



February 19, 2019

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 31, 2019, requesting information in preparation for the Committee of the Whole's February 25, 2019, 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.

Thank you.

Sincerely yours,

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

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 February 1, 2019. 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 as of February 1 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 2018, 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 2018 Employee salary \$125,000 or more

Item #	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Kathleen Patterson	Auditor	185,654	None	None
2	Lawrence Perry	Deputy Auditor	158,241	None	None
3	Laura Hopman	Assistant Deputy Auditor	147,518	None	None
4	Amy Bellanca	General Counsel	150,706	None	None
5	Stacie Pittell	Chief of Staff	142,055	None	None
6	Jason Juffras	Director of Program Evaluation	136,591	None	\$1,000
7	Lilai Gebreselassie	Supervisory Auditor	133,147	None	None
8	Julie Ann Lebowitz	Supervisory Auditor	129,621	None	None
9	Toya L. Harris	Supervisory Auditor	127,807	None	None
10	Hussein Aden	Senior Financial Auditor	127,810	None	None

(b) For fiscal year 2019, 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 2019 Employee salary of \$125,000 or more

Item #	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Kathleen Patterson	Auditor	\$189,367	None	None
2	Julie Ann Lebowitz	Deputy Auditor	\$163,200	None	None
3	Lawrence Perry	Assistant Deputy Auditor	\$161,406	None	None
4	Laura Hopman	Assistant Deputy Auditor	\$150,468	None	None
5	Amy Bellanca	General Counsel	\$153,720	None	None
6	Stacie Pittell	Chief of Staff	\$144,896	None	None
7	Lilai Gebreselassie	Supervisory Auditor	\$135,811	None	None
8	Toya L. Harris	Supervisory Auditor	\$130,364	None	None
9	Hussein Aden	Senior Financial Auditor	\$130,366	None	None

- Please list, in descending order, the top 15 overtime earners in your agency for fiscal year 2018. 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 FY 2018.

- For fiscal years 2018 and 2019 (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:

Fiscal Year 2018 Bonuses

Name	Amount	Reason for the Bonus
Ingrid Drake	\$1,000	Received "Role Model" rating on annual evaluation
Jason Juffras	\$1,000	Received "Role Model" rating on annual evaluation
Jennay Kingsbury	\$1,000	Received "Role Model" rating on annual evaluation
Fredericka E. Shaw	\$1,000	Received "Role Model" rating on annual evaluation

Performance bonuses based on performance evaluations for 2018 were pending on January 31, 2019.

7. For fiscal years 2018 and 2019 (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:

Employees Separated From ODCA

Name	Amount of Severance	Number of Weeks	Reason for Separation
Jason Pringle	\$8,616	4	MSS

8. For fiscal years 2018 and 2019 (through January 31), please state the total number of employees receiving worker's compensation payments.

Response: None.

9. Please provide the name of each employee who was or is on administrative leave in fiscal years 2018 and 2019 (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, 2019).

Name	Position	Reason	Date	Paid/Unpaid	Inactive?
Benjamin Moser	Program Analyst	Severance	8/31/18 through 9/14/18	80 paid hours	Yes
Jason Pringle	Supervisory IT Specialist	Severance	2/7/18 through 3/2/18*	136 paid hours	Yes

*Not including holiday 2/19/18

10. For fiscal years 2018 and 2019 (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:

Fiscal Year 2018 and 2019 I-D Transfers

To	Date	Amount	Reason for the I-D Transfer
OCTO	3/01/2018	\$7,915.77	To fund FY18 MOU-Microsoft Office 365 Enterprise
OCTO	11/29/2018	\$7,915.77	To fund FY19 MOU-Microsoft Office 365 Enterprise
OCTO	03/07/2018	\$12,654.12	RTS funding to purchase DCNET Switch equipment

11. Please list, in chronological order, every reprogramming of funds into or out of the agency for fiscal years 2018 and 2019 (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: There were no reprogramming of funds into or out of ODCA during fiscal years 2018 or 2019 (through January 31).

12. Please list, in chronological order, every reprogramming within your agency during fiscal year 2019 to date. Include known, anticipated intra-agency reprogrammings. For each, give the date, amount, and rationale.

Response: There was no reprogramming of funds within ODCA during fiscal year 2019 (to date).

