



February 15, 2018

The Honorable Phil Mendelson
Council of the District of Columbia
1350 Pennsylvania Avenue, N.W.
Suite 504
Washington, DC 20004

Dear Chairman Mendelson:

Please find enclosed our responses to the preliminary questions contained in your letter, dated January 19, 2018, requesting information in preparation for the Committee of the Whole's March 1, 2018, 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,

A handwritten signature in blue ink that reads "Kathleen Patterson". The signature is written in a cursive style with a large, flowing "K" and "P".

Kathleen Patterson
District of Columbia Auditor

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: See Attachment A.

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 31, 2018. The Schedule A also should indicate all vacant positions in the agency. Please do not include Social Security numbers.

Response: See Attachment B.

3. Please list all employees detailed to or from your agency, if any, anytime this fiscal year (up to the date of your answer). 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 the detail began, and the employee's actual or projected date of return.

Response: There were no employees detailed to or from ODCA during this fiscal year.

4. (a) For fiscal year 2017, please list each employee whose salary was \$125,000 or more. For each employee listed provide the name, position title, salary, and amount of any overtime and/or bonus pay.

Response: Fiscal Year 2017 Employee salary \$125,000 or more

Item #	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Bellanca, Amy	General Counsel	\$146,316.15	None	None
2	Gebreselassie, Lilai	Supervisory Senior Auditor	\$129,269.60	None	None
3	Hopman, Laura	Assistant Deputy Auditor	\$143,221.52	None	None
4	Juffras, Jason	Director of Program Evaluation	\$132,612.50	None	None
5	Lebowitz, Julie	Supervisory Auditor	\$125,845.40	None	None
6	Patterson, Kathleen	Auditor	\$180,246.91	None	None
7	Perry, Lawrence	Deputy Auditor	\$153,631.96	None	None
8	Pittell, Stacie	Chief of Staff	\$137,917.00	None	None

Note: Laura Hopman's actual FY 2017 compensation is 89,513.44

(b) For fiscal year 2018, please list each employee whose salary is or was \$125,000 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.

Response: Fiscal Year 2018 as of 1/31/2018 Employee salary \$125,000 or more:

Item #	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Bellanca, Amy	General Counsel	\$146,316.15	None	None
2	Gebreselassie, Lilai	Supervisory Senior Auditor	\$129,269.60	None	None
3	Hopman, Laura	Assistant Deputy Auditor	\$143,221.52	None	None
4	Juffras, Jason	Director of Program Evaluation	\$132,612.50	None	None
5	Lebowitz, Julie	Supervisory Auditor	\$125,845.40	None	None
6	Patterson, Kathleen	Auditor	\$180,246.91	None	None
7	Perry, Lawrence	Deputy Auditor	\$153,631.96	None	None
8	Pittell, Stacie	Chief of Staff	\$137,917.00	None	None

Note: Laura Hopman’s actual FY 2017 compensation is 89,513.44

5. **Please list, in descending order, the top 25 overtime earners in your agency for fiscal year 2017. 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 2017.

6. **For fiscal years 2017 and 2018 (through January 31), 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 pay awards paid to ODCA employees in FY 2017 or FY 2018 (through January 31) although we will be awarding performance bonuses shortly to four individuals based on our 2017 performance evaluation process.

7. **For fiscal years 2017 and 2018 (through January 31), 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 2017

Name	Separation Date	Number of Weeks of Separation Pay	Amount	Reason for Separation
Tia Clark	10/11/16	10	\$20,780	Termination

No employee was separated from the agency with separation pay in FY 2018 (through January 31, 2018)

8. For fiscal years 2017 and 2018 (through January 31), please state the total number of employees receiving worker’s compensation payments.

Response: No ODCA employee received worker’s compensation payments in FY 2017 or FY2018 (through January 31)

9. Please provide the name of each employee who was or is on administrative leave in fiscal years 2017 and 2018 (through January 31). In addition, for each employee identified, please provide: (1) their position; (2) a brief description of the reason they were placed on leave; (3) the dates they were/are on administrative leave; (4) whether the leave was/is paid or unpaid; and (5) their current status (as of January 31, 2018).

Response: Fiscal Year 2017:

Name	Position	Explanation	Dates	Paid/Unpaid	Status
Tia Clark <i>(Began in FY16 and ended in FY17)</i>	Program Analyst	Termination	8/22/16-10/11/16	Paid	Terminated
Yvonne Jones	Auditor	Vote	11/8/16 (1.5 hours)	Paid	Active
Jennay Kingsbury	Program Analyst	Vote	11/8/16 (1 hour)	Paid	Active
Lawrence Perry	Deputy Auditor	Attend “American Fellows Outbound Project” in Moldova	5/1/17 – 5/5/17 (40 hours)	Paid	Active
Lawrence Perry	Deputy Auditor	Attend National Association of State Auditors, Comptrollers and Treasurers conference in Nashville	8/14/17 – 8/16/17 (24 hours)	Paid	Active
Fredericka Shaw	Analyst	Admin leave provided for hours worked during ANC transition	6/30/17 7/3/17 7/5/17 (26 hours)	Paid	Active

No employee has been on administrative leave in FY 2018 (through January 31, 2018).

10. For fiscal years 2017 and 2018 (through January 31), please list, in chronological order, all intra-District transfers to or from the agency. Give the date, amount, and reason for the transfer.

