Office of the Inspector General FY2021

Agency	Office of the Inspector General

Agency Code AD0   **Fiscal Year** 2021

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 an 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.

2021 Accomplishments

Accomplishment	Impact on Agency	Impact on Residents
The OIG Audit Unit (AU) published 8 audit reports with 65 recommendations to improve the economy, efficiency, and effectiveness of District agencies' operations and programs. Agencies accepted 86 percent of the audit recommendations. These reports identified $27 million in monetary benefits, including $14.2 million in questioned costs and $10.4 million in funds put to better use.	It motivated OIG personnel because the accomplishment demonstrates their commitment to the OIG's mission and vision of providing world-class oversight services to internal and external stakeholders.	Significant cost savings from OIG audits help improve the availability and value of public services to residents of DC.
The OIG's Investigations Unit and Medicaid Fraud Control Unit accounted for $13.4 million in total criminal and civil recoveries for the District, including $9.4 million in criminal and civil collections.	The accomplishment demonstrates the OIG's commitment to detecting and preventing fraud, waste, abuse, mismanagement, and corruption in the District government programs and operations.	Monetary benefits and actual millions of dollars in recoveries are always good for the OIG's external stakeholders and the general public, including residents of DC, particularly at this stage of the pandemic/political year. More public funds are put into better use to improve the quality and value of public services to DC residents.
The OIG's comprehensive risk assessment process identified 11 high-risk areas of the District government that have weaknesses and are at risk for corruption, fraud, waste, or abuse. The FY 2022 High Risk List is available in the OIG's FY 2022 Audit and Inspection Plan (https://oig.dc.gov/sites/default/files/dc/sites/oig/publication/attachments/FY22_Audit_and_Inspection_Plan_final.pdf).	The accomplishment demonstrates the OIG's commitment to its mission of proactively detecting and deterring fraud, waste, abuse, mismanagement, and corruption in District government programs and operations.	This accomplishment impacts the District government's ability to proactively mitigate the risks of fraud, waste, abuse, and corruption, thereby improving public services, including public safety, to DC residents.
Developed videos for the District residents and stakeholders to raise awareness of the OIG's mission and services to the District.	This accomplishment allowed the OIG to disseminate information about its service offerings to its external customers and stakeholders.	This accomplishment increased DC residents' awareness of the OIG's mission and services.

2021 Key Performance Indicators

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
1 - Proactively identify and reduce vulnerabilities that could lead to corruption, fraud, waste, abuse, and mismangement. (5 Measures)											