13. For fiscal years 2018 and 2019 (through January 31), please identify each special purpose revenue fund 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 2017, 2018, and 2019 (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 no special revenue fund during FY 2018 and 2019.

14. Please provide a table showing your agency Council-approved original budget, revised budget (after reprogrammings, etc.) for fiscal years 2017, 2018, and the first quarter of 2019. In addition, please explain the variances between fiscal year appropriations and actual expenditures for fiscal years 2017 and 2018.

Response:

Fiscal Year 2017 Budget

Program	Original Budget	Revised Budget	Actual Spending	Variances	Variance Description
1000 – Agency Management	\$790,952	\$790,952	\$784,022	\$6,929	Variances due to salary lapse and underspending in contractual services
2000 – Audit, Financial Oversight & Investigations	\$4,411,033	\$4,364,815	\$3,887,116	\$477,699	
Agency Total	\$5,201,985	\$5,155,767	\$4,671,138		

Fiscal Year 2018 Budget

Program	Original Budget	Revised Budget	Actual Spending	Variances	Variance Description
1000 – Agency Management	\$809,923	\$809,923	\$751,489	\$58,434	Mainly due to salary lapse
2000 – Audit Financial Oversight & Investigations	\$5,050,490	\$5,144,589	\$5,063,795.28	\$80,794	
Agency Total	\$5,860,413	\$5,954,512	\$5,815,284		

First Quarter Fiscal Year 2019 Budget

Program	Original Budget	Revised Budget
1000 – Agency Management	\$883,170	\$883,170
2000 – Audit, Financial Oversight & Investigations	\$5,345,612	\$5,345,612
Agency Total	\$6,228,782	\$6,228,782

As of 1st quarter

15. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2018 and 2019 (through January 31). For each, describe its purpose, indicate the date entered, and provide the actual or anticipated termination date.

Response:

FY 2018 MOUs

ODCA has an agreement with the Office of the State Superintendent of Education regarding educational data access and use. There is no transfer of funds associated with this agreement.

Date entered: February 2, 2018

Expiration date: April 30, 2019

ODCA signed an agreement pertaining to our access to and use of information from the Domestic Violence Fatality Review Board. Again, there is no transfer of funds associated with this agreement.

Date entered: February 20, 2018

Expiration date: Not specified (conclusion of audit)

MOU# TO0AC0-2018-0990 an ODCA agreement with OCTO:

This MOU assesses ODCA for the cost of the Microsoft Office 365 Enterprise step-up licenses for total of 6 E1 and 33 E31 licenses. OCTO will enter into and maintain a contract with Microsoft or certified Microsoft seller under which Microsoft Office 365 Enterprise cloud-based subscription plan services will be provided to each employee, contractor, or other agency-designated person of ODCA.

Date MOU Signed: February 2, 2018.

Expiration Date: September 30, 2018.

FY 2019 MOUs

MOU# TO0AC0-2019-01128 an ODCA agreement with OCTO:

This MOU assesses ODCA for the cost of the Microsoft Office 365 Enterprise licenses (six E1 and 33 E31 licenses). OCTO will enter into and maintain a contract with Microsoft or certified Microsoft seller under which Microsoft Office 365 Enterprise cloud-based subscription plan services will be provided to each employee, contractor, or other agency-designated person of ODCA.

Date MOU Signed: November 16, 2018.

Expiration Date: September 30, 2019.

In addition, and consistent with #10 above, we had an unsigned agreement in place with OCTO for work undertaken to upgrade and replace our connection with DC-NET, equipment that had been allowed to reach the end of its supported life without action taken by DC-NET until we called this to the attention of OCTO. We purchased equipment and arranged for OCTO to install the updated equipment. Expenditures for this project from the ODCA budget

were made across FYs 2017 and 2018. There was no formal MOU based on current procedures through which purchase of IT services are handled electronically.

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 2017 and 2018.

Response: There were no such submissions in either fiscal year.

17. Please list all currently open capital projects for your agency (as of January 31st) 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 2018 or 2019 (through January 31).

Response: There were no investigations or audits of ODCA or any employee of ODCA completed during fiscal years 2018 or 2019 (through January 31).

