
Office of Inspector General

INSPECTOR GENERAL REVIEW OF FISCAL YEAR 2012 DRUG CONTROL FUNDS AND PERFORMANCE SUMMARY REPORTING

National Highway Traffic Safety Administration

Report Number: FI-2013-039

Date Issued: February 1, 2013





**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

Office of Inspector General
Washington, DC 20590

February 1, 2013

Ms. U. Jane Sanville
Acting Associate Director, Office of Performance and Budget
Office of National Drug Control Policy
Washington, DC 20503

Dear Ms. Sanville:

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 2012 Drug Control Obligation Summary and Performance Summary reports to the Office of National Drug Control Policy (ONDCP). Both reports are dated January 30, 2013. The reports and our review are required by 21 U.S.C. §1704 (d) and ONDCP's Circular, Annual Accounting and Authentication of Drug Control Funds and Related Performance, of May 2007 (Circular).

The Circular states that when drug-related obligations are less than \$50 million and a detailed accounting would constitute an unreasonable burden, agencies are permitted to submit an alternative report. Because NHTSA's fiscal year 2012 drug-related obligations were less than \$50 million, NHTSA submitted an alternative report. In our attestation review, we (1) assessed whether providing a detailed accounting of funds expended on National Drug Control Program activities would constitute an unreasonable burden, and (2) 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 the accompanying report (Enclosure 1), NHTSA's fiscal year 2012 Drug Control Obligation Summary, based upon criteria specified in the Circular. Our work was limited to inquiries and analytical

procedures appropriate for an attestation review. Specifically, we tested selected accounting internal control procedures to ensure drug control funds were properly identified in the accounting system. We traced \$2.6 million of NHTSA's reported \$2.7 million in drug control obligations to the Department's accounting system and verified that they were supported by contracts.

Because NHTSA is reporting an amount in drug control obligations—approximately \$2.7 million—which is below the Circular's \$50 million threshold for full reporting, we believe that full compliance with this Circular would constitute an unreasonable reporting burden.

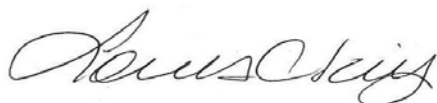
Performance Reporting Summary and Assertions

NHTSA's fiscal year 2012 performance target was to develop and pilot test an online version of the Advanced Roadside Impaired Driving Enforcement Training (ARIDE) course. NHTSA indicated that it had designed the training course, and that in the Fall of 2012, over 100 officers from five law enforcement agencies pilot tested it.

We performed review procedures on the accompanying report (Enclosure 2), NHTSA's fiscal year 2012 Performance Summary Report, and management's assertions. Our review processes were limited to inquiries and analytical procedures appropriate for an attestation review based upon the criteria specified in the Circular. Specifically, we reviewed NHTSA's internal control procedures for performance measures, to gain an understanding of how the measures were developed.

During our review, no information came to our attention that the accompanying NHTSA fiscal year 2012 Drug Control Obligation Summary and Performance Summary reports were not presented in conformity with the ONDCP 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

Report Number FI-2013-039



U.S. Department
of Transportation

**National Highway
Traffic Safety
Administration**

1200 New Jersey Avenue, SE
Washington, DC 20590

JAN 30 2013

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 May 1, 2007, the National Highway Traffic Safety Administration's (NHTSA) Fiscal Year (FY) 2012 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 that at the start of FY 2012, NHTSA was funded by a Continuing Resolution that provided funding under our previous authorization: Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). On July 9, 2012, a new authorization bill was signed by the President: Moving Ahead for Progress in the 21st Century Act (MAP-21). As a result, some of the funding available under SAFETEA-LU was no longer available under MAP-21. See the enclosed Resource Table Summary that reflects this reduction. However, FY 2013 is based on the annualized FY 2012 funding level provided by Public Law 112-175, the Continuing Appropriations Act, 2013 (which includes the .612-percent increase in Section 101(c)).

