APPENDICES

Appendix 1: **List of Findings and Recommendations**

Appendix 2: **Management Alert Reports Sent to DMV**

Appendix 3:` **Title 18: School Bus Driver's Licenses**

Appendix 4: **New Policy on Issuing School Bus Licenses**

Appendix 5: **Documentation Required for Drivers Licenses**

Appendix 6: **Proposed Customer Flow at Information Desk**

Appendix 7: **Receipt for Brentwood Checks/Money Orders**

Appendix 8: **Proposed Layout for Vehicle Registration Area**

APPENDIX 1

LIST OF FINDINGS AND RECOMMENDATIONS

DMV Management and Supervision

1. The director of DMV does not have a consolidated and responsive management team.

a. That D/DMV establish a written, routine (e.g. weekly) reporting process for managers to keep her and her deputy informed of developments within their respective areas of responsibility. This report should provide a forum for managers to notify senior management of any problem (backlogs, customer service problems, etc.) and how they plan to solve them. The written record would provide a method of tracking problems and solutions; who was informed about them; when they were informed and by whom.

b. That D/DMV immediately (a) direct the updating of job descriptions for each manager; and (b) establish and promulgate in writing baseline performance standards for all managers in their respective positions, including her most senior managers.

c. That D/DMV take vigorous and decisive action to hold all DMV managers and supervisors accountable for the quality of their performances, the fulfillment of their responsibilities, and the amount of initiative taken, regardless of the positions they hold.

d. That D/DMV ensure that she has the resources and management tools required to make the District's DMV a professional organization performing at levels comparable to other DMV's across the country. ***It is particularly important that D/DMV reassign or remove from service expeditiously employees who are demonstrably not meeting promulgated performance standards.***

e. That by a date to be specified, D/DMV hold a "town hall" meeting with all employees to make clear the mission of DMV and her expectations of herself as the head of the agency and of all employees; to explain her leadership and managerial role; and to address employee concerns and questions. There are significant tardiness, absenteeism, and poor performance issues that must be addressed by DMV leadership to all employees directly and unequivocally.

f. That by a date to be specified, D/DMV hold a similar meeting with her senior and middle managers with a focus on eliciting their ideas and input for accelerating the pace of reform and improvement of DMV operations.

2. Managers and supervisors work hard but not smart. Many appear to lack sufficient managerial skills and leadership ability to perform effectively.

That D/DMV, by a date to be specified and using generally accepted professional standards, complete assessments of the managerial competencies and leadership qualities of each employee in a management or supervisory position based on past and current performance. The goal is to determine the requirements for remedial training and counseling, and to take other actions to eliminate performance deficiencies in this group of employees.

3. There is a serious deficiency in management control over basic internal and external communication processes.

That D/DMV immediately establish procedures in her front office and throughout DMV intended to ensure prompt transmittal and receipt of internal and external operational information, and that action on correspondence is taken where action is required. Those responsible for the flow of information and correspondence should be identified by name or position and held accountable.

4. Employees are not receiving annual performance evaluations as required by the District Personnel Manual (DPM).

a. That D/DMV direct managers and supervisors to comply with the DPM, Chapter 14, regarding the requirement that employees receive yearly performance evaluations. Evaluations that are past due should be done promptly and delivered to the Office of Personnel.

b. That DMV management institute as part of the performance evaluation process, periodic counseling and discussions with subordinates on such things as performance standards, professional and personal goals, and the skills and training needed to progress in their assigned areas.

5. <u>There are significant deficiencies in the cross-training of employees in some areas. This inhibits management flexibility to redirect resources</u>.

That all administrators ensure that wherever possible employees are cross-trained so they can be reassigned as necessary to meet changing work requirements.

6. <u>The team requested copies of policies and procedures for various operations but was told that they were outdated and not being used, or that none existed</u>.

That D/DMV direct all Administrators to oversee the creation, updating, and promulgating of written policies and procedures for all significant day-to-day DMV operations.

7. <u>Management involvement in and oversight of contracts and services provided by contractors appear to be minimal. Consequently, there are strong indications that DMV and the District Government are not getting what they are paying for in the Information Technology (IT) area</u>.

a. That D/DMV become directly involved in the MVIS and TIMS upgrades, and that she immediately designate one or more senior managers to focus specifically on the upgrade plans, vendor selection, and contracts. D/DMV should be provided with accurate, up-to-date information about all significant details of major computer system matters.

b. That D/DMV establish a unit with the experience and expertise to oversee all DMV contractor operations and ensure that she and her managers know everything they need to know to protect the interests of the District Government and D.C. taxpayers.

Customer Services Administration

Permit Issuance Branch

1. The Problem Driver Pointer System (PDPS) was not being checked for each applicant applying for a drivers license.

That the Customer Service Administrator ensure that there are sufficient staffing and working terminals available at all times so that PDPS driver history checks can be done on every applicant without inordinate delays.

2. There is a significant backlog in entering drivers license revocations and suspensions into the Motor Vehicle Information System (MVIS). This allows problem drivers to continue driving without detection.

That DRRIB be provided with sufficient staff to fulfill its data processing and customer service functions.

3. The drivers license suspension notification process contains an extra step that extends processing time and uses additional resources without definitive benefit.

That the Customer Services Administrator direct the DRRIB supervisor to cease issuing a second Official Notice of Proposed Suspension.

4. School bus driver licenses have been issued to applicants with criminal backgrounds before required FBI checks were completed.

That the Customer Services Administrator review the entire process of licensing school bus drivers and develop procedures that ensure that unqualified applicants do not receive school bus licenses.

5. DMV is illegally disseminating FBI background checks to other agencies.

a. That DMV no longer disseminate FBI checks outside of the CDL Division.

b. That applicants are not issued a copy of the actual FBI check but provided the information necessary to obtain a clearance letter from the courts.

6. <u>There is no legal or procedural reason for DCPS or its contractor to be involved in DMV's school bus driver licensing process. This interaction detracts CDL Unit personnel from other important duties. In addition, there are no firm, written procedures for the school bus licensing process</u>.

a. That the CDL Unit maintain all documents connected with the school bus driver licensing process and work directly with an applicant until a license is issued or the file is closed because the applicant does not complete the process. The following procedure is suggested:

(1) Open a temporary folder for each applicant. Applicants should be instructed to return completed application packages to the DMV CDL Unit. When applicants return their completed application forms, file the forms in the temporary folder while awaiting return of the FBI checks.

(2) Upon receipt of a satisfactory FBI check, notify applicants by mail to come in for their school bus driver license. After issuing the license, make the temporary folders permanent and file all relevant documents.

(3) When warranted by the FBI check, advise applicants by mail that a court clearance letter is required to complete processing of the license.

b. That procedures similar to those outlined in (a.) above be analyzed, developed, documented, and promulgated.

c. That the CDL Unit no longer handle FBI checks for DCPS school bus attendants.

7. <u>The regulation that governs qualifying standards for school bus drivers is inconsistent regarding age</u>.

That D/DMV draft the necessary clarifying language so that legislative changes can be made to DCMR 18, Section 200.3.

8. <u>There is no automated system to track basic information about individuals holding school bus driver licenses</u>.

That Information Technology Administration develop a stand-alone database of school bus driver information for CDL Unit computers.

