

FY2017 Performance Accountability Report

The Performance Accountability Report (PAR) measures each agency's performance for the fiscal year against the agency's performance plan and includes major accomplishments, updates on initiatives, and key performance indicators (KPIs).

Mission

The mission of the Inspector General (OIG) is to conduct independent audits, investigations, and inspections to detect and prevent fraud, waste, and mismanagement, to help the District of Columbia government improve its programs and operations by promoting economy, efficiency, and effectiveness.

Summary of Services

Initiate and conduct independent financial and performance audits, inspections, and investigations of District government operations serve as the principal liaison between the District government and the US Government Accountability Office. Conduct other special audits, assignments, and investigations. Audit procurement and contract administration on a continual basis. Forward to the appropriated authorities evidence of criminal wrongdoing that is discovered as the result of audits, inspections, or investigations conducted by the Office. Enter into a contract with an outside audit firm to perform the annual Comprehensive Annual Financial Report (CAFR) as well as chairing the CAFR oversight committee.

FY17 Top Accomplishments

Accomplishment	Impact on Agency	Impact on Residents
Development of Risk Based Data Model - In building on efforts of the Risk Assessment and Evaluation Committee established in FY 2016, the OIG developed a risk based data model to identify agencies, programs, and procurements most at risk for corruption, fraud, waste, abuse or mismanagement in order to proactively initiate audits, investigations, and inspections. The model uses measurable and repeatable processes to identify at-risk agencies and programs in the District.	Examples of the initial successes of the model were utilized in the OIG's comprehensive FY 2018 Audit and Inspection Plan, and in proactive engagements undertaken by the OIG.	Helps prevent and detect corruption, mismanagement, waste, fraud and abuse.
Implementation of Performance Assessment/Excellence Framework- During FY 2017, the OIG developed and rolled out its Organizational Performance Excellence (OPEX) framework. OPEX leverages the Baldrige Excellence Framework, and the OIG couples it with an organizational culture assessment to shepherd the agency through its transformational journey. Specifically, during FY 2017, the OIG provided its employees with an overview of the OPEX framework. Through a series of tasks, various OIG functions were asked to assess their key processes, conduct an organizational profile, and evaluate their individual performance using seven specific categories (leadership; strategy; customer; measurement, analysis, and knowledge management; workforce; operations; and results).	While the improvements are ongoing, the OIG has managed to increase understanding of its operating environment and enhanced decision-making capabilities.	Promotes economy, effectiveness and accountability within the OIG
Strengthened Partnerships with District Agencies- Throughout FY 2017, the OIG worked to strengthen synergies with other District agencies. The OIG conducted Agency meet-and-greets, provided public corruption lectures to agencies, and participated in various panels (e.g. the Board of Ethics and Government Accountability's Annual Ethics Symposium and the Mayor's Office of Legal Counsel monthly training events).	The cumulative result of this effort is a proactive engagement that results in increased OIG awareness and imparts knowledge of potential corruption, fraud, waste, abuse, and mismanagement scenarios that District employees and other stakeholders should be aware of and ultimately report to	Informs stakeholders about issues related to district programs and operations.

2017 Strategic Objectives

Objective Number	Strategic Objective
1	Proactively identify and reduce vulnerabilities that could lead to corruption, fraud, waste, abuse, and mismanagement
2	Integrate plans, processes, and resources to support organizational accountability.
3	Deliver actionable, relevant and timely products and services to customers and stakeholder that promote economic, efficient and effective government operations, deter misconduct and hold wrongdoers accountable.
4	Implement an information and knowledge management system that supports the OIG mission.
5	Create and maintain a highly efficient, transparent and responsive District government. **

2017 Key Performance Indicators

Measure	Freq	Target	Q1	Q2	Q3	Q4	FY 2017	KPI Status	Explanation
1 - Proactively identify and reduce vulnerabilities that could lead to corruption, fraud, waste, abuse, and mismanagement (3 Measures)									
Percentage of proactive analytical activities initiated by RAFP's Data Analysis Unit that resulted in an investigation, audit, or inspection	Quarterly	20	10	0	0	10	20	Met	
Percentage of contacts evaluated and appropriate course of action determined within 10 business days of receipt by RAFP Hotline Program	Quarterly	95	91	86	6	93	93	Nearly Met	Despite a 31% increase in the number of contacts to the OIG hotline from FY 2016 to FY 2017, the RAFP hotline program increased the percentage of contacts evaluated and appropriate course of action determined within 10 days by 6% over FY 2016.
Percentage of OIG recommendations selected and reviewed for follow-up	Quarterly	40	0	0	0	54	54	Met	
2 - Integrate plans, processes, and resources to support organizational accountability. (2 Measures)									