In calendar 2017 and 2018 we conducted an in-house quality review of ODCA work, which we do two years out of three as part of retaining the office’s professional standing. Our process includes staff members reviewing a sample of audit reports completed in the previous year, completing a written critique, and sharing that report with leadership and staff. Every third year we undertake a peer review and in the last two cycles the Association of Local Government Auditors—one of several professional organizations in which ODCA participates—conducted our peer review. In the last such review in 2016 we received the highest rating in the final report. This year we are arranging for a peer review by the National Legislative Program Evaluation Society, which is affiliated with the National Conference of State Legislatures. Their process will be similar but may provide additional information since it will be conducted by representatives from other legislative audit offices.

In addition to our quality control and peer review efforts, over the last two years one of our senior auditors was trained in Enterprise Risk Management. In 2018 he led the staff in developing an ERM process for ODCA. We completed and approved our first ODCA Risk Register including risk treatments and continue to work on mitigation strategies. The steps in this process included a risk brainstorm session, voting on and ranking the risks we identified, discussions among staff committees and among senior management on the risk treatments, and a follow up discussion at an all-staff meeting. We also include the risk discussion as part of our annual performance review which provides an opportunity to update the Risk Register. Because of the in-house expertise developed through the ODCA ERM, we are also prepared to work with other agencies on risk assessments and mitigation plans.

(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 or audits pertaining to ODCA or any ODCA employee. Please see above for reference to the external peer review planned for this year.

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 2017, 2018, and 2019 (through January 31). Give a brief description of each grievance, and the outcome as of January 31, 2019. 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 2017, 2018, or 2019 (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 promotes equal employment opportunities free from discriminatory practices. We have adopted procedures for investigating allegations of sexual harassment from the Office of Human Rights (OHR) with recommendations from the DC Department of Human Resources DCHR).

To initiate a sexual harassment claim, an individual may file an administrative complaint with:

- Equal Employment Opportunity Commission
- OHR within one year of the incident or discovery of the incident; and/or
- the agency's Sexual Harassment Officer (SHO), the D.C. Auditor or the Deputy Auditor.

When the complaint is reported to the agency, the designated recipient of the complaint will work with the agency's General Counsel to decide the level of investigation including a

determination whether immediate action such as separation of the harasser and complainant is needed while conducting the investigation. An investigation plan will guide the remaining process of investigating a complaint and is contingent upon the information submitted in the complaint.

(b) List and describe each allegation received by the agency in FY18 and FY19, 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 FY18 or FY19, to date.

22. In table format, please list the following for fiscal years 2018 and 2019 (through January 31, 2019) 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 2018 PCard Use

Cardholder/Authorized Name & Title	Single Purchase Limit	Total FY 18 Spending
Cathy Patten Receptionist/Administrative Assistant	\$5,000	78,008.92

Note: Monthly Cycle Limit is \$20,000

Fiscal Year 2019 PCard Use, as of January 31, 2019

Cardholder/Authorized Name & Title	Single Purchase Limit	Total FY 19 as of 1/31/19 Spending
Cathy Patten Receptionist/Admin. Assistant	\$5,000	\$20,390.33

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 2018 and 2019 (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 2018 Procurement over \$10,000**

Contractor/Vendor	Purpose	Contract Amount
ABC Technical Solutions	IT equipment (Infocus Mondopad) wall mount and accessories	\$12,263
ABC Technical Solutions	IT equipment: Laptops, laptop docks	\$33,408
Belden Russonello Strategists LLC	To conduct survey opinion research among parents of school-age children in the District of Columbia.	\$85,400
Charles Babcock	Journalist -in-residence (extension for the remaining unspent amount from FY 2017)	up to \$17,575
Centric De Lage Landen Financial Services	Copier lease	up to \$27,600
Cooperative Strategies	Research and report on D.C. public school enrollment including briefing for members of the D.C. Council	\$507,000
Council for Court Excellence	Review of how effectively D.C. Department of Behavioral Health interfaces with the D.C. criminal justice system	\$74,500
George Washington's Education Consortium of Research and Evaluation (Ed Core)	Research and report on options for implementing Personalized Learning Plans	\$130,000
HussIncite International	ODCA staff training	\$27,621
Management Concepts Inc	Training for audit interviews.	\$12,042
Nancy Augustine	Review and assessment of DCRA through a case study	up to \$32,000
Nancy Augustine	Conduct review and evaluation of contracts and grants for workforce development and youth program at the Department of Employment Services	\$20,000
Reed Smith	Legal services	up to \$100,000
Top Shelf Design LLC	Build new ODCA website.	\$24,000
Untold Research	DCPS Graduation Review Report to investigate the underlying reasons principals chose to encourage teachers to pass failing students.	\$23,000
Wolters Kluwer Financial	TeamMate Audit Systems	\$99,851