9. <u>Accountability for the data cards used to make drivers licenses and non-driver identification cards is lax, and cards are not handled or stored in a secure manner</u>.

a. That the Information Technology Administration enable each Permit Branch computer to generate daily counts for each license type. The supervisor would then match the computer count with each day's batch of operator data card copies. If there is a discrepancy, the appropriate permit clerks should be held accountable.

b. That a Permit Issuance Branch supervisor or designee have control of the key to the storage cabinet containing the data cards and be the only person authorized to issue the cards. A record should be kept of the issuing officer, the recipient, and the date/time the cards were issued.

10. <u>Some permit clerks and photographers are careless in issuing data cards and finished permits to customers</u>.

a. That the Customer Services Administrator require employees in the Photo Unit to check all data cards closely and immediately notify supervisors of any errors.

b. That the Customer Services Administrator require Photo Unit employees to ask customers what type of license (learner's permit or drivers license) they are applying for prior to the photograph being taken and compare the verbal response to the data card information.

11. Voter registration forms with personal information are not securely maintained.

That a slotted, locked box under the control of a supervisor be provided for storage of voter registration forms.

12. Problems in accessing the Commercial Drivers License Information System (CDLIS) and staffing shortages delay customer service.

a. That the Information Technology Division update all the computers in the CDL Unit.

b. That an additional clerk be hired to assist with customer service and administrative matters.

13. There is a need for formal training of clerks and supervisors in document examination and other aspects of driver processing.

That the Customer Services Administrator develop a comprehensive training program for all Customer Services Administration employees. The American Association of Motor Vehicle Administrators (AAMVA) located in Arlington, Virginia is a non-profit educational organization that develops training programs and will supply training plans, instructors, and materials to certify employees who provide motor vehicle services.

14. Supervisors deviate from procedures regarding required documentation.

That the Customer Services Administrator ensure by all means available that supervisors and clerks adhere to all procedural requirements for issuing drivers licenses.

Information Desk – 301 C Street

1. Information Desk Clerks do not consistently verify that customers have correct documentation prior to issuing them a control number.

That the Customer Service Administrator ensure that Information Desk Clerks carefully inspect each piece of required customer documentation. Instructions on this matter should be documented in formally issued procedures, and clerks should be closely supervised to ensure compliance.

2. Information for customers about required documentation and instructions about the licensing process is inadequate.

That large signs in English and Spanish that list required documentation be placed outside the entrance and on the wall between the entrance and the exit.

3. Some Information Desk Clerks are rude and unhelpful.

That the Customer Services Administrator ensures that Information Desk Clerks are evaluated on their customer service skills and receive sufficient formal training and close supervision as required. Instructions on this matter should be documented by the acting chief of the Permit Issuance Branch in formally issued procedures.

4. The configuration of the Information Desk area causes congestion and affects the personal attention clerks should be giving to customers.

That the Customer Service Administrator reconfigure the Information Desk as shown in Appendix 6.

5. There is no suitable area for customers to retrieve faxed information.

That a fax machine be installed in the PDPS room to receive faxes and information sent to DMV customers. A separate waiting area should be established to the right of the PDPS room. (See Appendix 6.)

6. Drivers test scores are handwritten on applications by the DMV testing clerk. This procedure could allow a failing test score to be changed to a passing score.

That the Information Technology Administrator explore the possibility of reconfiguring the testing room computer to automatically generate a printout of the test-taker's name, SSN, and score. This printout would then be attached to the application by DMV staff rather than having the clerk write the score directly on the application.

7. <u>The testing computer cannot be audited because testing clerks do not always log on and off</u>.

That licensing supervisors instruct testing clerks to always use appropriate log on and log off procedures when using the testing room computers.

H Street Satellite Office – 616 H Street, N.E.

1. <u>Information Desk services are being provided by contract security guards</u>.

a. That the Customer Service Administrator provide staff, rather than security guards, to answer questions and provide information on DMV operations.

b. That large signs listing the documents needed for both registration and licensing be placed prominently within the facility.

2. <u>Cashier stations are understaffed and the facility manager has little supervisory influence over Treasury employees</u>.

That DMV management reviews the operational role of Treasury employees who work in DMV.

3. <u>All service windows should be equipped to handle all customer transactions</u>.

That additional printers be purchased and service windows be reconfigured so that each employee has enough space and the equipment necessary to process both licensing and registration transactions at all windows.

Brentwood Road Test Facility

1. <u>Customer payments are sent to C Street for reconciliation instead of being reconciled at Brentwood</u>.

a. That Brentwood staff be trained and required to reconcile the facility's daily receivables and prepare the daily "tally report." C Street supervisors should continue to provide close oversight of this process until the staff is fully trained.

b. That the Brentwood facility immediately receive a safe to store the day's receivables (checks and money orders) until they are picked up by the security company.

2. <u>The facility lacks shredding equipment to destroy documents that contain personal information</u>.

That a shredder be placed near the counter for the immediate destruction of this sensitive information.

3. <u>Testing equipment and materials for the motorcycle road test are inadequate</u>.

a. That DMV provide the Brentwood facility with cones and other basic road testing materials to set up exercises that can better assess motorcycle driving skills until new testing machinery is installed.

b. That DMV acquire up-to-date, cost-effective motorcycle testing equipment that meets American Association of Motor Vehicle Administrator (AAMVA) guidelines for skill testing as soon as possible.

c. That if District motorcycle drivers are not going to be tested in traffic conditions (off-road and simulated tests can be devised that meet AAMVA standards), then Title 18 of the DCMR should be changed to reflect the actual procedures that will be followed.

Vehicle Registration Branch

1. <u>There are no internal controls to prevent misappropriation of accountable vehicle registration instruments</u>.

a. That the Customer Services Administrator institute a comprehensive internal control system to limit access to, and establish accountability for all vehicle registration instruments.

b. That the Customer Services Administrator enclose the workstation that dispenses vehicle registration instruments by means of a physical barrier (See recommended layout at Appendix 8).

c. That the Customer Services Administrator establish a log to record the names of employees working at a particular workstation, the beginning and ending date, and time on duty.

d. That the Customer Services Administrator install a cypher lock and allow only designated DMV employees access to the storage room.

e. That the Customer Services Administrator issue a directive that mandates that the storage room door be kept locked at all times.

f. That the Customer Services Administrator establish procedures requiring designated employees to receipt for accountable items.

g. That the Customer Services Administrator direct that all personalized plates be secured in the file cabinets at all times.

h. That the Customer Services Administrator direct that the file cabinets containing personalized plates and any other instruments be locked when not in immediate use.

i. That the Customer Services Administrator establish notification and disposal procedures to resolve the accumulation of unclaimed personalized plates.

j. That the Customer Services Administrator locate a secure storage space for surrendered plates to be stored until they are picked up for recycling.

2. <u>The customer service window area is disorderly</u>.

That the Customer Services Administrator hold Vehicle Registration Branch management responsible for the cleanliness of the customer service window work areas.

3. <u>Some window clerks do not present a professional appearance in their manner of dress</u>.

That D/DMV institute dress standards for all employees.

Enforcement Unit

1. <u>The Enforcement Unit is severely understaffed and cannot fulfill its assigned responsibilities</u>.

a. That D/DMV assign additional personnel to the Enforcement Unit to ensure that monthly audits of automobile dealerships and re-inspection stations are conducted; and that employees representing DMV at hearings have sufficient time to prepare effective presentations.

b. That the Customer Services Administrator identify training that will assist investigators in conducting research, and preparing and presenting evidence and effective presentations at adjudication hearings.

