



**Office of the District of Columbia Auditor**

13:208:YB:cm

March 11, 2013

The Honorable Phil Mendelson  
Chairman  
Council of the District of Columbia  
1350 Pennsylvania Avenue, NW, Suite 504  
Washington, D.C. 20004

Dear Chairman Mendelson:

This is in response to your letter dated February 26, 2013, requesting information in preparation for the Committee of the Whole's March 14, 2013 performance oversight hearing for the Office of the D.C. Auditor. Please find enclosed our responses to the questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "Yolanda Branche".

Yolanda Branche  
District of Columbia Auditor



**Office of the District of Columbia Auditor**

**Committee of the Whole  
FY 2013 Performance Oversight Hearing  
Office of the D.C. Auditor  
March 14, 2013**

**Office of the District of Columbia Auditor's Response to the Committee of the Whole Performance Oversight Hearing Questions**

1. Please describe every grant OCDA is, or is considering, applying for this fiscal year.

**Response:** ODCA has not, nor is considering applying for any grants this fiscal year.

2. Please provide the name of each employee who was/is on administrative leave in FY 2012, and thus far for FY 2013. In addition, for each employee identified, please provide: (1) their position; (2) a brief description of the reason why they were placed on leave; (3) the dates they were on administrative leave; (4) whether the leave is paid or unpaid; and (5) the current status.

**Response:** ODCA had two employees who were placed on administrative leave in FY 2012, and thus far for FY 2013. In FY 2012 Karen Todd was placed on paid administrative leave during the termination of appointment notice period for 9 days from 1/9/12 through 1/19/12. Ms. Todd served as ODCA's Legal Advisor and was an Excepted Service employee. Ms. Todd is no longer employed by ODCA.

In FY 2013, Gregory Spencer was placed on paid administrative leave during the termination of appointment notice period for 15 working days from 11/2/12 to 11/26/12. Mr. Spencer served as a Supervisory Auditor and was a Management Supervisory Service employee. Mr. Spencer is no longer employed by ODCA.

3. How many grievances have been filed by labor unions against ODCA management? Please list each of them by year, FY 2010 - FY 2013 (to date), and by union, if more than one union. Give a brief description of each grievance, and the outcome as of March 1, 2012.

**Response:** There were no grievances filed by labor unions against ODCA management during the period fiscal years 2010 through 2013.

4. Please provide a list of all procurements for FY 2012 and FY 2013. Give a brief explanation for each. Exclude from this answer credit card purchases.

**Response:** The following chart shows ODCA's procurements for FY 2012 and FY 2013 to date.

## Office of the DC Auditor's FY 2012 Procurements

Agency	Supplier	Order ID	Total Price	Description
AC0	ABC Technical Solutions Inc.	PO440521	469.00	Computer furniture
AC0	ABC Technical Solutions Inc.	PO440063	869.00	Printer Supplies
AC0	ABC Technical Solutions Inc.	PO420410	611.00	Printer toners
AC0	ABC Technical Solutions Inc.	PO416486	552.00	IT Supplies
AC0	ABC Technical Solutions Inc.	PO416486	292.00	IT Supplies; Memory Cards
AC0	ABC Technical Solutions Inc.	PO416484-V2	451.00	Expansion Kits, memory and server supplies
AC0	ABC Technical Solutions Inc.	PO416484-V2	558.51	Expansion Kits, memory and server supplies
AC0	ABC Technical Solutions Inc.	PO416484-V2	3,183.76	Expansion Kits, memory and server supplies
AC0	ABC Technical Solutions Inc.	PO416484-V2	681.56	Expansion Kits, memory and server supplies
AC0	ABC Technical Solutions Inc.	PO437209	858.00	Controllers, Monitors
AC0	ABC Technical Solutions Inc.	PO437210	237.50	Controllers, Monitors
AC0	ABC Technical Solutions Inc.	PO424006	504.00	Warranty Renewal
AC0	ABC Technical Solutions Inc.	PO424006	1,586.00	Warranty Renewal
AC0	ABC Technical Solutions Inc.	PO424006	158.00	Warranty Renewal
AC0	ABC Technical Solutions Inc.	PO424006	312.00	Warranty Renewal
AC0	ABC Technical Solutions Inc.	PO424006	52.00	Warranty Renewal
AC0	ABC Technical Solutions Inc.	PO416486	435.00	Software
AC0	ABC Technical Solutions Inc.	PO425711	147.00	Software
AC0	ABC Technical Solutions Inc.	PO437208-V2	1,473.90	Software
AC0	ACL Services, LTD	PO398915	1,680.00	Audit Software
AC0	Antoine Fagan	PO398918	63.58	Reimbursement for IT supplies
AC0	Capital Services and Supplies	PO387135-V2	1,014.35	Office Supplies
AC0	Capital Services and Supplies	PO387136-V3	13,000.00	Office Supplies
AC0	Capitol Office Solutions	PO388330-V4	3,190.61	Annual Copy Machine/Copiers Maintenance Fee

AC0	Capitol Office Solutions	PO388331-V2	1,406.44	Annual Copy Machine/Copiers Maintenance Fee
AC0	Capitol Office Solutions	PO383515	4,200.00	Annual Copy Machine/Copiers Maintenance Fee
AC0	Careerbuilder.com	PO434503	419.00	Job Posting
AC0	CCH Inc.	PO381072	369.72	AICPA/GAAP Manual
AC0	CCH Inc.	PO400995	207.50	AICPA/GAAP Manual
AC0	CCH Inc.	PO400996	236.00	AICPA/GAAP Manual
AC0	Daily Washington Law Reporter	PO391306	255.00	Professional Subscription
AC0	Datawatch Systems	PO379694-V2	3,249.61	Electronic Security Monitoring
AC0	Dell Computer Corp.	PO422719	2,734.64	Extended Warranty
AC0	F.S. Taylor and Associates, Inc.	PO425522-V2	6,438.00	Contract for ANC Financial Analysis
AC0	Global Knowledge TrainingLLC	PO424007	2,283.89	Training for IT Certifications
AC0	Global Knowledge TrainingLLC	PO424007	3,503.99	Training for IT Certifications
AC0	Graduate School USDA	PO369973-V2	795.00	CPE Required Training
AC0	Graduate School USDA	PO416485	975.00	CPE Required Training
AC0	Graduate School USDA	PO416488	975.00	CPE Required Training
AC0	Graduate School USDA	PO416489	495.00	CPE Required Training
AC0	Haines and Company	PO381073	415.50	Reference Books
AC0	Hasler Mailing Systems Inc.	PO387270	130.50	Mailing Machine Rental
AC0	Hasler Mailing Systems Inc.	PO437212	133.50	Mailing Machine Rental
AC0	Hasler Mailing Systems Inc.	PO397155-V2	180.00	Mailing Machine Rental
AC0	Hasler Mailing Systems Inc.	PO397155-V2	130.50	Mailing Machine Rental
AC0	Hasler Mailing Systems Inc.	PO416899	135.50	Mailing Machine Rental
AC0	HVAC Precision Services, Inc.	PO425521	12,900.00	Air Circulator for IT Server Room
AC0	Ingrid Drake	PO384282	45.00	Reimbursement for CPE Training
AC0	Institute of Internal Auditors	PO416897	2,235.00	IIA Membership Dues full office
AC0	Iron Mountain	PO381074	1,871.28	Scredding Fees
AC0	JFW Inc.	PO387134	9,853.73	Space Analysis Service Fee
AC0	Laura Hopman	PO381075	80.00	Reimbursement for CPE Training

AC0	Laura Hopman	PO425523	325.00	Reimbursement for CPE Training
AC0	Lawrence I. Perry	PO425525	288.00	Reimbursement ODCA Yellow Books
AC0	Lyon Financial Services, Inc.	PO379726	10,665.96	Copier Lease Fees
AC0	Lyon Financial Services, Inc.	PO440561	4,062.34	Copier Lease Fees
AC0	Mangement Concepts Inc.	PO379014	769.00	CPE Required Training
AC0	Mandatory Law Poster Service	PO383516	57.25	Mandatory Employment Posters
AC0	Nadiuska J. Wimbush	PO424004	40.00	Reimbursement for CPE Training
AC0	Nadiuska J. Wimbush	PO431261	218.00	Reimbursement for CPE Training
AC0	Nathaniel L Poole	PO398917	40.00	Reimbursement for CPE Training
AC0	Nathaniel L Poole	PO402542	40.00	Reimbursement for CPE Training
AC0	National Association of Local Auditors	PO416483	910.00	Membership Dues
AC0	National Association of Local Auditors	PO383518	99.00	CPE Required Training
AC0	National Association of Local Auditors	PO388549	99.00	CPE Required Training
AC0	National Association of Local Auditors	PO391492	450.00	CPE Required Training
AC0	National Association of Local Auditors	PO405119	99.00	CPE Required Training
AC0	National Association of Local Auditors	PO434500	500.00	CPE Required Training
AC0	National Association of Local Auditors	PO416900	3,500.00	CPE Required Training
AC0	National Association of Local Auditors	PO416901	500.00	CPE Required Training
AC0	National Association of Local Auditors	PO434501	3,500.00	CPE Required Training
AC0	National Association of Local Auditors	PO381076	4,000.00	CPE Required Training
AC0	National Association of Local Auditors	PO388550	249.00	CPE Required Training
AC0	National Mailing Systems	PO416490	220.98	Ink Postage Meter
AC0	National Mailing Systems	PO397156	66.18	Tape for Postage Meter
AC0	Office Depot	PO418409	939.80	Copier Paper
AC0	Office Depot	PO385405	72.93	Copier Paper
AC0	Office Depot	PO387271	1,799.00	Copier Paper
AC0	Reed Elsvier Inc.	PO398916-V2	2,300.00	Lexis/Nexis On Line
AC0	Senoda, Inc.	PO384284	195.00	Business Cards

AC0	Senoda, Inc.	PO417671	275.00	Business Cards
AC0	Solarwinds	PO393783	1,645.00	Software
AC0	Solarwinds	PO422718	359.00	Software
AC0	Solarwinds	PO422718	495.00	Software
AC0	Spot Coolers, Inc.	PO418673	950.00	9811200:Air Conditioning Equipment and Accessories Rental or Lease
AC0	Standard Graphics	PO392776	287.95	Binding machine supplies
AC0	Standard Graphics	PO416898	595.00	Binding machine supplies
AC0	Superior Couriers, LLC	PO379658-V2	2,500.00	Courier Services
AC0	Superior Couriers, LLC	PO396168	980.00	Hauling of Surplus Furniture
AC0	Washington Post	PO424005	385.00	Job Posting
AC0	Washington Post	PO433465	385.00	Job Posting
AC0	Washington Post	PO384283	349.20	Job Posting
AC0	Thomas E. Henderson	PO389534	65.00	Letterhead Printing
AC0	Thomas E. Henderson	PO381077	513.00	Letterhead Printing
AC0	Thomas E. Henderson	PO383517	31.40	Name Plates
AC0	Thomas E. Henderson	PO389909	28.90	Name Plates
AC0	Thomson Reuters	PO383519	1,305.72	Westlaw On-line
AC0	Top Shelf Design, LLC	PO385406	275.00	Website Development
AC0	Top Shelf Design, LLC	PO416896	220.00	Website Development
AC0	US Postal Service	PO434502	1,500.00	Postage
	<b>Total</b>		<b>138,184.68</b>	