Response: For fiscal years 2017 and 2018 (through January 31), there were no intra-District transfers to or from ODCA.

11. Please list, in chronological order, every reprogramming of funds into or out of the agency for fiscal years 2017 and 2018 (through January 31). Include a “bottom line” that explains the revised final budget for your agency. For each reprogramming, list the reprogramming number (if submitted to the Council for approval), the date, the amount, and the rationale.

Response: No reprogramming of funds into or out of ODCA took place during fiscal years 2017 or 2018 (through January 31).

12. Please list, in chronological order, every reprogramming *within* your agency during fiscal year 2018 to date. Include known, anticipated intra-agency reprogrammings. For each, give the date, amount, and rationale.

Response: No reprogramming of funds within ODCA agency took place during fiscal year 2018 (to date).

13. For fiscal years 2017 and 2018 (through January 31), please identify each 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. For (4) and (5) provide specific data for fiscal years 2016, 2017, and 2018 (as of January 31) and give starting and ending balances. You may wish to present this information first as a list (for numbers 1-5) and then as separate tables for numbers 4 and 5.

Response: ODCA had a special revenue account (District of Columbia Auditor Legal Fund) in fiscal year 2017. However, there were no funds maintained, used, or available for use by ODCA. The “Auditor Legal Fund Elimination Amendment Act of 2017”, part of the “Fiscal Year 2018 Budget Support Act of 2017” (B22-244, L22-0033) repealed the Fund.

14. Please provide a table showing your agency Council-approved original budget, revised budget (after reprogrammings, etc.) for fiscal years 2016, 2017, and the first quarter of 2018. In addition, please explain the variances between fiscal year appropriations and actual expenditures for fiscal years 2016 and 2017.

Response: Fiscal Year 2016 Budget:

Program	Original Budget	Revised Budget	Actual Spending	Variances	Variance Description
1000 - AGENCY MANAGEMENT	799,998	799,998	764,893	35,106	Mainly due to salary lapse
2000 - AUDIT, FIN. OVERSIGHT & INVESTIGATIONS	3,863,343	3,909,309	3,783,662	125,647	
Agency Total	4,663,341	4,709,307	4,548,554	160,753	

Response: Fiscal Year 2017 Budget:

Program	Original Budget	Revised Budget	Actual Spending		
1000 - AGENCY MANAGEMENT	790,952	790,952	784,022	6,929	Mainly due to salary lapse and not going forward on an anticipated contract audit.
2000 - AUDIT, FIN. OVERSIGHT & INVESTIGATIONS	4,411,033	4,364,815	3,887,116	477,699	
Agency Total	5,201,985	5,155,767	4,671,138		

Response: First Quarter Fiscal Year 2018 Budget:

Program	Original Budget	Revised Budget
1000 - AGENCY MANAGEMENT	809,923	809,923
2000 - AUDIT, FIN. OVERSIGHT & INVESTIGATIONS	5,050,490	5,050,490
Agency Total	5,860,413	5,860,413

Note: As of 1st quarter

- 15. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2017 and 2018 (through January 31). 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 2017 and 2018 (to date). We have an MOU with OCTO under consideration related to Office 365 licenses.

- 16. D.C. Law requires the Mayor and the Chief Financial Officer to submit to the Council, simultaneously with a proposed budget submission, actual copies of all agency budget enhancements requests, including the “Form B” for all District agencies (See D.C. Code § 47-318.05a). In order to help the Committee understand agency needs, and the cost of those needs for your agency, please provide, as an attachment to your answers, all budget enhancement requests submitted by your agency to the Mayor or Chief Financial Officer as part of the budget process for fiscal years 2016 and 2017.**

Response: We requested budget enhancements in our [FY18 budget testimony](#) before the Committee of the Whole totaling \$92,000 for IT-related expenses.

- 17. 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 this date, ODCA does not have any open capital projects.

- 18. 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: ODCA does not have any pending lawsuits.

- 19. (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 2017 or 2018 (through January 31).**

Response: There are no investigations, studies, audits, or reports on ODCA or any employee of ODCA completed during fiscal years 2017 or 2018 (through January 31).

(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.

- 20. How many grievances have been filed by employees or labor unions against agency management? Please list each of them by year for fiscal years 2016, 2017, and 2018 (through January 31). Give a brief description of each grievance, and the outcome as of January 31, 2018. Include on the chronological list any earlier grievance that is still pending in any judicial forum.**

Response: There are no grievances filed against ODCA in fiscal years 2016, 2017, or 2018 (through January 31).

- 21. (a) Please describe the agency's procedures for investigating allegations of sexual harassment or misconduct committed by or against its employees.**

Response: ODCA has named a Sexual Harassment Officer, is in the process of updating our sexual harassment policies and procedures, and ODCA can provide a draft to the Committee if requested.

(b) List and describe each allegation received by the agency in FY17 and FY18, to date, and the resolution of each as of the date of your answer.

Response: There were no allegations of sexual harassment or misconduct against ODCA employees received by ODCA during FY17 or FY18, to date.