2. <u>There is a substantial amount of uncollected revenue owed to the District in the form of dishonored checks received from DMV customers</u>.

a. That the Customer Services Administrator, in conjunction with representatives from Treasury devise and implement a plan to collect the revenue owed the District from dishonored checks submitted to DMV.

b. That the Customer Services Administrator coordinate with Treasury to obtain information on checks not yet turned over to DMV so that

stop transaction codes can be entered into MVIS to suspend the driving privileges of those who have submitted dishonored checks.

c. That the Customer Services Administrator ensure the development of a means of capturing for research and retrieval of all pertinent information concerning dishonored checks and those who submit them, including but not limited to check number, check date, amount, bank, account name and number, ticket number, license number, title number, and license plate number.

d. That D/DMV oversee the drafting of legislation to be incorporated into DCMR Title 18, Chapter 3 that would suspend the driving privileges of individuals in financial arrears with DMV.

3. More coordination is needed between DMV and the Department of Consumer and Regulatory Affairs (DCRA) to effectively regulate automobile dealers and salespersons.

That D/DMV coordinate with the Director of DCRA to consider establishing a process for information sharing among the two agencies that will detect violations of Titles 16 and 18 by automobile dealers and salesmen, and ensure coordinated regulatory efforts by DMV and DCRA.

Adjudication Services Administration

1. There are over 680,000 tickets for moving violations dating from 1987 through 1999 that are unpaid. This represents uncollected revenue for the District amounting to more than $63 million.

That DMV consider suspension of driving privileges as a penalty for moving violation tickets unpaid after a specified number of days.

2. Most employees interviewed expressed dissatisfaction with the performance of the computer system managed by the current contractor.

a. That final approval of a new contract for TIMS not be given until a cost-benefit analysis has been conducted.

b. That final approval of a new contract not be given until an independent performance assessment has been made and reviewed by all concerned parties.

c. That limitations be placed on the length of any new contract to ensure the District's ability to make adjustments and course corrections as necessary.

d. That specific DMV managers be tasked with and held accountable for oversight and monitoring responsibilities of all aspects of contractor operations and contracts between the selected contractor and DMV.

e. That all DMV managers whose responsibilities are affected by computer systems operations be directed to familiarize themselves with the contractor's role and performance.

3. Employees cited a number of problems concerning ticket handling and operations that they deemed significant.

That the Adjudication Services Administrator assign one or more senior employees to study these problems, recommend solutions in a written report, and take approved action within a specified time period such as 30 or 60 days.

4. Questions were raised about management decisions on awarding permanent or temporary status to hearing examiners. Pay levels also questioned.

That D/DMV establish an independent task force to report within 30 calendar days the pay and employment status of hearing examiners and make appropriate recommendations for any changes.

5. The work environment at 65 K Street, N.E. is extremely poor and there are serious deficiencies in office supplies, equipment, furniture, and staffing.

a. That the Adjudication Services Administrator and D/DMV move expeditiously to improve the physical work environment at 65 K Street. Better office equipment, supplies and furniture are transportable and such improvements need not wait until planned moves take place.

b. That the Adjudication Services Administrator ensure that all maintenance and upkeep for which the landlord is responsible under DMV's lease, including interior painting, has been done or will be done, regardless of any planned moves out of the building.

c. That the Adjudication Services Administrator review staffing requirements and develop a plan that will ensure a sufficient number of clerks are on duty each day.

Information Technology Systems Administration

1. The Information Technology Systems Administration (ITSA) does not have sufficient staff to provide technical support and protect the department's information technology (IT) interests. The ITSA still relies on DPW to provide many functions, further compromising its effectiveness.

That D/DMV hire and maintain a staff of knowledgeable, well-trained technical employees to provide necessary oversight of contracts and contracting staff. Training opportunities that enhance DMV's interests should be provided for the IT staff. Although it is acceptable to rely on contractors to provide the day-to-day support of DMV systems, knowledgeable government employees should be used for IT contracting and acquisition.

2. MVIS sometimes erases transaction stop codes on individuals who have submitted dishonored checks.

That the Information Technology Manager install an automatic save feature in the MVIS to prevent loss of such data.

3. Computer system deficiencies force supervisors to manually count transactions performed on the MVIS.

That the Information Technology staff develops a software program that counts the number of MVIS transactions performed by type and provides daily reports of this information.

4. <u>The issuance of temporary license plates to car dealerships should be automated</u>.

That the Customer Services Administrator in conjunction with the Information Technology Manager develop upgrades for MVIS that will allow automated issuance of temporary license plates.

5. <u>Accountability for inspection stickers should be automated</u>.

That the Customer Services Administrator coordinate with the Information Technology Administrator in developing upgrades for MVIS that will allow for the automation of inspection sticker accountability and issuance procedures for re-inspection stations.

6. <u>The Ticket Information Management System (TIMS) is not integrated with MVIS</u>.

That the Customer Services Administrator coordinate with the Information Technology Administrator and contract representatives to develop a toggle feature to display both TIMS and MVIS screens on existing computers or install a TIMS computer in each vehicle registration window. The possibility of using laptops should be explored if space is limited.

7. <u>One of the computers used to access TIMS is constantly inoperable</u>.

That the Customer Services Administrator repair or replace the current TIMS computer or develop a toggle feature to display both TIMS and MVIS screens on the existing computers.

8. <u>A broken computer forces the Brentwood supervisor to print road test appointments by hand</u>.

a. That the software program that generates appointment dates and times be repaired or an alternative calendar program be installed immediately.

b. That Call Center employees generate the blank appointment sheet and fill it in at the Call Center until the software program is repaired. There is no need for the Brentwood supervisor to create blank appointment sheets

by hand. An appropriately formatted template appointment sheet could be computer-generated with 10-minute appointment slots. The Call Center supervisor could check with the Brentwood supervisor to determine how many examiners will be available for the day, complete the appointment sheet and send it to the Brentwood facility until the program is fixed.

Security of DMV Facilities and Personnel

The security of DMV facilities and personnel is insufficient.

a. That D/DMV appoint a task force of senior managers to develop and present to her within 30 days of their appointment a comprehensive security plan for employees and customers at each DMV facility. Consideration should be given to requesting on or off-duty MPD officers in uniform, particularly in areas such as 301 C Street where violations of criminal law by customers presenting false documents have been documented by supervisors. "Best Practices" regarding security procedures at DMV offices in other states should be reviewed.

b. That the performance and professionalism of current security personnel at all DMV locations be assessed and improved immediately, and monitored continuously thereafter by the DMV officials responsible. DMV officials must ensure that security officers carry out their duties in a manner that will deter incidents, and that they can respond appropriately should there be a security breach.

APPENDIX 2

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Office of the Inspector General

Charles C. Maddox, Esq.
Inspector General

October 8, 1999

Ms. Sherryl Hobbs-Newman, Director
Department of Motor Vehicles
301 C Street, N.W., Suite 1128
Washington, D.C. 20001

Dear Ms. Hobbs-Newman:

This is a Management Alert Report (MAR 00-I-001) to inform you of an issue that has surfaced during our inspection of the Department of Motor Vehicles (DMV). The Office of the Inspector General (OIG) provides these reports when we believe a serious matter requires the immediate attention of a District of Columbia (D.C.) Government official.

