
Office of Inspector General

Audit Report

INSPECTOR GENERAL REVIEW OF FISCAL YEAR 2014 DRUG CONTROL FUNDS AND PERFORMANCE SUMMARY REPORTING

National Highway Traffic Safety Administration

Report Number: FI-2015-019

Date Issued: January 29, 2015





**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

Office of Inspector General
Washington, DC 20590

January 29, 2015

Ms. Michele Marx
Associate Director, Office of Management and Administration
Office of National Drug Control Policy
750 17th Street, N.W.
Washington, DC 20503

Dear Ms. Marx:

This report presents the results of our independent review of the U.S. Department of Transportation, National Highway Traffic Safety Administration's (NHTSA) fiscal year 2014 Drug Control Obligation Summary and Performance Summary reports to the Office of National Drug Control Policy (ONDCP). Both reports were received on January 14, 2015. The reports and our review are required by 21 U.S.C. §1704 (d) and ONDCP's January 2013 Circular, Accounting of Drug Control Funding and Performance Summary (Circular).

The Circular states that when drug-related obligations total less than \$50 million and a detailed accounting would constitute an unreasonable burden, agencies are permitted to submit alternative reports. Because its drug-related obligations in fiscal year 2014 totaled less than \$50 million, NHTSA submitted alternative reports. We reviewed NHTSA's reports and related management assertions to determine the reliability of those assertions in compliance with the Circular, in all material respects. We conducted our review in accordance with generally accepted Government auditing standards for attestation engagements. However, a review is substantially more limited in scope than an examination, which expresses an opinion on the accuracy of NHTSA's Drug Control Obligation Summary and Performance Summary reports. Because we conducted an attestation review, we do not express such an opinion.

Drug Control Obligations Summary

We performed review procedures on NHTSA's fiscal year 2014 Drug Control Obligation Summary (Enclosure 1) according to the criteria in the Circular. We limited our work to inquiries and analytical procedures appropriate for an attestation review. Specifically, we tested selected accounting internal controls to

ensure drug control funds were properly identified in the accounting system. We were able to trace approximately \$1.9 million in drug control obligations to the Department of Transportation's accounting system; we verified that these obligations were supported by contracts. We noted one exception. NHTSA's Drug Control Obligation Summary Report indicates that it obligated \$2.238 million for fiscal year 2014. However, NHTSA did not obligate \$338,000 of this amount. According to management, the \$338,000 will be added to its fiscal year 2015 spending plan.

Performance Reporting Summary and Assertions

NHTSA's performance target for fiscal year 2014 was to complete data analyses, and prepare a final report on the 2013 National Roadside Survey of Alcohol and Drug Use by Drivers. NHTSA indicated that it completed these tasks and will be releasing its report early February 2015.

We performed review procedures on NHTSA's fiscal year 2014 Performance Summary Report and management's assertions (Enclosure 2). We limited our review processes to inquiries and analytical procedures appropriate for an attestation review according to the criteria in the Circular. Specifically, we reviewed NHTSA's internal controls for performance measures to gain an understanding of how the measures were developed.

Other than the exception to the Obligation Summary report, no information came to our attention that the accompanying NHTSA fiscal year 2014 Drug Control Obligation Summary and Performance Summary reports were not presented in conformity with ONDCP's Circular.

Sincerely,



Louis C. King
Assistant Inspector General for Financial and
Information Technology Audits

Enclosure(s)

cc: DOT Audit Liaison, M-1
NHTSA Audit Liaison, NPO-310



U.S. Department
of Transportation
**National Highway
Traffic Safety
Administration**

1200 New Jersey Avenue SE.
Washington, DC 20590

January 14, 2015

Mr. Jon E. Rice
Associate Director for Performance and Budget
Office of National Drug Control Policy
Washington, DC 20503

Dear Mr. Rice:

In accordance with the Office of National Drug Control Policy Circular: Drug Control Accounting issued January 18, 2013, the National Highway Traffic Safety Administration's (NHTSA) Fiscal Year (FY) 2013 Drug Control Obligation Summary is enclosed. NHTSA's obligations for drug-related activities fall below the reporting threshold of \$50 million; therefore, only a limited report is required to satisfy the statutory requirement.

