Engineering Directive 34 to require that the decisions of the Value Engineering Review Committee and the alternatives considered be presented to the Secretary of Transportation and the SCDOT Commission.	Concur	Engineering Directive 34 will be revised to require a Value Engineering Summary Report be submitted to the Secretary of Transportation and SCDOT Commission.	Prior to 7/1/16
26	The S. C. Department of Transportation should incorporate environmental sustainability, project delivery, and organizational excellence into its current strategic plan.	Non-Concur	SCDOT agrees that project delivery and organizational excellence would be good additions to the next update of the Strategic Plan, which staff is scheduled to begin work on in summer 2016. In the interim, project delivery and organizational performance metrics have been included in the Secretary’s Monthly Management Report which is now posted on the agency’s website. These measures will be migrated over to the Performance Management Dashboard.	Prior to 1/31/17
27	The S.C. Department of Transportation should include performance measures in its strategic direction plan.	Concur	SCDOT will include performance measures consistent with the Strategic Plan goals.	Prior to 1/31/17
28	The S.C. Department of Transportation should evaluate objectives and write measurable and time-bound objectives.	Concur	SCDOT will review the current Annual Accountability Report and House Legislative Oversight Committee reports to establish/update objectives.	Prior to 1/31/17
29	The S.C. Department of Transportation should create and document action steps they plan on using to meet their objectives of the strategic plan.	Concur	SCDOT will note the processes and steps needed in order to meet the objectives of the Strategic Plan.	Prior to 1/31/17
30	The S.C. Department of Transportation should ensure that all units create business plans according to the guidelines.	Concur	SCDOT will issue guidance to ensure that all units create business plans consistently.	Prior to 1/31/17
31	The S.C. Department of Transportation should ensure that all divisions create division plans to support the department’s strategic direction plan.	Concur	SCDOT will require all divisions to submit business plans to the Secretary.	Prior to 1/31/17
32	The S.C. Department of Transportation should set targets for all performance measures.	Concur	SCDOT will review the current Annual Accountability Report and House Legislative Oversight Committee reports to establish/update objectives.	Prior to 1/31/17
33	The S.C. Department of Transportation should review performance measures to ensure that all are relevant, understandable, timely, comparable, reliable, cost-effective, useful, influential, significant, and feasible.	Concur	SCDOT will review performance measures as a part of the next update to the Strategic Plan.	Prior to 1/31/17
34	The S.C. Department of Transportation should evaluate performance measures to ensure there are no acronyms and that measures are not written as objectives.	Concur	SCDOT will spell out all acronyms in the Strategic Plan and will ensure that measures are not written as objectives.	Prior to 7/1/16
35	The S.C. Department of Transportation should consider creating a customer satisfaction performance measure.	Concur	SCDOT agrees that creating customer satisfaction measures would be an effective tool for monitoring organizational excellence and will include it in the next update of the Strategic Plan. These measures will be included in the Performance Management Dashboard.	Prior to 1/31/17
36	The S.C. Department of Transportation should track and report annual safety expenditures by type of safety project or improvement.	Concur	SCDOT will track and report safety expenditures annually by project category.	Prior to 12/31/17

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37	The S.C. Department of Transportation should include in its Strategic Plan and Accountability Report performance targets for specific safety measures that reflect the department’s role in statewide highway safety efforts more closely than the broad measures of statewide fatalities and injuries that are currently used.	Concur	SCDOT will set specific safety performance targets that reflect the Department's role in statewide highway safety efforts and will report these targets and actual measures in conjunction with the Highway Safety Plan's Annual Report.	Prior to 1/31/17
38	The S.C. Department of Transportation should implement a procedure for updating the statewide, long-range transportation plan that will allow it to abide by the five-year schedule prescribed in S.C. Regulation 63-10(B).	Concur	SCDOT will update its process to begin the Long Range Plan update two years prior to the approval of the updated Long Range Plan to ensure the Plan is completed within the five-year schedule.	Prior to 7/1/16
39	The S.C. Department of Transportation should update S.C. Regulation 63-10(B) to reflect the title under which the statewide, long-range transportation plan will be published.	Concur	SCDOT will prepare revised language as part of an update to the Regulation.	Prior to 12/31/17
40	The S.C. Department of Transportation should fully implement an electronic STIP preparation process and ensure that the new process provides accurate, timely, and understandable information to the public and other stakeholders.	Concur	SCDOT's electronic STIP will become fully operational with the new FY 2017-2022 STIP.	Prior to 1/31/17
41	The S.C. Department of Transportation should track and report expenditures related to pavement maintenance and capacity-building activities separately in order to provide information crucial to long-term planning and decision making.	Concur	SCDOT has implemented this recommendation and the report can be found on the agency's website.	Complete
42	The S.C. Department of Transportation Commission should add the federal charge code reimbursement (Project Fund Management Group) process to the OCIA’s list of risk areas to be subject to risk assessment analysis.	Concur	The SCDOT Commission will add the federal charge code reimbursement process to OCIA's list of risk areas to be subject to risk assessment analysis.	Prior to 7/1/16
