

February 18, 2020

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 22, 2020, requesting information in preparation for the Committee of the Whole's February 27, 2020, 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,



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. 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, 2020. 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: None

4. (a) For fiscal year 2019, 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 any bonus pay.

Response: Fiscal Year 2019 Employee Salary \$125,000 or More

#	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Kathleen Patterson	D.C. Auditor	189,367	None	None
2	Julie Ann Lebowitz	Deputy Auditor	163,200	None	\$1,500
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	163,000	None	None
6	Hussein Aden	Senior Financial Auditor	140,000	None	None
7	Tori L. Fernandez-Whitney	Chief of Staff	142,600	None	None
8	Stacie Pittell	Supervisory Auditor	144,896	None	None
9	Lilai Gebreselassie	Supervisory Auditor	135,811	None	None
10	Wendy M. Stephens	Supervisory Auditor	136,000	None	None
11	Toya L. Harris	Supervisory Auditor	130,364	None	None
12	Diane Shinn	Communications Specialist	126,423	None	None

(b) For fiscal year 2020, 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 any bonus pay as of the date of your response.

Response: Fiscal Year 2020 Employee Salary \$125,000 or More

#	Name	Position Title	Salary	Overtime Paid	Bonus Paid
1	Kathleen Patterson	DC Auditor	195,049	None	None
2	Julie Ann Lebowitz	Deputy Auditor	168,096	None	None
3	Stacie Pittell	Assistant Deputy Auditor	154,500	None	None
4	Amy Bellanca	General Counsel	167,890	None	None
5	Tori L. Fernandez-Whitney	Chief of Staff	146,260	None	None
6	Hussein Aden	Senior Financial Auditor	144,200	None	None
7	Wendy M. Stephens	Supervisory Auditor	140,080	None	None
8	Toya M. Harris	Supervisory Auditor	134,275	None	None
9	Diane Shinn	Communications Specialist	130,366	None	None

5. Please list, in descending order, the top 15 overtime earners in your agency for fiscal year 2019. For each, state the employee's name, position or title, salary, and aggregate overtime pay.

Response: None

6. For fiscal years 2019 and 2020 (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 2019 Bonuses

Name	Amount	Reason for the Bonus
Julie Lebowitz	\$1,500.00	Based on 2018 performance
Lindsey Pool	\$1,500.00	Based on 2018 performance
Lachelle Rogers	\$1,500.00	Based on 2018 performance
Cathy Patten	\$1,000.00	Based on 2018 performance

NOTE: Performance bonuses based on performance evaluations for 2019 were pending on January 31, 2020.

7. For fiscal years 2019 and 2020 (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: None

8. For fiscal years 2018, 2019, and 2020 (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 2019 and 2020 (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, 2020).

Response: Employees on Administrative Leave in FYs 2019 and 2020 (through 1/31/20)

Name	Position	Reason	Date	Paid/ Unpaid	Status
Rhonda Carter	Senior Auditor	To obtain return-to-work documentation	7/1-2/2019	Paid	Inactive
Tori L. Fernandez-Whitney	Chief of Staff	Negotiated as part of exit package	11/25/2019 through 1/15/2020	Paid	Inactive
Candace McCrae	Program Analyst	to account for temporary assumption of additional duties	12/23/2019 through 1/3/2020	Paid	Active

NOTE: On December 24, 2019, ODCA employees were given four hours of paid administrative leave. This was consistent with the early dismissal announced by the Mayor which entitled other District employees to a half-day of leave as early dismissal leave.

10. For fiscal years 2019 and 2020 (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 2019 and 2020 I-D Transfers

To	Date	Amount	Reason for I-D Transfer
OCTO	11/29/2018	7,915.77	To fund FY19 MOU-Microsoft Office 365 Enterprise
OCTO	07/10/2019	130,573.46	Equipment & Services; ODCA's Network and Wireless upgrade 717 14th Street N.W.

