



February 10, 2016

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

Dear Chairman Mendelson:

Please find enclosed our responses to the preliminary questions contained in your letter, dated January 11, 2016, requesting information in preparation for the Committee of the Whole's March 8, 2016, performance oversight hearing for the Office of the District of Columbia Auditor. Please do not hesitate to contact me at 202-727-3600 should you have any questions or concerns.

Sincerely yours,

Kathleen Patterson
District of Columbia Auditor

Office of the District of Columbia Auditor’s Response to the Committee of the Whole Preliminary Performance Oversight Hearing Questions

1. Please provide, as an attachment to your answers, a current organizational chart for your agency with the number of vacant and filled FTEs marked in each box. Include the names of all senior personnel, if applicable. Also include the effective date on the chart.

Response: Please see Attachment I.

2. Please provide, as an attachment, a Schedule A for your agency which identifies all employees by title/position, current salary, fringe benefits, and program office as of January 10, 2016. The Schedule A also should indicate any vacant positions in the agency. Please do not include Social Security numbers.

Response: Please see Attachment II. The Office of the District of Columbia Auditor (ODCA) is in the process of filling vacancies at this time.

3. Please list all employees detailed to or from your agency, if any. For each employee identified, please provide the name of the agency the employee is detailed to or from, the reason for the detail, the date of the detail, and the employee’s projected date of return.

Response: There were no employees detailed to or from ODCA.

4. (a) For fiscal year 2015, please list each employee whose salary was \$110,000 or more. For each employee listed provide the name, position title, salary, and amount of any overtime and/or bonus pay.

Fiscal Year 2015:

Item #	Name	Position Title	Salary*	Overtime Paid	Bonus Paid
1	Aden, Hussein	Senior Financial Auditor	\$116,964.23	None	None
2	Bellanca, Amy	General Counsel	\$139,917.00	None	None
3	Gebreselassie, Lilai	Supervisory Senior Auditor	\$125,504.47	None	None
4	Laura Hopman	Assistant Deputy Auditor	\$135,000.00	None	None
5	Juffras, Jason	Director of Program Evaluation	\$125,000.00	None	None

6	*Matsiga, Marshall	Senior Auditor	\$114,577.20	None	None
7	Patterson, Kathleen	Auditor	\$169,900.00	None	None
8	Perry, Lawrence	Deputy Auditor	\$144,812.85	None	None
9	Pittell, Stacie	Chief of Staff	\$130,000.00	None	None

*No longer employed by ODCA.

Note: Laura Hopman's actual FY 2015 compensation was 84,375.00

Jason Juffras' actual FY 2015 compensation was 112,500.00

(b) For fiscal year 2016, please list each employee whose salary is or was \$110,000 or more. For each employee listed provide the name, position title, salary, and amount of any overtime and/or bonus pay as of the date of your response.

Fiscal Year 2016:

Item #	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Aden, Hussein	Senior Financial Auditor	\$120,473.16	None	None
2	Bellanca, Amy	General Counsel	\$142,054.51	None	None
3	Gebreselassie, Lilai	Supervisory Senior Auditor	\$125,504.47	None	None
4	Harris, Toya	Supervisory Auditor	\$110,470.87	None	None
5	Laura Hopman	Assistant Deputy Auditor	\$139,050.00	None	None
6	Juffras, Jason	Director of Program Evaluation	\$128,750.00		
7	*Matsiga, Marshall	Senior Auditor	\$118,014.52	None	None
8	Patterson, Kathleen	Auditor	\$174,997.00	None	None
9	Perry, Lawrence	Deputy Auditor	\$149,157.24	None	None
10	Pittell, Stacie	Chief of Staff	\$133,900.00	None	None

*No longer employed by ODCA.

Note: Laura Hopman's actual FY 2016 compensation is 86,906.25

Jason Juffras' actual FY 2016 compensation is 115,875.00

5. Please list, in descending order, the top 25 overtime earners in your agency for fiscal year 2015. For each, state the employee's name, position or title, salary, and aggregate overtime pay.