## Office of the DC Auditor's FY 2013 as of 02/28/2013 Procurements

Agency	Supplier	Order ID	Total Price	Description
AC0	ABC Techincal Solutions, Inc.	PO456404	572.00	IT Equipment: Computer
AC0	ABC Techincal Solutions, Inc.	PO456404	52.00	IT Equipment: Computer
AC0	ABC Techincal Solutions, Inc.	PO456404	1,564.00	IT Equipment: Computer
AC0	ABC Techincal Solutions, Inc.	PO448888	590.00	IT Equipment: Computer
AC0	ACL Services LTD	PO453802	1,800.00	Annual Technical Support for Audit Software
AC0	American Business Supplies LLC	PO450385	225.00	Computer Desk units
AC0	Antoine Fagan	PO450410	60.81	Reimbursement for IT supplies
AC0	Baldinos Lock and Key	PO453803	2,625.20	Key service to re-key ODCA office suites
AC0	Candac Mccrae	PO452180	26.90	Reimbursement for on line pre-employment background checks
AC0	Capital Services and Supplies	PO449482-V2	1,376.01	Office furniture
AC0	Capital Services and Supplies	PO448886-V2	3,000.00	Office supplies
AC0	Capital Services and Supplies	PO444134	29.99	Office supplies
AC0	Capital Services and Supplies	PO444134	253.00	Office supplies
AC0	Capitol Office Solutions	PO446155	250.00	Copier Maintenance agreements fee
AC0	Careerbuilder.com	PO450369	419.00	Job Posting
AC0	CCH Inc.	PO445209	6,700.00	TeamMate- Audit Software 2013 renewal
AC0	Comcast	PO457379	1,790.40	ODCA internet on-line service fees
AC0	Daily Washington Law Report	PO456408	255.00	Periodical
AC0	DataWatch systems	PO444135	3,265.44	Electronic Security System
AC0	De Lage Landen Fin. Services	PO453500	4,366.09	Copier Leasing fees
AC0	De Lage Landen Fin. Services	PO456402	14,427.00	Copier leasing fees



AC0	Dexter Monroe	PO457247	276.00	Reimbursement for CPE training
AC0	Dexter Monroe	PO457247	253.00	Reimbursement for CPE training
AC0	F.S. Taylor and Associates	PO456403	28,000.00	Annual fee for financial analysis of ANCs
AC0	Graduate School USDA	PO446111-V2	695.00	CPE required training
AC0	Graduate School USDA	PO450370	1,250.00	CPE required training
AC0	Greg Spencer	PO446156	1,067.50	Reimbursement cost for training at peer review conference
AC0	Greg Spencer	PO452368	63.33	Reimbursement training for peer review conference
AC0	Hasler Mailing Systems, Inc.	PO452366	133.50	Postage meter rental fee
AC0	Hasler Mailing Systems, Inc.	PO452367	133.50	Postage meter rental fee
AC0	Hasler Mailing Systems, Inc.	PO456405	180.00	Postage meter rental fee
AC0	Ingrid Drake	PO452181	400.00	Reimbursement for CPE training
AC0	Institute of Internal Auditors	PO444133	45.00	Individual membership dues
AC0	Iron Mountain	PO450411	1,871.28	Shredding fees annual
AC0	Joshua Stearns	PO445243	713.50	Reimbursement for cost for training at peer review conference
AC0	Lawrence Perry	PO456401	434.44	Reimbursement for refreshments provided at all day mandated ANC Chairperson and Treasurer Training
AC0	Lawrence Perry	PO454305	432.88	Reimbursement for ODCA on line service fees
AC0	Lawrence Perry	PO457380	440.70	Reimbursement for ODCA on line service fees
AC0	Lyon Financial Services, Inc.	PO450365	436.75	Final payment for prior copier lease
AC0	Mangement Concepts	PO456406	799.00	CPE required training
AC0	Mandatory Poster Agency	PO454304	77.25	Required employment posters
AC0	Nadiuska Wimbush	PO449480	325.00	Reimbursement for CPE training
AC0	Nadiuska Wimbush	PO449481	109.00	Reimbursement for CPE training
AC0	National Academy of Sciences	PO449479	325,000.00	I-D funding for Council mandated DCPS examinations
AC0	Reed Elsilver	PO452370	3,050.00	Lexis/Nexis on line legal service fee

AC0	Senoda Inc.	PO452369	350.00	Business Cards
AC0	Superior Couriers	PO450386	1,000.00	Courier Services
AC0	Testout Corporation	PO448887	1,390.00	Software training
AC0	Washington Post	PO456407	250.00	Postion Posting
AC0	Thomas Henderson	PO446154	71.60	Name plates
AC0	Washington Capital LLC	PO456448	725.00	Locksmith charges
<b>Grand total</b>			<b>413,621.07</b>	

5. Please provide in table format a list (in descending order by value of contract) of all ODCA contracts in effect at any time during FY 2013. Include the name of the contractor, purpose of the contract, and the total dollar amount of the contract.

**Response:** The following is a list, in descending order by value of contract, of all ODCA contracts in effect at any time during FY 2013:

<b>Contractor</b>	<b>Purpose</b>	<b>Amount</b>
National Academy of Sciences	Council mandated school evaluation	\$325,000
F.S. Taylor & Associates, LLC	Financial and budgetary analysis of ANC quarterly reports	\$25,752

6. Please provide a chart showing both ODCA's approved budget and actual spending, by program, for FY 2012 and FY 2013 to date. In addition, please explain any variance between fiscal year appropriations and actual expenditures for FY 2012 and FY 2013 to date.

**Response:** The following chart shows ODCA's approved budget and actual spending by program, for FY 2012 and FY 2013 to date. All variance between FY 2012 and FY 2013 appropriations and actual spending were attributable to vacant positions and positions that were not fully funded.

## OFFICE OF THE DC AUDITOR'S FY 2012 APPROVED LOCAL BUDGET AND EXPENDITURES

CSG	Comptroller Source Group Title	Appropriation	Expenditure (less I-D Adv)	Intra- District Advances	Available Balance
<b>0100 LOCAL FUND</b>					
<b>1000 - AGENCY MANAGEMENT PROGRAM</b>					
0011	REGULAR PAY - CONT FULL TIME	\$196,286	\$200,339	\$0	(\$4,053)
0014	FRINGE BENEFITS - CURR PERSONNEL	\$39,041	\$42,300	\$0	(\$3,259)
0031	TELEPHONE, TELEGRAPH, TELEGRAM, ETC	\$15,155	\$20,868	(\$1,885)	(\$3,828)
0032	RENTALS - LAND AND STRUCTURES	\$495,551	\$446,587	\$0	\$48,964
TOTAL AGENCY MANAGEMENT PROGRAM		\$746,034	\$710,094	(\$1,885)	\$37,825
<b>2000 - AUDIT, FIN. OVERSIGHT &amp; INVESTIGATIONS</b>					
0011	REGULAR PAY - CONT FULL TIME	\$2,123,976	\$2,082,511	\$0	\$41,466
0012	REGULAR PAY - OTHER	\$162,223	\$0	\$0	\$162,223
0013	ADDITIONAL GROSS PAY	\$3,873	\$35,424	\$0	(\$31,550)
0014	FRINGE BENEFITS - CURR PERSONNEL	\$500,845	\$395,431	\$0	\$105,414
0015	OVERTIME PAY	\$0	\$290	\$0	(\$290)
0020	SUPPLIES AND MATERIALS	\$20,041	\$15,187	\$0	\$4,854
0031	TELEPHONE, TELEGRAPH, TELEGRAM, ETC	\$0	\$0	\$1,885	(\$1,885)
0040	OTHER SERVICES AND CHARGES	\$56,501	\$53,132	\$0	\$3,369
0041	CONTRACTUAL SERVICES - OTHER	\$24,740	\$23,110	\$0	\$1,630
0070	EQUIPMENT & EQUIPMENT RENTAL	\$48,000	\$45,581	\$0	\$2,419
TOTAL AUDIT, FIN. OVERSIGHT & INVESTIGATIONS		\$2,940,199	\$2,650,666	\$1,885	\$287,648
TOTAL D.C. AUDITOR LOCAL FUND		<u>\$3,686,233</u>	<u>\$3,360,760</u>	<u>\$0</u>	<u>\$325,473</u>

## OFFICE OF THE DC AUDITOR'S FY 2013 as of 02/28/2013 APPROVED LOCAL BUDGET AND EXPENDITURES

CSG	Comptroller Source Group Title	Appropriation	Current Expenditure	Intra-District Advances	Encumbrance	Available Balance
<b>0100 LOCAL FUND</b>						
<b>1000 - AGENCY MANAGEMENT PROGRAM</b>						
0011	REGULAR PAY - CONT FULL TIME	\$198,550	\$72,053	\$0	\$0	\$126,497
0014	FRINGE BENEFITS - CURR PERSONNEL	\$45,472	\$16,053	\$0	\$0	\$29,419
0031	TELEPHONE, TELEGRAPH, TELEGRAM, ETC	\$16,898	\$2,506	\$14,392	\$0	(\$0)
0032	RENTALS - LAND AND STRUCTURES	\$569,249	\$208,364	\$360,885	\$0	\$0
0040	OTHER SERVICES AND CHARGES	\$658	\$0	\$0	\$0	\$658
<b>TOTAL AGENCY MANAGEMENT PROGRAM</b>		<b>\$830,827</b>	<b>\$298,976</b>	<b>\$375,277</b>	<b>\$0</b>	<b>\$156,574</b>
<b>2000 - AUDIT, FIN. OVERSIGHT &amp; INVESTIGATIONS</b>						
0011	REGULAR PAY - CONT FULL TIME	\$2,209,839	\$730,770	\$0	\$0	\$1,479,069
0012	REGULAR PAY - OTHER	\$75,000	\$29,593	\$0	\$0	\$45,407
0013	ADDITIONAL GROSS PAY	\$0	\$45,244	\$0	\$0	(\$45,244)
0014	FRINGE BENEFITS - CURR PERSONNEL	\$533,774	\$140,845	\$0	\$0	\$392,929
0015	OVERTIME PAY	\$0	\$591	\$0	\$0	(\$591)
0020	SUPPLIES AND MATERIALS	\$9,041	\$1,903	\$0	\$2,321	\$4,817
0031	TELEPHONE, TELEGRAPH, TELEGRAM, ETC	\$0	\$0	\$45	\$0	(\$45)
0040	OTHER SERVICES AND CHARGES	\$192,500	\$124,630	\$0	\$17,706	\$49,096
0041	CONTRACTUAL SERVICES - OTHER	\$386,000	\$9,381	\$0	\$26,805	\$349,813
0070	EQUIPMENT & EQUIPMENT RENTAL	\$39,000	\$10,998	\$0	\$3,615	\$24,387
<b>0700 INTRA-DISTRICT FUNDS</b>						
0041	CONTRACTUAL SERVICES - OTHER	\$325,000	\$10,954	\$0	\$314,046	\$0
<b>TOTAL AUDIT, FIN. OVERSIGHT &amp; INVESTIGATIONS</b>		<b>\$3,770,154</b>	<b>\$1,104,910</b>	<b>\$45</b>	<b>\$364,492</b>	<b>\$2,299,638</b>
<b>TOTAL D.C. AUDITOR LOCAL FUND</b>		<b><u>\$4,600,981</u></b>	<b><u>\$1,403,886</u></b>	<b><u>\$375,322</u></b>	<b><u>\$364,492</u></b>	<b><u>\$2,456,212</u></b>

7. Does your agency have any employment vacancies? If so, how many and when will they be filled?

**Response:** Although ODCA's approved staffing levels indicate 10 vacant positions, 6 of the 10 positions are not fully funded.