Contractor/Vendor	Purpose	Contract Amount
717 14 th Street LLC	9 th floor renovation: New carpet, paint and millwork	up to \$85,077

Fiscal Year 2019 Procurement over \$10,000

Contractor/Vendor	Purpose	Contract Amount
Centric De Lage Landen Financial Services	Copier lease	up to \$28,800
Council for Court Excellence	Review of how effectively D.C. Department of Behavioral Health, Department of Corrections, and to a limited extent the Dept. Of Health Care Finance and Dept. Of Health, interact to provide Substance Use Disorder services to D.C.'s justice-involved population.	up to \$114,500
Nancy Augustine	Continuation of FY 2018 DOES work to review and evaluate contracts for workforce development and youth program at the Department of Employment Services (DOES)	up to \$40,000
Reed Smith	Legal services	up to \$30,000

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 2018 or 2019 (to date).

(b) In table format and as an attachment, please provide the following information for fiscal years 2018 and 2019 (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 2018 or 2019 (to date).

25. (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2018 and 2019 (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 2018 or 2019 (through January 31).

(b) Please list all vehicle accidents involving your agency's vehicles for fiscal years 2017, 2018, and 2019 (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 2017, 2018, or 2019 (through January 31).

26. Please list every lawsuit against the agency that was settled or decided by a trial court in FY 2018 and FY 2019 to date. Briefly describe each and the sanction, if any.

Response: There were no lawsuits against ODCA settled or decided by a trial court in FY 2018 and FY 2019 to date.

27. D.C. Law requires the Mayor to pay certain settlements and judgements 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: There were no settlements or judgments during the past two years.

28. (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 chauffeur or take-home status.

Response: There are no exceptions.

29. In table format, please provide the following information for fiscal years 2018 and 2019 (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 2018 Employee Travel

Name	Total Expenses	Travel Justification
Candace McCrae Program Analyst	\$ 1,234.09	To attend FY 2018 National Legislative Program Evaluation Society conference
Vilma C. Castro Auditor	\$ 1,329.67	To attend FY 2018 National Legislative Program Evaluation Society conference
Laura Hopman Assistant Deputy Auditor	\$1,324.32	To attend ALGA Conference
Fredericka E. Shaw Program Analyst	\$1,169.68	To attend ALGA Conference

There are no employee travel expenditures for FY 2019 to date.

30. Please provide and itemize, as of January 31, 2019, 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: As of January 31, 2019, ODCA has one (1) term employee as follows:

Name	Position Title	Length of Term/Contract	Start Date	Term/Contract Expiration
Erin Roth (Term)	Education Program Specialist	13 months	9/17/2018	NTE 10/18/2019

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

Response: Our major effort over the last year to increase transparency was the creation and launch of a new website at www.dcauditor.org. We designed a site to improve accessibility to our reports and other products including testimony and correspondence, as well as other information like job and procurement opportunities. We also launched a new blog, titled Auditude, to share information from our reports in a readily accessible and readable format. Our

communications director has also ramped up our use of Twitter to share our reports and other work.

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

Response: We will continue to develop our website and use of social media. This will include podcasts based on our reports. We will also continue to welcome invitations to the D.C. Auditor to participate in community meetings where our work can be shared, and we can hear thoughts and suggestions from the District of Columbia community on work we might undertake.

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

Response: While ODCA has sufficient resources to implement our legislative requirements, we continue to be concerned about Council legislation that proposes or mandates additional statutory audits without consultation with the Auditor. This can undermine our ability to effectively manage resources. This occurred most recently in the legislation on sports wagering in which the Council included a provision requiring that ODCA study the performance of such wagering within 24 months of the title's effective date, and then enacted an emergency version of the legislation. We continue to request a Council rule that requires consultation prior to such action.

34. Please identify any statutory or regulatory impediments to your agency's operations.

Response: We have not had any statutory or regulatory impediments to agency operations, but there have been impediments nonetheless. We were not able to complete an annual report on Advisory Neighborhood Commissions because of lack of information readily available from the Office of Advisory Neighborhood Commissions, as described in correspondence with the Chairman.