11. Please list, in chronological order, every reprogramming of funds into or out of the agency for fiscal years 2019 and 2020 (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: **Fiscal Year 2019 and 2020 Reprogramming of Funds Into or Out of the Agency**

Date	Amount	Reprogrammed to	Rational/Reason	Bottom Line
4/19/2019	200,000	Council Budget Office (AB0)	To provide funding for Council Budget Office to assess DCPS self-operated food service	The two FY 2019 reprogrammings to the D.C. Council which totals 400,000 resulted in a revised FY 2019 budget of 5,828,782
9/25/2019	200,000	DC Council non lapsing IT Fund	Equipment & Services; ODCA's Network and Wireless upgrade 717 14th Street N.W.	

12. Please list, in chronological order, every reprogramming within your agency during fiscal year 2020 to date. Also, include both known and anticipated intra-agency reprogrammings. For each, give the date, amount, and rationale.

Response: There was no reprogramming of funds within ODCA during FY 2020 (to date).

13. For fiscal years 2019 and 2020 (as of February 10), 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 programs 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 2018, 2019, and 2020 (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 FYs 2018, 2019 and 2020.

14. Please provide a table showing your agency’s Council-approved original budget, revised budget (after reprogrammings, etc.) for fiscal years 2018, 2019, and the first quarter of 2020. In addition, please explain the variances between fiscal year appropriations and actual expenditures for FYs 2018 and 2019.

Response: Fiscal Year 2018 Budget

Agency	Original Budget	Revised Budget	Actual Spending	Variations	Variance Description
Office of the DC Auditor (AC0)	5,860,413	5,954,512	5,945,284	9,228	Variations due to salary lapse

Fiscal Year 2019 Budget

Agency	Original Budget	Revised Budget	Actual Spending	Variations	Variance Description
Office of the DC Auditor (AC0)	6,228,782	5,828,782	5,415,204	413,578	Mainly due to salary lapse

First Quarter Fiscal Year 2020 Budget*

Agency	Original Budget	Revised Budget*
Office of the DC Auditor (AC0)	5,552,499	5,552,499

15. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2019 and 2020 (through January 31). For each, describe its purpose, indicate the date entered, and provide the actual or anticipated termination date.

Response: ODCA has entered into several Memoranda of Agreement (MOAs) with the Executive to facilitate information sharing pertaining to federally protected and sensitive information. During FYs 2019 and 2020 (through Jan 31, 2020), the following MOAs were in effect.

- a.** Data Use Agreement among the Office of the Deputy Mayor for Health and Human Services, Department of Behavioral Health, Department of Corrections, Department of Health Care Finance, Metropolitan Police Department, Office of the Chief Medical Examiner, Office of the Chief Technology Officer, Office of the DC Auditor, and Council for Court Excellence.
Purpose: To facilitate data sharing regarding an audit of the District's system of substance use disorder services to justice-involved individuals conducted by the Council for Court Excellence for ODCA.
Date executed: June 2019
Termination date: Until final report publication (estimated for late Spring 2020)

- b.** Educational Data Access and Use Agreement among the Office of the State Superintendent of Education and the Office of the DC Auditor.
Purpose: To facilitate data sharing, particularly FERPA data, for ODCA’s school enrollment projections audit led (through a consortium of consultants, led by Cooperative Strategies.) School Enrollment Projections audit. The first report was and released in September 2018. A second report by the Johns Hopkins Center for Research and Reform in Education was released in January 2020.
Date executed: February 2019
Extension #1: October 2018 (through April 2019)
Extension #2: April 2019 (through June 2019)
Extension #3: June 2019 (through September 2019)
Extension #4: September 2019 (through Jan 15, 2020)
Extension #5: January 2020 (through April 15, 2020)
- c.** Educational Data Access and Use Agreement among Office of the Deputy Mayor for Education, DC Public Schools, Office of the State Superintendent of Education, DC Public Charter School Board, Office of the DC Auditor and Data Ethics, LLC.
Purpose: To facilitate data sharing, particularly FERPA data, to review and assess public education data management and data collection practices in DC pursuant to the *District of Columbia Education Research Practice Partnership Establishment and Audit Act of 2018*.
Date executed: June 2019. Original termination date: December 30, 2019
Extension: December 2019 (extends through March 30, 2020)

In addition to the three data sharing agreements, ODCA also had two MOUs for services from OCTO.