The inspection team has observed that DMV use of the Problem Driver Pointer System (PDPS) is erratic. As a result, some drivers' permits are being issued without a driver history check as required by the Driver License Compact Adoption Act of 1984, D.C. Law 5-184, 1985; codified at D.C. Code § 40-1501 (See attached).

PDPS is a national database with information on licenses and driving violations that individuals have received in other states. It should be accessed routinely when processing applicants for D.C. driving permits. Article V of the above act states that parties to the multi-state agreement on using PDPS, such as the District, must determine if an applicant has held or holds a license from another state and, if so, should not issue a license if:

- another state has suspended the applicant's license and the suspension is current;
- the applicant's license has been revoked and the revocation is still in effect;
- the applicant has not surrendered his or her current out-of-state license.

Public safety requirements make it imperative that DMV employees follow correct procedures and pay attention to details. In August 1997, Willie Curry, who had been issued a restricted D.C. driver's permit, was involved in a traffic accident that killed a 17-year-old boy. An investigation determined that Bureau of Motor Vehicle Services employees did not pay proper attention to documentation presented to them by Curry or to the standard procedures that should have been followed. Consequently, Curry was issued a driver's permit that he should not have received.

In January 1999, Shane DeLeon was involved in a hit-and-run accident that caused the death of an American University student. In this case, DeLeon clearly indicated on his permit application to DMV that he had a suspended Maryland license. Even so, DeLeon was issued a D.C. driver's license. Both the Curry and DeLeon cases were the result of procedures not being followed and lack of attention to details, and they were the impetus for installing the PDPS system.

Supervisors who oversee PDPS told the inspection team that they have had problems accessing the PDPS database since its initial installation. Users state that it takes an inordinate amount of time for the system to activate and often locks up their computers or logs them off line. Additionally, not all workstations can access PDPS, so clerks who have to leave one workstation and go to another to gain access do not always take that step. The inspection team observed these problems first-hand during a demonstration of the system.

The PDPS problems were discussed with the head of the Information Technology (IT) Division Rick Whitley. Whitley explained that clerks have to toggle out of one program into another program to access PDPS, and this results in a slow process and in system problems.

While the planned upgrade of the Motor Vehicle Information System may eventually solve these problems, it is critical that a driving history check on every applicant for a D.C. driver's permit be done immediately. Consequently, we recommend:

- that supervisors ensure that the driving record of every applicant for a D.C. driver's permit is checked in PDPS regardless of the real or perceived difficulties in accessing the system;

- that the IT Division give the highest priority to making all software and hardware adjustments necessary to ensure quick and reliable access to the PDPS database and to provide a means of auditing daily queries to the system. This may require installation of workstations dedicated solely to accessing PDPS.

Please provide your comments on this report by October 22, 1999. Your response should include actions taken or planned, dates for completion of planned actions, and reasons for any disagreements with the issue and recommendations presented. Please distribute this Management Alert Report only to those personnel who will be directly involved in preparing your response.

Should you have questions concerning this report or desire a conference prior to preparing your response, please contact Inspector Karen Meunier on 727-5065 or Deputy Assistant IG for Inspections and Evaluations Robert Isom on 727-9234.

Sincerely,

Charles C. Maddox, Esq.
Inspector General

Attachment

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Office of the Inspector General

Charles C. Maddox, Esq.
Inspector General

October 27, 1999

Ms. Sherryl Hobbs-Newman, Director
Department of Motor Vehicles
301 C Street, N.W., Suite 1128
Washington, D.C. 20001

Dear Ms. Hobbs-Newman:

This is a Management Alert Report (MAR 00-I-002) to inform you of an issue that has come to our attention during our inspection of the Department of Motor Vehicles (DMV). The Office of the Inspector General (OIG) provides these reports when we believe a serious matter requires the immediate attention of a District of Columbia Government official.

DMV employee comments and direct observation by the inspection team show a requirement for an immediate review of physical security at 301 C Street NW, 65 K Street NE, and 616 H St NE. Security at all other DMV offices and facilities also should be reviewed.

- 301 C Street. There is no security presence in the customer service areas. Employees recounted instances of being confronted by irate customers in a verbally abusive and/or physically threatening manner. Employees state that when customers with clearly false documents have been detected attempting to fraudulently obtain permits, they were able to exit quickly without apprehension since there is no security presence.

- 65 K Street. Although usually there are off-duty police officers present in the building for ticket hearings, there is no dedicated security presence in the customer service areas. We have observed lax security and an unprofessional demeanor on the part of security personnel at the entrance to the building. The contents of bags brought into the building are sometimes given only a cursory check. Guards frequently are distracted while engaging in private conversations and do not appear to be consistently focused on who is entering and leaving the building.

  Security is also an issue in the Customer Service areas. A hearing examiner recounted an incident during a hearing in which a customer who received an adverse decision knocked over a chair that hit another customer (there are up to 10 customers sitting in the hearing rooms awaiting their turns). The customer then began cursing and screaming at the examiner and refused to leave the room. The examiner stated that there is an emergency switch behind each examiner's desk that activates a flashing light outside of the hearing room, but there is no security presence available to respond to the light. In addition, the hearings are open to the public, so one does not have to have business to transact with

DMV in order to enter a hearing room at any time. The examiner suggests a roving security officer who would periodically check on the security situation in each room while hearings are in progress.

- 616 H Street. A supervisor at H Street stated that the private security guards there are neither respected nor obeyed by some irate or hostile customers. The supervisor believes that Metropolitan Police Department (MPD) officers either on- or off-duty and in uniform would significantly enhance the security posture of the office. Also at H Street, security guards are sometimes used for non-security tasks such as briefing customers on DMV procedures because of personnel shortages.

The security of both employees and customers must be given the highest priority. Consequently, we recommend

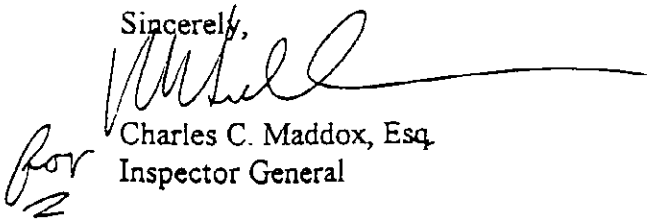
- that you appoint a task force of senior managers to develop and present to you within 30 days of their appointment a comprehensive security plan for employees and customers for each DMV facility. Consideration should be given to requesting on or off-duty MPD officers in uniform, particularly in areas such as 301 C Street where violations of criminal law by customers presenting false documents have been documented. "Best Practices" regarding security procedures at DMV offices in other states should be reviewed; and

- that the performance and professionalism of current security personnel at all DMV locations be assessed and improved immediately, and monitored continuously thereafter by the DMV officials responsible. DMV officials must ensure that security officers carry out their duties in a manner that will deter incidents, and that they can respond appropriately should there be a security breach.

Please provide your comments on this report by November 12, 1999. Your response should include actions taken or planned, dates for completion of planned actions, and reasons for any disagreements with the issues and recommendations presented. Please distribute this Management Alert Report only to those personnel who will be directly involved in preparing your response.