- Funding for one of the six positions is being used for a professional services contract to provide required financial analysis and review of the 40 quarterly financial reports of Advisory Neighborhood Commissions. Outsourcing of financial reports has resulted in a costs savings. The balance of the funding for this position was re-programmed in FY 2012 due to unfunded rent increases and reductions in non-personal services funding for required training.
- Partial funding for two additional positions in FY 2012 was reprogrammed to cover FY 2012 budget reductions made in non-personal services for necessary IT hardware, software, a portion of the unfunded rent increase, and budget reductions funding for supplies and service contracts including copier leases.
- Funding for three positions was required in FY 2013 to fund the costs associated with a required Association of Local Government Auditors Peer Review and an unanticipated cash settlement.
- ODCA currently has four fully funded vacant positions. ODCA is aggressively soliciting, recruiting and interviewing for these positions. We hope to fill the vacancies in the coming weeks.

8. In ODCA's first round performance responses, you stated that there is one outstanding Intra-district transfer for DCPS. Please describe. When do you propose this will be finalized?

**Response:** ODCA had one outstanding Intra-district transfer to fund a Council mandated independent evaluation of DCPS. This Intra-district transfer was included in ODCA's FY 2013 budget. In November 2012, ODCA prepared the required MOU for the transfer of funds from DCPS to ODCA. At the time ODCA requested that DCPS identify the necessary accounting attributes necessary to finalize the MOU and execute the Intra- district transfer. On March 1, 2013, DCPS identified the accounting attributes allowing ODCA and DCPS to finalize the MOU to execute the fund transfer.

9. Has the volume of reports by your agency increased in the past two years? If so, how?

**Response:** In Fiscal Year 2011 we issued 26 reports. In Fiscal Year 2012, 24 reports were issued. We plan to issue 30 reports in Fiscal Year 2013.

10. What is the general timeline for financial audits? Performance reviews? Evaluations?

**Response:** Financial audits, like the certification of revenues for the District of Columbia Water and Sewer Authority (DC Water) or the certification for the Washington Convention and Sports Authority projected revenues take 5 months. On average, it takes 8 months to complete the survey, field work and reporting phases of a performance audit. The 8 month time frame is delayed when, during the course of the audit, additional relevant issues are discovered that must be addressed.

11. (a) What are the ongoing audits currently being conducted by ODCA?

**Response:** The following chart lists 15 ongoing audits currently being conducted by ODCA:

#### Ongoing Audits Currently Being Conducted by ODCA

	Audit	Audit Objectives	Status
1	<b>Affordable Housing</b>	Review of the District's Affordable Housing Program.	Reporting
2	<b>H Street Corridor Contract</b>	Review of H Street Shuttle Bus Contract for compliance with rules, regulations, and laws.	Reporting
3	<b>Grant Management</b>	Audit of Children and Youth Investment Trust Corporation and selected grant recipients to determine adequacy of internal controls and compliance with rules, regulations and laws.	On Going
4	<b>Department of General Services</b>	Review of solicitation and award of contract for snow removal services.	Reporting
5	<b>Office of the Chief Financial Officer</b>	Review of the implementation by the Office of the Chief Financial Officer of recommendations made in the report of the Office of the D.C. Auditor titled Review of the District's Cash Advance Fund.	Reporting

6	<b>Department of General Services</b>	Review of compliance with Certified Business Enterprise rules and regulations.	On Going
7	<b>Driver Education Program Fund</b>	Annual audit of Driver Education Program Fund.	Reporting
8	<b>Eastern Market</b>	Audit of the Eastern Market Enterprise Fund.	Reporting
9	<b>Fraud Prevention Fund</b>	Audit Fraud Prevention Fund Fiscal Year 2102.	Reporting
10	<b>University of the District of Columbia</b>	Review of the Endowment Fund of the University of the District of Columbia Fiscal Year 2010-Fiscal Year 2011.	On Going
11	<b>Department of Small and Local Business Development</b>	Review of the Certified Business Enterprise certification process .	On Going
12	<b>Economic Impact of Sick Leave on the Private Sector</b>	Based on a sample of District businesses to determine compliance with posting requirements and whether staffing patterns are used to circumvent sick leave requirements.	On Going
13	<b>Department of Transportation</b>	Review of road construction contracts.	On Going
14	<b>Certified Business Compliance Unit FY 2013 1<sup>st</sup> Quarter Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise Goals.	Reporting
15	<b>Certified Business Compliance Unit FY 2013 2<sup>nd</sup> Quarter Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise Goals.	Reporting

(b) How many are close to completion?

**Response:** The following 7 audits are close to completion:

**Audits Close to Completion**

	<b>Audit</b>	<b>Audit Objectives</b>	<b>Planned Completion Date</b>
1	<b>Affordable Housing</b>	Review of the District's Affordable Housing Program.	3/20/2013
2	<b>Department of General Services</b>	Review of solicitation and award of contract for snow removal services.	4/15/2013
3	<b>Office of the Chief Financial Officer</b>	Review of the implementation by the Office of the Chief Financial Officer of recommendations made in the report of the Office of the D.C. Auditor titled Review of the District's Cash Advance Fund.	5/15/2013
4	<b>Eastern Market</b>	Audit of the Eastern Market Enterprise Fund.	4/1/2013
5	<b>Fraud Prevention Fund</b>	Audit Fraud Prevention Fund Fiscal Year 2102.	3/20/2013
6	<b>Certified Business Compliance Unit FY 2013 1<sup>st</sup> Quarter Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise Goals.	3/20/2013
7	<b>Certified Business Compliance Unit FY 2013 2<sup>nd</sup> Quarter Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise Goals.	5/31/2013



(c) How many audits were closed in FY 2011? How many audits were closed in FY 2012?

**Response:** 26 audits were completed in FY 2011. 24 audits were completed in FY 2012.

(d) How many audits do you anticipate ODCA to conduct in FY 2013?

**Response:** While the ODCA Fiscal Year 2013 Audit Work Plan lists 39 audits, due to staff changes and additional field work required to address unexpected audit issues we anticipate completing 30 audits.

12. Please list every audit that is required by your office by statute. Give the code citation and the frequency (e.g. annual). Also for each, state the dates of the last two audits. Give your recommendation if any whether the audit requirement is useful (from a cost benefit perspective).

**Response:** The following chart lists every audit that is required of ODCA by statute. The chart includes code citation and frequency.

#### ODCA Audits Required by Statute - Code Citation and Frequency

Item #	Citation	Audit Description	Audit Frequency	Last Two Audits Completed	Recommendation on Usefulness
1	Rules of Organization and Procedures for the Council of D.C.: Section D-711	Audit of 2010 <b>Grant Recipients</b>	Annually Following FY of Grant Issuance	2/24/10 NA	
2	Council Rules, Period XIX: Section 733	Audit of 2011 <b>Grant Recipients</b>	Annually Following FY of Grant Issuance	NA NA	
3	D.C. Code 1-206.3: Budget Process; limitations on borrowing and spending	Certification of Revenue Estimates in Support of <b>Municipal Bonds</b>	Upon Notification by CFO of Bond Issuance	6/14/11 12/10/07	

4	D.C. Code 34-2202.09: Power of Authority to issue revenue bonds and notes or other obligations	Sufficiency Review of <b>D.C. Water</b> Revenue to Borrow, Issue Bonds or Notes	Upon Notification by DC Water of Bond Issuance	2/27/12 4/14/11	
5	D.C. Code 7-2071.03: Program Evaluation	Audit of the Health Care <b>Ombudsman Program</b>	DoH Selection	NA NA	
6	D.C. Code 4-205.11: Human Impact Statement	Assessment on <b>TANF</b>	Within 60 days of 1/19/11	12/9/11 6/30/11	
7	D.C. Code 1-301.181: Establishment of a Compliance Unit	Audit of Former <b>NCRC/AWC Properties</b>	Annually and/or at Project completion	5/11/10 (CBE Requirements) 5/11/10 (Environmental Standards)	Appears not useful as the ODCA resources expended will not provide the Council relevant, current information as the parcels will be sold to private developers
8	D.C. Code 2-1831.20: Space Analysis for the Office of Administrative Hearings	Assessment of <b>Space Needs</b> for Administrative Law Judges	One-time	Declined to Issue Due to Relevance	Appears not useful as the Law Judges have since relocated
9	D.C. Code 47-2851.17: Performance Audit	Audit of the <b>Basic Business Licensing Program</b>	One-time within 5 years of effective date of legislation	NA NA	
10	D.C. Code 3-1319: Audit	Audit of the <b>Lottery Board's</b> Game Operation Accounts and Transactions	No specific frequency, legislation state only "regularly"	12/13/1111/8/94	

11	D.C. Code 38-807: Audit of Accounts	Audit DFS' ( <b>Food Service</b> ) Accounts	Quarterly	NA NA	Appears not useful as the ODCA resources expended would exceed the cost of the potential discovery
12	D.C. Code 1-301.184: Compliance Review Reporting Requirements	Summarize D.C. Agencies <b>Quarterly SBE</b> Expenditures	Quarterly	Drafted; Pending Final Issuance: 3/31/13 6/25/12	
13	D.C. Code 2-218.53: Agency Reporting Requirements	Summarize D.C. Agencies <b>Annual SBE</b> Expenditures	Annually	5/31/12 12/1/11	
14	D.C. Code 1-301.183: Reporting Requirements	Summarize Private <b>Developer SBE</b> Expenditures	Annual	1/17/13 5/5/12	
15	D.C. Code 38-2973.05: Audit of Capital Improvement Projects	Audit Capital Funds Use Concerning <b>DCPS School/Project</b> Facilities Master and Capital Improvement Plans	Annually	5/11/11 NA	
16	D.C. Code Section 3-310: Financial Statement; Report of Activities and Business; Recommendations	Certify <b>D.C. Armory Board</b> Financial Statement Accuracy; Report on Operations and Recommendations on Future Operations	Annually	NA NA	
17	D.C. Code 10-1203.05: Audit of Accounts and Operations	Audit and Certification of the <b>Washington Convention Center</b> Operations.	2 Audits One: Triennially Annually	7/20/12 7/15/11	

18	D.C. Code 22-3226.14: Fraud Prevention Fund	Audit of the <b>Fraud Prevention Fund</b>	Annually	Finalized; Pending Final Issuance: 3/31/13 12/31/02	Appears not useful to expend ODCA resources as the fund is depleted and inactive
19	D.C. Code 32-131.15: Report by the District of Columbia Auditor	Audit of District Businesses to Determine Compliance with <b>Employee Sick Leave</b>	Annually	NANA	
20	D.C. Code 1-309.13: ANC Funds; Audit of Accounts; EEs; Financial Reports; Publications	Audit of Certain ANCs and Compilation of ANC Data as an Annual Report	Annually	Audits: 9/26/12 9/30/11 Annual Reports: 9/28/12 9/30/11	
21	D.C. Code 1-614.14: Development of Plans and Reports	Audit of Selected Agency <b>Performance Measures</b>	Annually	2/21/13 (DSLBD) 4/14/11 (ORM)	
22	D.C. Code 5-333.12: Monitoring and Auditing of Investigations and Preliminary Inquiries	Audit of <b>MPD</b> Files and Records Concerning Certain Investigations/Inquiries	Annually	9/27/12 NA	
23	D.C. Code 34-912: Expenses of Investigation to be Borne by Utility; Deposit for Costs; Limitation of Expenditures in Hearings; Reimbursement Fee	Review Deposited and Disbursed Fund Amounts by the <b>Public Service Commission</b> and the <b>Office of the People's Counsel</b>	1 Audit of each office Biennially	Commission: 12/8/11 (For FY 2008) 12/8/11 (For FY 2007) Office: 11/5/10 9/23/09	
24	D.C. Code 37-103: Enterprise Fund	Audit of the <b>Eastern Market</b> Accounts	Biennially	9/30/08 7/16/02	Appears not useful to expend ODCA resources as the fund is depleted and inactive