43	The S.C. Department of Transportation should complete proper decision analysis, including cost-benefit analysis, for large multi-million dollar projects requiring bond issuance.	Concur	SCDOT will update its records retention policy and a Departmental Directive will be implemented addressing required analysis, documentation, and retention.	Prior to 7/1/16
44	The S.C. Department of Transportation should keep all decision analysis documents related to projects paid for with bonds until the debt-service is paid.	Concur	SCDOT will update its records retention policy and a Departmental Directive will be implemented addressing required analysis, documentation, and retention.	Prior to 7/1/16
45	The S.C. General Assembly should index the state motor fuel user fee to fuel prices or another economic indicator in order to offset the decline in realized revenue from this fee.	NA	NA	NA
46	The General Assembly should diversify the sources of state transportation funding in order to minimize the effect of increasing fuel economy.	NA	NA	NA
47	The S.C. Department of Transportation should seek clarification from the General Assembly on the permitted or intended uses of the Non-Federal Aid Highway Fund under current state law.	Concur	SCDOT has requested that this issue be clarified through its report to the House Legislative Oversight Committee and during testimony at subsequent hearings.	Complete
48	SCDOT should develop a process for identifying the proper treatment timing for roads so that opportunities for preservation treatments are not missed and the pavement does not deteriorate into the next most expensive treatment category.	Concur	SCDOT will provide additional training for the proper timing of pavement preservation treatments. In addition, SCDOT will increase the frequency of pavement evaluation cycles to provide more timely data.	Prior to 12/31/17

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49	SCDOT should annually provide to the Commission information on the location of pavement that is about to deteriorate into the next most expensive treatment category. This information should also be disseminated to the public, the General Assembly and other stakeholders.	Concur	SCDOT will continue to provide pavement condition for each highway route category (Interstate, Primary, & Secondary) in the annual State of SCDOT and The State of the Pavement reports for public dissemination. This data includes current condition, historical trends, and forecasted conditions.	Prior to 12/31/17
50	The S.C. Department of Transportation should publically disseminate its Maintenance Assessment Program report on its website and continue to produce this report on an annual basis.	Concur	SCDOT will post the Maintenance Assessment Program report on the agency's website and will continue to produce it on an annual basis.	Prior to 7/1/16
51	The S.C. Department of Transportation should ensure that its information systems allow users to easily access road condition data from road maintenance contract information.	Concur	SCDOT is manually extracting pavement project information (Pavement Quality Index, project termini, & treatment information) to calculate service life added for each project road segment. This information is then included in the Pavement Management Program quarterly for access by end users. SCDOT will look for opportunities to automate this process.	Prior to 12/31/17
52	The S.C. Department of Transportation should periodically monitor its preservation activities to determine their effectiveness level.	Concur	SCDOT currently has a research project (SPR 695) being conducted by Clemson University regarding SCDOT's Pavement Preservation program that is expected to be completed by summer 2016. SCDOT will review the research project's conclusions and implement recommendations as feasible to include monitoring pavement preservation effectiveness.	Prior to 1/31/17
53	The S.C. Department of Transportation should periodically monitor preservation activities to ensure that the “worst first” policy is not continuing.	Concur	SCDOT will provide additional training for the proper timing of pavement preservation treatments. In addition, the Director of Maintenance Office will continue to monitor preservation projects submitted by the Districts to ensure that those projects meet the preservation guidelines.	Ongoing
54	The S.C. Department of Transportation should analyze and document its performance in meeting ideal industry cycle times for resurfacing roads.	Concur	SCDOT will document cycle times for resurfacing projects for each highway route category (Interstate, Primary, & Secondary) and include this information in the annual State of SCDOT and The State of the Pavement reports as compared to industry standards noted in the LAC Audit.	Prior to 1/31/17
55	The S.C. Department of Transportation should employ strategies to reduce the number of lane miles under its responsibility and consider alternatives to projects that add lane miles.	Concur	SCDOT will explore the option of developing a pilot program for devolution.	Prior to 1/31/17
56	The S.C. Department of Transportation Commission should prioritize funding infrastructure preservation and maintenance.	Non-Concur	Maintenance is a priority and is reflected in more than 50% of the budget being directed towards those activities. The premise that there should be no lane miles added to the system ignores capacity issues that affect the State's economy, mobility, and air quality.	NA
57	The S.C. Department of Transportation should review and consider increasing their design standards to include heavy loads in order to minimize premature pavement maintenance.	Non-Concur	SCDOT disagrees that it is beneficial to increase the current design standards to universally account for heavy loads. Unilaterally increasing pavement thicknesses across the state may be cost prohibitive and over-designing pavements for roads that carry little to no truck traffic. SCDOT’s current design standards include maximum legal load limits, average daily traffic amounts and percent truck traffic. These factors are typically reviewed for specific routes when paving projects are planned, which may yield a thicker pavement design for a route that actually carries heavy trucks or high truck volumes.	NA