- d.** MOU between ODCA and OCTO
Purpose: for costs of the Microsoft Office 365 Enterprise E1 and E3 step-up license for six E1 and E3 licenses
Date executed: November 9, 2018
Termination date: September 30, 2019
Amount: \$7,915.77
- e.** MOU between OCTO and ODCA
Purpose: Equipment and services to support ODCA’s network and wireless upgrades
Date executed: July 10, 2019
Termination date: September 30, 2019
Amount: \$130,573.46

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, such as 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 2018, 2019, and 2020.

Response: There were no budget enhancement requests.

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: There are no 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 2019 or 2020 (through January 31).

Response: Generally accepted government auditing standards (GAGAS) require audit organizations performing audits in accordance with GAGAS to undergo an external peer review to determine whether an audit organization's quality control system is suitably designed, in place, and operating effectively. Peer reviews also provide assurance that ODCA conducts audits in accordance with our internal policies and procedures and government auditing standards, promulgated by the U.S. Government Accountability Office. ODCA engaged the National Conference of State Legislators to perform the triennial peer review for 2016 – 2019 in June 2019. ODCA "passed" the review (the highest rating). The peer review team had a favorable opinion of ODCA and its staff and were impressed with numerous aspects of our operation.

(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.

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 2018, 2019, and 2020 (through January 31). Give a brief description of each grievance, and the outcome as of January 31, 2020. Include on the chronological list any earlier grievance that is still pending in any judicial forum.

Response: ODCA was informed of a discrimination complaint by a former employee in December 2019. The case is in progress with the Office of Human Rights.

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

Response: ODCA takes allegations of sexual harassment very seriously. We have included language in our employee handbook about non-harassment and non-discrimination policies and directed employees to see information from our Sexual Harassment Officer and/or the Office of Human Rights. Additionally, ODCA has in draft form a more comprehensive policy statement and a tailored complaint form for use by our employees.

(b) If different, please describe the agency's procedures for investigating allegations of misconduct.

Response: No difference

(c) List and describe each allegation received by the agency in FY 2019 and FY 2020 (as of January 31) and the resolution of each as of the date of your answer.

Response: ODCA received no allegations of sexual harassment in FY19 or FY20 (as of January 31).

22. In table format, please list the following for fiscal years 2019 and 2020 (through January 31, 2020) 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 2019 PCard Use

Cardholder/Authorized Name & Title	Single Purchase Limit	Total FY 19 Spending
Cathy Patten Receptionist/Admin. Assistant	5,000	77,262.14

Note: Monthly Cycle Limit is \$20,000

Fiscal Year 2020 as of January 31, 2020 PCard Use

Cardholder/Authorized Name & Title	Single Purchase Limit	Total FY 20 as of 1/31/20 Spending
Cathy Patten Receptionist/Admin. Assistant	5,000	12,630.33
Lachelle S. Rogers Human Resource Specialist	5,000	

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 2019 and 2020 (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 2019 Procurement over \$10,000

Contractor/Vendor	Purpose	Contract Amount
Belden Russonello Strategists LLC	To conduct city-wide survey of DC residents to gauge their satisfaction with a range of city services	114,000
Centric De Lage Landen Financial Services	Copier Lease	28,490
Council for Court of Excellence	Review of how effectively DC Department of Behavioral, Department of Corrections, and to a limited extent the Dep. Of Health Care Finance and Dep. Of Health, interact to provide Substance Use Disorder services to DC's just-involved population.	112,870
Data Ethic LLC	Review of OSSE data: generate full inventory of all current data, asses data management systems and sources, highlight best practices, and analyses of the data itself	224,998
Disk Doctor Labs INC	Purchase IT Equipment such as Laptops	79,098
District Economics Group	To construct a revenue forecasting model for the District of Columbia in support of Auditor's revenue certification	75,000
Johns Hopkins University	To conduct quantitative study to My School DC Lottery data	50,000
Management Concept Inc	Training for key to Audit Success	10,835
Nancy Augustine	Review and a high-level assessment of DCRA	48,780
NCSL	To conduct External Peer Review	10,029
Reed Smith	Legal Services	43,062
Renee Y. Gray	Temp staff; to provide substantive admin work	15,249