Should you have questions concerning this report or desire a conference prior to preparing your response, please contact Deputy Assistant IG for Inspections and Evaluations Robert Isom on 727-9234.

Sincerely,



Charles C. Maddox, Esq.
Inspector General

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Office of the Inspector General

Charles C. Maddox, Esq.
Inspector General

November 16, 1999

Ms. Sherryl Hobbs-Newman, Director
Department of Motor Vehicles
301 C Street, N.W., Suite 1128
Washington, D.C. 20001

Reference: MAR-00-I-001 dated October 8, 1999

Dear Ms. Hobbs-Newman:

This is a Management Alert Report (MAR 00-I-003) to inform you of an issue that has come to our attention during our inspection of the Department of Motor Vehicles (DMV) The Office of the Inspector General (OIG) provides these reports when we believe a serious matter requires the immediate attention of a District of Columbia (D.C.) Government official.

The inspection team has observed that the DMV Driver Records Rehabilitation and Improvement Branch (DRRIB) has a significant backlog of driver convictions and suspensions that have not been entered into the Motor Vehicle Information System (MVIS). As of November 10, 1999, approximately 3,393 conviction records and approximately 13,000 suspension records had not been entered into MVIS for infractions incurred by D.C. residents while driving in other states. This is a significant problem in that drivers who may be public safety hazards still retain D.C. driving privileges. (See referenced MAR attached.)

It is critical that these records are processed in a timely manner so that problem drivers can be identified and appropriate actions taken. Consequently, we recommend:

- that the plan by the Interim Administrator of the Customer Services Administration to obtain contracted full-time data entry staff to quickly eliminate this backlog be implemented as soon as possible;

- that permanent staffing measures be undertaken to remain current on the input of this information once the backlog is eliminated;

- that measures proposed by the DRRIB to streamline the current suspension process be implemented. In the streamlined process, drivers would receive the Official Notice of Proposed Suspension (DPW 33-21) [Note: This form

should be updated.] notifying them of their rights and the actions needed to clear the pending suspension. If these actions are not completed by drivers within the requisite time, their driving privileges would be suspended.

Please provide your comments on this report by November 26, 1999. Your response should include actions taken or planned, dates for completion of planned actions, and reasons for any disagreements with the issue and recommendations presented. Please distribute this Management Alert Report only to those personnel who will be directly involved in preparing your response

Should you have questions concerning this report or desire a conference prior to preparing your response, please contact Inspector Diane Barber at 727-5066 or Deputy Assistant IG for Inspections and Evaluations Robert Isom on 727-9234.

Sincerely,

Charles C. Maddox, Esq.
Inspector General

Attachment

APPENDIX 3

CHAPTER 2 SCHOOL BUS DRIVER'S LICENSES

200 General Provisions
201 Qualifications for a School Bus Driver's License
202 Minimum Medical Standards for School Bus Operators
203 Application for a School Bus Driver's License
204 Refusal, Suspension, or Revocation of a School Bus Driver's License

200 GENERAL PROVISIONS

200.1 No person shall operate a school bus within the District for the purpose of picking up or discharging students unless that person has been licensed as a school bus driver by the Department in accordance with the procedures set forth in this section, or unless that person has been licensed as a school bus driver by the jurisdiction in which the school bus is registered. [MISDEMEANOR: See §1110]

200.2 Drivers of buses operated by or on behalf of schools located within the District shall be licensed as school bus drivers by the Department notwithstanding the fact that they may also be licensed as school bus drivers by another jurisdiction.

200.3 The Director shall issue a school bus driver's license to an applicant who is at least eighteen (18) years of age if the Director is satisfied the applicant is physically, mentally, and morally qualified, in accordance with the standards set forth in this chapter.

200.4 If an applicant for a school bus driver's license is rejected by the Director for moral reasons and is, nevertheless, acceptable to the director of the school for which he or she will be driving, that driver shall be rejected for moral reasons.

200.5 School bus driver permits shall be valid for a period of one (1) year, expiring on the last day of August of each calendar year.

200.6 Each school bus operator's license shall consist of a numbered identification card bearing a photograph of the licensee, which shall be displayed prominently in any vehicle being operated as a school bus by the licensee, and a special school bus permit which shall contain a number and information identifying the owner of the bus. The license and permit shall include any other matter that the Director may require.

200.7 The licensee shall carry the school bus operator's permit at all times when operating a vehicle as a school bus, and shall present the permit, on demand, to any police officer.

AUTHORITY: Unless otherwise noted, the authority for this chapter is §§401 and 402 of Reorganization Plan No. 3 of 1967, effective August 11, 1967, filed August 11, 1967, D.C. Code Vol. 1 at 126 (1981 Ed.); §412 of the District

of Columbia Self-Government and Governmental Reorganization Act as amended, 87 *Stat.* 790, Pub.L. No. 93-198 D.C. Code §1-227(a); and §§IV(A) and V of Reorganization Plan No. 4 of 1983, 30 DCR 6428 (12-16-83).

SOURCE: Regulation No. 72-13 effective June 30, 1972, 32 DCRR §§2.801, 2.802, 2.805, Special Edition; as amended by §3 of the District of Columbia Age of Majority Act, D.C. Law 1-75, 22 DCR 6454, 6456 (May 20, 1976).

201 QUALIFICATIONS FOR A SCHOOL BUS DRIVER'S LICENSE

201.1 The Department shall not issue a school bus driver's license to any of the following:

(a) A person who is under twenty-one (21) years of age;

(b) To a person who is covered by diplomatic immunity:

(c) To a person who has previously been adjudged to be afflicted with or suffering from any mental disability or disease and who has not at the time of application been restored to competency by the methods provided by law;

(d) To a person who is required by this chapter to take an examination, unless that person has successfully passed the examination;

(e) To any employee of the Department whose employment is concerned directly with the issuance of a license;

(f) To a person who has not, within the three (3) years immediately preceding the date of his or her application for a license, had at least one (1) year's driving experience as a licensed motor vehicle operator in the Metropolitan area;

(g) To a person who the Department has good cause to believe would not be able to operate a public vehicle safely due to physical or mental disability;

(h) To a person who has been convicted of offenses or found liable for infractions of traffic regulations of the District and elsewhere with such frequency as to indicate a disrespect for traffic laws (such fact being established by the point system described in this title); or for a serious traffic offense or offenses which indicate a disregard for the safety of other persons or property; or

(i) To a person who, in the judgment of the Department is not of good moral character.

201.2 An applicant shall not be considered of good moral character if any of the following apply to the applicant:

(a) He or she is a habitual drunkard or addicted to the use of drugs;

(b) He or she is on parole or probation at the time of the filing of the application for a license; Provided, that if the parole or probation arose out of a conviction for a crime other than those listed in paragraph (c) of this subsection, the application may considered for approval by the Director if a letter from the appropriate parole or probation officer is submitted with the

application stating that there is not objection to the issuance of a school bus operator's license; or

(c) He or she has, within the three (3) years immediately preceding the filing of his or her application, been convicted of, or during that period has served any part of a sentence for, or is currently under indictment for the commission or an attempt to commit any of the following:

(1) Murder, manslaughter, mayhem, malicious disfiguring of another, abduction, kidnapping, burglary, housebreaking, robbery, or larceny;

(2) Assault with intent to commit any offense punishable by imprisonment in the penitentiary;

(3) Any sex offense; or

(4) Any violation of the narcotics laws.