22. In table format, please list the following for fiscal years 2017 and 2018 (through January 31, 2018) 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 2017 PCard Purchases:

Cardholder/Authorized Name & Title	Single Purchase Limit	Total Spending
Cathy Patten Receptionist/Admin. Assistant	\$5,000	\$54,944

Note: Monthly Cycle Limit is \$20,000

Response: Fiscal Year 2018 as of 1/31/2017 PCard Purchases:

Cardholder/Authorized Name & Title	Single Purchase Limit	Total Spending
Cathy Patten Receptionist/Admin. Assistant	\$5,000	\$12,040

Note: Monthly Cycle Limit is \$20,000

23. Please provide a list of all procurements for goods or services for use by your agency over \$10,000 for fiscal years 2017 and 2018 (through January 31). Give a brief explanation of each, including the name of the contractor, purpose of the contract, and the total dollar amount of the contract. Exclude from this answer purchase card (SmartPay) purchases.

Response: Fiscal Year 2017 Procurement:

Contractor/Vendor	Purpose	Contract Amount
Charles Babcock	Journalist- in-Residence	\$98,000
Council for Court Excellence	Review how effectively the DC Department of Behavioral Health interfaces with the District criminal justice system	\$64,568
DC Action for Children	Review & analysis of the District's current home visiting programs	\$52,040
Ronald Gaskins	Review of Summer Youth Employment Program	\$31,535
Centric De Lage Landen Financial Services	Copier Lease	\$24,157
ABC Technical Solutions. Inc.	Purchase of Network Switch equipment	\$25,150
KCB Contractors Inc.	Renovation	\$18,997
Nancy Augustine	Case study of DCRA housing inspection program	\$16,000

Response: Fiscal Year 2018 Procurement:

Contractor/Vendor	Purpose	Contract Amount
Charles Babcock	Journalist- in-Residence (extension from FY 2017 and included in total listed above)	\$17,575
Council for Court Excellence	Review how effectively the DC Department of Behavioral Health interfaces with the District’s criminal justice system	744,500
Top Shelf Design LLC	Update ODCA’s website	\$24,000
Nancy Augustine	Case study of DCRA housing inspection program	\$32,000
Centric DeLage Landen Financial Services	Copier Lease	\$27,600
Cooperative Strategies	Council-funded school enrollment audit	\$490,000

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

Response: There were no cell phones or mobile devices issued to ODCA employees for fiscal years 2017 or 2018 (to date).

(b) In table format, please provide the following information for fiscal years 2017 and 2018 (through January 31), 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 20 individuals, group the answer by program, giving the total number of FTEs for that program as well as the number of cellular phones and mobile devices.

Response: There were no cell phones or mobile devices issued to ODCA employees for fiscal years 2017 or 2018 (to date).

25. (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2017 and 2018 (through January 31), please list any vehicle the agency owns, leases, or has assigned to it. 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 2017 or 2018 (through January 31).

(b) Please list all vehicle accidents involving your agency’s vehicles for fiscal years 2016, 2017, and 2018 (through January 31). Provide: (1) a brief description of each accident; (2) the type of vehicle involved; (3) the name and title/position of the driver involved; (4) the justification for using such vehicle; 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 ODCA vehicle for fiscal years 2016, 2017 or 2018 (through January 31).

26. **D.C. Law requires the Mayor to pay certain settlements from agency operating budgets if the settlement is less than \$10,000 or results from an incident within the last two years (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: ODCA received no charge-backs from the Mayor.

27. **(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?**

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

(b) Please explain all exceptions, if any, and 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.

Reponse: There are no exceptions.

28. **In table format, please provide the following information for fiscal years 2017 and 2018 (through January 31) regarding your agency’s authorization of employee travel: (1) each trip outside the region; (2) individuals (by name and title/position) authorized to travel outside the region; (3) total expense for each trip (per person, per trip, etc.); and (4) justification for the travel (per person and trip).**

Response: Fiscal Year 2017 Employee Travel:

Name	Total Expenses	Travel Justification
Ingrid Drake, Program Analyst	\$1,315.60	To attend FY 2017 National Legislative Program Evaluation Seminar
Jason Juffras, Director of Program Evaluation	\$1,332.95	To attend FY 2017 National Legislative Program Evaluation Seminar
Joshua Stearns Supervisory Auditor	\$2,366.04	To attend PRIMA’s Enterprise Risk Assessment training
Lawrence Perry Deputy Auditor	\$2,303.93	To attend 2017 NASACT conference

Response: Fiscal Year 2018 Employee Travel:

There are no employee travel expenditures for FY 2018 (through January 31).

29. **Please provide and itemize, as of January 31, 2018, 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 or contract, the date on which he or she first started with your agency, and the date on which his or her current term expires.**

Response:

Name	Position Title	Length of Term	Date First Started w/ Agency	Term Expiration
Kathleen Patterson	DC Auditor	Six years	12/15/14	2/25/2023
Margaret Jacobson*	Program Analyst	3 Months	12/26/2016	3/24/2018
James Wright	Intern	10 months	6/5/17	3/31/18

*Ms. Jacobson began a Term appointment on 12/24/2017

30. What efforts has your agency made in the past year to increase transparency? Explain.

Response: With regard to ODCA itself, we have improved our use of social media including Twitter postings about our reports and testimony and initiated a series of blogs and podcasts on ODCA reports in an effort to inform more members of the community about our work. We added elements to our website including correspondence with the D.C. Council and our podcasts and blogs.