In addition, we have continuing concerns about the possibility of litigation from the Executive on our exercise of our responsibilities with regard to access to budget documents. This issue arose on a current audit of conditions of confinement at the D.C. Jail and we were prompted to avail ourselves of the services of outside counsel. We will keep the Council apprised of what is an ongoing disagreement with the Executive Office of the Mayor on our statutory right of access to documents.

35. Did your agency receive any FOIA requests in fiscal year 2018? 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. Also state here the total cost incurred by your agency for fiscal years 2018 and 2018 as stated in the reports.

Response: Yes, ODCA received 2 FOIA requests in FY 2018 and filed the required annual report with the Secretary (See Attachment C). The total cost for responding to FOIA requests in FY 2018 was \$74.

36. 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 2017, 2018 and 2019 (through January 31).

Response:

Adjusted Expendable Budget	Current SBE Expenditures	SBE % over Expendable	SBE Expenditures as a % of SBE Goal	CBE Expenditures	Waiver Requested	Effort to Reduce Waiver
\$159,741	\$4,121.96	3%	5.16%	5.16%	0	

Agency spending goals for FY 2017, 2018, & 2019

Fiscal Year	SBE Spending Goal
2017	\$39,371
2018	\$32,042
2019	\$79,870

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) 2017, 2018, and 2019 (through the first quarter).

ODCA Key Performance Indicators (KPIs)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual
KPI #1: Number of times the Council has acted based on ODCA reports or other ODCA information	8	13	12
KPI #2: Percentage of recommendations implemented within one year 40%	41%	30%	Not available*
KPI #3 Percentage of surveyed auditees and stakeholders who responded that engagement was "very valuable" or "valuable"	91%	91%	NA

ODCA Key Performance Indicators (KPIs)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual
KPI #4: Percentage of engagements completed within 10 months	57%	53%	54%

***The data for FY 2018 is not available until the close of 2019.**

(b) What KPIs have been dropped (or changed) since 2015? List each specifically and explain why it was dropped or changed.

Response: The Key Performance Indicators included in our performance report and performance plan were developed in 2015. We are dropping one of the four KPIs this year—the results of surveys of auditees—and are dropping this because we received so few responses that the metrics were simply not useful. We are researching other ways in which audit offices measure the response of auditees and/or other audiences to audit reports and we anticipate developing another KPI to better assess how others view our work.

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 years 2018 and 2019.

Response:

- 1. Support the Council's effort to create an education Research-Practice Partnership through managing a contract audit of education data and facilitating other elements of Bill 22-776, the *District of Columbia Education research Practice Partnership Establishment and Audit Act of 2018*.**

We hired an education research director on a 1-year engagement, and she is managing a contract audit with Data Ethics LLC to assess the District's current education data governance, management, use, and accuracy; compare these results with best practices in other jurisdictions; and propose ways in which the District can improve data governance, use, accuracy and management. Such an audit was recommended by the National Academy of Sciences in its 2015 research report on D.C. public education and was also called for in the original and final versions of the RPP legislation as a first and necessary step to support such a partnership.