Please note FY 2014 - 2016 funding is based on the Moving Ahead for Progress in the 21st Century (MAP-21) authorization. While MAP-21 did not provide direct authorization for drug impaired driving research as in the previous authorization, the Highway Research program anticipates spending additional funding for drug impaired driving research out of its core budget to conduct research and evaluation.

I hope this information is helpful. If you need further assistance, please contact Ms. Melanie O'Donnell at (202) 366-0689.

Sincerely yours,

A handwritten signature in black ink, reading "Mary G. Sprague".

Mary G. Sprague
Acting Chief Financial Officer
Office of Policy and Operations

Enclosure

DEPARTMENT OF TRANSPORTATION
National Highway Traffic Safety Administration

Resource Summary

	Budget Authority (in Millions)		
	FY 2014 Enacted*	FY 2015 President's Budget**	FY 2016 Request***
Drug Resources by Function			
Prevention	\$1.488	\$1.488	\$1.488
Research	\$0.750	\$0.750	\$0.750
Total Drug Resources by Function	\$2.238	\$2.238	\$2.238
Drug Resources by Decision Unit			
Drug Impaired Driving Prevention	\$1.488	\$1.488	\$1.488
Drug Impaired Driving Research	\$0.750	\$0.750	\$0.750
Total Drug Resources by Decision Unit	\$2.238	\$2.238	\$2.238
Drug Resources Personnel Summary			
Total FTEs (direct only)	2	2	2
Drug Resources as a Percent of Budget			
Total Agency Budget (in Billions)	\$0.83	\$0.85	\$0.92
Drug Resources Percentage	0.27%	0.26%	0.24%

* **FY 2014** is based on the Moving Ahead for Progress in the 21st Century (MAP-21) authorization. MAP-21 does not reflect the \$1.2 M that had been authorized under section 2013(F) of SAFETEA-LU. While there is no direct authorization for drug impaired driving research in MAP-21, the Highway Research program anticipates spending an additional \$750K for drug impaired driving research out of its core budget to conduct research and evaluation.

** **FY 2015** is based on the Grow America Act authorization, which takes effect once the appropriation bill is passed for FY 2015. While there is no direct authorization for drug impaired driving research in the grow America Act, the Highway Research program anticipates spending an additional \$750K for drug impaired driving research out of its core budget to conduct research and evaluation.

*** **FY 2016** is based on the budget submission forwarded to the Secretary of the Department of Transportation, which is currently under review for submission to the Office of Management and Budget (OMB), and is subject to change



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January 14, 2015

Mr. Jon E. Rice
Associate Director for Performance and Budget
Office of National Drug Control Policy
Washington, DC 20503

Dear Mr. Rice:

In accordance with the Office of National Drug Control Policy Circular: Drug Control Accounting issued January 18, 2013, the National Highway Traffic Safety Administration's (NHTSA) Fiscal Year 2013 Performance Summary Report is enclosed. As specified by the Circular, the Agency selected a performance measure for 2007 to assess its success in reducing drug impaired driving, followed by complementary measures in 2008 through 2015. These measures track the progress of critical steps toward the development of a reliable and accurate measure of the drug-impaired driving problem by increasing the Agency's understanding of the extent of drug use among drivers, and the role of drugs in crash causation. These performance measures are:

1. Select representative survey sites and secure local cooperation as part of a National Roadside survey of Alcohol and Drugged Driving (FY 2007).
2. Collect and analyze oral fluids and blood samples as part of a National Roadside Survey of Alcohol and Drugged Driving (FY 2008).
3. Develop and recommend methods for detecting the presence of major illegal drugs in drivers as part of a Study to Identify Methods and Technologies to Measure Drug Presence Amongst Drivers (FY 2009).
4. Complete study design and procedures for a landmark Case Control Study of Crash Risk of Drug-Impaired Drivers (FY 2010).
5. Collect data from 1250 crashes for the Case Control Study of the Crash Risk of Drug-Impaired Drivers (FY 2011).
6. Develop and pilot test an online version of the Advanced Roadside Impaired Driving Enforcement (ARIDE) training program (FY 2012).
7. Complete data analysis and prepare a final report on a Case Control Study of the Crash Risk of Drug-Impaired Driving (FY 2013).
8. Complete data analysis and prepare a final report on the 2013 National Roadside Survey of Alcohol and Drug Use by Drivers (FY 2014).
9. Complete data collection on a field test of oral fluid drug screening devices (FY 2015).
10. Complete study design, recruit site, and implement data collection (FY 2016)