With regard to the District government and its transparency, many of our reports have included recommendations designed to improve government operations including making the work of government more accessible to residents. Examples:

- Our January 6, 2017, report, *The DC Government Must Improve Policies and Practices for the Protection of Personally Identifiable Information*, included recommendations that District agencies create Privacy Threshold Analyses and Privacy Impact Assessments and that these documents, once developed, be published on each agency’s website. The report recommended that agencies have written policies that govern data collection, including addressing how information can be “de-identified” when the information is not necessary.
- Our February 9, 2017, report, *Planning, Buying and Implementing A New Information Technology System: A case Study of the D.C. Business Portal*, recommended that the Council make clear which committees have oversight for information technology to better hold the Executive Branch accountable for systems development which would make such information more transparent for the public.
- In a second report on the Housing Production Trust Fund issued March 16, 2017, we recommended improvements in the agency’s housing outreach plan, putting annual audits on the agency website, and development of written standard operating procedures for all aspects of the program, all having an impact on making the government’s efforts more transparent.
- The report, *Child Fatality Review Committee Can Build on Recent Reforms*, issued July 21, 2017, emphasized timely publication of the committee’s annual report, and for the Council to meet the statutory requirement to hold a public hearing on the annual report so that the findings and recommendations have a much broader exposure.
- In our upcoming data report on the Housing Production Trust Fund, we find that OCFO did not provide detail in the Comprehensive Annual Financial Report (CAFR) on the significant portion of loans due to the HPTF that they had deemed “doubtful,” meaning that collection of those loans were deemed “possible or remote.” We highlighted this lack of transparency in a meeting with OCFO representatives in November 2017. We were pleased to see that the 2017 CAFR, published just a few weeks ago, does include this detail, presumably in direct response to our finding.

31. What efforts will your agency be making to increase transparency? Explain.

Response: We are in the process of redesigning the ODCA website to be more visually appealing and user-friendly, including a mobile platform. We will produce our podcasts in a professional radio studio so they are more accessible for listeners. We have also discussed internally adding a topic to one of our standard procedures on audits so that we always ask ourselves whether the audit will itself contribute to transparency or if our audit scope could usefully include transparency as a subject for review.

32. Please identify any legislative requirements that your agency lacks sufficient resources to properly implement. Explain.

Response: ODCA has sufficient resources to properly implement legislative requirements.

33. Please identify any statutory or regulatory impediments to your agency’s operations.

Response: ODCA has no statutory or regulatory impediments to agency operations.

34. Did your agency receive any FOIA requests in fiscal year 2017? If yes, did the agency file a report of FOIA disclosure activities with the Secretary of the District of Columbia? If available, please provide a copy of that report as an attachment.

Response: Yes. ODCA received seven FOIA requests in fiscal year 2017. See Attachment C.

35. For purposes CBE agency compliance purposes, what is your agency’s current adjusted expendable budget; how much has been spent with SBEs; and what percent of your agency’s expendable budget was spent with SBEs? Further, where SBEs were not available, how much has been spent with CBEs, and what percent of CBE spending, relative to your current expendable budget? How many CBE waivers (including dollar amount) did the agency submit? What efforts has the agency taken to reduce the number of CBE waivers submitted? What is the CBE spending goal for your agency per the DSLBD SBE Opportunities Guide (Green book)? Give this answer for fiscal years 2016, 2017 and 2018 (through January 31).

Response: Current FY 2018 CBE Compliance:

Adjusted Expendable Budget	Current SBE Expenditures	SBE % over Expendable	SBE Expenditures as a % of SBE Goal	CBE Expenditures	Waiver Requested	Effort to Reduce Waiver
64,086	\$3,237	5.1%	10.1%	5.1%	0	

Response: Agency spending goals for FY 2016, 2017, & 2018

Fiscal Year	SBE Spending Goal
2016	\$71,347
2017	\$39,371
2018	\$32,042

36. Please provide, as an attachment, a copy of your agency's current annual performance plan as submitted to the Office of the City Administrator.

Response: As a legislative agency, we do not participate in the performance program managed by the Office of the City Administrator. We have initiated a robust performance planning process at ODCA and attach our Performance Report for FY 2017. See Attachment D.

37. (a) What are your agency's key performance indicators and what has been your agency's performance (for each of these KPIs) in fiscal year (or calendar year) 2016, 2017, and 2018 (through the first quarter).

Response: See attachment D for our Performance Report for FY 2017 and performance targets for FY 2018.

(b) What KPIs have been dropped (or changed) since 2014? List each specifically and explain why it was dropped or changed.

Response: Three of our four KPIs were new in 2016. This is explained in this excerpt from ODCA's performance testimony on March 15, 2017:

ODCA's FY 2016 Performance Report which includes four key performance indicators, or KPIs, that were developed by a staff working group. ODCA analysts and auditors met at least nine times to identify, select, and edit the proposed performance indicators. They reviewed the metrics used in other audit offices, and in other District agencies, and reviewed professional literature on the topic of audit performance metric design, implementation and verification. After the Auditor approved the four proposed KPIs, four subcommittees met to develop standard operating procedures to track each KPI. (Example: when we measure how long a particular audit takes, what is the starting point? Our answer: when we send a letter notifying an agency director that we are undertaking an audit.) We are in the process of revising our office Policies and Procedures, and these performance indicators, and how they are to be measured, will be a part of the revised manual.