25	D.C. Code 38-1231.01: Biennial Audits of UDC Endowment Fund	Audit of the <b>UDC Endowment Fund</b>	Biennially	6/9/03 NA	
26	D.C. Code 3-607: Administration	Audit of the <b>Boxing and Wrestling Commission</b> Regarding Certain Operations	Triennially	Drafted; Pending Final Issuance: 5/15/13 5/18/98	
27	D.C. Code 47-825.01: Board of Real Property Assessments and Appeals	Audit of the <b>Board of Real Estate Assessment and Appeals'</b> management Activities	Triennially	9/30/08 NA	
28	D.C. Code 47-122: Checks to be Countersigned *	<b>Prepare and countersign all checks</b> issued by the Disbursing Officer	Per Legislation, This is to be ongoing audit	NANA	Appears not useful to expend ODCA resources as the OCFO addresses these matters within duties and responsibilities
29	D.C. Code 47-124: Accounts Auditable by Auditor *	Audit of <b>Revenue Disbursements</b> for the District of Columbia	Per Legislation, This is to be ongoing audit	NA NA	Appears not useful to expend ODCA resources as the OCFO addresses these matters within CAFT scope
30	D.C. Code 47-409: Disbursement of Taxes and Appropriations; Settlement of Accounts *	Audit and Approval of <b>Taxes and Appropriations Disbursed</b> for D.C. Expenditures	Per Legislation, This is to be ongoing audit	NA NA	Appears not useful to expend ODCA resources as the OCFO addresses these matters within CAFT scope
31	D.C. Code 47-410: Payment of Moneys into Treasury; Requisitions and Expenditures; Disbursement Accounts *	Account for all Mayoral <b>Certified Disbursements</b> to GAO	Per Legislation, This is to be ongoing audit	NA NA	Appears not useful to expend ODCA resources as the OCFO addresses these matters within CAFT scope

\* The audits are under review to resolve jurisdictional questions pertaining to the role of ODCA.

13. Please provide (not as an attachment) a complete list of ODCA's current programs and initiatives. Include for each item a brief description and general timeframe (if any).

**Response:** ODCA currently has two programs listed in the budget book. The first is Agency Management (1000) which includes the Auditor, Deputy Auditor and IT Staff. The second program is Audits, Financial Oversight and Investigations (2000). This includes ODCA's audit staff, analysts, and administrative support staff.

ODCA's Fiscal Year 2012 Additional Programmatic Initiatives Include:

- Met with Gene Dodaro, Comptroller General of the United States, and his staff to discuss measures to improve the operations of the Office of the D.C. Auditor. As a result of the meetings, GAO presenting two seminars at ODCA. The title of the first seminar was "Assessing the Reliability of Computer Assisted Data." The title of the second seminar was "Designing Evaluations".
- Based on our work with GAO, the Office of the D.C. Auditor revised the process for drafting and editing audit reports to replicate the GAO approach. Like the GAO, the ODCA report drafting process includes a Communications Specialist. The role of the Communications Specialist is to ensure that audit reports are concise, objective, and clear.
- We will continue to improve the delivery of services to the Advisory Neighborhood Commissions. Towards that end, we now have a format that permits ANCs to transmit electronic quarterly reports. This will allow ODCA to more efficiently track quarterly report submission, and provide faster turnaround time for review and publication of ANC spending. We also are attending more ANC meetings to better understand ANC operations and to work with ANCs to address issues. To ensure that ANC officials comply with financial reporting requirements, we also will post the video of the ODCA financial training for ANC Commissioners and Treasurers on our website.

14. There have been discussions in recent years that ODCA's space has become an issue.

(a) Does this issue still exist? Why is it an issue?

**Response:** Our most recent lease included provision to renovate ODCA offices to increase security and improve the use of space. Despite the fact that plans have been finalized for several months, the Department of General Services has not made the necessary arrangements to implement the plans.

(b) Has ODCA talked with the Department of General Services regarding this issue if it still exists? Explain.

**Response:** We have contacted the Department of General Services regarding the delay in the implementation of the plans. According to DGS, the delay in the implementation of the plans is due to staff turnover at DGS.

15. Did ODCA receive any FOIA requests in FY 2012? If yes, why didn't it file a report of FOIA disclosure activities with the Secretary of the District of Columbia? Please prepare the applicable report and provide a copy as an attachment.

**Response:** ODCA received FOIA requests in FY 2012. On December 6, 2012 we provided the Secretary of the District of Columbia with required report. A copy of the report that was submitted is attached along with confirmation that the report was received. (See attachment I).

16. In the fall of 2012, your office released its Fiscal Year 2013 Audit Work Plan. Please provide the status and expected completion dates of the planned audits for FY2013.

**Office of the D.C. Auditor  
Fiscal Year 2013  
Audit Work Plan**

	<b>Audit</b>	<b>Audit Objectives</b>	<b>Status</b>	<b>Planned Completion Date</b>
1	<b>Affordable Housing</b>	Review of the District's Affordable Housing Program.	Reporting	3/20/2013
2	<b>H Street Corridor Contract</b>	Review of H Street Shuttle Bus Contract for compliance with rules, regulations, and laws.	Reporting	6/12/2013
3	<b>Space Analysis Office of Administrative Hearings</b>	Review of the policies and procedures of the Department of Real Estate Services regarding space analysis with a focus on the Office of Administrative Hearings.	Audit Terminated	

4	<b>Grant Management</b>	Audit of Children and Youth Investment Trust Corporation and selected grant recipients to determine adequacy of internal controls and compliance with rules, regulations and laws.	Fieldwork	
5	<b>Department of General Services</b>	Review of solicitation and award of contract for snow removal services.	Reporting	4/30/2013
6	<b>Office of the Chief Financial Officer</b>	Review of the implementation by the Office of the Chief Financial Officer of recommendations made in the report of the Office of the D.C. Auditor titled Review of the District's Cash Advance Fund.	Reporting	5/15/2013
7	<b>Performance Measures:  Department of Small and Local Business Development</b>	Review performance measurement outcomes presented in Department of Small and Local Business Development performance measurement reports. Develop Department of Small and Local Business Development annual performance plan.	Report issued February 21, 2013	
8	<b>Impact of District of Columbia Workforce Development and Adult Education Programs</b>	Review of District workforce development and adult education programs to determine cost, number of District residents hired as a result of workforce and adult education programs and compliance with rules, regulations and laws.	Report issued February 22, 2013	



9	<b>Department of General Services</b>	Review of compliance with Certified Business Enterprise rules and regulations.	Reporting	6/15/2013
10	<b>Driver Education Program Fund</b>	Annual audit of Driver Education Program Fund.	Reporting	7/10/2013
11	<b>Eastern Market</b>	Audit of the Eastern Market Enterprise Fund.	Reporting	4/30/2013
12	<b>Fraud Prevention Fund</b>	Fiscal Year 2102 Audit Fraud Prevention Fund.	Reporting	3/20/2013
13	<b>University of the District of Columbia</b>	Review of the Endowment Fund of the University of the District of Columbia Fiscal Year 2010-Fiscal Year 2011.	Planning	8/31/2013
14	<b>Department of Small and Local Business Development</b>	Review of the Certified Business Enterprise certification process.	Field Work	8/2/2013
15	<b>Department of General Services</b>	Audit of First Source Apprenticeship Program.	Not Started	
16	<b>Economic Impact of Sick Leave on the Private Sector</b>	Based on a sample of District businesses to determine compliance with posting requirements and whether staffing patterns are used to circumvent sick leave requirements.	Field Work	6/17/2013

17	<b>Advisory Neighborhood Commission</b>	Audit of financial accounts of Advisory Neighborhood Commission 7D to include expenditure trend analysis.	Not Started	
18	<b>Homeland Security and Emergency Management Agency</b>	Review of festival security fee.	Not Started	
19	<b>Performance Measures:  Department of Motor Vehicles</b>	Review performance measurement outcomes presented in Department of Motor Vehicle. Development performance measurement reports Department of Motor Vehicles.	Not Started	
20	<b>District of Columbia Public Schools</b>	Review of the use of the capital funds by the District of Columbia Public Schools during the preceding fiscal year.	Not Started	
21	<b>Department of Mental Health</b>	Determination of whether privatization contract Mental Health Facilities achieved 5% savings and met performance standards.	Not Started	
22	<b>Department of Transportation</b>	Review of road construction contracts.	Planning	7/31/2013
23	<b>Department of Housing and Community Development</b>	Review of grant issued for program titled Housing Opportunities for People Living with AIDS.	Not Started	

24	<b>Department of Consumer and Regulatory Affairs</b>	Audit of the basic business licensing program (taxation, licensing, permits, assessments and fees) to include an examination of the program cost and effectiveness.	Not Started	
25	<b>Fraud Prevention Fund</b>	Fiscal Year 2013 audit of the Fraud Prevention Fund.	Reporting	3/27/2013
26	<b>District of Columbia Public Schools</b>	Review of process to verify residency to attend D.C. Public Schools.	Planning	8/31/2013
27	<b>Certified Business Compliance Fiscal Year 2012 4<sup>th</sup> Quarter Report</b>	Determine whether Developers met Certified Business Enterprise goals.	Issued January 17, 2013	
28	<b>Fiscal Year 2013 Metropolitan Police Department</b>	Audit of Metropolitan Police Department's investigations and preliminary inquiries involving First Amendment activities.	Planning	8/31/2013
29	<b>Department of Health Care Finance</b>	Nursing Facility Quality of Care Fund.	Not Started	
30	<b>Homeland Security and Emergency Management Agency</b>	Determine compliance recommendations presented in March 3, 2009 audit report titled Implementation of Omnibus Homeland Security Act.	Not Started	
31	<b>Certified Business FY 2012 Annual Report</b>	Analysis of whether District Agencies and Government Corporations met Small Business Enterprise goals.	Not Started	
32	<b>Annual Report Advisory Neighborhood Commissions</b>	Consolidated report on the financial activity of Advisory Neighborhood Commissions to include expenditure trend analysis.	Not Started	

33	<b>Washington Convention Center</b>	Certification of sufficiency of projected revenue.	Not Started	6/14/2013
34	<b>Certified Business Compliance Unit FY 2013 1st Quarter Agency and Government Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise goals.	Reporting	3/20/2013
35	<b>Department of Parks and Recreation</b>	Evaluate the effectiveness of Internal Controls.	Not Started	
36	<b>Public Service Commission Fund Fiscal Year 2012</b>	Review of the Public Service Commission Fund Fiscal Year 2012 deposits and disbursements.	Not Started	
37	<b>Certified Business Compliance Unit FY 2013 2nd Quarter Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise goals.	Not Started	5/31/2013
38	<b>Office of People's Counsel Agency Fund</b>	An audit of the financial activities of the Office of the People's Counsel Agency Fund.	Not Started	
39	<b>Certified Business Compliance Unit FY 2013 3rd Quarter Report</b>	Determine whether District agencies and Government Corporations met Small Business Enterprise goals.	Not Started	8/30/2013

17. Did the Inspector General release any report on your agency's activities within the last 3 years?

**Response:** The Office of the Inspector General did not issue any reports on ODCA's activities within the last 3 years.

(a) If yes, please provide a copy of the report and note what actions have been taken to address the recommendations made by the Inspector General.

18. Pursuant to D.C. Official Code § 1-301.172(b) or (c), an Auditor Legal fund shall be administered by the District of Columbia Auditor for the purpose of enforcing the D.C. Auditor's subpoena power.

(a) What is the amount as of today in this fund?