Response: There were no overtime payments paid to ODCA employees in fiscal year 2015.

6. For fiscal years 2015 and 2016 (to date), please provide a list of employee bonuses or special award pay granted that identifies the employee receiving the bonus or special pay, the amount received, and the reason for the bonus or special pay.

Response: There were no bonuses or special award payments paid to ODCA employees in fiscal years 2015 or 2016 (to date).

7. For fiscal year 2016 (to date), please list each employee separated from the agency with separation pay. State the amount and number of weeks of pay. Also, for each, state the reason for the separation.

Response: Fiscal year 2016 Separation Pay:

Employee Name	Amount	Number of Weeks	Reason for Separation
Marshall Matsiga	\$18,153.60	8	Resignation

8. For fiscal years 2015 and 2016 (to date), please state the total number of employees receiving worker's compensation payments.

Response: No ODCA employee received worker's compensation payments in fiscal years 2015 or 2016 (to date).

9. For fiscal years 2015 and 2016 (to date), please list, in chronological order, all intra-District transfers to or from the agency.

Response: For fiscal years 2015 and 2016 (to date), there were no intra-District transfers to or from the agency.

10. Please list, in chronological order, every reprogramming of funds into and out of the agency for fiscal years 2015 and 2016 (to date). Include a "bottom line" that explains the revised final budget for your agency. For each reprogramming, list the reprogramming number, the date, the amount, and the rationale.

Response: No reprogramming of funds into or out of the agency took place during fiscal years 2015 or 2016 (to date).

- 11. For fiscal years 2015 and 2016 (to date), please identify any special purpose revenue funds maintained by, used by, or available for use by your agency. For each fund identified, provide: (1) the revenue source name and code; (2) the source of funding; (3) a description of the program that generates the funds; (4) the amount of funds generated annually by each source or program; and (5) expenditures of funds, including the purpose of each expenditure.**

Response: ODCA has a special revenue account (District of Columbia Auditor Legal Fund). However, there were no funds maintained, used, or available for use by ODCA during fiscal years 2015 or 2016 (to date) in this account.

- 12. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2015 and 2016 (to date). For each, describe its purpose, indicate the date entered, and provide the actual or anticipated termination date.**

Response: There were no MOUs entered into by ODCA or in effect during fiscal years 2015 or 2016 (to date).

- 13. Please list each grant or sub-grant received by your agency in fiscal years 2015 and 2016 (to date). List the date, amount, purpose of the grant or sub-grant received, and explain how the grant is allocated if it is a multi-year grant.**

Response: There were no grants or sub-grants received by ODCA during fiscal years 2015 or 2016 (to date).

- 14. Please list all currently open capital projects for your agency as of the date of your response, including those projects that are managed or overseen by another agency or entity. Include a brief description of each, the total estimated cost, expenditures to date, the start and completion dates, and the current status of the project. Also, indicate which projects are experiencing delays and which require additional funding.**

Response: As of the date of this response, ODCA does not have any open capital projects.

- 15. Please list all pending lawsuits that name your agency as a party. Please identify which cases on the list are lawsuits that potentially expose the city to significant liability in terms of money and/or change in practices. The Committee is not asking for your judgment as to the city's liability; rather, we are asking about the extent of the claim. For those claims identified, please include an explanation about the issues for each case.**

Response: As of the date of this response, ODCA is not named as a party in any pending lawsuits.

16.

(a) Please list and describe any investigations, studies, audits, or reports on your agency or any employee of your agency that were completed at any time in fiscal years 2015 or 2016 (to date).

Response: There were no investigations, studies, audits, or reports on ODCA or any employee completed in fiscal years 2015 or 2016 (to date). We do undertake an annual risk assessment performed by staff, and we will arrange for a peer review of the agency this year, which we undertake every three years.