58	The S.C. Department of Transportation should seek legislation to amend the fees charged to overweight trucks to offset the damage they cause.	NA	NA	NA
59	The General Assembly should review the fees charged to overweight trucks.	NA	NA	NA

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60	The General Assembly should review the ability of trucks to use alternative routes to bypass weigh stations.	NA	NA	NA
61	When investigating project failures, the S.C. Department of Transportation should ensure that its reports timely and comprehensively address all major problems and recommend appropriate corrective actions.	Concur	SCDOT will develop a written procedure to address material or workmanship deficiencies on construction projects, including recommendations for corrective actions.	Prior to 1/31/17
62	The S.C. Department of Transportation should develop a formal training program for employees assigned to the in-house full-depth reclamation crews.	Concur	SCDOT will partner with the Portland Cement Association to develop a formal training program for in-house full-depth reclamation crews.	Prior to 1/31/17
63	The S.C. Department of Transportation should develop a set of written procedures, implementing best practices, to guide the process of full-depth reclamation.	Concur	SCDOT will partner with the Portland Cement Association to develop written procedures and best practices for full-depth reclamation.	Prior to 1/31/17
64	The S.C. Department of Transportation should ensure that the work of full-depth reclamation crews is regularly inspected by engineering-level management to ensure best practices are being followed.	Concur	SCDOT will develop written procedures for inspection of in-house full-depth reclamation by engineering management.	Prior to 1/31/17
65	The S.C. Department of Transportation should conduct a comprehensive study of the costs associated with the in-house full-depth reclamation crews and contracted full-depth reclamation work to determine whether cost savings are being realized.	Concur	SCDOT will conduct a comprehensive cost study to compare in-house full-depth reclamation with contracted full-depth reclamation.	Prior to 1/31/17
66	The S.C. Department of Transportation should have an independent expert analyze fairly newly paved roads exhibiting roughness, seams, and pitting, etc. to determine the cause and take corrective action as necessary.	Non-Concur	SCDOT will have our technical experts and industry partners review the specific sites of concern as identified by the LAC.	Prior to 1/31/17
67	The S.C. Department of Transportation should consider development of a focus group of in-house experts to develop and implement a plan to monitor pavement quality and address pavement issues contributing to shortened pavement life.	Concur	SCDOT will develop a written procedure to address material or workmanship deficiencies on construction projects, including recommendations for corrective actions. The reports addressing material or workmanship deficiencies will be provided to the Director of Construction and the State Highway Engineer.	Prior to 1/31/17
68	The General Assembly should amend S.C. Code of Laws 57-1-370(B)(8) to specify whether all nine criteria listed in the section are to be used when ranking projects.	NA	NA	NA
69	The S.C. Department of Transportation should document its consideration of Act 114 criteria for each project category.	Concur	SCDOT will develop an over-arching Act 114 Process Engineering Directive that will include procedural guidelines related to the process utilized to rank both state and federal Act 114 prioritized projects. This will include a clear, transparent description of the ranking process for each project category, the relevant criteria used in that category and why, and a detailed description as to how to access the raw data used to develop the priority list scores.	Prior to 1/31/17
70	The S.C Department of Transportation should document in S.C. Regulation 63-10 and in its engineering directives the rationale for any criteria that it determines are not relevant, as well as, for any additional criteria it uses and update these documents whenever modifications are made.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
71	The S.C. Department of Transportation should update in S.C. Regulation 63-10 and its engineering directives to reflect its complete prioritization methodologies and update them whenever modifications are made.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
72	The S.C. Department of Transportation should only use criteria to prioritize projects that have been approved by the Commission.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17

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73	The S.C. Department of Transportation should perform lifecycle cost analyses on all roadway new location, widening, and capacity projects and that this criterion be incorporated into the ranking process in accordance with Act 114.	Non-Concur	SCDOT believes a better measurement of financial viability would be to compare the agency’s ability to fund the project with “reasonable availability of funding,” similar to the requirements the Federal Highway Administration expects for inclusion into the STIP.	NA
74	The S.C. Department of Transportation should comply with SC Regulation 63-10 and defer the development of any future priority lists until an engineering directive has been issued.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
75	The S.C. Department of Transportation should place all Commission-approved priority lists on its website.	Concur	SCDOT will ensure that all active priority ranking lists are posted on the agency's website.	Prior to 7/1/16
76	The S.C. Department of Transportation should mandate that its engineering directives are reviewed and approved by the current Deputy Secretary of Engineering and the Commission or other responsible authority.	Non-Concur	Engineering Directives are issued by the position, not the person. Approval by the Commission is not necessary because Engineering Directives are strictly administrative guidance, not policy decisions.	NA
