

Please list and describe any ongoing **investigations**, audits, or reports on your agency or any employee of your agency, or any investigations, studies, audits, or reports on your agency or any employee of your agency that were completed during FY 2015 or FY 2016, to date.

INVESTIGATIONS

DC Water Department of Security

For FY 2015 and FY 2016 to date, the Department of Security investigated One Hundred Twenty Three (123) reported incidents including Twenty (20) reported incidents of Workplace Violence.

Office of Labor Relations and Compliance Branch

For FY 2015 and FY 2016 to date, the Office of Labor Relations and Compliance Branch conducted 10 personnel investigations. One of the allegations have been substantiated with appropriate remediation taken by DC Water, and nine allegations were not substantiated.

Internal Audit Investigations Resulting From Fraud, Waste and Abuse Hotline Allegations:

In Fiscal Year 2015, Internal Audit investigated a total of 16 allegations that were received through DC Water's Fraud, Waste and Abuse Hotline. Of the 16 claims, 7 were claims of fraud and 9 cases were classified as "other", which includes hostile work environment claims and customer service related issues. Four allegations have been substantiated with appropriate remediation taken by DC Water, and 10 allegations were not substantiated. Two cases are still under investigation.

In Fiscal Year 2016 to-date (through January 31, 2016), Internal Audit investigated a total of seven allegations that were received through DC Water's Fraud, Waste and Abuse Hotline. Of the seven claims, one claim was substantiated. Six cases are still under investigation.

EXTERNAL AUDITS

Fiscal year 2015 External Audit Conducted by DC Water's External Auditor, KPMG

External audit covered DC Water's financial statements. The audit was completed and an unmodified opinion was expressed with respect to DC Water's financial statements.

Fiscal year 2015 A-133 Audit (Audit of Grants) Conducted by DC Water's External Auditor, KPMG

External audit of grants is well underway with expected opinion date of February 24th. An unmodified opinion is expected with respect to grants at this date.

Audits completed during FY 2015

Clean Rivers Project

DC Water commenced an independent audit of Clean Rivers' Program Consultant Organizations (PCOs), utilizing the DCW DETS Independent Auditor Service Contract in FY2015. The Final Findings of the Audit of the below two PCO Agreements including the Prime Consultants and each of their 4 largest Sub-consultants is expected shortly in FY2016:

1. DCFA #420-WSA Program Management for Long Term Control Plan: Prime and Sub-consultant Billing and Overhead Verification.
2. DCFA #421-WSA General Consultant for Tunnels and Geotechnical Engineering for Long Term Control Plan: Prime and Sub-consultant Billing and Overhead Verification.

Additionally in FY2016, DC Water plans to commence a pre-award audit for the selectee on the below Green Infrastructure (GI) Consultant Construction Management (CCM) Agreement:

3. DCFA #478-WSA Construction Management Services Divisions RC-A, PR-A1 and PR-A2: Prime and Sub-consultant Overhead Verification (pending award).

DC Water Department of Water Services

In March 2014, EPA Region 3 conducted a Sanitary Survey on the DC Water Drinking Water system. The Sanitary Survey Final Report was submitted from EPA to DC Water on February 9, 2016. The Report identified: 3 ongoing and 2 new significant deficiencies; 2 ongoing and 3 new deficiencies; and 3 ongoing and 10 new recommendations. DC Water will address these issues either through maintenance operations or its CIP.

Reports

U.S. EPA Region III and DOEE FY 2015 Blue Plains NPDES Inspection

In August 2015, the District of Columbia's Department of Energy and Environment (DOEE) completed the annual NPDES Compliance Inspections of Wastewater Treatment (Blue Plains) and Combined Sewer Systems (CSOs) Operations and Maintenance on behalf of EPA Region III. The report on the inspections has not been received yet. The primary purpose of the annual compliance inspection is to determine the accuracy and reliability of the Authority's self-monitoring and reporting programs that are in accordance with the requirements included in NPDES permit number DC0021199. At the closing of the inspection, the DOEE inspectors expressed their satisfaction of the plant O&M status and no major issues were brought to DC Water's attention. They will directly report their findings to EPA Region III.

INTERNAL AUDITS

Internal Audits Conducted during Fiscal Year 2015 and Fiscal Year 2016 to-date (through January 31, 2016):

Project	Report Issue Date
Intellectual Property Program Assessment	January 8, 2015
Information Technology Policy and Procedure Review	January 21, 2015
Timekeeping Internal Audit	April 8, 2015
Network Security Assessment	April 29, 2015
Procurement – Pre-Award, Selection and Award	May 18, 2015
Engineering – Contractor Management	July 9, 2015
SCADA and PCS Security Review	September 10, 2015
Retail Rates Pre-Implementation	October 15, 2015

Note: Audits were conducted by outsourced internal audit service provider RSM US LLP (previously known as McGladrey, LLP).

On-Going Internal Audits

FY 2015; IT Vendor Management; RSM US LLP

Our overall audit objectives were to evaluate and test the effectiveness of controls relative to IT Vendor Management and to determine whether a documented process is in place and operating effectively.

FY 2016; Overtime Audit and Analysis

Our overall audit objectives were to evaluate and test the effectiveness of controls relative to Overtime policies and to determine whether a documented process is in place and operating effectively:

FY 2016; Rolling Owner Controlled Insurance Program (ROCIP)

Our overall audit objectives were to evaluate and validate the program savings reported by the program's Third Party Administrator, as well as understand and evaluate the controls around monitoring contractor and subcontractor safety compliance and incident reporting.

Chief Compliance Officer Audits

Regulatory compliance audits were performed for Fleet Department, Department of Occupational Safety and Health, Department of Human Capital Management, Department of Engineering and Technical Services, External Affairs, Finance & Budget, Long Term Control Plan, and Rick Management. Required compliance reports were submitted timely, and no outstanding compliance items were identified.