(b) Please list and describe any ongoing investigations, audits, or reports of your agency or any employee of your agency.

Response: There are no ongoing investigations, audits, or reports pertaining to ODCA or any ODCA employee (to date).

17. Please list, in chronological order, all employee grievances filed against your agency in fiscal years 2015 and 2016 (to date). Also, list any earlier grievance that is still pending in any judicial forum. For each, give a brief description of the matter as well as the current status.

Response: ODCA did not have any employee grievances filed against the agency in fiscal years 2015 OR 2016 (to date).

18. In table format, please list the following for fiscal years 2015 and 2016 (to date) regarding the agency's use of SmartPay (credit) cards for agency purchases: (1) individuals (by name and title/position) authorized to use the cards; (2) purchase limits (per person, per day, etc.); and (3) total spent (by person and for the agency).

Response: Fiscal year 2015 PCard Purchases:

Cardholder/Authorized Name & Title	Single Purchase Limit	Total Spending
Cathy Patten Receptionist/Admin. Assistant	5,000	21,496.45

Note: Monthly Cycle Limit is \$20,000

Response: Fiscal Year 2016 as of 2/3/2015 PCard Purchases:

Cardholder/Authorized Name & Title	Single Purchase Limit	Total Spending
Cathy Patten Receptionist/Admin. Assistant	5,000	8,836.18

Note: Monthly Cycle Limit is \$20,000

19.

(a) In table format, please provide the following information for fiscal years 2015 and 2016 (to date), regarding your agency's use of cellular phones and mobile devices: (1) individuals (by name and title/position) authorized to carry and use such devices; (2) total annual expense (FY) for each individual's use; and (3) justification for such use (per person). If the list is more than one page in length, you may provide it as an attachment.

Response: There were no cell phones or mobile devices issued to ODCA employees for fiscal years 2015 or 2016 (to date).

(b) Please describe how your agency manages and limits its mobile, voice, and data costs, including cellular phones and mobile devices.

Response: N/A.

20.

(a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2015 and 2016 (to date), please list any vehicle the agency owns. You may group the vehicles by category (e.g., 15 sedans, 33 pick-up trucks, three transport buses, etc.).

Response: ODCA did not have any government vehicles in fiscal years 2015 or 2016 (to date). In November 2015, ODCA was provided access the Council's fleet of vehicles.

(b) Please list all vehicle accidents involving your agency's vehicles for fiscal years 2014, 2015, and 2016 (to date). Provide: (1) a brief description of each accident; (2) the type of vehicle involved; (3) the justification for using such vehicle; (4) the name and title/position of the driver involved; and (5) whether there was a finding of fault and, if so, who was determined to be at fault.

Response: There were no vehicle accidents involving an agency vehicle for fiscal years 2014, 2015 or 2016 (to date).

21. D.C. Law requires the Mayor to pay certain settlements from agency operating budgets if the settlement is less than \$10,000 or less than two years old (see D.C. Code § 2-402(a)(3)). Please itemize each charge-back to your agency for a settlement or judgment pursuant to D.C. Code § 2-402.

Response: There were no settlements or judgment charge-backs to ODCA for fiscal years 2015 or 2016 (to date).

22.

(a) D.C. Law prohibits chauffeurs, take-home vehicles, and the use of SUVs (see D.C. Code §§ 50-203 and 50-204). Is your agency in compliance with this law? Please explain any exceptions.

Response: ODCA is in compliance with this law. ODCA used no chauffeurs, and had no government vehicles for take-home, or SUVs.

(b) If there are exceptions, please provide the following: (1) type of vehicle (make, model, year); (2) individuals (name/position) authorized to have the vehicle; (3) jurisdictional residence of the individual (e.g., Bowie, MD); and (4) justification for the chauffer or take-home status.

Response: There are no exceptions.