77	The S.C. Department of Transportation should specify in its SC Regulation 63-10 and directives which software systems are used in prioritizing projects and how the data is inputted and used by those systems in calculating project rankings.	Concur	SCDOT disagrees that specifying a particular software system in Regulation is beneficial to the overall process. However, SCDOT agrees that specificity on the process for data handling should be included in an Act 114 Process Engineering Directive.	Prior to 1/31/17
78	The S.C. Department of Transportation should ensure that it archives all data and information relevant to justifying prioritization rankings of projects.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's records retention policy will be updated.	Prior to 1/31/17
79	The S.C. Department of Transportation should ensure that it complies with the S.C. Department of Archives and History’s records retention schedule of ten years for retaining data related to the prioritization of projects.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's records retention policy will be updated.	Prior to 1/31/17
80	The S.C. Department of Transportation should test the validity of all data it uses to calculate prioritization scores.	Concur	SCDOT will explore available options to validate the most critical data used in the ranking process.	Prior to 12/31/17
81	The S.C. Department of Transportation should ensure that all raw data and formulae for prioritization lists are properly archived so that prioritization scores can be tested and verified for accuracy.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's records retention policy will be updated.	Prior to 1/31/17
82	The S.C. Department of Transportation should review its normalization of prioritization criteria to ensure the process results in the appropriate score for the criteria.	Non-Concur	SCDOT has reviewed its normalization of prioritization criteria and all criteria are normalized except PQI. There is no need to normalize (set to a 0 to 5 scale) PQI scores, as the scores already match exactly with a 0 to 5 scale. For clarity purposes, the processes will be documented in the Act 114 Process Engineering Directive.	Prior to 1/31/17
83	The S.C. Department of Transportation should examine its financial viability prioritization scoring to account for the possibility of funding larger projects.	Non-Concur	SCDOT believes a better measurement of financial viability would be to compare the agency’s ability to fund the project with “reasonable availability of funding,” similar to the requirements the Federal Highway Administration expects for inclusion into the STIP. SCDOT will seek to modify the Regulation to reflect this.	Prior to 12/31/17
84	The S.C. Department of Transportation should ensure that its engineering directives specifically detail how each prioritization criteria is used to generate prioritization lists.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17

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85	The S.C. Department of Transportation should calculate new priority list scores when criteria, weightings, and related data changes; if this results in a change in ranking, the list should be submitted to the Commission for approval.	Non-Concur	SCDOT already updates many rankings either annually (such as the pavement categories) or approximately every two years (such as bridge and safety project categories). Interstate Upgrade projects are not re-ranked with a shorter frequency due to the extended period that it takes to develop and implement those large projects.	Ongoing
86	The S.C. Department of Transportation should comply with Engineering Directive 56 and include the top ranked 75 segments on its interstate capacity priority list.	Non-Concur	SCDOT will modify Engineering Directive 56 to eliminate the reference to "75 segments." All future interstate widening lists will evaluate the entire interstate system, not segments.	Prior to 1/31/17
87	The S.C. Department of Transportation should acquire approval from the Commission or other designated authority for all priority lists as required by Act 114.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
88	The S.C. Department of Transportation should clearly identify when criteria and weights have been approved by the Commission in a centralized location on its website with its priority lists by including the Commission action approving the change(s) and the relevant page number(s). We further recommend that when changes have been made to the prioritization process, SCDOT should clearly reference both the old and new Commission actions for comparison so that the public can determine what changed.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's web page will be updated.	Prior to 1/31/17
89	The S.C. Department of Transportation should comply with Act 114 and establish a single priority list of projects that addresses all Act 114 criteria and informs stakeholders of the paramount needs of South Carolina’s infrastructure.	Non-Concur	A single statewide ranking list would not be consistent with the funding categories and the restrictions on funds that are flowing to SCDOT both at the state and federal level. Additionally, a single statewide ranking list would create an equity issue, especially with the rural counties, regarding the distribution of paving funds across the entire state. SCDOT agrees that significant improvements need to be made with regards to how the agency provides information on funding and priorities within those funding categories to the public, Commission and other stakeholders.	Ongoing
90	The S.C. Department of Transportation should make its project prioritization process fully transparent and easily understandable for the public.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's web page will be updated.	Prior to 1/31/17
91	The S.C. Department of Transportation should review its project priority lists and its website to determine if errors are present and update information accordingly.	Concur	SCDOT will periodically review the website information to ensure accuracy and will be one of the requirements in an Act 114 Process Engineering Directive.	Ongoing