The downside of this very productive process is that it occurred this past year – which means that the KPIs included in the report are new. Three out of four have not been measured previously, so it will take some time to be able to report on the trends which we hope will show progress in our performance.

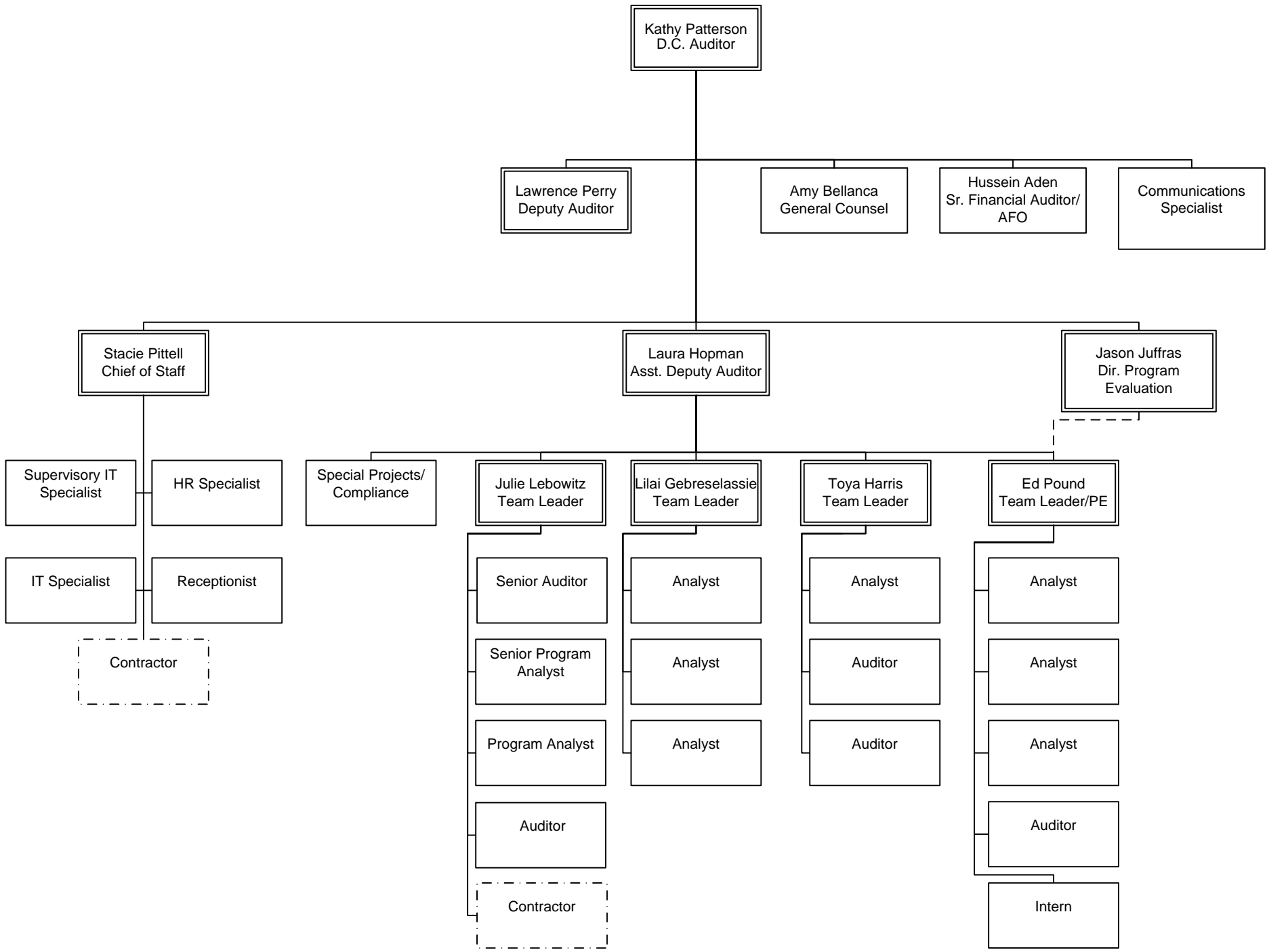
38. What are your top five priorities for the agency? Please provide a detailed explanation for how the agency expects to achieve or work toward these priorities in fiscal year 2018.

Response: Priorities for ODCA in FY 2018 include:

1. Completing our two-year project evaluating the District's Housing Production Trust Fund, which has included two reports and two Management Alerts thus far, and will be completed with a data report to be issued in the near future. We anticipate following up with Councilmembers and with the Department of Housing and Community Development on our recommendations to strengthen this high-priority program so that the District taxpayers get the best value for the significant investment that has been, and continues to be, made in affordable housing.