23. In table format, please provide the following information for fiscal years 2015 and 2016 (to date) regarding your agency's authorization of employee travel: (1) individuals (by name and title/position) authorized to travel outside the District; (2) total expense for each trip (per person, per trip, etc.); and (3) justification for the travel (per person and trip).

Response: Fiscal Year 2015 Employee Travel:

Name	Total Expenses	Travel Justification
Lawrence Perry, Deputy Auditor	\$1,712.96	2015 NASACT Annual Conference for Intergovernmental Audit Forum
Laura Hopman, Assistant Deputy Auditor	\$ 2,126.32	To attend TeamMate User Forum
Gregory Creighton, Supervisory Auditor	\$ 2,078.17	To attend TeamMate User Forum

Note: Lawrence Perry's total travel expenditures of \$1,712.96 were reimbursed by NASACT.

Response: Fiscal Year 2016 Employee Travel:

There are no employee travel expenditures for fiscal year 2016 to date.

24. Please provide and itemize, as of January 10, 2016, the current number of When Actually Employed (WAE), term, and contract personnel within your agency. If your agency employs WAE or term personnel, please provide, in table format, the name of each employee, position title, the length of his or her term, the date on which he or she first started with your agency, and the date on which his or her current term expires.

Response: ODCA has no WAE, term or contract personnel.

25. What are your top five priorities for the agency? Please provide a detailed explanation for how the agency expects to achieve or work toward these priorities in fiscal years 2016 and 2017.

1. ODCA recommendations achieve an 80% compliance rate.

We publish an annual report detailing whether agencies have complied with recommendations made in our audits that comply with Generally Accepted Government Auditing Standards (GAGAS). For fiscal year 2016 we will be adding recommendations contained in our other reports, including non-GAGAS audits, letter reports, and program evaluations. This goal has several elements: (1) assuring that our recommendations are sound, measurable, achievable and can be documented; (2) securing commitments and actions from agencies to adopt the recommendations; (3) following up with agencies to ensure that they are implementing our recommendations, answering questions to help them achieve implementation, and working with the Council oversight committee to obtain compliance from the agency.

2. ODCA significantly increases the productivity of the agency by shortening the total length of time audits and evaluations take from engagement to publication.

Our planning process will include setting and meeting realistic goals for completing audits and evaluations, which includes framing an audit in a way that minimizes the time required by survey and fieldwork and maximizes potential impact, especially in cases when policy and budget decisions are pending. This can include more targeted sampling; spending time on site rather than waiting for document production; developing deadlines for receiving materials, and other strategies. We make every effort to work with agencies to obtain necessary records so that production does not delay our audits but may call on the Council for assistance from time to time. We also have underway the implementation of database modules that will help us track individual employee time, and also track the time taken in various stages of our audits and evaluations.

3. At least three ODCA reports are the basis for Council oversight hearings.

To help ensure that our work is addressing the priorities of the legislative branch, we are encouraging staff to closely follow budget, legislative, and oversight hearings and to stay abreast of what issues are under review. Our annual work plan takes Council priorities into account as we plan our audits and evaluations. Either through working directly with Councilmembers and staff or by their independent use of our work, our goal is for ODCA research and findings to prompt and/or support effective oversight of government programs, services, expenditures by the D.C. Council.

4. Mayor and Council make significant reforms to the school modernization program based in whole or in part on ODCA work.