Percentage of local and federal funds expended and encumbered	Annually	80%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	95%	Met	
Percentage of FTEs familiar with the performance excellence framework	Quarterly	90	19	19	6	56	100	Met	
3 - Deliver actionable, relevant and timely products and services to customers and stakeholder that promote economic, efficient and effective government operations, deter misconduct and hold wrongdoers accountable. (7 Measures)									
Percentage of strategic engagements accomplished	Quarterly	75	75	75	0	100	100	Met	
Potential monetary benefits resulting from audits and inspections (in millions)	Quarterly	\$5000000	\$19000	\$1410000	\$0	\$10071000	\$11500000	Met	
Percentage of draft audit reports issued for comment within OIG-defined timeframes	Quarterly	50	0	0	0	15	15	Unmet	The OIG strives to issue draft reports to Agencies 210 business days after announcing the engagement. During the performance period, several engagements completed in FY 2017 were started in previous fiscal years. The OIG focused its efforts in FY 2017 to complete these legacy engagements. Looking to the FY 2018 performance period, the OIG will be able to complete ongoing and new engagements in quicker timeframes.
Percentage of draft inspection and evaluation reports issued for comment within OIG-defined timeframes	Quarterly	50	0	0	0	57	57	Met	
Number of criminal/civil	Quarterly	17	3	1	3	6	13	Unmet	This KPI is

resolutions obtained in MFCU cases									dependent on outside factors not directly within the control of the MFCU. While cases are presented and accepted, the USAO has finite resources and must prioritize the acceptance and eventual prosecution MFCU cases.
Percentage of administrative investigations completed by IU within 6 months of assignment	Quarterly	10	0	17	0	15	15	Met	
Percentage of criminal investigations by both MFCU and IU presented to and accepted by the U.S. Attorney's Office	Quarterly	30	25	40	0	44	44	Met	

4 - Implement an information and knowledge management system that supports the OIG mission. (2 Measures)

Percentage of IT services/systems covered in the BC/DR plan	Quarterly	50	0	0	30	0	30	Unmet	the planned completion of this initiative was inhibited by lack of resources and time.
Percentage of aged laptops replaced based on 3-year lifecycle replacement plan	Quarterly	100	0	0	0	100	100	Met	

5 - Create and maintain a highly efficient, transparent and responsive District government. (4 Measures)**

Percentage of PDs reviewed and revised	Quarterly	100	0	0	0	25	25	Unmet	This initiative was delayed due to a moratorium on certification of new PDs during most of FY2017
Percentage of vacancies in the agency	Quarterly	2	17	12	5	17	17	Unmet	The OIG does not have independent personnel authority and must rely in DCHR. As identified on

									previous KPIs, the review and revision of staff position descriptions were subject to a moratorium by DCHR during a majority of FY 2017. As a result, the OIG was only able to fill vacancies that had a revised Position Description.
Percentage of job and career fair participants that subsequently interviewed for an OIG position	Quarterly	10	0	0	0	0	0	Unmet	The OIG did not complete this initiative because job and career fairs during FY2017 did not match the necessary skill sets of OIGs open vacancies and recruitment.
Percentage of performance plans, evaluations, and final assessments completed	Quarterly	100	No data available	0	65	35	100	Met	

We've revisited a project to standardize District wide measures for the Objective "Create and maintain a highly efficient, transparent and responsive District government." New measures will be tracked in FY18 and FY19 and published starting in the FY19 Performance Plan.

2017 Workload Measures

Measure	Freq	Q1	Q2	Q3	Q4	FY 2017
1 - Hotline Program (2 Measures)						
Number of contacts analyzed by the RAFP Hotline Program and Medicaid Fraud Control Unit (MFCU)	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	4567
Number of contacts received and analyzed by the RAFP Hotline Program	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	2413
1 - Oversight Work (3 Measures)						
Number of proactive analytical products RAFP-DAU that initiated an investigation, audit, or inspection	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	15
Number of recommendations made to District agencies	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	122

Number of referrals made to District agencies resulting from hotline contacts	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	92
3 - Conduct Oversight Work (4 Measures)						
Number of final audit reports issued by OIG staff (financial and performance)	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	13
Number of final audit reports issued by contracted experts (financial and performance)	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	14
Number of final inspections/evaluation reports issued	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	5
Number of strategic engagements with OIG stakeholders	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	10
4 - Information Security (3 Measures)						
Number of aged laptops	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	112
Number of new laptops	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	112
Number of IT services/systems	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	4
5 - Staffing Assessments (2 Measures)						
Number of job and career fairs attended by the OIG	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	0
Number of applications submitted to the OIG, following a job or career fair	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	0

2017 Strategic Initiatives

Title	Description	Complete to Date	Status Update	Explanation
AGENCY OPERATIONS (1 Strategic Initiative)				
Performance assessment/excellence framework	Select and implement a performance assessment/excellence framework within the OIG to integrate processes fostering continuous improvement and to supporting organizational accountability.	Complete	Completed. The OIG has developed and rolled out its Organizational Performance Excellence (OPEX) framework.	
CONTRACTING AND PROCUREMENT (2 Strategic initiatives)				
Spending Plan	Create an agency-wide FY 2017 spending plan to reflect OIG's strategic goals and objectives in support of fiscal and organizational accountability.	Complete	This initiative was completed ahead of the target completion date of November 1, 2016	