201.3 No applicant shall be considered for a license if, at the time an application is filed, the applicant is suffering from a contagious disease, epilepsy, vertigo, fainting spells, blackouts, attacks of dizziness, or other medical conditions that may render the applicant unsafe or unsatisfactory as the driver of a school bus. The physical fitness standards of the Department are set forth in §202.

SOURCE: Regulation No. 72-13 effective June 30, 1972, 32 DCRR §§2.901, 2.902, 2.904, Special Edition; as amended by Regulation No. 74-17 effective June 29, 1974.

202 MINIMUM MEDICAL STANDARDS FOR SCHOOL BUS OPERATORS

202.1 The medical standards set forth in this section shall be met by each applicant for a school bus operator's license.

202.2 **VISION**: Two eyes - one testing at least 20/30, the other 20/50 or better (Snellen), with or without glasses; Field of Vision: one hundred forty degrees (140°) or better; Color Vision: Be able to discriminate red, green, and yellow signals.

202.3 **HEARING**: Hear whispered voice at twenty feet (20 ft.) (hearing aids permitted); or hear ordinary conversation in at least one ear 15/20.

202.4 **BLOOD PRESSURE**: Systolic - not over one hundred sixty (160 mm. hg.) sitting and diastolic not over one hundred (100 mm. hg.) sitting. If taking medication for blood pressure, a report from a physician, including the kind and dosage of the medication, prognosis, and a recommendation as to the applicant's fitness to operate a school bus safely, is required.

202.5 **ENDOCRINOPATHY**: No evidence of disease of the thyroid, adrenal, or pituitary gland; tachycardia; tremors; Cushing's syndrome; pituitary insufficiency; hypertension; hypoglycemia; astenia; or undue atrophy or weight loss.

202.6 **HEART**: Normal, or if any heart disease is present, it shall be fully compensated and asymptomatic with no demonstrable edema, dyspnea, or other symptoms upon

climbing stairs on exercise tests, or during excitement or stress. If taking any medication for heart condition, the applicant shall submit a statement from his or her physician concerning kind and dosage, prognosis, and ability to drive a school bus safely.

202.7 **PULMONARY DISEASE**: No subjective or objective evidence of symptomatic restrictive or obstructive pulmonary disease producing hypoxemia with associated dyspnea or reduction in exercise tolerance.

202.8 **DIABETES MELLITUS**: If a diabetic, the applicant shall submit a statement from a physician indicating the following:

(a) The extent to which the disease is under control;

(b) Whether the individual is under regular medical supervision;

(c) Whether insulin is required;

(d) Whether the individual is reliable in following a prescribed medical or dietary regimen; and

(e) That there has been no history of coma or altered consciousness within the preceding three (3) years. The diabetes should not be the "brittle" type and should not be accompanied by complications, especially retinopathy or neuropathy.

202.9 **CENTRAL NERVOUS SYSTEM DISEASE**: No tremors, incoordination, ataxia, abnormal reflexes, palsies, dystrophies, or neurological deficits.

202.10 **HISTORY OR EVIDENCE OF SEIZURES OR LOSS OF CONSCIOUSNESS**: Applicant who has a diagnosis of a seizure disorder or narcolepsy shall not be medically qualified to receive a school bus operator's license.

202.11 **NO EVIDENCE OF ANY CONTAGIOUS DISEASE.**

202.12 **NORMAL URINALYSIS**, or satisfactory correction of any abnormalities.

202.13 **EXTREMITIES**: Manual transmission: normal muscle power, and full range of emotion in all four extremities; normal grasp/grip in each hand. Automatic transmission, normal power and range of motion in the right lower extremity and in each upper extremity. Both cases: one complete upper extremity with at least the thumb and two (2) other fingers on the other hand with adequate grasping power in each.

202.14 **ORGANIC OR FUNCTIONAL DISEASE**: Applicant shall be free of any organic or functional disease likely to interfere with safe driving such as paralysis, deformities, atrophies, or injuries of the extremities or impairment of the central nervous system. There shall be no history within the past (3) years of drug addition, alcoholism, or use of illegal drugs. If any such history exists, there shall be required a report from an appropriate substance abuse rehabilitation agency or counselor indicating that following the date that illegal drugs or substances

were last abused, the applicant has successfully completed a rehabilitation program.

202.15 **NO HISTORY OR EVIDENCE OF MENTAL OR EMOTIONAL DISTURBANCES** within the preceding five (5) years. If any, there shall be required a report from the psychiatrist which shall include diagnosis, treatment (most recent and medication), and prognosis.

202.16 **CHEST X-RAY**: Before hiring, the applicant shall have a tuberculin skin test or chest x-ray. The test shall be repeated every two (2) years thereafter.

SOURCE: Regulation No. 72-13 effective June 30, 1972, 32 DCRR Appendix A, Special Edition; as amended by Final Rulemaking published at 33 DCR 6208 (October 10,1986); and by Final Rulemaking published at 34 DCR 8182 (December 18, 1987).

203 APPLICATION FOR A SCHOOL BUS DRIVER'S LICENSE

203.1 Each application for a school bus driver's license shall be made on a form provided by the Department.

203.2 Each application shall state the full lawful name, date of birth, sex, social security number, residence of the applicant, and such other information as the Department may require to determine the applicant's identity, competency, and eligibility, including a full statement of all charges entered against him or her, both criminal and traffic, in the District and elsewhere.

203.3 Each application shall be accompanied by two (2) new full face and one (1) profile head and shoulders photographs, size one and three quarters by one and seven eighths of an inch (1¾ in. by 1⅞ in.), and by three (3) sheets of fingerprints of the applicant taken at the headquarters of the Metropolitan Police Department.

203.4 One (1) sheet of fingerprints shall be furnished to the Federal Bureau of Investigation.

203.5 Each application, including a renewal application, shall be accompanied by a certificate from a physician (who shall be a resident of the Metropolitan Area) certifying that in the physician's opinion the applicant is not afflicted with any disease or infirmity which might make the applicant an unsafe or unsatisfactory driver of a school bus.

203.6 The form of the physician's certificate shall be prescribed by the Department and may provide for any additional information relating to the applicant's past or present medical history as the Department may consider necessary.

203.7 The physician's certificate shall be executed by the certifying physician within ninety (90) days of the date of filing of the application.

203.8 The Department shall examine each applicant for a school bus driver's license.

203.9 The examination shall include an actual demonstration of the applicant's ability to exercise ordinary and reasonable control in the operation of a bus of the type

or general class of buses for which he or she desires a license to drive, except that such demonstration shall not be required of applicants who are nonresidents and are licensed by the State of their residence to operate such bus or buses.

203.10 Upon receipt of an application for a school bus driver's license, the Department shall investigate or cause to be investigated the applicant to determine the identity, competency, fitness, and eligibility of the applicant for the license.

SOURCE: Regulation No. 72-13 effective June 30, 1972, 32 DCRR §§2.903, 2.905, 2.906, Special Edition; as amended by Regulation No. 74-17 effective June 29, 1974.