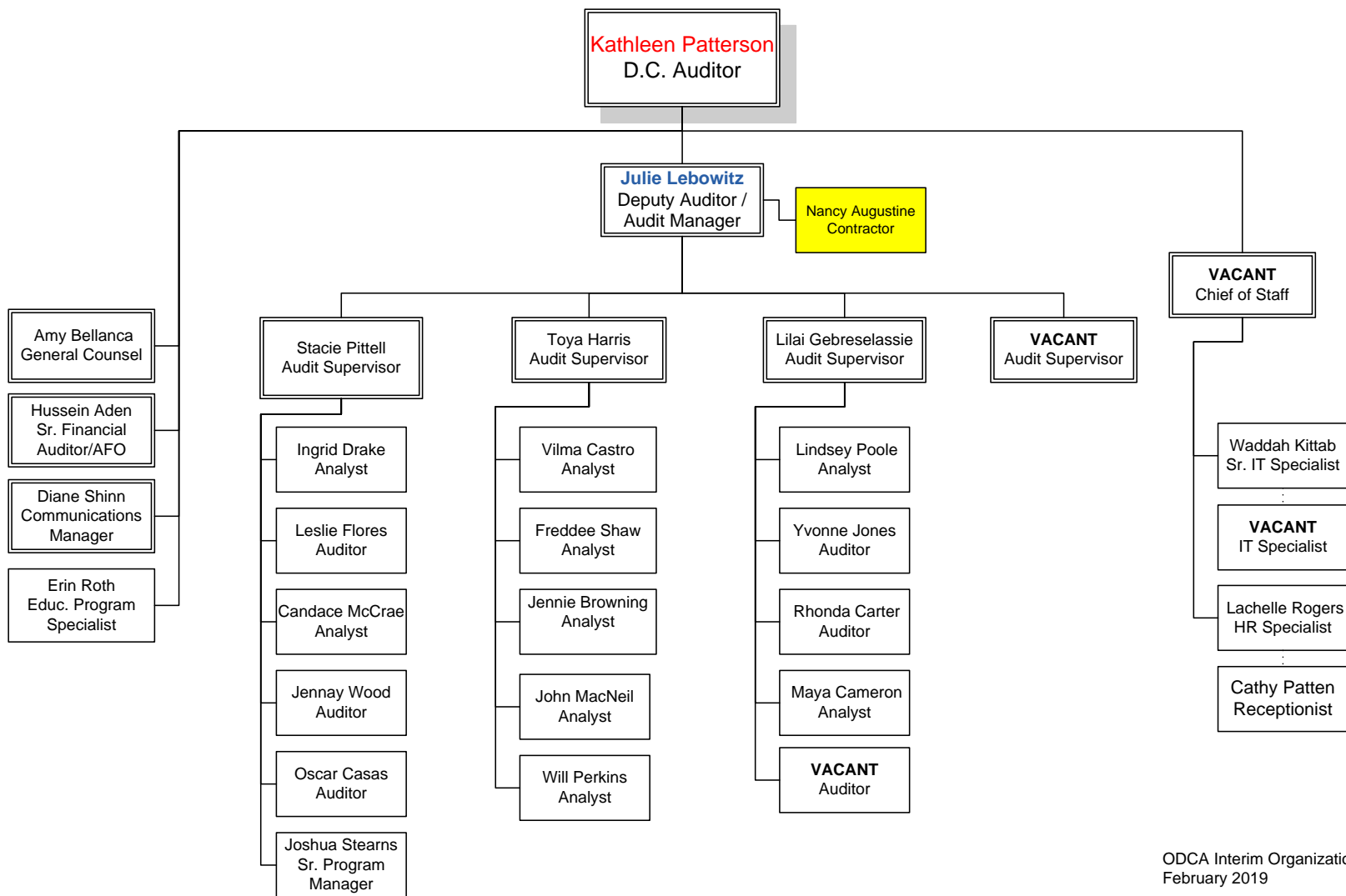
- 2. Encourage and provide background research for discussion among the District's policymakers about long-term improvements in the District's governance,** including around the need for a framework for agency operational controls (see our report, White Paper,) and around the need to articulate how the District's budget should be structured in advance of the implementation of a new enterprise financial system (see MAR/PBB). Steps we will take will include seeking opportunities to provide testimony in public hearings and presentations at community meetings and use of the ODCA website and social media to foster debate. We will prepare and offer training to Council staff on internal controls and performance-based budgeting and how innovative approaches can inform and improve Council oversight and legislation.

3. Complete an audit of Special Purpose Revenue Funds (SPRFs) and seek opportunities to work with the Council to address recommendations included in the report. Prompted by other audits including a report on energy funds and actions to “sweep” dollars from the funds and a report highlighting how funds collected for IT improvements have been used for other purposes, we initiated a comprehensive review of SPRFs which we expect to publish this spring. We will be recommending more consistency and discipline in use of the funds – both creating them and the practice of using funds for other than their intended purposes. This audit and resulting recommendations also contribute to #2 above in terms of general improvement to the operations of the District.

4. Improve the productivity of the Office of the D.C. Auditor. One of our Key Performance Indicators is the number of audits we complete in 10 months. This is part of an ongoing effort to improve our productivity including on those projects that have been requested by Councilmembers. Through a staff reorganization in fall of 2018 we have increased our emphasis on both teamwork and individual accountability including for our supervisors. Our performance testimony this year will provide a snapshot of the dollar costs of our audits based on a record-keeping module within our audit database, TeamMate. It is important that our work is timely and we will continue to develop strategies to produce the highest quality work while attempting to produce that work in the shortest possible amount of time.