**Response:** While D.C. Official Code § 1-301.172(b) permits the D.C. Auditor to obtain attorney fees and other costs of litigation for the successful enforcement of subpoenas, since enactment of this provision, ODCA has not enforced subpoenas in court or obtained attorney fees. As a result, no fees were deposited into the District of Columbia Auditor Legal fund. The Legal fund balance is zero.

(b) How many subpoenas did the Auditor serve in FY 2011, 2012, and thus far in 2013?

**Response:** Specifically, in FY 2011, four subpoenas were issued for the Peaceholics' audit and six subpoenas were issued for reviews of Advisory Neighborhood Commission (ANC) 1B, ANC 5B, ANC 5C and ANC 8C.

In FY 2012, one subpoena was issued for the audit of the Children and Youth Investment Trust Corporation.

In FY 2013, to date, two subpoenas were issued for reviews of ANC 7A and ANC 8B.

19. (a) Please attach copies of the required small business enterprise (SBE) expenditure report for fiscal years 2011 or 2012; and

(b) D.C. Official Code § 2-218.53(b) requires each District agency to submit supplemental information with their annual small business enterprise (SBE) expenditure report, including: a description of the activities the agency engaged in to achieve their fiscal year SBE expenditure goal; and a description of any changes the agency intends to make during the next fiscal year to achieve their SBE expenditure goal. According to the D.C. Auditor, your agency was not compliant with these requirements. Why? Have you now submitted the required information for fiscal year 2011?

**Response (a):** Attached please find a copy of the required Small Business Enterprise Expenditure Report for Fiscal Years 2011 and 2012. (Please see attachment II).

**Response (b):** Please see attachment III demonstrating ODCA's compliance with D.C. Official Code § 2-218.53(b) for fiscal year 2011 and 2012. ODCA was not one of the agencies cited in the Auditor's FY 2011 annual report. We have submitted this report with this package.

**ATTACHMENT I**

Agency Name

Office of the DC Auditor

Annual Freedom of Information Act Report for Fiscal Year 2011  
October 1, 2011 through September 30, 2012

FOIA Officer Reporting Tia L. Clark

PROCESSING OF FOIA REQUESTS

1. Number of FOIA requests received during reporting period .....	11
2. Number of FOIA requests pending on October 1, 2011.....	2
3. Number of FOIA requests pending on September 30, 2012.....	2
4. The average number of days unfilled requests have been pending before each public body as of September 30, 2012 .....	7

DISPOSITION OF FOIA REQUESTS

5. Number of requests granted, in whole.....	11
6. Number of requests granted, in part, denied, in part.....	0
7. Number of requests denied, in whole.....	0
8. Number of requests withdrawn.....	0
9. Number of requests referred or forwarded to other public bodies.....	1
10. Other disposition .....	0

NUMBER OF REQUESTS THAT RELIED UPON EACH FOIA EXEMPTION

11. Exemption 1 - D.C. Official Code § 2-534(a)(1).....	0
12. Exemption 2 - D.C. Official Code § 2-534(a)(2).....	0
13. Exemption 3 - D.C. Official Code § 2-534(a)(3)	
Subcategory (A).....	0
Subcategory (B).....	0
Subcategory (C) .....	0
Subcategory (D) .....	0
Subcategory (E) .....	0
Subcategory (F) .....	0
14. Exemption 4 - D.C. Official Code § 2-534(a)(4) .....	0
15. Exemption 5 - D.C. Official Code § 2-534(a)(5).....	0

16. Exemption 6 - D.C. Official Code § 2-534(a)(6)	
Subcategory (A).....	0
Subcategory (B).....	0
17. Exemption 7 - D.C. Official Code § 2-534(a)(7).....	0
18. Exemption 8 - D.C. Official Code § 2-534(a)(8).....	0
19. Exemption 9 - D.C. Official Code § 2-534(a)(9).....	0
20. Exemption 10 - D.C. Official Code § 2-534(a)(10).....	0
21. Exemption 11 - D.C. Official Code § 2-534(a)(11).....	0
22. Exemption 12 - D.C. Official Code § 2-534(a)(12).....	0

**TIME-FRAMES FOR PROCESSING FOIA REQUESTS**

23. Number of FOIA requests processed within 15 days.....	10
24. Number of FOIA requests processed between 16 and 25 days.....	0
25. Number of FOIA requests processed in 26 days or more.....	1
26. Median number of days to process FOIA Requests.....	5

**RESOURCES ALLOCATED TO PROCESSING FOIA REQUESTS**

27. Number of staff hours devoted to processing FOIA requests.....	240
28. Total dollar amount expended by public body for processing FOIA requests.....	5936

**FEEs FOR PROCESSING FOIA REQUESTS**

29. Total amount of fees collected by public body.....	1.75
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**PROSECUTIONS PURSUANT TO SECTION 207(d) OF THE D.C. FOIA**

30. Number of employees found guilty of a misdemeanor for arbitrarily or capriciously violating any provision of the District of Columbia Freedom of Information Act .....	0
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**QUALITATIVE DESCRIPTION OR SUMMARY STATEMENT**

Pursuant to section 208(a)(9) of the D.C. FOIA, provide in the space below or as an attachment, “[a] qualitative description or summary statement, and conclusions drawn from the data regarding compliance [with the provisions of the Act].”



**ATTACHMENT II**

**Budget #151**

**Agency Information**

Provides basic information related to the agency being monitored per DC Official Code 2-218.41 by DSLBD. The agency director listed is responsible for assigning an agency representative to be a Set-Aside Compliance Officer. Due no later than deadline provided by DSLBD Director.

<b>Budget Code</b>	<b>Agency</b>	<b>Agency Acronym</b>
ACO	Office of the DC Auditor	ODCA
<b>Agency Head Title</b>	<b>Agency Head (User)</b>	
DC Auditor	yolanda.branche@dc.gov	
	<b>Agency CBE Compliance Officer1 (User)</b>	
	Aden, Hussein (ODCA)	
	<b>Agency CBE Compliance Officer2 (User)</b>	
	<b>Agency CBE Compliance Officer3 (User)</b>	
	<b>Agency CBE Compliance Officer4 (User)</b>	
	<b>Agency CBE Compliance Officer5 (User)</b>	

**Summary Performance Information**

Summarizes the agency's details for its baseline appropriated budget (gross funds)- provided by information noted in the Annual District Government's Proposed Budget and Financial Plan established by the Office of the Chief Financial Officer; exclusions requested; expendable budget; CSBE 50% goal; expenditures reported, and the agency's performance indicators. As of FY 12, DSLBD will provide the baseline appropriated budget and initial CSBE goal for each agency. This section is office use only.

Fiscal Year	Non-Monitored Budget Entity	Monitoring Notes		
2011				
<b>Appropriated Operating Budget</b> \$4,658,821.00	<b>Baseline CSBE Goal</b> \$2,329,410.50	<b>Total Approved Exclusions Amount</b> \$4,494,185.77	<b>Expendable Budget CSBE Goal Indicator</b> 	<b>Expendable Budget CSBE Goal Status</b> Goal Not Met
<b>Appropriated Capital Budget</b>	<b>Approved Expendable Budget (minus exclusions)</b> \$164,635.23	<b>Total Expenditures</b> \$39,194.36	<b>Good Faith Effort Indicator</b> 	<b>Good Faith Effort Status</b> On Target
<b>Appropriated Total Monitored Budget (Gross Funds)</b> \$4,658,821.00	<b>Approved CSBE Goal</b> \$82,317.62	<b>Total CBE Expenditures</b> \$39,194.36		
		<b>Total CSBE Expenditures</b> \$39,194.36		

**Submission Status**

Tracks all reports submitted by the agency for the fiscal year reporting, per D.C. Official Code 2-218.41, 2-218.53 and Chapter 8 of Title 27 DCMR.

Procurement Plan Submitted Status	Budget Submitted Exclusions Status	1st Quarter Submitted Report Status	2nd Quarter Submitted Report Status	3rd Quarter Submitted Report Status	4th Quarter Submitted Report Status
Procurement Plan <input type="checkbox"/> Indicator	Budget <input type="checkbox"/> Exclusions Indicator	1st Quarter <input type="checkbox"/> Report Indicator	2nd Quarter <input type="checkbox"/> Report Indicator	3rd Quarter <input type="checkbox"/> Report Indicator	4th Quarter <input type="checkbox"/> Report Indicator

**Agency Procurement Plan**

Per Chapter 8 of Title 27 DCMR, section 832, each agency shall submit to the Department the agency's procurement plan (APP) as described in section 832.5 for the fiscal year, on a form designated by the Department. Begin by clicking "Add procurement" to submit your agency's plan.

Add Procurement

Type of Intended Award	Name of Contract or Procurement agency intends to award	Contract or Procurement that the agency has set-aside for Small Business Enterprises (SBEs)	Brief description of the Contract or Procurement intended to be awarded	Existing or New Contract or Procurement	Anticipated Start Date	Anticipated End Date	Total Amount Related to the Contract or Procurement	Projected 1st Quarter Expenditure	Projected 2nd Quarter Expenditure	Projected 3rd Quarter Expenditure	Projected 4th Quarter Expenditure	Contract/PO number (if available)	Contract Administrator (COTR) Name

Type of Intended Award	Name of Contract or Procurement agency intends to award	Contract or Procurement that the agency has set-aside for Small Business Enterprises (SBEs)	Brief description of the Contract or Procurement intended to be awarded	Existing or New Contract or Procurement	Anticipated Start Date	Anticipated End Date	Total Amount Related to the Contract or Procurement	Projected 1st Quarter Expenditure	Projected 2nd Quarter Expenditure	Projected 3rd Quarter Expenditure	Projected 4th Quarter Expenditure	Contract/PO number (if available)	Contract Administrator (COTR) Name
Contract	Various Contract Services	No	Contractual services, printer and copies maintenance etc	New	10-01-2010	09-30-2011	\$41,000.00	\$4,000.00	\$6,000.00	\$15,000.00	\$16,000.00		
Procurement	Office Supplies	Yes	procure office supplies such paper goods, report letter head and covers etc	New	10-01-2010	09-30-2011	\$16,500.00	\$2,000.00	\$3,000.00	\$5,600.00	\$5,900.00		
Procurement	Other Services	No	Professional services	New	10-01-2010	09-30-2011	\$10,000.00	\$1,500.00	\$2,500.00	\$2,500.00	\$3,500.00		
Procurement	Equipments	No	Office equipment, IT hardware, and IT Software etc	New	10-01-2010	09-30-2011	\$24,000.00	\$3,200.00	\$5,800.00	\$6,500.00	\$8,500.00		
TOT							\$91,500.00	\$10,700.00	\$17,300.00	\$29,600.00	\$33,900.00		

**Budget Exclusion Requests by Agency**

Agencies can submit a request for exclusion(s) to the appropriated budget here. This assists in deciphering your expendable budget and CSBE goal. DSLBD will either approve or deny the exclusion for submission, which will provide the final CSBE goal. (D.C. Official Code 2-218.54 and Chapter 8 of Title 27 DCMR, section 830).