2. Completing and issuing a contract audit on D.C. Public School and public charter school enrollment funded by the Council in the FY2017 budget cycle. We anticipate this will have a major impact on how the Mayor and Council plan and budget for school facilities and school academic offerings in the future. Our enrollment work will include a District-wide public opinion survey that will provide information on the decision-making by parents on where they enroll their children.
3. Determining and then undertaking one or more ODCA projects to assist policymakers and the public in having greater confidence in D.C. Public Schools, in the wake of high visibility press reports on violation of high school graduation rules. The State Board of Education adopted a resolution asking ODCA to look at these issues and current oversight of schools, and individual Councilmembers have asked what role this office could and should play in addressing some of the issues before the public. We have not yet determined what issues we will undertake in this regard, but it is our intention to provide one or more constructive audits or evaluations.
4. Completing an agency Enterprise Risk Management process, which we are using as a structured management and strategic planning tool. Currently all ODCA employees are engaged in discussions that will identify the risks that ODCA must overcome to meet all of our policy and programmatic priorities, and how we can plan to address key risks identified through this process. Our in-house effort is part of an initiative to build ODCA's own capacity in the area of risk management. We have discussions underway with executive branch agencies with whom we might agree to work to assist with Enterprise Risk Management efforts that are either agency-wide or specific to one or more programs or areas of operation. Our goal is to add this to our capabilities, so that we can offer our risk management services to agencies more broadly.
5. Completing and engaging in discussions with policymakers on a white paper identified as a priority goal in the report, *The Department of General Services Needs Guidance and Assistance to Develop Effective Internal Controls*, issued July 17, 2017. This project arises from audits published over the last several years on school modernization and other subjects, all of which identified the lack of internal controls as inhibiting effective operations and the ability of ODCA to conduct comprehensive and constructive audits of agency programs. We are exploring what systems of internal controls exist in the private sector and at the state, local, and national level within government and in a report to be completed later this spring we anticipate proposing legislative or regulatory action by the District government to seek to overcome this long-standing deficiency.

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



ATTACHMENT B
Response to Question # 2
Office of the District of Columbia Auditor
Agency Position Listing/ Schedule A
As of January 31, 2018

Appendix B: OFFICE OF THE DISTRICT OF COLUMBIA AUDITOR (ACO)

AGENCY POSITION LISTING AS OF JANUARY 31, 2018

#	TITLE	SALARY	FRINGE	POSITION STATUS Filled/Vacant	Full/Part Time
PROGRAM: 2000 AUDIT, FINANCIAL OVERSIGHT, AND INVESTIGATION					
1	D.C. AUDITOR	180,246.91	41,998	F	Full Time
2	DEPUTY AUDITOR	153,631.96	35,796	F	Full Time
3	GENERAL COUNSEL	146,316.15	34,092	F	Full Time
4	CHIEF OF STAFF	137,917.00	32,135	F	Full Time
5	ASSISTANT DEPUTY AUDITOR	89,513.44	20,857	F	Part Time
6	PGM ANALYSIS OFFICER	132,612.50	30,899	F	Full Time
7	SENIOR FINANCIAL AUDITOR	124,087.35	28,912	F	Full Time
8	SUPERVISORY AUDITOR	125,845.40	29,322	F	Full Time
9	SUPERVISORY AUDITOR	124,084.92	28,912	F	Full Time
10	SUPERVISORY AUDITOR	120,000.00	27,960	F	Full Time
11	SUPERVISORY SENIOR AUDITOR	129,269.60	30,120	F	Full Time
12	SUPERVISORY AUDITOR	86,569.44	25,179	F	Part Time
13	COMMUNICATIONS SPECIALIST	108,063.00	20,171	F	Full Time
14	AUDITOR	85,626.00	19,951	F	Full Time
15	AUDITOR	94,035.00	21,910	F	Full Time
16	AUDITOR	85,626.00	19,951	F	Full Time
17	AUDITOR	83,443.00	19,442	F	Full Time
18	AUDITOR	81,260.00	18,934	F	Full Time
19	AUDITOR	51,709.00	12,048	F	Full Time
20	AUDITOR	91,438.00	21,305	F	Full Time
21	PROGRAM ANALYST	81,260.00	18,934	F	Full Time
22	PROGRAM ANALYST	77,735.88	18,112	F	Part Time
23	PROGRAM ANALYST	56,233.00	13,102	F	Full Time
24	PROGRAM ANALYST	58,679.00	13,672	F	Full Time
25	PROGRAM ANALYST	94,035.00	21,910	F	Full Time
26	PROGRAM ANALYST	79,077.00	18,425	F	Full Time
27	SUMMER INTERN	37,053.00	8,633	F	Part Time
28	FINANCIAL AUDITOR	60,757.00	14,156	F	Full Time
29	HUMAN RESOURCES SPECIALIST	48,756.00	11,360	F	Part Time
30	RECEPTIONIST/ADMIN. ASSISTANT	60,757.00	14,156	F	Full Time
PROGRAM: 1000 AGENCY MANAGEMENT PROGRAM					
31	SUPERVISORY IT SPECIALIST	112,010.88	26,099	F	Full Time
32	IT SPECIALIST	81,260.00	18,934	F	Full Time

ATTACHMENT C
Response to Question # 34
Office of the District of Columbia Auditor
Fiscal Year 2017 FOIA Report

Agency Name

**Annual Freedom of Information Act Report for Fiscal Year 2017
October 1, 2016 through September 30, 2017**

FOIA Officer Reporting _____

PROCESSING OF FOIA REQUESTS

1. Number of FOIA requests received during reporting period
2. Number of FOIA requests pending on October 1, 2016.....
3. Number of FOIA requests pending on September 30, 2017.....
4. The average number of days unfilled requests have been pending before each public body as of September 30, 2017

DISPOSITION OF FOIA REQUESTS

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

NUMBER OF REQUESTS THAT RELIED UPON EACH FOIA EXEMPTION
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11. Exemption 1 - D.C. Official Code § 2-534(a)(1).....
12. Exemption 2 - D.C. Official Code § 2-534(a)(2).....
13. Exemption 3 - D.C. Official Code § 2-534(a)(3)
 - Subcategory (A).....
 - Subcategory (B).....
 - Subcategory (C)
 - Subcategory (D)
 - Subcategory (E)
 - Subcategory (F)
14. Exemption 4 - D.C. Official Code § 2-534(a)(4)
15. Exemption 5 - D.C. Official Code § 2-534(a)(5).....

