

| Investigations and Recommendations | | | | | | | | | |
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| Agency | Report Date | Report Number | Report Title | Issue | Issuing Entity | Compliance Status | Recommendation Summary | Estimated Completion Date/Date Resolved | Status of Implementation |
| DDOT | 10/18/2010 | OIG Control Number 2010-0007. | Significant activity report regarding the plea and sentencing of DDOT employee who fraudulently obtained \$4561 in unemployment insurance benefits | Unemployment insurance | OIG | Closed | | 10/13/2010 | |
| DDOT | 2/1/2011 | OIG No. 10-1-21KA | Highway trust fund financial statement audit | Highway Trust Fund | OIG | Closed | None | N/A | N/A |
| DDOT | 5/31/2011 | OIG No. 10-1-21KA(a) | Report on the examination of the DC highway trust fund forecast statement for FY 11 - 15 with actual audited figures for FY 10 | Highway Trust Fund | OIG | Closed | None | N/A | N/A |
| DDOT | 9/21/2011 | 2011-0289 (S) | Results of an Office of the Inspector General Investigation Into Misconduct Violations By Employees of the District of Columbia Department of Transportation, Office of Unified Communications, and the Department | Employee Conduct | OIG | Closed | DDOT address the DDOT employee's conduct with appropriate administrative action | Completed | Completed |
| DDOT | 2/1/2012 | OIG 11-1-29KA | Highway Trust Fund Financial statement audit | Highway Trust Fund | OIG | OCFO Recommendation | We recommend that DDOT-OCFO adhere to Section 10551000.30 of the Office of the Chief Financial Officer Financial Policies and Procedures Manual that states that "SOAR transaction (journal entry) descriptions should clearly identify and explain the financial event being recorded, or the reason for the adjustment. In addition, supporting documentation, explaining or justifying the transaction, should be attached to, or referenced in [a] SOAR transaction document." | OCFO Recommendation | |
| DDOT | 2/1/2012 | OIG 11-1-29KA | Highway Trust Fund Financial statement audit | Highway Trust Fund | OIG | OCFO Recommendation | Due to the amount of the overstated Motor Fuel Tax revenue to the Fund for FY 2011, but not to the overall District-wide financial statements, we recommended that DDOT-OCFO correct the overstatement at the Fund level for FY 2011 and restate the Fund's FY 2010 financial statements. | OCFO Recommendation | |
| DDOT | 3/15/2012 | OIG 11-1-29KA(a) | Report on the examination of the DC Highway trust fund forecast statement for FY 12 - 16 with actual audited figures for FY 11. | Highway Trust Fund | OIG | Closed | None | N/A | N/A |

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| DDOT | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - change orders | OIG | Closed | Take appropriate disciplinary action against DDOT employees who allow PCO implementation without prior written authorization from the CO and FHWA. | 2011 | Completed |
| | | | | | | | Develop and promulgate a comprehensive procedure to define the process for initiating, processing, and issuing change orders, and establish adequate management internal controls to include: | | |
| | | | | | | | | | |
| | | | | | | | a. Packet Tracker as the designated tracking tool; | | |
| | | | | | | | b. Time parameters for the project manager or project engineer to document the proposed change requirement in Packet Tracker; | | |
| | | | | | | | c. Program managers as the first required approver in Packet Tracker; | | |
| | | | | | | | d. Verification that the contracting officer has been notified in writing of the pending change requirement; and | | |
| | | | | | | | e. Contracting Officer authorization or notification to proceed with the work. | | |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - change orders | OIG | Closed | | Completed | Completed |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - change orders | OIG | Unresolved | Review all PCOs and take actions to immediately remedy any pricing deficiencies. | | Request to OIG to close this recommendation. |
| | | | | | | | Implement a training program to ensure that IPMA project personnel and COTRs are well-versed in standard and special contract provisions, and properly prepared to negotiate the cost of change requirements. | | |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - change orders | OIG | Closed | | | Training is ongoing. |

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| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - change orders | OIG | Open | Establish a format and template for negotiation summaries that, once completed, will provide reasonable assurance that the standard contract provisions were properly utilized in the development and negotiation of cost estimates. | Spring 2013 | Template being developed by IPMA for use by all DDOT administrations. |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - change orders | OIG | Closed | Implement steps to disallow reimbursement of the \$1.9 million for work performed without the proper CO authorization. At a minimum, reimbursement to the contractor for unauthorized change order work should be limited to the cost incurred, exclusive of any profit. | Completed in FY2012 - FHWA agreed to participate in the work. | Completed |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - project designs | OIG | Closed | Reassess current practices for the design review process and establish an independent team of engineers to assess the accuracy and completeness of project designs and specifications for future projects as well as projects that have not reached the implementation stage. | Completed | Completed |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - bids | OIG | Unresolved | Require the newly established independent team to attest to the accuracy and completeness of project specifications prior to publishing the "Invitation for Bids." | | |
| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - project designs | OIG | Unresolved | Assess whether current DDOT personnel have been negligent in the preparation or review of the project designs and specifications. As appropriate, discipline current employees. | | |