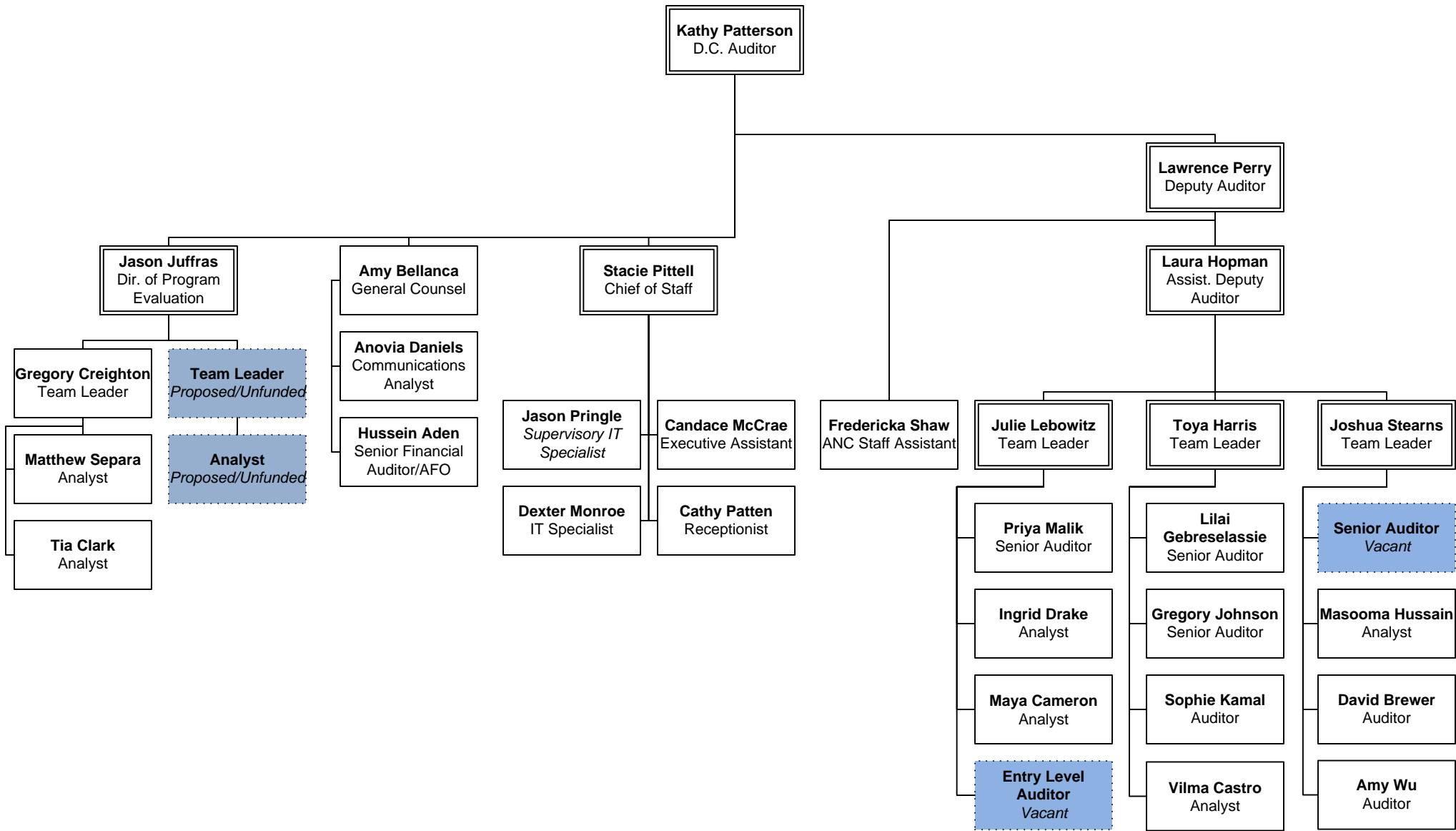
The school modernization audit, published in summer 2015, and two additional reviews underway today, are identifying failures by District agencies and contract entities to abide by provisions in the law, regulations, policy guidelines, contracts, and best practices. We are identifying control environment issues that may have resulted in cost overruns which can have the impact of delaying improvements at other schools. With new leadership in the executive branch agencies, we are hopeful that reforms will be forthcoming, and those could include stronger management, more/better oversight by DGS and DCPS, active solicitation of community views in the planning phase, better coordination and greatly improved transparency, in addition to compliance with law

and regulation. We will follow up with the agencies through our recommendation compliance monitoring to document actions taken, or not taken, and that information will be included in our annual compliance report.