Fiscal Year 2020 Procurement over \$10,000

Contractor/Vendor	Purpose	Contract Amount
Centric De Lage Landen Financial Services	Copier Lease	up to 29,329
Council for Court of Excellence	Review of how effectively DC Department of Behavioral, Department of Corrections, and to a limited extent the Dep. Of Health Care Finance and Dep. Of Health, interact to provide Substance Use Disorder services to DC's just-involved population. This is a follow-on to continue and complete FY 2019 agreement	up to 39,991
District Economics Group	This is a follow-on FY 2019 agreement, through which DEG developed a revenue forecasting model to assist ODCA in its statutory responsibilities to certify revenue in accordance with D.C. Code§ 1-206.03 {b}(1).	up to 85,000
Data Ethics LLC	Follow on agreement to continue and complete the scope work of FY 2019 contract # ODCA 2019-07 for review of OSSE and DCPS Data	up to 85,000
Incite International LLC	To facilitate staff retreat with the desired goal to engage staff in the development of a 3year strategic plan	16,022
RSM US LLP	To conduct a construction contract audit of the cost-based contract between DGS and Turner Construction Company to modernize Eliot Hine Middle School	up to 94,400
Renee Y. Gray	Temp staff; to provide substantive admin work	up to 15,000
Wolters Kluwer Financial	TeamMate Audit Systems	20,922

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

Response: None

(b) In table format if the answer is more than 20 lines, and as an attachment, please provide the following information for fiscal years 2019 and 2020 (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: None

25. (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2019 and 2020 (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.; and (6) what employee discipline resulted, if any.

Response: None

(b) Please list all vehicle accidents involving your agency's vehicles for fiscal years 2018, 2019, and 2020 (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: None

26. Please list every lawsuit against the agency that was settled or decided by a trial court in FY 2019 and FY 2020 to date. Briefly describe each and the sanction, if any.

Response: None

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: None

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: Yes

(b) Please explain all exceptions, if any, and provide the following: (1) type of vehicle (make, model, year); (2) individuals (name/position) authorized to use the vehicle; (3) jurisdictional residence of the individual (e.g., Bowie, Md.); and (4) justification for the chauffeur or take-home status.

Response: No exceptions

29. In table format, please provide the following information for fiscal years 2019 and 2020 (through January 31) regarding your agency's authorization of employee travel: (1) each trip outside the region on official business or agency expense; (2) individuals (by name and title/position) who traveled outside the region; (3) total expense for each trip (per person, per trip, etc.); (4) what agency or entity paid for the trips; and (5) justification for the travel (per person and trip).

Response: Fiscal Year 2019 Employee Travel

Name	Total Expenses	Agency Paid for the Trip	Travel Justification
Kathleen Patterson DC Auditor	\$ 1,596.20	ODCA	To attend FY 2019 ALGA conference in Kansas City, Mo.
Erin Roth Director of Education Research	\$ 1,125.85	ODCA	To attend 2019 Conference of Education Research Practice Partnership in Foxborough, Mass.
Ingrid N. Drake SR Program Analyst	\$ 1,244.91	ODCA	To attend FY 2019 ALGA conference in Kansas City, Mo.
Jennay M. Wood Auditor	\$ 1,316.71	ODCA	To attend Yellow Book CPE Audit Project seminar in Austin, Texas
Maya D. Cameron Program Analyst	\$ 1,343.35	ODCA	To attend Yellow Book CPE Audit Project seminar in Austin, Texas
John S. MacNeil Program Analyst	\$ 1,466.01	ODCA	To attend NCSL-NLPES 2019 Professional Development Seminar in Park City, Utah

Response: Fiscal Year 2020 Employee Travel

Name	Total Expenses	Agency Paid for the Trip	Travel Justification
Joshua Stearns Agency Risk Manager	\$ 900.20	ODCA	To attend FY 2020 IIA Facilitator Training in Lake Mary, Fla.

30. Please provide and itemize, as of January 31, 2020, 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: None

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

Response: ODCA transparency efforts continue to focus on use of social media – making our website more accessible and using Twitter to share information about our reports.

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

Response: We will continue to improve and increase our use of social media.