ASSERTIONS

1. **Performance reporting system is appropriate and applied:** In FY 2013, NHTSA completed analysis of data collected in a study of the relative risk of crash involvement by drivers using alcohol and other drugs. Data was collected from more than 3,000 crash-involved drivers and 6,000 non-crash involved (control) drivers. The crash-involved drivers were recruited at the locations where crashes occurred one week later (two controls for each crash-involved driver), randomly elected from traffic passing the crash location, driving in the same direction of travel, day of week and time of day. Research teams operated 24 hours a day, seven days a week. Report preparation is nearing completion and draft materials are undergoing review. Completion of formal agency review and the release of the results of the study will occur in 2014.
2. **Explanations for not meeting performance targets are reasonable:** Target met.
3. **Methodology to establish performance targets is reasonable and applied:** Data collection for the National Roadside Survey of Alcohol and Drugged Driving was based on a probabilistic design, using traffic volume and demographic variables to ensure a statistically representative sample. Details of the methodology and findings are included in the Research Note (DOT HS 811 175). Methodology for the 2010 and 2011 performance measures is based on records and documentation of successful achievement of the study objectives.
4. **Adequate performance measure exist for all significant drug control activities:** The measures used to describe the Agency's drug impaired driving program performance adequately reflect key steps toward the completion of necessary studies to increase general knowledge of the drugged driving problem. These measures provide a meaningful assessment of progress toward the development of reliable and accurate measures of the drugged driving problem in the United States.

I hope this information is helpful. If you need further assistance, please contact Ms. Melanie O'Donnell at (202) 366-0689.

Sincerely yours,



Mary G. Sprague
Acting Chief Financial Officer
Office of Policy and Operations

Enclosure

National Highway Traffic Safety Administration Drug-Impaired Driving Program

Performance Summary Report Fiscal Year 2014

(1) Performance Measures

NHTSA contributes to the National Drug Control Strategy by reducing the prevalence of drug-impaired drivers on the Nation's roadways. However, given the current state of knowledge, meaningful measures of the drug impaired driving problem are not available. To chart progress toward development of a valid measure of this problem, NHTSA has established a series of performance measures based on critical milestones in drug impaired driving research.

These measures reflect critical milestones in the development of improved methods to train law enforcement in detecting drug-impaired drivers and in developing valid and reliable measures of the drug impaired driving problem by increasing the Agency's understanding of the extent of drug use among drivers and the role of drugs in crash causation. The FY 2010 National Drug Control Strategy called for efforts to *Collect Further Data on Drugged Driving* and for increased *Training to Law Enforcement on Identifying Drugged Drivers*. Our FY 2013 performance measure was designed to further our understanding of the role of drug use by drivers in crash causation. The FY 2014 performance measure was to determine the extent of drug use among drivers in 2013-2014 and to examine the trends in drug use by drivers (compared to 2007).

The FY 2015 performance measure assesses agency progress in implementing administrative license revocation for drugged driving through field testing of oral fluid screening devices. Valid and reliable screening devices for law enforcement use are necessary in order to implement an administrative license revocation program. For our FY 2016 performance measure we are proposing to conduct a complementary study of the crash risk of drug-impaired driving that focuses on fatal and serious injury crashes. Our FY 2013 study of crash risk of drugged driving involved all types of crashes (fatal, injury, and property damage crashes) with a preponderance of property damage crashes (66%). We propose to have implemented a twelve month data collection period during FY 2016.

The National Highway Traffic Safety Administration (NHTSA) will use the following measures to assess progress of the Drug-Impaired Driving Program.

- *Complete data collection, analysis, and prepare a final report on a Case Control Study of the Crash Risk of Drug-Impaired Driving (FY 2013).*

This land-mark study was designed to conduct in-depth investigations of approximately 2,500 police-reported crashes of all severities. For each crash

investigated, similar information will be collected for non-crash control cases (involving drivers driving at the same locations, day of week, time of day, traveling in the same direction, etc.). Analysis of drug use by crash involved and non-crash involved drivers will make it possible to estimate the extent to which drug use increases the risk of crash involvement. This information will be invaluable in helping to support strong laws targeting drug-impaired driving and efforts to reduce the harm caused by drug use by drivers. Together with information from the recently-completed Roadside Survey of Drug and Alcohol Use by Drivers, evidence from this study on the association of drug use and crash risk will be an essential part of efforts to develop effective countermeasures.