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| | 2/15/2012 | OIG 10-1-13KA | Audit of Construction Contracts Awarded Under the American Recovery and Reinvestment Act | ARRA projects - reporting | OIG | Open | Review ARRA report submissions for all contracts and compute and assess the contractspecified penalty amounts due as a result of late submissions or failure to submit reports. | Spring 2013 | Letters assessing fines were mailed to all contractors with late or missing reports. |
| DDOT | 9/12/2011 | DCA242011 | Audit of the UFA at DDOT | Urban Forestry | DC Auditor | N/A | Transfer the administration and management of the Tree Fund to the District Department of the Environment. | N/A | |
| DDOT | 9/12/2011 | DCA242011 | Audit of the UFA at DDOT | Urban Forestry | DC Auditor | N/A | Transfer the Income Contingent Program to the District Department of the Environment. | N/A | |
| DDOT | 9/12/2011 | DCA242011 | Audit of the UFA at DDOT | Tree Fund | DC Auditor | Closed | Implement written policies and procedures for the administration and management of the Tree Fund that include regular reviews of the Tree Fund expenditures and deposits. | Completed | Completed |
| DDOT | 9/12/2011 | DCA242011 | Audit of the UFA at DDOT | Tree Fund | DC Auditor | Closed | Along with the Office of the Chief Financial Officer, establish a system for dollar-for-dollar tracking of Tree Fund money to ensure that funds are only used for authorized uses. | Completed | Completed |
| DDOT | 9/12/2011 | DCA242011 | Audit of the UFA at DDOT | Urban Forest Preservation Act | DC Auditor | Closed | Establish and implement written procedures for collection of fines for violations of the Urban Forest Preservation Act. | Completed | Completed |
| DDOT | 9/12/2011 | DCA242011 | Audit of the UFA at DDOT | Income Contingent Program | DC Auditor | Closed | Take steps to effectively implement written policies and procedures for the management of the Income Contingent Program. | Completed | Completed |

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| DDOT | 1/25/2012 | Single Audit, Finding 2011-33 | FY2011 Single Audit | Davis Bacon Compliance | OFCO OIO | Open | We recommend that the DDOT program management continue to develop and implement monitoring controls and policies and procedures to timely and periodically review supporting documentation to ensure that the contracting specialists are properly monitoring Davis-Bacon Act requirements. | FY2012 | Ongoing |
| DDOT | 1/25/2012 | Single Audit, Finding 2011-34 | FY2011 Single Audit | Program Income | OFCO OIO | OCFO Recommendation | We recommend that the District Department of Transportation establish policies and procedures to ensure that program income received is properly recorded and used in accordance with regulations or the terms and conditions of the award. | Completed | Completed |
| DDOT | 1/27/2011 | Single Audit, Finding 2010-37 | FY2010 Single Audit | Davis Bacon Compliance | OFCO OIO | Open | (For Davis Bacon): We recommend that the District institute a monitoring control to periodically review supporting documentation to ensure that DDOT adheres to its existing policies and procedures that the contracting specialists are properly monitoring Davis-Bacon requirements. | FY2012 | Ongoing |
| | | | | | | | PROGRAM MANAGEMENT | | 1) Draft State Management Plan submitted to FTA on September 17, 2012; DDOT must submit a final plan. |
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| | | | | | | | 1. State Management Plan is out of date / incomplete. | | agreement with MWCOG on December 18, 2012; this finding is now closed. |

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| DDOT | 12-Jun | | FY 12 State Management Review | Program Management | FTA | Open | 2. Missing written agreements: DDOT must submit the following to the FTA Region III Office: | | 3) DDOT submitted a staffing and training plan on September 17, 2012; this finding is now closed. |
| | | | | | | | - An executed written agreement between DDOT and its subrecipient, COG. | | |
| | | | | | | | 3. Insufficient Resources: DDOT must submit the following to the FTA Region III Office: | | |
| | | | | | | | - A staffing implementation plan that will result in the hiring and training of the resources necessary to properly administer the FTA programs. | | |
| | | | | | | | | | 1) DDOT submitted SOPs on December 27, 2012; DDOT still must submit a budget revision on how it plans to use remianing funds in two older grants. |
| | | | | | | | GRANT ADMINISTRATION | | |
| | | | | | | | 1) Grants Management Procedures: | | 2) DDOT submitted Milestone Progress Reports; this finding ins now closed. |
| | | | | | | | - Not using oldest funds first and inactive grants/untimely closeouts | | |
| | | | | | | | - Effective procedures for grant administration, including spending older funds first, tracking the progress of projects, reprogramming unused balances to other projects or closing out projects, to enable DDOT to close grants more timely, and a plan to implement the new grant administration procedures | | 3) DDOT has requested training from FTA on Federal Financial Reports. |
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| DDOT | 12-Jun | | FY 12 State Management Review | Grant Administration | FTA | Open | 2) Late/incomplete progress reports and incorrect FFR (Federal Financial Report) reporting: | | |
| | | | | | | | - DDOT must submit in the FTA TEAM system third quarter MPRs and FFRs for all open grants, to include all required information and to accurately report unliquidated obligations. | | |
| | | | | | | | | | |
| | | | | | | | 3) Incorrect FFR submissions: | | |
| | | | | | | | - DDOT provided incorrect FFR for the quarters ending 6/30/12 - 9/30/12. | | |
| DDOT | 12-Jun | | FY 12 State Management Review | Financial Management | FTA | Closed | FINANCIAL MANAGEMENT | Complete | Complete |
| | | | | | | | | | |
| | | | | | | | Insufficient local match; DDOT submitted a copy of legislation passed by the Council that permits local contributions from non-profit agencies for vehicle purchases. | | |
| DDOT | 12-Jun | | FY 12 State Management Review | Procurement and DBE | FTA | Closed | PROCUREMENT AND DISADVANTAGED BUSINESS ENTERPRISE | Complete | Complete |
| | | | | | | | | | |
| | | | | | | | There are no procedures for FTA-funded procurements and improper use of geographic preferences; DDOT submitted SOPs on December 27, 2012 and these findings are now closed. | | |
| | | | | | | | AMERICANS WITH DISABILITIES ACT | | |
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| | | | | | | | 1. Facility accessibility standards deficiency - DDOT has not submitted a detailed timeline to adequately address ADA non-compliance of the Circulator bus shelters. | | |