Comptroller Source Group	Object Class	Provide an Explanation of Exclusion	Proposed Exclusion Amount	Exclusion Approved by DSLBD?	Approved Exclusion Amount	Exclusion Approval Date
<b>Local (9 Exclusions)</b>						
0011 REGULAR PAY - CONT FULL TIME	0111 CONTINUING FULL TIME	Personnel	\$3,533,373.57	Yes	\$3,533,373.57	09-30-2010
0031 TELEPHONE, TELEGRAPH, TELEGRAM, ETC	0308 TELEPHONE, TELETYPE, TELEGRAM, ETC	Telephone services	\$13,068.98	Yes	\$13,068.98	09-30-2010
0032 RENTALS - LAND AND STRUCTURES	0309 RENTALS - LAND AND STRUCTURES	Rentals - land and structures	\$307,113.40	Yes	\$307,113.40	09-30-2010
0040 OTHER SERVICES AND CHARGES	0409 CONTRACTUAL SERVICES - OTHER	Intra district DCPS for oversight audit	\$575,000.00	Yes	\$575,000.00	09-30-2010
0041 CONTRACTUAL SERVICES - OTHER	0416 POSTAGE	Postage	\$4,000.00	Yes	\$4000.00	09-30-2010
0041 CONTRACTUAL SERVICES - OTHER	0440 SECURITY SERVICES	Security services	\$31,629.82	Yes	\$31,629.82	09-30-2010
0041 CONTRACTUAL SERVICES - OTHER	0410 OFFICE SUPPORT	Office Support such as Imprest Fund for employee reimbursement and online research etc.	\$6,000.00	Yes	\$6000.00	09-30-2010
0041 CONTRACTUAL SERVICES - OTHER	0419 TUITION FOR EMPLOYEE TRAINING	Employee training to complete required CPEs	\$21,000.00	Yes	\$21,000.00	09-30-2010
0070 EQUIPMENT & EQUIPMENT RENTAL	0708 LIBRARY BOOKS	Library Books	\$3,000.00	Yes	\$3000.00	09-30-2010
TOT			\$4,494,185.77		\$4,494,185.77	

**Expendable Budget Totals**

This is a summary of what has been data entered by agency Set-Aside Compliance Officers related to their expendable budgets and set aside goal. (Chapter 8 of Title DCMR, section 830).

Appropriated Total Monitored Budget (Gross Funds) \$4,658,821.00  
 Total Proposed Exclusions Amount \$4,494,185.77  
 Total Approved Exclusions Amount \$4,494,185.77

Proposed Expendable Budget (minus exclusions) \$164,635.23	Approved Expendable Budget (minus exclusions) \$164,635.23
Proposed CSBE Goal \$82,317.62	Approved CSBE Goal \$82,317.62
# of Proposed Exclusions 9	# of Approved Exclusions 9
	# of Revised or Unapproved Exclusions 0

**Quarterly Expenditure Reports**

Enter quarterly report expenditures here. To add, click on 'Add Expenditure Report' begin data entering each expenditure using the form or grid edit mode. (D.C. Official Code 2-218.41).

Related Budget	Vendor Name	Vendor ID (as it appears in the General Ledger)	FEIN	CBE Number	CSBE Status	Purchase Order Award Number	P-Card Purchase (Y/N)	Service Description (Object Title)	Funding Source (Local, Federal, O-Type, etc.)	Fiscal Quarter	Expenditure Date	Expenditure Amount	CBE Expenditure Amount	CBE Expenditure Amount as % of Total CBE Expenditures
151	Capital Services & Supplies	1521363600-000	521363600	LSDZR38955082011	Yes	PO345114	No	Office Supplies	Local	1st	12-26-2010	\$129.10	\$129.10	0.33%
151	Thomas E. Henderson L/T Printing	1521271333-000	521271333-000	LSR78203042011	Yes	PO346251	No	Printing & duplicating	Local	1st	11-26-2010	\$71.00	\$71.00	0.18%
151	Superior Couriers, LLC	1202146302-000	1202146302-000	LSZR77750022013	Yes	PO347278	No	Courier services	Local	1st	11-26-2010	\$304.00	\$304.00	0.78%
151	Superior Couriers, LLC	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier services	Local	1st	12-30-2010	\$338.00	\$338.00	0.86%
151	Thomas E. Henderson L/T Printing	1521271333000	521271333000	LSDR09200715567	Yes	po366552	No	Printing letters	Local	1st	12-31-2012	\$660.00	\$660.00	1.68%
151	ABC Technical Sol.	1200411779-000	200411779-000	LS80534072012	Yes	PO350769	No	IT Equipment	Local	2nd	02-25-2011	\$81.00	\$81.00	0.21%
151	ABC Technical Sol.	1200411779-000	200411779-000	LS80534072012	Yes	PO350770	No	IT Equipment	Local	2nd	02-25-2011	\$490.00	\$490.00	1.25%
151	ABC Technical Sol.	1200411779-000	200411779-000	LS80534072012	Yes	PO357964	No	IT Equipment	Local	2nd	03-22-2011	\$1,256.00	\$1,256.00	3.20%
151	Capital Services & Supplies	1521363600-000	521363600-000	LSDZR3895508201	Yes	PO345114	No	Office Supplies	Local	2nd	01-13-2011	\$419.41	\$419.41	1.07%
151	Capital Services & Supplies	1521363600-000	521363600-000	LSDZR3895508201	Yes	PO345114	No	Office supplies	Local	2nd	01-13-2011	\$20.59	\$20.59	0.05%
151	Capital Services	1521363600-000	521363600-000	LSDZR3895508201	Yes	PO345114	No	Office supplies	Local	2nd	03-09-2011	\$765.46	\$765.46	1.95%
151	MVS inc	1521352200-202	521352200-202	LSDZR936008201	Yes	PO352177	No	IT Software & Equipment	Local	2nd	01-24-2011	\$3,571.80	\$3,571.80	9.11%
151	Superior Courier inc	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier services	Local	2nd	01-26-2011	\$64.00	\$64.00	0.16%
151	Superior Courier	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier Services	Local	2nd	03-17-2011	\$32.00	\$32.00	0.08%
151	Thomas E. Henderson L/T printing	1521271333-000	521271333-000	LSR78203042011	Yes	PO346251	No	Printing	Local	2nd	01-10-2011	\$570.00	\$570.00	1.45%
151	Capital Services & Supplies	1521363600-000	521363600-000	LSDZR3895508201	Yes	PO345114	No	Supplies	Local	3rd	05-03-2011	\$276.45	\$276.45	0.71%
151	Capital Services & Supplies	1521363600-000	521363600-000	LSDZR3895508201	Yes	PO345114	No	Supplies	Local	3rd	05-23-2011	\$59.99	\$59.99	0.15%
151	Superior Couriers, llc	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier Services	Local	3rd	04-29-2011	\$128.00	\$128.00	0.33%
151	Superior Couriers, llc	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier Services	Local	3rd	04-29-2011	\$114.00	\$114.00	0.29%
151	Superior Courier	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier Services	Local	3rd	06-30-2011	\$144.00	\$144.00	0.37%
151	Superior Courier	1202146302-000	202146302-000	LSZR77750022012	Yes	PO347278	No	Courier	Local	3rd	06-30-2011	\$144.00	\$144.00	0.37%
151	ACB Technical Solution	1200411779201	200411779201	LS80534072012	Yes	PO372456	No	Supplies: Color printer cartridges etc	Local	4th	09-28-2011	\$1,066.70	\$1,066.70	2.72%
151	ABC Technical Solution	1200411779201	200411779201	LS80534072012	Yes	PO367836	No	Equipment: Air Cooler	Local	4th	09-28-2011	\$733.00	\$733.00	1.87%
151	ABC Technical Solution	1200411779201	200411779201	LS80534072012	Yes	PO361156	No	IT: Software upgrade	Local	4th	09-01-2011	\$1,106.00	\$1,106.00	2.82%
151	ABC Technical Solution	1200411779201	200411779201	LS80534072012	Yes	PO361866	No	IT: Quickbook software audit tool	Local	4th	09-06-2011	\$175.00	\$175.00	0.45%
151	ABC Technical Solution	1200411779201	200411779201	LS80534072012	Yes	PO372378	No	IT: Xerox work center MFP	Local	4th	09-28-2011	\$678.00	\$678.00	1.73%
151		1200411779201	200411779201	LS80534072012	Yes	PO372848	No		Local	4th	09-28-2011	\$9,508.00	\$9,508.00	24.26%

Related Budget	Vendor Name	Vendor ID (as it appears in the General Ledger)	FEIN	CBE Number	CSBE Status	Purchase Order Award Number	P-Card Purchase (Y/N)	Service Description (Object Title)	Funding Source (Local, Federal, O-Type, etc.)	Fiscal Quarter	Expenditure Date	Expenditure Amount	CBE Expenditure Amount	CBE Expenditure Amount as % of Total CBE Expenditures
151	ABC Technical Solution Computer World Services	1541534431000	541534431000	LSDZ08200615190	Yes	PO365878	No	IT: Xerox work center MFP IT - software license renewal	Local	4th	07-18-2011	\$304.00	\$304.00	0.78%
151	Capital Services & Supplies, Inc.	152127133000	52127133000	LSZX83935122012	Yes	PO345114	No	Office Supplies	Local	4th	09-29-2011	\$2,199.75	\$2,199.75	5.61%
151	Capital Services & Supplies, Inc.	1521363600000	521363600000	LSZX83935122012	Yes	PO345114	No	Supplies	Local	4th	09-06-2011	\$192.44	\$192.44	0.49%
151	Capital Services & Supplies, Inc.	1521363600000	521363600000	LSZX83935122012	Yes	PO345114	No	Supplies	Local	4th	07-27-2011	\$519.23	\$519.23	1.32%
151	Capital Services & Supplies, Inc.	1521363600000	521363600000	LSZX83935122012	Yes	PO373964	No	Office Supplies	Local	4th	09-29-2011	\$4,664.94	\$4,664.94	11.90%
151	Superior Couriers, LLC	1202146302000	202146302000	LSDR0120088046	Yes	PO347278	No	Courier Services	Local	4th	09-02-2011	\$880.00	\$880.00	2.25%
151	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO347278	No	Courier Services	Local	4th	09-02-2011	\$272.00	\$272.00	0.69%
151	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO347278	No	Courier Services	Local	4th	09-29-2011	\$376.00	\$376.00	0.96%
151	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO347278	No	Courier Services	Local	4th	07-06-2011	\$144.00	\$144.00	0.37%
151	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO347278	No	Courier Services	Local	4th	07-18-2011	\$176.00	\$176.00	0.45%
151	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO347278	No	Courier Services	Local	4th	09-29-2011	\$288.00	\$288.00	0.73%
151	Tomas E. Henderson LT Printing	1521271333000	521271333000	LSDR09200715567	Yes	PO372379	No	Office supplies: Letter head, envelopes, report cover etc	Local	4th	09-28-2011	\$6,272.50	\$6,272.50	16.00%
TOT												\$39,194.36	\$39,194.36	100.00%

**Expenditures Summary**

This area summarizes all data entered in section VI for quarterly expenditures.

<b>Total Capital Expenditures</b>	<b>Total Capital CBE Expenditures</b>	<b>Total Capital CSBE Expenditures</b>	<b>Total Capital CSBE Expenditures as a % of Total Capital Expenditures</b>
Total Local Expenditures \$39,194.36	Total Local CBE Expenditures \$39,194.36	Total Local CSBE Expenditures \$39,194.36	Total Local CSBE Expenditures as a % of Total Local Expenditures 100.00%
<b>Total Federal Expenditures</b>	<b>Total Federal CBE Expenditures</b>	<b>Total Federal CSBE Expenditures</b>	<b>Total Federal CSBE Expenditures as a % of Total Federal Expenditures</b>
<b>Total Special Purpose Revenue (O-Type) Expenditures</b>	<b>Total Special Purpose Revenue (O-Type) CBE Expenditures</b>	<b>Total Special Purpose Revenue (O-Type) CSBE Expenditures</b>	<b>Total Special Purpose Revenue (O-Type) CSBE Expenditures as a % of Total Special Purpose Revenue (O-Type) Expenditures</b>
<b>Total Intra-District Expenditures</b>	<b>Total Intra-District CBE Expenditures</b>	<b>Total Intra-District CSBE Expenditures</b>	<b>Total Intra-District CSBE Expenditures as a % of Total Other Expenditures</b>
<b>Total Expenditures \$39,194.36</b>	<b>Total CBE Expenditures \$39,194.36</b>	<b>Total CSBE Expenditures \$39,194.36</b>	
	Total CBE Expenditures as 100.00% a % of Total Expenditures	Total CSBE Expenditures as 100.00% a % of Total Expenditures	

**Agency End Of Year Narrative**

Per D.C. Official Code § 2-218.53, Agency's are required to provide an end of year narrative.