- *Complete data collection, analysis, prepare and release a final report on the 2013 National Roadside Survey of Alcohol and Drug Use by Drivers (FY 2014).*

This study will be second nationally representative survey of drug use by drivers (and the fifth survey of alcohol use by drivers). It will provide trend data for drug use by drivers when compare to the 2007 National Roadside Survey and almost 40 years of trend data in alcohol use by drivers (using the 1974, 1986, 1996, 2007, and 2013 surveys). This large-scale survey will collect alcohol and drug use data from over 7,500 passenger vehicle and motorcycle operators stopped while driving at some 300 locations around the country. Through a stratified sampling plan it will produce reliable national estimates of alcohol and drug use. When compared to the 2007 National Roadside Survey this new survey will provide an indication of whether there has been change in drug use over the past six years. It will also show whether the previously observed decline in alcohol use by drivers has continued.

- *Complete first phase of a pilot test of administrative license revocation for drugged driving (FY 2015).*

In this first phase, we will design and implement a field evaluation of oral fluid drug screening devices. These devices are designed for law enforcement use and offer the opportunity to get an on-site oral fluid test for selected drugs in 3 – 5 minutes. Traditionally, officers would have to arrange for a blood sample to be drawn, by transporting the suspect to a hospital, and then ship the blood sample to a laboratory for toxicological analysis. Results would often not be available for weeks or months. Our study will look at the effects on law enforcement and prosecution of driving while impaired by drugs cases when almost immediate results are available from these screening devices. We are planning to collect data on the accuracy, reliability, and ease of use of several oral fluid drug screening devices with the cooperation of four police departments. Our goal is to get data from 1,000 impaired driving suspects. We anticipate this will take between 6 and 12 months.

- *Initiate data collection for a crash risk study of the prevalence of drug use by drivers that focuses on fatal and serious injury crashes (FY 2016).*

Our earlier study of the crash risk associated with drug use by drivers used a random sample of crash-involved drivers sampled 24-hours a day, seven days a week. This resulted in a mix of fatal, injury and property damage crashes (with about 66% being property damage crashes). We will initiate a twelve month data collection period on a new complementary study that will focus on fatal and serious injury crashes. This new study will address the possibility that drivers that use drugs are less likely to become involved in minor property damage crashes, but rather get involved in mostly in very serious crashes. We hope to gain the cooperation of a high volume Level 1 Trauma Center in a large metropolitan area where we will obtain the crash-involved drivers from those fatally and seriously injured transported to the trauma center. The control drivers will be obtained using the same procedure used in the previous study.

(2) Prior Years Performance Targets and Results

Prior performance targets for FY 2007 and FY 2008 were fully achieved. In FY 2007, 300 survey sites were identified for the Roadside Survey of Alcohol and Drug Use by Drivers. In FY 2008, over 9,000 drivers were sampled in locations across the country for the Roadside Survey study.

The FY 2009 target was not achieved due to a change in research strategy. An expert group was convened during 2009 to develop and recommend methods for detecting the presence of major illegal drugs in drivers. The expert group concluded that such technology was not feasible for roadside use in the near future. With this information, the research effort was re-directed to developing methods for identifying drugs that impair driving.

In FY 2010, we completed the Case Control Study of Crash Risk of Drug-Impaired Driving study design and planning, as anticipated, and implemented the study. Data collection was completed as anticipated in September 2011. Response teams involving an on duty police officer and research team member are being fielded to respond to crashes 24 hours a day, seven days a week. The officer on the team handles the crash, while the research member collects breath, oral fluid and blood samples from the crash-involved driver. One week later, at the same time and location, the team stops motorists traveling in the same direction not involved in a crash to collect the same data.

In FY 2011, we concluded the majority of the onsite data collection, exceeding the goal of collecting data from 2,500 crash involved drivers and 5,000 control drivers.

In FY 2012, we were successful in developing and pilot testing an online version of the Advanced Roadside Impaired Driving Enforcement (ARIDE) Training program. The online version was developed and tested in several sites.