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

TIME-FRAMES FOR PROCESSING FOIA REQUESTS

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

RESOURCES ALLOCATED TO PROCESSING FOIA REQUESTS

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

FEEES FOR PROCESSING FOIA REQUESTS

- 29. Total amount of fees collected by public body.....

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

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 D
Response to Question # 36
Office of the District of Columbia Auditor
FY 2017 Performance Plan
and FY 2018 Performance Targets

Office of the District of Columbia Auditor

Fiscal Year (FY) 2017 Performance Report

The Office of the District of Columbia Auditor’s (ODCA) mission is to support the Council of the District of Columbia by making sound recommendations to improve the economy, efficiency, and accountability of the District government.

To evaluate how well we are meeting our mission, we use the following four Key Performance Indicators (KPIs). These metrics are designed to track our annual progress in meeting our goals to be responsive to the Council, craft implementable recommendations, conduct work that is valuable to our stakeholders, and complete work products in a timely fashion.

ODCA Key Performance Indicators (KPIs)	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Target
KPI #1: Number of times the Council has acted based on ODCA reports or other ODCA information	Not available	8	13	11
KPI #2: Percentage of recommendations implemented within one year*	14%	40%	Not available	55%
KPI #3: Percentage of surveyed auditees and stakeholders who responded that engagement was “very valuable” or “valuable”	Not available	91%	91%	92%
KPI #4: Percentage of engagements completed within 10 months	Not available	57%	53%	60%

* The data for FY 2016 is not available until the close of FY 2017.

We created KPI #1 to measure how effectively our work meets the needs of the Council and provides a basis for Council actions.

Key Efforts

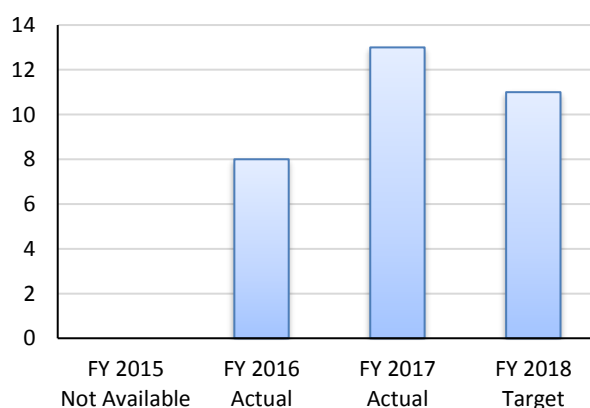
- ◆ Ensure there is a strong and steady flow of communication not just to Councilmembers but also to their staff.
- ◆ Track Council actions to record the impact and relevance of our work.
- ◆ Track contacts (meetings, phone calls, emails, etc.) with Councilmembers and their staff members on Council audit requests and audits conducted or being conducted by ODCA.

Definitions

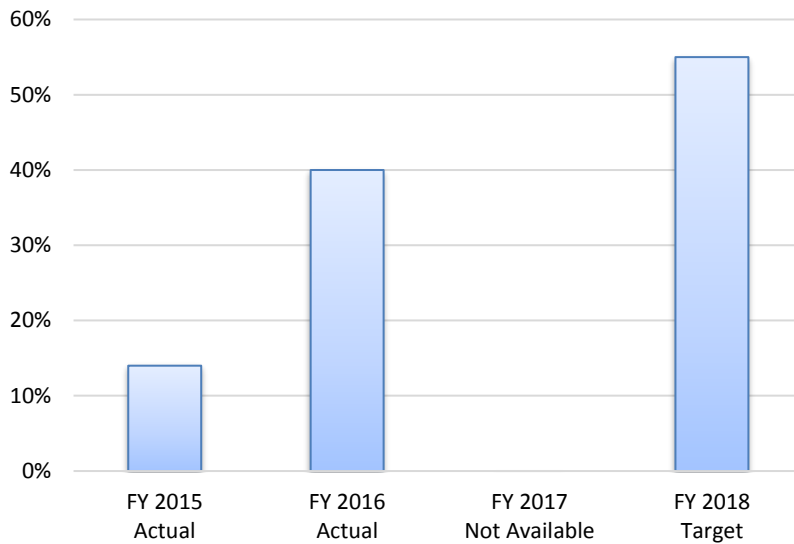
“Acted” refers to Council citing ODCA’s work in a hearing, roundtable, briefing, report, or press conference. It also includes issuing a letter, requesting information, or introducing or enacting a law or resolution in response to ODCA work.

“ODCA information” may include testimony, meetings, briefings, and letters, etc.