**End of Year Narrative**

Description of Activities Performed to Achieve Goal	Description of Changes the Agency Intends to Make to Achieve Goal Next Year	Shortfall Explanation (if applicable)
To achieve its CBE annual set aside goals, the Office of the District of Columbia Auditor gives all its preferences to CBE	The agency will utilize the DSLBD's online resource in order to increase CBE participation. In addition, the agency will continue to meet with CBE vendors who have been certified by	

Description of Activities Performed to Achieve Goal	Description of Changes the Agency Intends to Make to Achieve Goal Next Year	Shortfall Explanation (if applicable)
vendors unless there is no CBE contractor that can provide that service.	DSLBD to provide them with FY 2012 ODCA requirements for equipment, supplies, and services.	The agency could not expend or utilize all its FY 2011 expendable budget at the end of fiscal year.

**Approved CSBE Goal**

\$82,317.62

**Total CSBE Expenditures**

\$39,194.36

**CSBE Expenditures as a % of CSBE Goal**

47.61%

**Total Expenditures**

\$39,194.36

**Expendable Budget CSBE Goal Indicator**



**End of Year Narrative Status**

Submitted

**End of Year Narrative Indicator**



**Supporting Documents Library**

Provide any additional information here regarding exclusions' request(s) as well as receive update notices from DSLBD.

Add Document

Attachment	Document Title	Description	File Type	Author	Date Modified
2011 Agency Quarterly Reporting Spreadsheet.xls	1st Quarter FY 2011 Report	1st Quarter FY 2011 SBE Report	Excel (.xls/csv)	Aden, Hussein (ODCA)	12-22-2011 05:59 PM

**User Change Requests**

Changes in agency user or reporting contact can be requested here. Click on 'Add request' button to update your agency's reporting contact. It is the agency's responsibility to update DSLBD regarding reporting contacts.

Add Request

Name	Title	Email	Role	Request...
No requests found				

Owner: Archer, Ted  
 Created: OCT-30-2011 7:03 PM (EDT)  
 Last Modified: MAY-30-2012 11:33 AM (EDT) by Martin, Vonetta (DSLBD)

**Budget #52**

**Agency Information**

Provides basic information related to the agency being monitored per DC Official Code 2-218.41 by DSLBD. The agency director listed is responsible for assigning an agency representative to be a Set-Aside Compliance Officer. Due no later than deadline provided by DSLBD Director.

<b>Budget Code</b> AC0	<b>Agency</b> Office of the DC Auditor	<b>Agency Acronym</b> ODCA
<b>Agency Head Title</b> DC Auditor	<b>Agency Head (User)</b> yolanda.branche@dc.gov	
	<b>Agency CBE Compliance Officer1 (User)</b> Aden, Hussein (ODCA)	
	<b>Agency CBE Compliance Officer2 (User)</b>	
	<b>Agency CBE Compliance Officer3 (User)</b>	
	<b>Agency CBE Compliance Officer4 (User)</b>	
	<b>Agency CBE Compliance Officer5 (User)</b>	

**Summary Performance Information**

Summarizes the agency's details for its baseline appropriated budget (gross funds)- provided by information noted in the Annual District Government's Proposed Budget and Financial Plan established by the Office of the Chief Financial Officer; exclusions requested; expendable budget; CSBE 50% goal; expenditures reported, and the agency's performance indicators. As of FY 12, DSLBD will provide the baseline appropriated budget and initial CSBE goal for each agency. This section is office use only.

Fiscal Year	Non-Monitored Budget Entity	Monitoring Notes		
2012				
<b>Appropriated Operating Budget</b> \$4,261,233.00	<b>Baseline CSBE Goal</b> \$2,130,616.50	<b>Total Approved Exclusions Amount</b> \$4,219,014.77	<b>Expendable Budget CSBE Goal Indicator</b> 	<b>Expendable Budget CSBE Goal Status</b> Goal Attained
<b>Appropriated Capital Budget</b>	<b>Approved Expendable Budget (minus exclusions)</b> \$42,218.23	<b>Total Expenditures</b> \$36,292.02	<b>Good Faith Effort Indicator</b> 	<b>Good Faith Effort Status</b> N/A
<b>Appropriated Total Monitored Budget (Gross Funds)</b> \$4,261,233.00	<b>Approved CSBE Goal</b> \$21,109.12	<b>Total CBE Expenditures</b> \$36,292.02		
		<b>Total CSBE Expenditures</b> \$36,292.02		

**Submission Status**

Tracks all reports submitted by the agency for the fiscal year reporting, per D.C. Official Code 2-218.41, 2-218.53 and Chapter 8 of Title 27 DCMR.

Procurement Plan Submitted Status	Budget Exclusions Submitted Status	1st Quarter Report Submitted Status	2nd Quarter Report Submitted Status	3rd Quarter Report Submitted Status	4th Quarter Report Submitted Status
Indicator	Indicator	Indicator	Indicator	Indicator	Indicator

**Agency Procurement Plan**

Per Chapter 8 of Title 27 DCMR, section 832, each agency shall submit to the Department the agency's procurement plan (APP) as described in section 832.5 for the fiscal year, on a form designated by the Department. Begin by clicking "Add procurement" to submit your agency's plan.

**Add Procurement**

Type of Intended Award	Name of Contract or Procurement agency intends to award	Contract or Procurement that the agency has set -aside for Small Business Enterprises (SBEs)	Brief description of the Contract or Procurement intended to be awarded	Existing or New Contract or Procurement	Anticipated Start Date	Anticipated End Date	Total Amount Related to the Contract or Procurement	Projected 1st Quarter Expenditure	Projected 2nd Quarter Expenditure	Projected 3rd Quarter Expenditure	Projected 4th Quarter Expenditure	Contract/PO number (if available)	Contract Administrator (COTR) Name
Contract	Color Printer/Copier	No	Contractual services, Annual Rent for printer/color copier	Existing	10-01-2011	09-30-2012	\$8,500.00	\$2,125.00	\$2,125.00	\$2,125.00	\$2,125.00		Lawrence Perry
Procurement	Office Supplies	Yes	procure office supplies such paper goods,	New	10-01-2011	09-30-2012	\$9,000.00	\$1,500.00	\$1,500.00	\$1,500.00	\$4,500.00		Lawrence Perry





Add Expenditure Report

Related Budget	Vendor Name	Vendor ID (as it appears in the General Ledger)	FEIN	CBE Number	CSBE Status	Purchase Order Award Number	P-Card Purchase (Y/N)	Service Description (Object Title)	Funding Source (Local, Federal, O-Type, etc.)	Fiscal Quarter	Expenditure Date	Expenditure Amount	CBE Expenditure Amount	CBE Expenditure Amount as % of Total CBE Expenditures
52	Superior Couriers, LLC	1202146302000	202146302000	LSDR0120088048	Yes	PO379658	No	COURIER/DELIVERY SERVICES	Local	1st	11-25-2012	\$430.00	\$430.00	1.18%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX7539122014	Yes	PO387136	No	Office Supplies	Local	1st	12-31-2013	\$299.88	\$299.88	0.83%
52	Thomas Hendorson L/T Printing	1521271333000	521271333000	LSR48185042013	Yes	PO383517	No	Supplies	Local	2nd	01-13-2012	\$20.31	\$20.31	0.06%
52	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier services	Local	2nd	01-13-2012	\$180.00	\$180.00	0.50%
52	Thomas Hendorson L/T Printing	1521271333000	521271333000	LSR48185042013	Yes	PO381077	No	Supplies: Letterhead, printing	Local	2nd	01-13-2012	\$513.00	\$513.00	1.41%
52	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier services	Local	2nd	02-07-2012	\$256.00	\$256.00	0.71%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Supplies	Local	2nd	02-09-2012	\$680.26	\$680.26	1.87%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Supplies	Local	2nd	02-09-2012	\$665.95	\$665.95	1.83%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387135	No	Office Supplies	Local	2nd	02-09-2012	\$1,009.40	\$1,009.40	2.78%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Office Supplies	Local	2nd	03-14-2012	\$679.22	\$679.22	1.87%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Supplies	Local	2nd	03-23-2012	\$27.56	\$27.56	0.08%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Supplies	Local	2nd	03-23-2012	\$31.53	\$31.53	0.09%
52	Capital Services and Supplies	1521363600000	521363600000	LSZX83935122012	Yes	PO387135	No	Office Supplies	Local	2nd	03-23-2012	\$4.95	\$4.95	0.01%
52	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier Services	Local	2nd	03-14-2012	\$36.00	\$36.00	0.10%
52	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier Services	Local	2nd	03-14-2012	\$160.00	\$160.00	0.44%
52	Superior Courier	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier	Local	2nd	03-23-2012	\$72.00	\$72.00	0.20%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Supplies	Local	3rd	04-11-2012	\$664.37	\$664.37	1.83%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX83935122012	Yes	PO387136	No	Supplies	Local	3rd	05-17-2012	\$585.65	\$585.65	1.61%
52	SENODA	1521617446000	521617446000	LS09200614864	Yes	PO384284	No	Printing Business Cards	Local	3rd	05-08-2012	\$195.00	\$195.00	0.54%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier services	Local	3rd	05-08-2012	\$94.00	\$94.00	0.26%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSDR0120088046	Yes	PO379658	No	Courier Services	Local	3rd	05-17-2012	\$126.00	\$126.00	0.35%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSDR0120088046	Yes	PO396168	No	Furniture Moving Fees	Local	3rd	05-08-2012	\$980.00	\$980.00	2.70%
52	THOMAS E. HENDERSON	1521271333000	521271333000	LSR48185042013	Yes	PO389534	No	Printing Business Crad	Local	3rd	04-03-2012	\$28.90	\$28.90	0.08%
52	Thomas Hendorson L/T Printing	1521271333000	521271333000	LSR48185042013	Yes	PO389909	No	Name Plate	Local	3rd	04-03-2012	\$65.00	\$65.00	0.18%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO420410	No	Toners for color printers	Local	4th	08-15-2013	\$611.00	\$611.00	1.68%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	po440063	No	Machine, Lebeled tapes data	Local	4th	09-27-2013	\$869.00	\$869.00	2.39%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO440521	No	Back up tapes	Local	4th	09-27-2012	\$469.00	\$469.00	1.29%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO416484	No	MS SQL SRV, Windows servers	Local	4th	09-28-2012	\$4,874.87	\$4,874.87	13.43%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO424006	No	Smart Net	Local	4th	09-26-2012	\$2,612.00	\$2,612.00	7.20%
52		1200411779000	200411779000	LSDZ76036082014	Yes	PO437210	No	Toner for printer/fax	Local	4th	09-26-2012	\$237.50	\$237.50	0.65%