92	The S.C. Department of Transportation should comply with Act 114 and S.C. Regulation 63-10 and prioritize all federal and non-federal aid projects under the scope of Act 114 and include their rankings in the STIP.	Non-Concur	The Act 114 prioritized federal aid projects are included in the STIP. The non-federal aid projects are actually reflected in the State Program. SCDOT agrees that significant improvements need to be made with regards to how the agency provides information to the public, Commission and others, on funding and priorities within these two programmatic areas (federal and state).	NA
93	The S.C. Department of Transportation should comply with Act 114 and prioritize maintenance projects related to preservation of roads.	Non-Concur	Preservation projects are selected by SCDOT engineers based on actual condition of the road at the time and treatments are applied at different levels of pavement deterioration.	NA
94	The S.C. Department of Transportation should comply with S.C. Regulation 63-10 and provide the full methodologies for ranking projects in its directives, ensuring this is done in a manner that is easily comprehended by the public.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's web page will be updated.	Prior to 1/31/17
95	The S.C. Department of Transportation should comply with Regulation 63-10 and include the applicable weights for each criterion in its engineering directives.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17

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96	The S.C. Department of Transportation should seek to develop performance measures to test all criteria and weights of each criterion that are used to prioritize projects to ensure projects are being selected that will meet SCDOT’s goals.	Concur	SCDOT will develop performance measures to check that the criteria and weightings for the priority lists are meeting the agency's goals.	Prior to 1/31/17
97	The S.C. Department of Transportation should develop goals for all non-federally funded projects and include this information in the State Program.	Concur	SCDOT's Transportation Asset Management Plan (TAMP) will establish goals for road and bridges. These goals will apply to projects included in the State Program.	Prior to 12/31/17
98	The S.C. Department of Transportation should develop performance measures to test how successful projects were in achieving goals and provide this information to the public and the Commission.	Concur	SCDOT will develop performance measures to determine how successful the priority lists are meeting the agency's goals.	Prior to 1/31/17
99	The S.C. Department of Transportation should make its project prioritization process fully transparent and easily understandable for the public.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's web page will be updated.	Prior to 1/31/17
100	The S.C. Department of Transportation should establish a point of contact for any questions related to its prioritization of projects.	Concur	SCDOT will utilize the Call Center as the central point of contact for questions about prioritization.	Prior to 7/1/16
101	The S.C. Department of Transportation should place all of its related project prioritization documentation in a centralized location on its website for public dissemination.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's web page will be updated.	Prior to 1/31/17
102	The S.C. Department of Transportation should consider establishing a centralized office for prioritization.	Concur	SCDOT will designate its Planning Office as the centralized office for coordinating prioritization functions.	Prior to 7/1/16
103	The S.C. Department of Transportation should provide the final project scores on the priority lists and submit them to the Commission.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
104	The S.C. Department of Transportation should provide all of its data and project-ranking calculations publicly on its website and when soliciting public comment on its priority lists and in a manner that allows for easy interpretation of the methodologies and resulting scores.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation and SCDOT's web page will be updated.	Prior to 1/31/17
105	The Commission should provide written justification for any and all deviations from the project priority ranking list and the specific circumstances under S.C. Regulation 63-10 under which the deviation was justified. Also, these justifications should be clearly referenced on the project priority list and in the Statewide Transportation Improvement Program.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
106	The S.C. Department of Transportation should modify its project priority ranking lists to standardize its formats and the information contained thereon.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
107	The S.C. Department of Transportation should provide the status of the projects contained on the project priority lists for all of the lists and include a timeframe on the list for when the statuses of the projects are updated.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
108	The General Assembly may wish to evaluate the specifics of the ability of the S.C. Department of Transportation Commission to override Act 114 prioritization requirements.	NA	NA	NA
109	The S.C. Department of Transportation should identify and date projects that have been programmed into the STIP.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17

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110	The S.C. Department of Transportation should not use the same priority rank for different projects on its lists.	Concur	SCDOT will address by adding the fiscal year to all priority lists.	Prior to 7/1/16
111	The S.C. Department of Transportation should develop, formalize, and make public its process for determining which projects from its priority lists are programmed into the State Transportation Improvement Program.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
112	The S.C. Department of Transportation should include documentation of FHWA’s and FTA’s approvals, referred to as the <i>planning finding</i> , in the STIP on its website.	Concur	SCDOT will include the planning finding on the STIP web page.	Prior to 7/1/16