Dashboard	Develop a visual dashboard to monitor the available balance (expenditures, encumbrances, and CBE allocations) in order to maintain fiscal and organizational accountability.	50-74%	The OIG has procured the software solution, and visual dashboards are currently in the process of being developed to help agency leadership monitor all aspects of operations, including budgets, expenditures, annual performance metrics, and status of recommendations	Due to staff turnovers and training of new employees.
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HUMAN RESOURCES MANAGEMENT (3 Strategic initiatives)

Staff position descriptions	Review and revise current staff position descriptions (PDS) to fit the needs of the OIG in order to recruit and develop a qualified and diverse workforce.	25-49%	This initiative will continue in FY 2018.	This initiative was delayed due to a moratorium on certification of new PDS during most of FY 2017
Performance plans	Ensure all staff members have performance plans, midyear performance evaluations, and final assessments completed in order to develop and retain a qualified and diverse workforce.	Complete	All staff had performance plans, and also had both mid-year and annual performance reviews	
Job fairs	Attend job and career fairs to recruit for a highly qualified and diverse workforce.	0-24%	The OIG will continue to do this in FY 2018.	The OIG did not complete this initiative because job and career fairs during FY 2017 did not match the necessary skill sets of OIG's open vacancies and recruitment.

INFO TECH (1 Strategic Initiative)

Business continuity and disaster recovery (BC/DR) plan	Develop a business continuity and disaster recovery (BC/DR) plan covering all mission-critical information and knowledge management systems	75-99%	A draft of the plan was 75 percent complete during FY 2017. The OIG plans to route this plan for review immediately upon completion during FY 2018.	The planned completion of this initiative was inhibited by lack of resources and time.
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INFRO TECH (1 Strategic Initiative)				
Laptop Refresh	Implement an OIG-wide laptop refresh strategy to increase efficiency in support of the OIG mission.	Complete	A total of 112 laptops for OIG employees were replaced during FY 2017.	
OPERATIONS (4 Strategic initiatives)				
Risk-based data model	The OIG will work to develop a risk-based data model to identify agencies, programs, and procurements most at risk for corruption, fraud, waste, abuse or mismanagement in order to proactively initiate audits, investigations, and inspections.	Complete	Building on the Risk Assessment and Evaluation Committee established in FY 2016, the OIG developed a model using measurable and repeatable processes to identify at-risk agencies and programs in the District.	
Resolution and Tracking	Establish a uniform recommendation resolution and tracking process for all OIG-issued products in order to reduce vulnerabilities in the District. This process will begin after the OIG issues the draft report to a District agency and ends when the follow-up process shows that responsible agencies have addressed and fully implemented the OIG's recommendations to correct management control weaknesses.	75-99%	The OIG completed and verified inventory of its recommendations for accuracy and completeness. This inventory provides useful historical data of OIG recommendations for tracking, monitoring, following up, reporting, and risk assessment purposes. The OIG will codify agency-wide process for following up on the implementation of its recommendations to complete this initiative. This formal follow-up process will include periodic reviews of OIG recommendations for relevance.	This initiative was not completed due to competing priorities in the OIG.
Oversight system	Implement a system to assess whether the OIG is delivering actionable, relevant, and timely oversight products to District stakeholders.	75-99%	The OIG developed a stakeholder satisfaction survey. However, the survey was not disseminated to stakeholders due to competing priorities within the OIG during the performance period. In FY 2018, the survey will be sent to stakeholders in order to ascertain the value provided to the District	This initiative was not completed during FY 2017 due to competing priorities within the OIG.
Strategic engagement	Develop and execute a strategic engagement plan to promote economic, efficient, and effective government operations with District stakeholders.	Complete	The OIG conducted Agency meet-and-greets, provided public corruption lectures to agencies, and participated in various panels (e.g. BEGA's Annual Ethics Symposium and the EOM's Legal Counsel monthly training events). The OIG will continue to add to the universe of potential engagement activities and determine which events will result in the greatest return on the investment of OIG's finite resources. Further, the OIG will determine what other avenues, such as on-line training, may be leveraged in lieu of face-to-face interactions.	
RISK ASSESSMENT AND FUTURE PLANNING (1 Strategic Initiative)				
OIG Hotline	Upgrade the OIG hotline system to ensure an enhanced user experience and process. The improved OIG hotline	Complete	The OIG developed and implemented a web-based reporting capability to capture information reported to the OIG hotline	

system will incorporate a web-based reporting capability to facilitate greater public feedback, ensure hotline contacts are processed and evaluated more quickly, which will increase the amount of quality investigations, audits, and inspections.

system.