204 REFUSAL, SUSPENSION, OR REVOCATION OF A SCHOOL BUS DRIVER'S LICENSE

204.1 The Director may refuse to issue or renew, or may suspend or revoke a license issued under this section in any case where he or she finds the applicant or licensee has violated or failed to comply with any of the provisions of this chapter, or whenever the Director shall find that the person to whom the license was issued is no longer physically, mentally, or morally qualified to hold the license.

204.2 Upon suspending, revoking, or refusing to issue or renew a license,the Director shall immediately notify the applicant or licensee stating the reasons for the action and affording the applicant or licensee reasonable opportunity for a hearing.

204.3 An order of suspension or revocation shall be effective on the date of its being mailed by registered mail, return receipt requested, to the last known address of the license on file in the Department.

204.4 If the notice is returned for reasons other than refusal, then the effective date of the notice shall be the date on which personal service thereof is made on the licensee or his or her attorney.

204.5 A suspended or revoked license shall be returned immediately to the Director by the licensee.

204.6 The holder of a school bus license shall immediately surrender the license to the Director upon the suspension or revocation of the holder's driver's license or non-resident operating privilege.

SOURCE: Regulation No. 72-13 effective June 30, 1972, 32 DCRR §2.804, Special Edition.

APPENDIX 4

GOVERNMENT OF THE DISTRICT OF COLUMBIA
DEPARTMENT OF MOTOR VEHICLES
WASHINGTON, D.C.

REPLY TO:

MEMORANDUM

TO: Department of Motor Vehicles Staff

FROM: Clifton Ware Jr.
Manager, PCD

DATE: November 18, 1999

SUBJECT: Issuance of School Bus Licenses

Effective immediately, the Department of Motor Vehicles will no longer administer School Bus License, to drivers without receiving a current approved report from the Federal Bureau of Investigation (FBI).

Thank you in advance for your assistance.

cc: Sheryl Hobbs-Newman
Henry Lightfoot
Allen Brooks
Mitchel Dennis
District of Columbia Public Schools
Laidlaw Transit

APPENDIX 5

GOVERNMENT OF THE DISTRICT OF COLUMBIA
DEPARTMENT OF PUBLIC WORKS
TRANSPORTATION SYSTEMS ADMINISTRATION
WASHINGTON, D.C.

OFFICE OF THE ADMINISTRATOR
BUREAU OF ADJUDICATION
MOTOR VEHICLE SERVICES
BUREAU OF PARKING SERVICES
BUREAU OF TRAFFIC SERVICES

REPLY TO:

TO OBTAIN A DISTRICT OF COLUMBIA DRIVER'S LICENSE OR NON DRIVER'S IDENTIFICATION CARD YOU MUST PRESENT

1. *A completed application;*

2. *Proof of name and date of birth;*
   - *A valid District of Columbia driver's license/identification card, or*
   - *A state certified U.S. Birth Certificate, or*
   - *A valid U.S. or Foreign Passport, or*
   - *A valid INS Employment, Alien, or Refugee card*

3. *Proof of Social Security Number;*
   - *A valid District of Columbia driver's license/identification card, or*
   - *An original social security card bearing your signature,or*
   - *An IRS W-2 form, or*
   - *A payroll stub w/social security number, or*
   - *Health insurance card, or*
   - *Savings account statement, or*
   - *Military identification card*

4. *Proof of Current Residency-Any two of the following:*
   - *Picture identification which bears the signature of the holder and the applicant's address*
   - *Utility bill in applicant's name at current address*
   - *Copies of District of Columbia tax returns certified by D.C. Department of Finance and Revenue*
   - *Payroll statement with current address*
   - *Voter registration card*
   - *Homestead exemption certificate*
   - *Original lease or rental agreement with the name of the applicant listed as the lessee or renter (Handwritten leases are not acceptable)*
   - *Notarized statement from person residing at the address used by applicant, a utility bill of person who resides at address used by applicant and a copy of that person's identification (driver's license or identification card).*

PLEASE HAVE DOCUMENTS READY

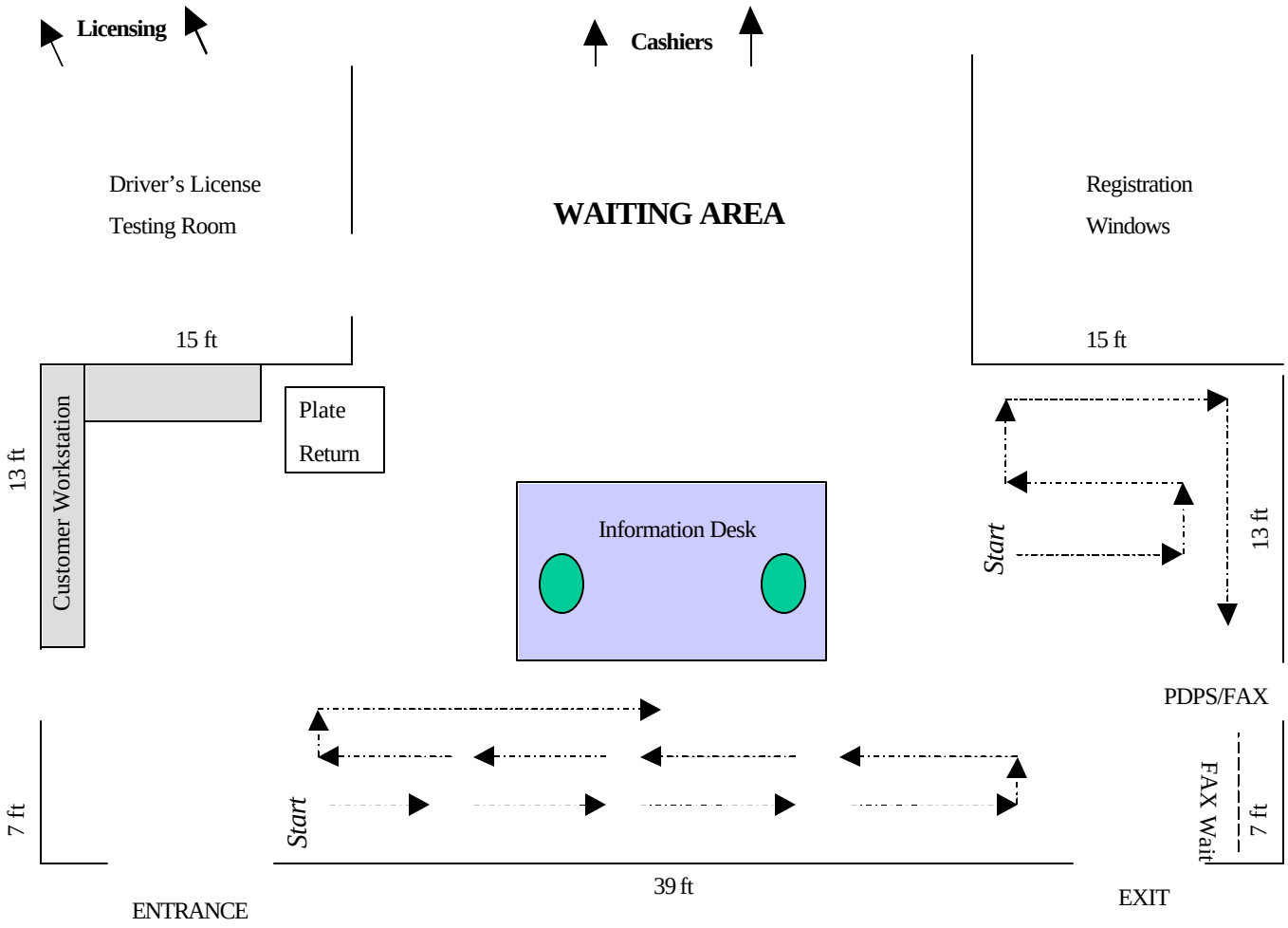
You may be required to present additional picture identification.