113	The S.C. Department of Transportation should provide direct links to all of the MPO TIPs on its website.	Concur	SCDOT will ensure all MPO TIPs are on the STIP web page.	Prior to 7/1/16
114	The S.C. Department of Transportation should indicate who sponsors projects in the State Transportation Improvement Program and specify the sources of project funding.	Concur	SCDOT will explore options for including descriptions of local funding dedicated to a project within the STIP.	Prior to 1/31/17
115	The S.C. Department of Transportation should define all acronyms in the STIP.	Concur	SCDOT will ensure all acronyms are spelled out on the STIP web page.	Prior to 7/1/16
116	The S.C. Department of Transportation should provide detailed explanation in the STIP regarding how other entities can request additional funding and how it is used.	Concur	SCDOT will update the STIP introduction narrative to explain the funding process.	Prior to 7/1/16
117	The S.C. Department of Transportation should list the specific source(s) of local funding.	Concur	SCDOT will explore options for including descriptions of local funding dedicated to a project within the STIP.	Prior to 1/31/17
118	The S.C. Department of Transportation should incorporate a financial plan into the Statewide Transportation Improvement Program.	Concur	SCDOT will explore options for clearly describing project financial plans within the STIP.	Prior to 1/31/17
119	The S.C. Department of Transportation should break down STIP project funding between federal and state dollars when listing the sources of these funds for each phase of the project.	Concur	SCDOT will explore options for clearly describing project financial plans within the STIP.	Prior to 1/31/17
120	The S.C. Department of Transportation should update its website to differentiate between its current and outdated Statewide Transportation Improvement Program to prevent confusion.	Concur	SCDOT will update its web page to clarify which is the current STIP versus archived versions.	Prior to 7/1/16
121	The S.C. Department of Transportation should consider providing the Statewide Transportation Improvement Program in Spanish.	Concur	SCDOT will make services available that provide Spanish translation of the STIP.	Prior to 1/31/17
122	The S.C. Department of Transportation should consider implementing a longer comment period to allow the public and stakeholders more time to comment on proposed Commission actions.	Concur	SCDOT will add an additional week to the comment period.	Prior to 7/1/16
123	The S.C. Department of Transportation should conduct public meetings regarding its Statewide Transportation Improvement Program.	Concur	SCDOT will work with FHWA to explore changes to its public engagement plan.	Prior to 1/31/17
124	The S.C. Department of Transportation should provide all Act 114 project rankings in the State Transportation Improvement Program.	Concur	SCDOT will add priority rankings to all of the projects within the STIP.	Prior to 1/31/17
125	The S.C. Department of Transportation should include narratives in the STIP for each project that include, at a minimum, the purpose and need for each project.	Concur	SCDOT will ensure that all project categories in the STIP have a description of the purpose and need for those types of projects.	Prior to 1/31/17
126	The S.C. Department of Transportation should include information in the STIP on how to contact the department with questions.	Concur	SCDOT will utilize the 1-855-GO-SCDOT call number for questions regarding the STIP.	Prior to 7/1/16

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127	The S.C. Department of Transportation should make project National Environmental Policy Act “Purpose and Need” statements publicly available in a centralized location on its website in a manner that allows for easy project identification.	Concur	SCDOT will ensure that all project categories in the STIP have a description of the purpose and need for those types of projects.	Prior to 1/31/17
128	The S.C. Department of Transportation should continue to improve the presentation of the information in its STIP so as to be more informative to the public and stakeholders.	Concur	SCDOT will explore other state's STIP documents for tools that could assist with the interpretation of the STIP information.	Prior to 7/1/16
129	The S.C. Department of Transportation should include in the STIP more assistive tools for interpreting the information it contains.	Concur	SCDOT will explore other state's STIP documents for tools that could assist with the interpretation of the STIP information.	Prior to 7/1/16
130	The S.C. Department of Transportation should identify in the STIP anything that is not defined, such as highlighting of project information.	Concur	SCDOT previously had been highlighting information in the STIP to reflect revisions over the previous version. SCDOT will add a note to the STIP to clarify the purpose of any highlighting used.	Prior to 7/1/16
131	The S.C. Department of Transportation should include information related to the project priority ranks on the map on its website.	Concur	SCDOT will review other state DOT web pages to explore options for posting priority rankings in a clear manner.	Prior to 1/31/17
132	The S.C. Department of Transportation Commission should discontinue providing non-required funding to metropolitan planning organizations and councils of governments.	Concur	The SCDOT Commission will explore options on efficiently utilizing the funding distributed to MPOs and COGs.	Prior to 12/31/17
133	The S.C. Department of Transportation Commission should discontinue providing state funds to transportation management areas.	Non-Concur	The SCDOT Commission believes that SCDOT should be responsible for providing the State match for the TMAs since their work is on the State System. Routes within TMA areas owned by cities or counties would be matched by those entities and not the State.	NA
134	The S.C. Department of Transportation should consider strategies to transfer future maintenance costs of projects to the entities that sponsor the projects.	Non-Concur	The SCDOT Commission believes that unless sufficient funding accompanies the transfer, as well as the requirement to prioritize maintenance of these roadways, they should remain within the State’s area of responsibility as they are State roads.	NA