Related Budget	Vendor Name	Vendor ID (as it appears in the General Ledger)	FEIN	CBE Number	CSBE Status	Purchase Order Award Number	P-Card Purchase (Y/N)	Service Description (Object Title)	Funding Source (Local, Federal, O-Type, etc.)	Fiscal Quarter	Expenditure Date	Expenditure Amount	CBE Expenditure Amount	CBE Expenditure Amount as % of Total CBE Expenditures
	ABC TECHNICAL SOLUTIONS INC													
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO425711	No	Security camera software maintenance	Local	4th	09-21-2012	\$147.00	\$147.00	0.41%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO437208	No	Enterprise anti-virus suite renewal	Local	4th	09-26-2012	\$1,473.90	\$1,473.90	4.06%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO437209	No	20inch monitors	Local	4th	09-26-2012	\$858.00	\$858.00	2.36%
52	ABC TECHNICAL SOLUTIONS INC	1200411779000	200411779000	LSDZ76036082014	Yes	PO416486	No	computer memories and software	Local	4th	08-15-2012	\$1,279.00	\$1,279.00	3.52%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX7539122014	Yes	PO387136	No	Office Supplies	Local	4th	07-17-2012	\$409.82	\$409.82	1.13%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX7539122014	Yes	PO387136	No	Supplies	Local	4th	09-21-2012	\$40.37	\$40.37	0.11%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX7539122014	Yes	PO387136	No	Office Supplies	Local	4th	09-27-2012	\$6,485.58	\$6,485.58	17.87%
52	SENODA INC	1521617446000	521617446000	LS70796082012	Yes	PO417671	No	Business Cards	Local	4th	08-06-2012	\$275.00	\$275.00	0.76%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSZR17041062014	Yes	PO379658	No	Courier Services	Local	4th	07-09-2012	\$216.00	\$216.00	0.60%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSZR17041062014	Yes	PO379658	No	Courier Services	Local	4th	07-17-2012	\$90.00	\$90.00	0.25%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSZR17041062014	Yes	PO379658	No	Courier Services	Local	4th	08-31-2012	\$162.00	\$162.00	0.45%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSZR17041062014	Yes	PO379658	No	Courier Services	Local	4th	09-24-2012	\$110.00	\$110.00	0.30%
52	SUPERIOR COURIERS, LLC	1202146302000	202146302000	LSZR17041062014	Yes	PO379658	No	Courier Services	Local	4th	09-27-2012	\$443.00	\$443.00	1.22%
52	CAPITAL SERVICES AND SUPPLIES	1521363600000	521363600000	LSZX7539122014	Yes	PO387136	No	Supplies	Local	4th	09-21-2012	\$386.00	\$386.00	1.06%
52	F.S. TAYLOR & ASSOCIATES, PC	1521196225000	521196225000	LSDX22052122012	Yes	PO425522	No	Contractual Services: ANC Quarterly Report	Local	4th	09-21-2012	\$6,438.00	\$6,438.00	17.74%
<b>TOT</b>												\$36,292.02	\$36,292.02	100.00%

**Expenditures Summary**

This area summarizes all data entered in section VI for quarterly expenditures.

<b>Total Capital Expenditures</b>	<b>Total Capital CBE Expenditures</b>	<b>Total Capital CSBE Expenditures</b>	<b>Total Capital CSBE Expenditures as a % of Total Capital CSBE Expenditures</b>
<b>Total Local Expenditures \$36,292.02</b>	<b>Total Local CBE Expenditures \$36,292.02</b>	<b>Total Local CSBE Expenditures \$36,292.02</b>	<b>Total Local CSBE Expenditures as a % of Total Local Expenditures 100.00%</b>
<b>Total Federal Expenditures</b>	<b>Total Federal CBE Expenditures</b>	<b>Total Federal CSBE Expenditures</b>	<b>Total Federal CSBE Expenditures as a % of Total Federal Expenditures</b>
<b>Total Special Purpose Revenue (O-Type) Expenditures</b>	<b>Total Special Purpose Revenue (O-Type) CBE Expenditures</b>	<b>Total Special Purpose Revenue (O-Type) CSBE Expenditures</b>	<b>Total Special Purpose Revenue (O-Type) CSBE Expenditures as a % of Total Special Purpose Revenue (O-Type) Expenditures</b>
<b>Total Intra-District Expenditures</b>	<b>Total Intra-District CBE Expenditures</b>	<b>Total Intra-District CSBE Expenditures</b>	<b>Total Intra-District CSBE Expenditures as a % of Total Other Expenditures</b>
<b>Total Expenditures \$36,292.02</b>	<b>Total CBE Expenditures \$36,292.02</b>	<b>Total CSBE Expenditures \$36,292.02</b>	
	<b>Total CBE Expenditures as a 100.00% % of Total Expenditures</b>	<b>Total CSBE Expenditures as a 100.00% % of Total Expenditures</b>	

**Agency End Of Year Narrative**

Per D.C. Official Code § 2-218.53, Agency's are required to provide an end of year narrative.

End of Year Narrative

Description of Activities Performed to Achieve Goal	Description of Changes the Agency Intends to Make to Achieve Goal Next Year	Shortfall Explanation (if applicable)
To achieve its CBE annual set aside goals, the Office of the District of Columbia Auditor (ODCA) gives all its preferences to CBE vendors unless there is no CBE contractor that can provide that service.	The agency will utilize the DSLBD's online resource in order to increase CBE participation. In addition, the agency will continue to meet with CBE vendors who have been certified by DSLBD to provide them with FY 2013 ODCA requirements for equipment, supplies, and services.	The agency achieved its CBSE goal.

Approved CSBE Goal  
\$21,109.12

Total CSBE Expenditures  
\$36,292.02

CSBE Expenditures as a % of CSBE Goal  
171.93%

Total Expenditures  
\$36,292.02

Expendable Budget CSBE Goal Indicator



End of Year Narrative Status  
Submitted

End of Year Narrative Indicator

Supporting Documents Library

Provide any additional information here regarding exclusions' request(s) as well as receive update notices from DSLBD.

Add Document

Attachment	Document...	Description	File...	Author	Date...
No documents found					

User Change Requests

Changes in agency user or reporting contact can be requested here. Click on 'Add request' button to update your agency's reporting contact. It is the agency's responsibility to update DSLBD regarding reporting contacts.

Add Request

Name	Title	Email	Role	Request Type
Hussein Aden	ODCA Staff	hussein.aden@dc.gov	Agency CBE Compliance Officer	Add User

Owner: [Archer, Ted](#)  
 Created: SEP-02-2011 1:55 PM (EDT)  
 Last Modified: FEB-28-2013 3:13 PM (EST) by [Martin Vonetta \(DSLBD\)](#)

## APPENDIX V

### Agencies That Submitted Procurement Supplemental Information as of April 18, 2012

1. Administrative Hearings, Office of
2. Aging, Office on
3. Alcoholic Beverage Regulation Administration
4. Attorney General for the District of Columbia, Office of the
5. Auditor, Office of the
6. Cable Television, Office of
7. Campaign Finance, Office of
8. Chief Financial Officer, Office of the
9. Chief Medical Examiner, Office of the
10. Child and Family *Services* Agency
11. City Administrator, Office of the
12. Community Affairs, Office of
13. Contract Appeals Board
14. Corrections, Department of
15. Disability *Services*, Department on
16. Employment *Services*, Department of
17. Environment, District Department of the
18. Events DC
19. Fire and Emergency Medical *Services* Department
20. Health, Department of
21. Health Care Finance, Department of
22. Homeland Security and Emergency Management Agency
23. Housing and Community Development, Department of
24. Human Resources, DC Department of
25. Human Rights, Office of
26. Human *Services*, Department of
27. Inspector General, Office of the
28. Insurance, Securities, and Banking, Department of
29. Latino Affairs, Office of
30. Mayor, Office of the
31. Mental Health, Department of
32. Metropolitan Police Department
33. Motion Picture and Television Development, Office of
34. Motor Vehicles, Department of
35. Parks and Recreation, Department of
36. People's Counsel, Office of the
37. Planning and Economic Development, Office of the Deputy Mayor for
38. Planning, Office of
39. Police Complaints, Office of
40. Public Education Facilities Management, Office of
41. Public Library, District of Columbia
42. Public *Service* Commission
43. Public Works, Department of
44. Real Estate *Services*, Department of
45. Risk Management, DC Office of
46. Disability Compensation Fund (Expenditures dispersed through Office of Risk Management)
47. Medical Liability Captive Insurance Agency (Expenditures dispersed through Office of Risk Management)
48. Secretary, Office of the
49. Small and Local Business Development, Department of
50. State Superintendent of Education, Office of the
51. Taxicab Commission, DC
52. Unified Communications, Office of
53. University of the District of Columbia
54. Veterans' Affairs, Office of
55. Youth Rehabilitation Services, Department of
56. Zoning, Office of

APPENDIX VI  
Procurement Supplemental Information Analysis

5. Office of the D.C. Auditor

- Activities the agency engaged in to achieve the FY 2011 SSE expenditure goal
  - o Gave preference to SBE vendors (as available) on all purchases
- Changes the agency intends to make in FY 2012 to achieve the SSE expenditure goal
  - o Will continue to utilize the CSE Online Database
  - o Will continue to meet with certified SBEs and provide them with ODCA service and product needs
- Will the agency's planned activities for FY 2012 enable it to achieve its SSE expenditure goal?
  - o Yes
- ODCA Recommendations
  - o None

**ATTACHMENT III**

Agencies That Submitted Procurement Supplemental Information as of April 18, 2012

1. Administrative Hearings, Office of
2. Aging, Office on
3. Alcoholic Beverage Regulation Administration
4. Attorney General for the District of Columbia, Office of the
5. Auditor, Office of the
6. Cable Television, Office of
7. Campaign Finance, Office of
8. Chief Financial Officer, Office of the
9. Chief Medical Examiner, Office of the
10. Child and Family *Services* Agency
11. City Administrator, Office of the
12. Community Affairs, Office of
13. Contract Appeals Board
14. Corrections, Department of
15. Disability *Services*, Department on
16. Employment *Services*, Department of
17. Environment, District Department of the
18. Events DC
19. Fire and Emergency Medical *Services* Department
20. Health, Department of
21. Health Care Finance, Department of
22. Homeland Security and Emergency Management Agency
23. Housing and Community Development, Department of
24. Human Resources, DC Department of
25. Human Rights, Office of
26. Human *Services*, Department of
27. Inspector General, Office of the
28. Insurance, Securities, and Banking, Department of
29. Latino Affairs, Office of
30. Mayor, Office of the
31. Mental Health, Department of
32. Metropolitan Police Department
33. Motion Picture and Television Development, Office of
34. Motor Vehicles, Department of
35. Parks and Recreation, Department of
36. People's Counsel, Office of the
37. Planning and Economic Development, Office of the Deputy Mayor for
38. Planning, Office of
39. Police Complaints, Office of
40. Public Education Facilities Management, Office of
41. Public Library, District of Columbia
42. Public *Service* Commission
43. Public Works, Department of
44. Real Estate *Services*, Department of
45. Risk Management, DC Office of
46. Disability Compensation Fund (Expenditures dispersed through Office of Risk Management)
47. Medical Liability Captive Insurance Agency (Expenditures dispersed through Office of Risk Management)
48. Secretary, Office of the
49. Small and Local Business Development, Department of
50. State Superintendent of Education, Office of the
51. Taxicab Commission, DC
52. Unified Communications, Office of
53. University of the District of Columbia
54. Veterans' Affairs, Office of
55. Youth Rehabilitation Services, Department of
56. Zoning, Office of

## Procurement Supplemental Information Analysis

### 5. Office of the D.C. Auditor

- Activities the agency engaged in to achieve the FY 2011 SSE expenditure goal
  - o Gave preference to SBE vendors (as available) on all purchases
- Changes the agency intends to make in FY 2012 to achieve the SSE expenditure goal
  - o Will continue to utilize the CSE Online Database
  - o Will continue to meet with certified SBEs and provide them with ODCA service and product needs
- Will the agency's planned activities for FY 2012 enable it to achieve its SSE expenditure goal?
  - o Yes
- ODCA Recommendations
  - o None