BUCKLE UP *It's a Law we can live with*

97 0859 PM5

APPENDIX 6

Proposed Customer Flow for Customer Services Administration Waiting Room



** Arrows represent the location of post and rope devices used to direct customer flow

APPENDIX 7

Loomis Fargo & Co.

B/L No. 05 62741714

ACCOUNT NUMBER

	ITEMS	COIN BREAKDOWN
PENNIES		
NICKELS		
DIMES		
QUARTERS		
HALVES		
SBA $		
TOKENS		
TOTAL ENTER #1		
CURRENCY SHIPMENTS 100's		
50's		
20's		
10's		
5's		
2's		
1's		
TOTAL		

ENTER OTHER ITEMS LINE 2-6

	ENTER SEAL NO'S COIN N/A	ITEMS	SAID TO CONTAIN	C	MI
1¢					
2$					
3$					
4$					
5OT	6 Bags				
6CK					
7	GRAND TOTAL				

CONSIGNOR (CUSTOMER NAMED BELOW AGREES TO, AND IS REFERRED TO IN, THE TERMS STATED ON THE REVERSE SIDE)

RECEIVED FROM – CONSIGNOR: Brentwood Lot

STREET ADDRESS / LOCATION NO.: 1100 Brentwood Rd

CITY / STATE / ZIP CODE: Wash, DC, 2000

SIGNATURE OF PERSONS PREPARING SHIPMENT / DA

DELIVERED TO – CONSIGNEE: 301 C St NW

EXACT STREET ADDRESS / LOCATION NO. (WE CANNOT DELIVER TO P.O. BOX): Wash. DC 2000

CITY / STATE / ZIP CODE: motor Vehicle

	PICKUP MESSENGER SIGNATURE	ITEMS	DATE	TIME AR	TIME DP	RT. NO.	STOP NO
8	Wayne Mccann	6	9/28	210	215	14	

	VAULT INITIALS	ITEMS	DATE	TIME	10 DIST. INITIALS	ITEMS	DATE
9							

	DELIVERY MESSENGER SIGNATURE	ITEMS	DATE	TIME AR CUST	ROUTE NO.	STOP NO.	COMMENTS
11	Wayne Mccann	6	9/28		14		

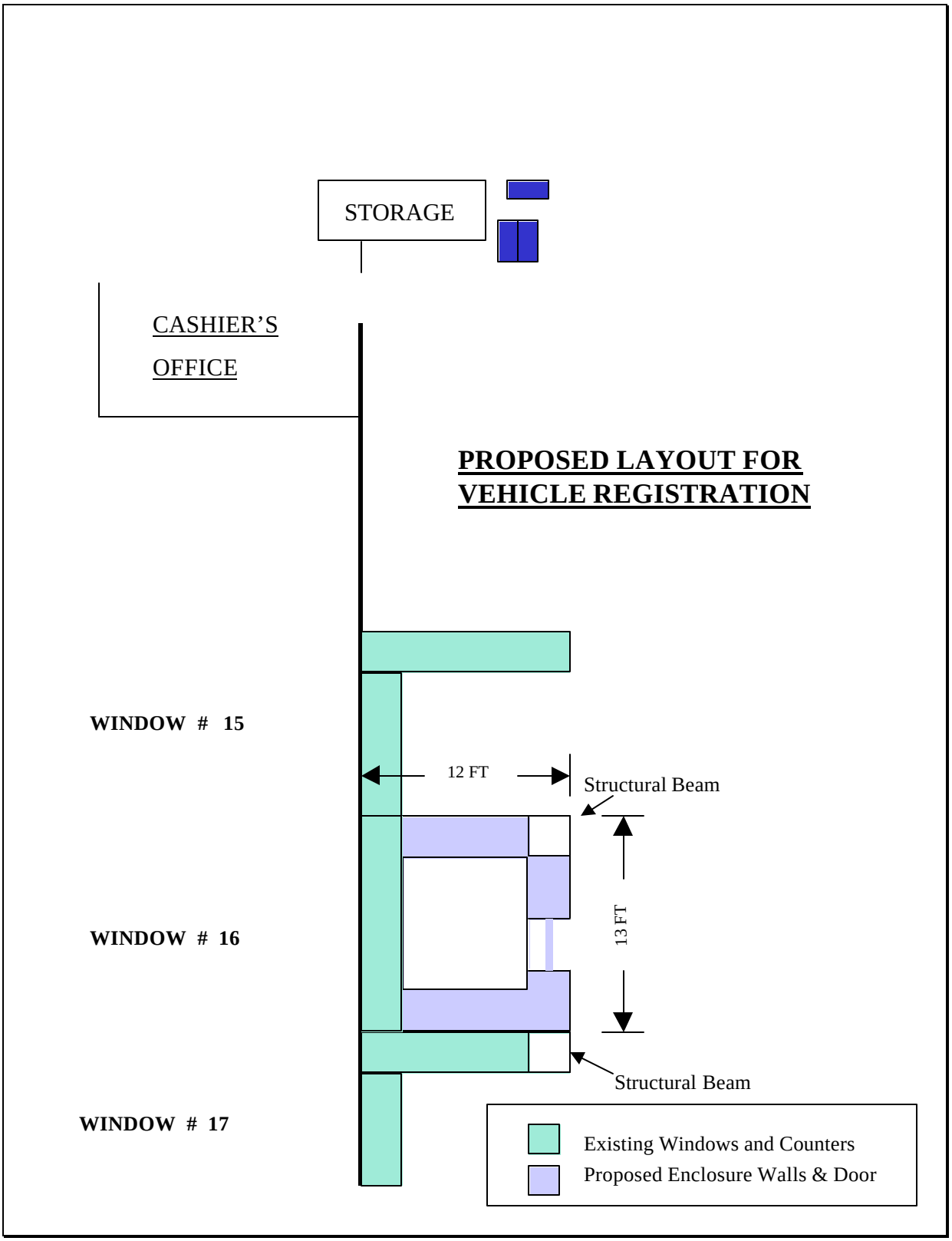
	CONSIGNEE SIGNATURE	ITEMS	DATE	TIME DP CUST	COMMENTS
12					

WARNING: CAREFULLY EXAMINE SIGNATURE AND IDENTIFICATION CARD OF ANY PERSON ATTEMPTING TO PICK UP YOUR DEPOSIT. IF IN DOUBT ABOUT INDIVIDUAL, CALL YOUR LOCAL LOOMIS FARGO & CO. SERVICE OFFICE.

Consignor Must Retain 2nd Copy

CONSIGNC

APPENDIX 8


STORAGE
CASHIER'S OFFICE
PROPOSED LAYOUT FOR VEHICLE REGISTRATION
WINDOW # 15
WINDOW # 16
WINDOW # 17
12 FT
Structural Beam
13 FT
Structural Beam
Existing Windows and Counters
Proposed Enclosure Walls & Door