135	The S.C. Department of Transportation should periodically audit the application of COGs’ and MPOs’ prioritization processes to ensure proper applications.	Concur	SCDOT will develop an Act 114 Process Engineering Directive to address this recommendation.	Prior to 1/31/17
136	The S.C. Department of Transportation should mandate that all COGs and MPOs use the statewide ranking criteria specified under Act 114 if receiving non-required funding from SCDOT.	Concur	SCDOT will discuss Act 114 criteria modifications with the relevant MPO/COG programs to modify their criteria to the statewide criteria if receiving funds outside the TMA attributable amounts.	Prior to 12/31/17
137	The S.C. Department of Transportation should provide links to COG TIPs or provide the documents themselves in a centralized location on its website for easy accessibility.	Concur	SCDOT will ensure all COG TIPs are properly linked on the agency's website.	Prior to 7/1/16
138	The S.C. Department of Transportation should update the links on its website to provide all of the MPO TIPs and to periodically review and update the links as necessary to ensure the public has easy access to these documents.	Concur	SCDOT will ensure all MPO TIPs are properly linked on the agency's website.	Prior to 7/1/16
139	The S.C. Department of Transportation should consider revising its regulations to allow it to determine whether a business affiliated with a trust that benefits a close family member of a debarred party should be denied prequalification.	Concur	H. 4056 is currently being considered by the General Assembly and will address this matter.	NA
140	The S.C. Department of Transportation should monitor prequalified businesses that are affiliated with trusts that benefit close family members of debarred parties to ensure that debarred parties do not engage in unauthorized activities in South Carolina.	Concur	H. 4056 is currently being considered by the General Assembly and will address this matter.	NA

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141	In its notices of revocation of prequalification to businesses, the S.C. Department of Transportation should state the basis for its revocations, include findings supporting the revocations, and inform affected businesses of any rights to an administrative hearing or other recourse.	Concur	SCDOT will update existing contractor pre-qualification procedures to provide basis for any revocation and inform affected contractors of any rights to an administrative hearing or other recourse.	Prior to 1/31/17
142	The S.C. Department of Transportation should consider options to verify, independently, the answers provided by contractors in their prequalification applications.	Concur	SCDOT will utilize the Office of External Audits to provide a risk-based approach to verify contractor pre-qualification applications.	Prior to 1/31/17
143	The S.C. Department of Transportation should ensure that the reason for any reversals of the contract administration engineer’s initial decisions regarding the prequalification of contractors is sufficiently documented.	Concur	SCDOT will update existing contractor pre-qualification procedures to ensure that documentation is provided for any reversals regarding pre-qualifications.	Prior to 1/31/17
144	The S.C. Department of Transportation should review its policies and procedures for maintaining the confidentiality of engineers’ estimates and other confidential information periodically, but at least annually.	Concur	The SCDOT Code of Conduct requires regular reviews of all agency policies regarding confidentiality.	Ongoing
145	The S.C. Department of Transportation should evaluate the performance of warm mixed asphalt technology and require its use where its use is effective and will allow for greater competition among asphalt producers.	Non-Concur	SCDOT does not agree that requiring warm mix technology allows for greater competition. SCDOT believes that its required use would reduce competition, as this assumes that all asphalt producers have warm mix capability and that each producer that has the capability would elect to run warm mix to meet a project specific requirement.	NA
146	The S.C. Department of Transportation should maximize its use of analysis to detect bid rigging and collusion and expand opportunities for competition in the letting process.	Concur	SCDOT is taking a risk-based approach for the detection of bid rigging and will re-implement an annual report prepared by the Director of Construction Office.	Prior to 12/31/17
147	The S.C. Department of Transportation should expand its efforts to broaden participation in its lettings so as to increase the level of competition in the marketplace.	Concur	SCDOT agrees that more competition is desirable, but is unsure how to increase participation by willing and able bidders. Industry has indicated business decisions are based on sustainable revenue sources dedicated to transportation infrastructure. The economics of supply and demand generally drive competition.	Ongoing
148	The S.C. Department of Transportation should complete work on a design-build manual.	Concur	SCDOT will finalize its design-build manual, "Design-Build Projects Procurement and Contract Administration Guidelines."	Prior to 1/31/17
149	The S.C. Department of Transportation should implement a system to allow for online bid submissions for design-build projects.	Concur	SCDOT will research options that would allow for confidential online bid submissions.	Prior to 1/31/17
150	The S.C. Department of Transportation should implement a system for analyzing bids on design-build projects to detect collusion, bid rigging, and other activity that undermines the integrity of the bidding process.	Concur	SCDOT will document the process for bid analysis of design-build projects in its design-build manual. The design-build bid is a lump sum bid that includes all items of work within the defined project scope. There is no need to review a lump sum design-build bid for front loading or unbalanced bids, as SCDOT has none of the risks associated with these items.	Prior to 1/31/17