In FY 2013, we completed data analysis, and drafted a final report on a Case Control Study of the Crash Risk of Drug-Impaired Driving. However, the report has not yet been released due to delays in finalizing the report. We briefed Acting Director Botticelli on the results of the study in the early summer 2014 and expect to clear the report for release in the fall of FY 2014.

In FY 2014, we expect to complete data analysis of the 2013 National Roadside Survey of Alcohol and Drug Use by Drivers, and prepare a report on the results of the study. The report will be available for release by the end of the calendar year. The data collection phase of the study was delayed approximately 6 months due to inaccurate adverse publicity and congressional concerns that resulted from the publicity.

<u>Selected Measures of Performance</u>	<u>FY 2008 Target</u>	<u>FY 2008 Achieved</u>
Roadside Survey of Alcohol and Drug Use Among Drivers		
Collect and analyze oral fluids and blood samples from randomly selected drivers in at least 300 locations across the U.S.	7,500 drivers	Over 9,000 drivers

<u>Selected Measures of Performance</u>	<u>FY 2009 Target</u>	<u>FY 2009 Achieved</u>
Study to Identify Methods and Technologies to Measure Drug Presence		
Develop and recommend methods for detecting the presence of major illegal drugs in drivers	Detection methods for at least 5 drugs	Technology not currently available.

<u>Selected Measures of Performance</u>	<u>FY 2010 Target</u>	<u>FY 2010 Achieved</u>
Case Control Study of the Crash Risk Associated with Drug Use by Drivers		
	Develop study design and procedures	Study design completed and implemented.

<u>Selected Measures of Performance</u>	<u>FY 2011 Target</u>	<u>FY 2011 Achieved</u>
Case Control Study of the Crash Risk of Drug-Impaired Drivers		
Complete 50 percent of data collection	Collect data from 1250 crashes	Data collected on over 1,250 crashes and 2,500 control drivers.

<u>Selected Measures of Performance</u>	<u>FY 2012 Target</u>	<u>FY 2012 Achieved</u>
Advanced Roadside Impaired Driving Enforcement Training (ARIDE) Develop and Pilot Test an Online to facilitate distance learning	Complete design and pilot testing of an on-line version	Design completed and course pilot tested by over 100 officers from enforcement agencies in the Fall of 2012.

<u>Selected Measures of Performance</u>	<u>FY 2013 Target</u>	<u>FY 2013 Achieved</u>
Case Control Study of the Crash Risk Associate with Drug Use By Drivers Complete drug assays (blood and oral fluids), data analysis, and report preparation	Complete data analysis, risk estimation, and write report	Data analysis completed and report drafted.

(3) Current Performance Targets

<u>Selected Measures of Performance</u>	<u>FY 2014 Target</u>	<u>FY 2014 Achieved</u>
2014 National Roadside Survey of Alcohol and Drug Use by Drivers Conduct roadsides survey, collect breath, oral fluids and blood samples, analyze data and prepare report	Complete data collection at 300 locations, analyze data, prepare report	Data collection, data analysis, and report prepared. Release scheduled for late January 2015.

<u>Selected Measures of Performance</u>	<u>FY 2015 Target</u>	<u>FY 2015 Achieved</u>
Design and Implement a Field Evaluation of Oral Fluid Drug Screening Devices. Complete field data collection at four law enforcement agencies.	Complete field data collection using several oral fluid drug screening devices.	

<u>Selected Measures of Performance</u>	<u>FY 2016 Target</u>	<u>FY 2016 Achieved</u>
Crash Risk Study of Drug Use by Drivers in Fatal & Serious Injury Crashes - Complete study design, recruit site, and implement data collection.	Complete study design, recruit Level 1 Trauma Center and cooperation of law enforcement, initiate data collection	

(4) Quality of Performance Data

Data collection for the National Roadside Survey of Alcohol and Drugged Driving was based on a probabilistic design, using traffic volume and demographic variables to ensure a statistically representative sample. Details of the methodology and findings are included in the Research Note DOT HS 811 175 “Results of the 2007 National Roadside Survey of Alcohol and Drug Use by Drivers.”

Methodology for the 2010, 2011, 2012, 2013, and 2014 performance measures is based on records and documentation of successful achievement of study objectives. The established measures provide a meaningful assessment of progress toward the development of reliable and accurate measures of the drugged driving problem in the United States.