5. Complete and publish a legislative audit on the Clean and Affordable Energy Act of 2008, a comprehensive overview of this historic legislation and whether and how its requirements have been implemented. To the extent we are able to do so, we will assess whether the law’s goal of reducing the District’s contribution to climate change has been met and will also identify any changes to the program’s structure or implementation that could make it more effective. We view this project as part of the District of Columbia’s overall leadership on the seeking to address climate change. The topic is critically important and at the same time legislative audits generally offer the possibility of improving the legislature’s approach to its work by affirming what has been done well and providing constructive criticism where legislative approaches could be improved.

Attachment A
Response to Question #1
Office of the District of Columbia
Organizational Chart
As of February 1, 2019



ODCA Interim Organizational Chart
February 2019

Attachment B
Response to Question #2
Office of the District of Columbia
Agency Position Listing/Schedule A
As of February 1, 2019

Office of the District of Columbia Auditor (AC0)
Agency Position Listing as of February 1, 2019

#	TITLE	POSITION STATUS Filled/Vacant	SALARY	FRINGE	Full/Part Time
PROGRAM: 2000 AUDIT, FINANCIAL OVERSIGHT, AND INVESTIGATION					
1	DC AUDITOR	F	189,367.49	40,903.38	Full Time
2	DEPUTY AUDITOR	F	163,200.00	35,251.20	Full Time
3	GENERAL COUNSEL	F	153,719.75	33,203.47	Full Time
4	CHIEF OF STAFF	F	144,895.60	31,297.45	Full Time
5	ASSISTANT DEPUTY AUDITOR	F	161,405.74	34,863.64	Full Time
6	ASSISTANT DEPUTY AUDITOR	V	139,462.00	30,123.79	Full Time
7	PGM ANALYSIS OFFICER	V	139,462.00	30,123.79	Full Time
8	SENIOR FINANCIAL AUDITOR	F	130,366.17	28,159.09	Full Time
9	SUPVY AUDITOR	F	135,811.00	29,335.18	Full Time
10	SUPVY AUDITOR	F	130,363.61	28,158.54	Full Time
11	SR. PROGRAM MANAGER	F	113,687.31	24,556.46	Full Time
12	COMMUNICATIONS SPECIALIST	F	116,754.00	25,218.86	Full Time
13	EDUCATION PROGRAM SPECIALIST	F	90,607.00	19,571.11	Full Time
14	AUDITOR	F	89,957.00	19,430.71	Full Time
15	AUDITOR	F	98,794.00	21,339.50	Full Time
16	AUDITOR	F	89,957.00	19,430.71	Full Time
17	AUDITOR	F	87,664.00	18,935.42	Full Time
18	AUDITOR	V	73,906.00	15,963.70	Full Time
19	AUDITOR	F	62,250.00	13,446.00	Full Time
20	PROGRAM ANALYST	F	104,252.00	22,518.43	Full Time
21	PROGRAM ANALYST	F	98,794.00	21,339.50	Full Time
22	PROGRAM ANALYST	F	92,250.00	19,926.00	Full Time
23	PROGRAM ANALYST	F	86,444.75	18,672.07	Part Time
24	PROGRAM ANALYST	F	83,078.00	17,944.85	Full Time
25	PROGRAM ANALYST	F	73,906.00	15,963.70	Full Time
26	PROGRAM ANALYST	F	73,906.00	15,963.70	Full Time
27	PROGRAM ANALYST	F	62,250.00	13,446.00	Full Time
28	HUMAN RESOURCES SPEC	F	56,001.60	12,096.35	Part Time
29	ADMINISTRATIVE ASSISTANT	F	65,487.00	14,145.19	Full Time
30	LEGAL ASSISTANT	F	21,096.00	4,556.74	Part Time
PROGRAM: 1000 AGENCY MANAGEMENT PROGRAM					
31	SENIOR IT SPECIALIST	F	98,794.00	21,339.50	Full Time
32	IT SPECIALIST	F	89,957.00	19,430.71	Full Time

Attachment C
Response to Question #35
Annual Freedom of Information Act Report
for Fiscal Year 2018 October 1, 2017,
through September 30, 2018

Agency Name

Annual Freedom of Information Act Report for Fiscal Year 2018
October 1, 2017 through September 30, 2018

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, 2017.....
3. Number of FOIA requests pending on September 30, 2018.....
4. The average number of days unfilled requests have been pending before each public body as of September 30, 2018

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

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
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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].”