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

Sincerely yours,

Gregory A. Walter
Senior Associate Administrator
Policy and Operations

Enclosure

DEPARTMENT OF TRANSPORTATION

National Highway Traffic Safety Administration

Resource Summary

	Budget Authority (in Millions)		
	FY2012 Enacted	FY2013 CR*	FY2014 MAP-21 Request**
Drug Resources by Function			
Prevention	2.688	1.497	1.802
Total Drug Resources by Function	\$2.688	\$1.497	\$1.802
Drug Resources by Decision Unit			
Drug Impaired Driving	\$2.688	\$1.497	\$1.802
Total Drug Resources by Decision Unit	\$2.688	\$1.497	\$1.802

Drug Resources Personnel Summary			
Total FTEs (direct only)	2	2	2
Drug Resources as a Percent of Budget			
Total Agency Budget	\$799.974	\$804.870	\$855.000
Drug Resources Percentage	0.34%	0.19%	0.21%

*FY 2013 is based on the annualized FY 2012 funding level provided by P.L. 112-175, the Continuing Appropriations Act, 2013 (which includes the .612% increase in section 101(c)).

**Based on the Moving Ahead for Progress in the 21st Century (MAP-21) authorization, which takes effect once the appropriation bills are passed for FY 2013 and FY 2014. MAP-21 does not reflect the \$1.2M 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 Safety Research program anticipates an additional \$750K funding level for drug impaired driving research out of its core budget to conduct research and evaluation.

Note: FY 2012 includes \$1.2M dedicated to drug impaired driving research and approximately \$1.488M to support the agency's drug impaired driving program.



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1200 New Jersey Avenue, SE
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JAN 30 2013

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 May 1, 2007, the National Highway Traffic Safety Administration's (NHTSA) Fiscal Year 2012 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 2011. 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).

ASSERTIONS

1. **Performance reporting system is appropriate and applied:** Performance information for the first and second measures relies on data captured through the execution of the National Roadside Survey of Alcohol and Drugged Driving. Similarly, the performance information for the third measure was based on a study to identify methods and

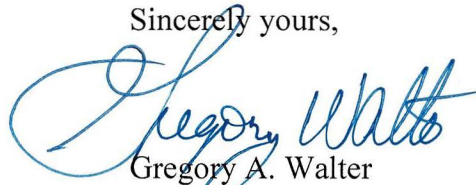
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Mr. Jon E. Rice

technologies to measure drug presence. The measures for 2010 and 2011 are based on a Case Control Study of the Crash Risk of Drug-Impaired Drivers. Each Study has data collection and reporting requirements specified in contract language with the firm conducting the research.

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) "Results of the 2007 National Roadside Survey of Alcohol and Drug Use by Drivers". 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,



Gregory A. Walter
Senior Associate Administrator
Policy and Operations

Enclosures

National Highway Traffic Safety Administration Drug-Impaired Driving Program

Performance Summary Report Fiscal Year 2012

(1) Performance Measures

NHTSA can contribute 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 developed performance measures for FY 2010 to FY 2013. We are now proposing a new measure for FY 2014. 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*. The new measure is designed to assess Agency progress in supporting the national strategy: increasing training for law enforcement and understanding of the extent of drug use among drivers and the role of drugs in crash causation.

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 performance measures of the drug impaired driving problem. Additional milestones will be identified to assess progress in future years.

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

- *Develop and Pilot Test an On-Line version of the Advanced Roadside Impaired Driving Enforcement (ARIDE) Training and Delivery (FY 2012).*

The 2010 National Drug Control Strategy directed NHTSA to support efforts to increase the availability of training for law enforcement officers to better enable them to recognize drivers potentially impaired by drugs other than alcohol. In response, NHTSA agreed to develop and make available an online version of the Advanced Roadside Impaired Driving Enforcement Training program. Having this training available on-line, for individual officer use, is expected to greatly increase the number of officers who complete this course.

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

This study will be the 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 compared 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.

(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. 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.

<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 of Drug-Impaired Drivers		
Complete study planning	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

(3) Current Performance Targets

<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 version of the ARIDE training course to facilitate distance learning	Complete design and pilot testing of an on-line version ARIDE	Design completed and course pilot tested by over 100 officers from five law enforcement agencies in the Fall of 2012

Selected Measures of Performance	FY 2013 Target	FY 2013 Achieved
Case Control Study of the Crash Risk of Drug-Impaired Drivers		
Complete drug assays (blood and oral fluids), data analysis, and report preparation	Complete data analysis, risk estimation, and write report	

Selected Measures of Performance	FY 2014 Target	FY 2014 Achieved
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	

(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 and 2013 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.