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| DDOT | 12-Jun | | FY 12 State Management Review | Americans with Disabilities Act | FTA | Open | | | |
| | | | | | | | | | |
| | | | | | | | 2. Insufficient oversight of ADA facility accessibility requirements - DDOT has not submitted a detailed timeline with corrective actions to address ADA compliance at the construction site of the Columbus Plaza improvement project. | | |
| | | | | | | | | | |
| | | | | | | | 3. Outdated/inaccurate ADA regulations - DDOT has not submitted an updates chapter 29 of the DDOT design and engineering manual to include current ADA regulations and guidance references. | | |
| DDOT | 12-Jun | | FY 12 State Management Review | Title VI | FTA | Closed | TITLE VI | | |
| | | | | | | | | | |
| | | | | | | | DDOT must submit to the FTA Region III Civil Rights Officer a Title VI program update that conforms to the requirement of FTA Circular 4702.1A.IFTA; DDOT submitted a Title VI program update that was reviewed and approved by FTA on 11/13/12. This finding is closed. | | |
| | | | | | | | | Complete | Complete |
| | | | | | | | 1. Take immediate possession of the District-owned barrier moving machine from the contractor. | | • DDOT has determined that the barrier moving machines are no longer needed, and has contacted the District’s Property Disposal Unit about selling the equipment. Depending on the time that it will take to see the property, DDOT will either transfer the equipment to District for storage or surplus it from its current location. DDOT hopes to complete this action by April 2013. |

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| | | | | | | | | | <ul style="list-style-type: none"> • DDOT concurs that a complete inventory of DDOT construction equipment is a good practice, and will conduct an inventory by April 2013. (Recommendation 3) |
| | | | | | | | 2. Determine whether to surplus the barrier moving machines and offer them for sale. | | <ul style="list-style-type: none"> • DDOT rarely allows contractors to use District-owned equipment, and will add requirements in the DDOT Standard Specifications manual that will govern the use of District-owned equipment that is not included in a contract solicitation. This will include a requirement for documentation of terms and conditions and approval by the contracting officer. This will be complete by April 2013. (Recommendations 4 and 5) |
| | | | | | | | | | <ul style="list-style-type: none"> • DDOT will contact the vendor and request payment for the use of the second barrier machine. The letter will be sent before the end of January 2013. (Recommendation 6) |
| | | | | | | | 3. Conduct a complete inventory of all construction capital equipment. | | |
| | | | | | | | | | |
| | | | | | | | 4. Discontinue the practice of allowing contractors to use District-owned equipment by lease or any other means without appropriate documentation of terms and conditions in a contract issued by the DDOT chief contracting officer. The documentation is essential for monitoring and oversight to ensure payment and other terms of the agreement are complied with. | | |

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| DDOT | 1/10/2013 | 11-2-28KA | Management Alert Report on DDOT's Inventory of Capital Equipment | Capital Equipment | OIG | Open | 5. Develop written procedures to implement adequate internal controls for the control of fixed assets. The procedures should provide guidance for allowing contractors to utilize District-owned equipment when government furnished equipment is not included in the solicitation or invitation for bid. | Spring 2013 | |
| | | | | | | | | | |
| | | | | | | | 6. Recover payment for equipment rental using the verified period of equipment use and the complete offer made by the contractor for the rental of both DDOT-owned barrier moving machines and equipment. | | |
| DDOT | 2/1/2013 | OIG 12-1-13KA | District of Columbia Highway Trust Fund | Highway Trust Fund | OIG | Closed | None | N/A | |