KPI #1: Number of times the Council acted based on ODCA reports or other ODCA information



KPI #2: Percentage of recommendations implemented within one year



We created KPI #2 to quantify the relevance and usefulness of our recommendations to agency management and the overall impact of our proposals.

Key Efforts

- ◆ Improve recommendation writing skills—focus recommendations on root causes.
- ◆ Engage more directly with agency management throughout audits and evaluations.
- ◆ Enhance efforts to uncover root causes for findings.
- ◆ Create opportunities for others, including members of the D.C. Council to advocate in support of our recommendations.

Definitions

Recommendations deemed “no longer applicable” are not counted.

A recommendation is deemed implemented if the auditee provides proof of implementation within 12 months of report issuance.

In FY 2013-FY2015, only “Yellow Book” audit recommendations were tracked, those contained in reports meeting requirements of Generally Accepted Government Auditing Standards. Beginning in FY 2016, recommendations made in program evaluation reports and other non-GAGAS audit work products have been will be tracked in this KPI.

We created KPI #3 to ascertain how valuable auditees and stakeholders find our work processes and products.

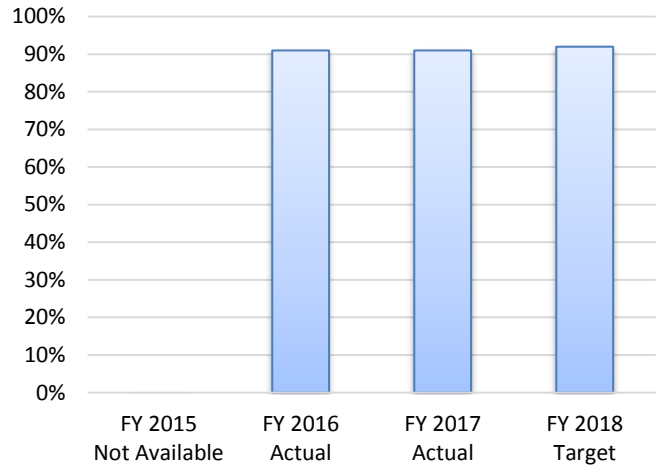
Key Efforts

- ◆ Select an independent staff member to promptly solicit feedback from auditees and stakeholders.
- ◆ Use the survey results in post-audit review meetings to identify areas for improvement or best practice.
- ◆ Create multiple channels of communication with our auditees and stakeholders.

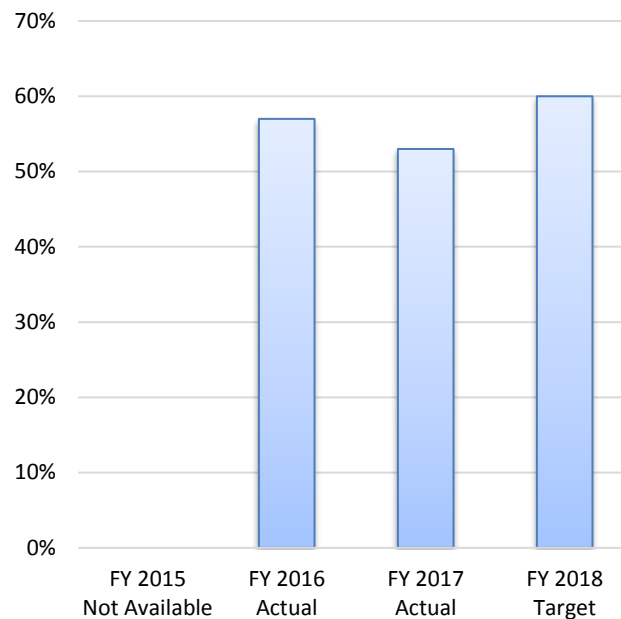
Definitions

“Stakeholders” are parties who had interest or involvement in the audit (e.g., other agencies who provided information, contractors, NGOs, Council staff, ANCs, and citizen groups, etc.).

KPI #3: Percentage of surveyed auditees/stakeholders who rated report was “very valuable” or “valuable”



KPI #4: Percentage of engagements completed within 10 months



We created KPI #4 to increase ODCA's productivity by measuring the ability of our office to produce timely work products.

Key Efforts

- ◆ Create appropriate and well-defined scope and objectives.
- ◆ Dedicate sufficient resources (staff members) to the engagement.
- ◆ Where issues of interest arise that are outside the engagement scope during the project, initiate a separate engagement if warranted, but avoid major revisions or expansions in scope.
- ◆ Ensure continued communication and engagement with the auditee throughout the audit so that the auditee is aware of findings and recommendations as issues arise during the audit.
- ◆ Maintain appropriately updated TeamMate file throughout the engagement (for example, records should be uploaded to TeamMate within two business days of receipt and be properly placed in a procedure step and include complete Source, Purpose, Conclusion annotation).
- ◆ Accurately estimate length of time to completion of engagement at initiation, including appropriate time for internal reviews, creating graphs, etc.
- ◆ Enhance individual staff productivity, improve use of time and improve supervision.

Definitions

Start Date refers to the date that appears on the engagement letter to the auditee. In the case that there is no engagement letter, the start date is the date that appears on an internal workpaper completed at the initiation of the project.

End Date refers to the date of report issuance.

NOTE: To calculate this KPI we counted reports that were issued in FY 2017.