5. Council enacts legislation to reduce statutory audits, freeing ODCA resources for higher priority work.

The Committee of the Whole is currently considering legislation that would repeal or amend several of the current statutory provisions requiring the ODCA to conduct specific audits. Some of the provisions are out of date or relate to laws or programs that no longer exist. Others are topics that are relevant, but the purpose could be served by auditing on a less frequent basis, or leaving the audits to the discretion of the D.C. Auditor. If enacted, the legislation will enable ODCA to devote more of our staff time and resources to issues that are more current, and of higher priority for the Council.

ATTACHMENT I
Response to Question # 1
Office of the District of Columbia Auditor Organizational
Chart



ATTACHMENT II
Response to Question # 2
Office of the District of Columbia Auditor Agency
Position Listing

OFFICE OF THE DISTRICT OF COLUMBIA AUDITOR (AC0)

AGENCY POSITION LISTING as of JANUARY 10, 2016

#	TITLE	SALARY	FRINGE	POSITION STATUS Filled/Vacant	FULL/PART TIME
PROGRAM: 2000 AUDIT, FINANCIAL OVERSIGHT, AND INVESTIGATION					
1	D.C. AUDITOR	174,997.00	34,299	F	Full Time
2	DEPUTY AUDITOR	149,158.00	29,235	F	Full Time
3	SENIOR LEGAL ADVISOR	142,054.51	27,843	F	Full Time
4	CHIEF OF STAFF	133,900.00	26,244	F	Full Time
5	PGM ANALYSIS OFFICER	115,875.00	22,712	F	Part Time
6	SUPERVISORY SENIOR AUDITOR	125,504.47	24,599	F	Full Time
7	SENIOR FINANCIAL AUDITOR	120,473.16	23,613	F	Full Time
8	SENIOR AUDITOR	116,107.00	22,757	V	Full Time
9	SUPERVISORY AUDITOR	103,000.00	20,188	F	Full Time
10	SUPERVISORY AUDITOR	110,470.87	21,652	F	Full Time
11	SUPERVISORY AUDITOR(Perf. Audits)	109,180.00	21,399	F	Full Time
12	SUPERVISORY AUDITOR	105,060.00	20,592	F	Full Time
13	PROGRAM ANALYST	104,916.00	20,564	F	Full Time
14	SENIOR AUDITOR	81,209.00	15,917	F	Full Time
15	WRITER EDITOR	93,819.00	18,389	F	Full Time
16	FINANCIAL AUDITOR	88,775.00	17,400	F	Full Time
17	AUDITOR	86,253.00	16,906	F	Full Time
18	ASSISTANT DEPUTY AUDITOR	86,906.25	17,034	F	Part Time
19	AUDITOR	81,014.00	15,879	F	Full Time
20	AUDITOR	81,014.00	15,879	F	Full Time
21	AUDITOR	78,894.00	15,463	F	Full Time
22	ANC STAFF ASSI	71,161.00	13,948	F	Full Time
23	PROGRAM ANALYST	48,739.00	9,553	F	Full Time
24	EXECUTIVE ASSISTANT	88,775.00	17,400	F	Full Time
25	PROGRAM ANALYST	61,419.00	12,038	F	Part Time
26	FINANCIAL AUDITOR	57,523.00	11,275	F	Full Time
27	FINANCIAL AUDITOR	58,743.00	11,514	F	Full Time
28	FINANCIAL ANALYST	50,937.00	9,984	V	Full Time
29	RECEPTIONIST/ADMIN. ASSISTANT	56,059.00	10,988	F	Full Time
PROGRAM: 1000 AGENCY MANAGEMENT PROGRAM					
30	SUPERVISORY IT SPECIALIST	108,748.43	21,315	F	Full Time
31	IT SPECIALIST	76,774.00	15,048	F	Full Time