151	The S.C. Department of Transportation should complete a valid comparative evaluation of the design-build approach to project delivery and the design-bid-build approach to determine its impact on cost and quality when compared to the design-bid-build approach to project delivery.	Concur	SCDOT will initiate a valid comparative evaluation of the design-build approach versus the traditional design-bid-build approach to include cost, schedule and quality.	Prior to 12/31/17

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152	The S.C. Department of Transportation should revise its Notice to All Consulting Firms to require that the names of individuals who will work on the project be submitted as the individual's formal name, including the full first, middle, and last name and maiden name, if appropriate.	Concur	SCDOT will revise its Notices to All Consulting firms to require full formal names on submittals.	Prior to 7/1/16
153	The S.C. General Assembly should address the potential confusion in S.C. Code 11-35-310(22) which is referenced in S.C. Code 8-13-760 regarding the definition of "participating directly in procurement."	NA	NA	NA
154	The General Assembly should amend S.C. Code 12-28-2740 to establish terms of office and minimum qualifications for members of county transportation committees.	NA	NA	NA
155	The S.C. Department of Transportation should regularly review the fee structure to ensure that fees collected reflect actual costs incurred in the administration of the C Program and its findings should be reviewed by an outside entity.	Concur	SCDOT will review the CTC fee structure every two years to ensure that the fees collected reflect actual costs incurred by the Department.	Ongoing
156	The S.C. Department of Transportation should implement a process to track time spent by all employees on C Program-related duties to properly capture associated costs.	Concur	SCDOT will clarify to agency employees that Department Directive 48, "Documentation of SCDOT Employee Chargeable Hours," includes CTC projects.	Prior to 7/1/16
157	The General Assembly should amend S.C. Code 12-28-2740 to specify the types of projects that are ineligible to receive C Funds such as parking lots and other non-road or non-bridge improvements that are not related to safety or traffic improvements.	NA	NA	NA
158	The General Assembly should amend S.C. Code 12-28-2740 to require the County Transportation Committees to provide details of the projects in their plans and prioritize the projects for the countywide transportation plan.	NA	NA	NA
159	The General Assembly should amend S.C. Code 12-28-2740 to require the County Transportation Committees to develop, at a minimum, a two-year transportation plan and make the plan conspicuous to the public.	NA	NA	NA
160	The General Assembly should amend S.C. Code 12-28-2740 to require the County Transportation Committees to advertise meetings on their county websites at the beginning of each calendar year.	NA	NA	NA
161	The General Assembly should amend S.C. Code 12-28-2740 to require any county receiving C Program funds to have a transportation plan posted on its website.	NA	NA	NA
162	The S.C. Department of Transportation should provide the countywide transportation plans on its website.	Concur	CTC Transportation Plans were placed on SCDOT's website on April 11, 2016.	Ongoing
163	The General Assembly should amend S.C. Code 12-28-2740 to require an annual report for all 46 County Transportation Committees to be prepared and compiled into an annual statewide report submitted to the General Assembly.	NA	NA	NA
164	The S.C. Department of Transportation should document C Program Fund expenditures on a per-project basis in a report for all County Transportation Committees that are administered by the S.C. Department of Transportation.	Concur	SCDOT will publish annual reports on all CTC expenditures, not just self-administered CTCs.	Ongoing

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165	The SC Department of Transportation should collect and use data to compare resurfacing project costs with those incurred by county governments to determine if cost savings could be realized by either the department or county governments to complete transportation projects.	Concur	SCDOT will perform a multi-year cost comparison study for resurfacing projects. The agency concurs with the LAC report that there is no clear evidence that either SCDOT or county governments can complete resurfacing for lower costs based on currently available data.	Prior to 12/31/17
166	The General Assembly should amend S.C. Code 12-28-2740 to require that county transportation committees submit detailed project invoices before payments are approved by the S.C. Department of Transportation C Program administration office.	NA	NA	NA
167	The General Assembly should amend S.C. Code 12-28-2740 to require that programming requests submitted to the S.C. Department of Transportation by county transportation committees include specific project details such as road segments and mileages.	NA	NA	NA
168	The General Assembly should repeal the S.C. Department of Transportation’s exemption from the S.C. Consolidated Procurement Code.	NA	NA	NA
169	The S.C. Department of Transportation should implement a written policy to receive and investigate protests made regarding its exemption from the S.C. Consolidated Procurement Code.	Concur	SCDOT will update its Procurement Manual to include a protest procedure.	Prior to 7/1/16
170	The General Assembly should amend state law to authorize an independent authority to investigate protests related to the S.C. Department of Transportation’s exempted procurements.	NA	NA	NA
171	The General Assembly should amend state law to specify who administers penalties against the S.C. Department of Transportation for violations pertaining to its exemption from the S.C. Consolidated Procurement Code and under which section of law(s) they are to be administered.	NA	NA	NA
172	The General Assembly should amend S.C. Code 57-1-490 such that Materials Management Office’s reviews of the S.C. Department of Transportation’s exemption from the S.C. Procurement Code be conducted every five years, but discontinued after ten years if those reviews are without significant findings.	NA	NA	NA