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

Response: Generally, ODCA has sufficient resources to implement our program, including statutorily required audits. Increasingly, however, ODCA has engaged in lengthy, time-consuming negotiations to receive data from the Executive, most notably education data. The federal law governing the privacy of student-level data, the Family Educational Rights and Privacy Act (FERPA) has a specific carve-out to allow state auditors access to this data which is consistent with District law entitling ODCA to all information held by District agencies. For the past few years, we have negotiated data-sharing agreements with education agencies to obtain the data covered by FERPA. In recent months the amount of time spent both negotiating these agreements and receiving the data has significantly expanded. There is a real opportunity cost to this in addition to direct financial outlays. We have expert services agreements with contractors that run significantly over time and over budget, meaning that projects we reasonably anticipated could start and end, and be budgeted for, in one fiscal year, but have had to be continued into another year costing us funds that would have otherwise been spent on new projects. We have hired outside counsel to advise ODCA on the relationship between our local statutory authority and the federal privacy law. ODCA will request additional funding in FY 2021 to account for these additional costs. ODCA also is currently drafting a bill to repeal a few statutorily mandated audits that are either outdated or have proven unnecessary in recent years. This will allow the office to focus on more timely matters and issues of importance to the Council.

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

Response: In recent weeks we have experienced a District government agency under audit using its own regulatory status in a manner that has hindered the ongoing audit. The Office of the State Superintendent of Education, with the tacit approval of the Deputy Mayor for Education, has withheld information requested as part of the education data audit mandated by the D.C. Council. In the interest of completing the audit this spring we have chosen to forego use of ODCA's subpoena authority to secure the information and will report the refusal to respond to a legitimate data request as a finding in the audit.

35. Did your agency receive any FOIA requests in fiscal year 2019? 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 each fiscal year 2018, 2019, and 2020 (as of January 31) related to FOIA.

Response: ODCA received one FOIA request in FY 2019, which was appropriately referred to the Office of Advisory Neighborhood Commissions. ODCA filed the required report of FOIA activities in FY 2019 (See **Attachment C**). Cost for FOIA activities: FY 2018, \$74; FY 2019, \$81; FY 2020 (through January 31), \$810.

36. For 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 2018, 2019 and 2020 (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
377,107	5,001	1.3%	2.7%	2.7%	0.00	

Agency Spending Goals for FYs 2018, 2019, 2020

Fiscal Year	SBE Spending Goal
2018	32,042
2019	9,944
2020	188,554

37. 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: See **Attachment D** but also please note that as ODCA is not a mayoral agency we do not participate in the Executive's performance planning process, including submissions to the OCA. We do comply with the Government Managers Accountability Act requirements, however, and produce our performance report and performance plan, reflected in the attachment.

38. (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) 2018, 2019, and 2020 (through the first quarter).

Response: ODCA KPIs

ODCA Key Performance Indicators (KPIs)	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Target
KPI 1: Number of times the Council has acted based on ODCA reports or other ODCA information	13	12	13	15
KPI 2: Percentage of recommendations implemented within one year	32%	42%	Not Available*	60%
KPI 3: Percentage of engagements completed within 10 months	53%	54%	59%	70%

* The data for FY 2019 is not available until the close of FY 2020.

(b) What KPIs have been dropped (or changed) since 2018? List each specifically and explain why it was dropped or changed.

Response: **None**

39. 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 2019 and 2020.

Response:

- Completion of the education data audit, including a robust set of recommendations on data governance, data standards and quality, and data collection and utilization to enhance the District’s capacity to promote continuous improvement in academic achievement in the District’s public schools.
- Through audits, participation in the District’s Expenditure Commission, and other strategies, contribute to the financial health of the District and the effective expenditure of District tax dollars.
- Research, select, and implement a new audit software platform, a major step for the agency made necessary by the aging of our current audit platform. We have a staff committee led by the Deputy Auditor taking the lead on this initiative.
- Strengthen ODCA’s working relationships with agencies in the Executive Branch to enhance the success of our audits through one-on-one interactions, closer coordination with staff of agencies under audit, and other strategies.
- Complete a three-year strategic plan for the agency to guide ODCA to and beyond the term of the current incumbent D.C. Auditor.