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
Percent of proactive analytical activities initiated by RAFP's data analysis unit that resulted in an investigation, audit, or inpsection	Quarterly	40%	37.5%	30%	100%	0%	100%	191.7%	166.7%	Met	
Percent of contacts evaluated and appropriate course or action determined within 10 business days of receipt by RAFP hotline program	Quarterly	91.8%	95%	90%	99%	100%	97.5%	93.8%	97.5%	Met	
Percentage of complaints received that are actionable by the OIG	Annually	New in 2020	29.1%	25%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	19.02%	Unmet	The percentage of actionable complaints to the OIG hotline was impacted by the COVID-19 (coronavirus) pandemic. The OIG saw a significant increase in the number of complaints to the OIG hotline that were intended for other District agencies. The 27% increase in these types of complaints resulted in a reduced percentage of complaints that were actionable by the OIG.
Percentage of planned quality assurance review projects completed in fiscal year	Annually	New in 2020	100%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percentage of increase in complaints received compared to previous fiscal year	Annually	New in 2020	1.5%	10%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	6.88%	Unmet	The OIG saw the largest year to year increase in complaints received in FY2021 compared to the previous four years. The delay in implementing the OIG's Strategic Marketing and Public Relations Plan due to limited resources and a focus on other pressing priorities contributed to not meeting this goal.
2 - Integrate plans, processes, and resources to support organizational accountability. (5 Measures)											
Percentage of federal funds deobligated back to the federal government by year end	Annually	New in 2020	0%	1%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	Waiting on Data	Waiting on Data	
Percentage of FTEs with completed annual performance reviews conducted by supervisors	Annually	New in 2020	100%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
Percentage of FTEs with completed mid-year performance reviews conducted by supervisors this fiscal year	Annually	New in 2020	100%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percentage of FTEs with completed performance plans this fiscal year	Annually	New in 2020	100%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percentage of local funds deobligated back to the general fund by year end	Annually	New in 2020	0%	1%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	Waiting on Data	Waiting on Data	
3 - Deliver actionable, relevant, and timely products and services to customers and stakeholders that promote economic, efficient, and effective government operations, deter misconduct and hold wrongdoers accountable. (8 Measures)											
Percentage of audit recommendations agreed-to by District agencies	Annually	New in 2020	93.9%	80%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	87.32%	Met	
Percentage of the Medicaid Fraud Control Unit's cases closed that resulted in a criminal, civil, administrative action or monetary outcome	Annually	New in 2020	20.5%	50%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	14%	Unmet	MFCU's criminal and civil investigations and monetary outcomes for FY 2021 were negatively impacted by the closure of both the United States Court for the District of Columbia (USAO) and the Superior Court of the District of Columbia because of the COVID-19 (coronavirus) pandemic. In addition, the handling of January 6 riot cases was a top priority over healthcare fraud cases for the Washington FBI and the District USAO Federal prosecutors. During the fiscal year, our health care investigations and court proceedings moved gradually as our Federal partners' resources became available; and the courts implemented teleconferencing and video conferencing to accept priority and backlogged cases. Lastly, several of our healthcare fraud investigations involved complex matters and multiple targets that are still ongoing and will result in being presented for prosecution in another year.

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
Percentage of the Investigations Unit's cases closed that resulted in a criminal, civil, administrative action or monetary outcome	Annually	New in 2020	15%	50%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	19.67%	Unmet	It should be noted that due to the COVID-19 (coronavirus) pandemic, the judicial proceedings in both the United States Court for the District of Columbia (USAO) and the Superior Court of the District of Columbia were largely postponed with exceptions for certain criminal and juvenile delinquency proceedings. These proceedings occurred by either the use of teleconferencing or video teleconferencing. In addition, as a result of crimes committed at the United States Capitol on January 6, 2021, the USAO prioritized staff to assist with the prosecution of the more than 600 individuals charged.
Percentage of final audit reports completed within 210 business days	Annually	New in 2020	50%	55%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	62.5%	Met	
Percentage of final inspection and evaluation reports completed within 210 business days	Annually	New in 2020	25%	55%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	20%	Unmet	This metric was not met due largely to limited staffing resources. Several personnel left I&E Unit for better employment opportunities elsewhere. Resultant vacancies were not immediately filled. Other team members had to be assigned to complete the I&E engagements handled by former I&E personnel. In addition, the report review process was inefficient due to staffing constraints and focus on other pressing matters in the agency.

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
Percentage of FOIA Requests processed within 15 business days	Annually	New in 2020	95.5%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	86.11%	Unmet	The OIG's response time went up in FY 2021 due to the impact of the Covid pandemic, which required OIG personnel to work out of the office for an extended period of time. Initially, the nature of working from home presented difficulties in gathering documentation that may have been relevant to a given FOIA request and thus delayed the agency's response to a requestor. As background, the OIG upon receiving a FOIA request forwards that request to all units who may have responsive documents and requests that the units inform OIG Office of General Counsel (OGC) of such and whether the matter is ongoing or closed. If the matter is closed, OGC requests to be provided with copies of all responsive documents and then reviews those documents making redactions as necessary to comply with applicable FOIA exemptions. Afterwards, OGC drafts a response letter, which is then reviewed and edited before being finalized. Once finalized, a response is sent to the FOIA requestor.
Percentage of inspection and evaluation recommendations agreed-to by District agencies	Annually	New in 2020	75.6%	80%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	80%	Met	
Percentage of quality assurance review projects completed within 10 business days	Annually	New in 2020	100%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	

4 - Implement an information and knowledge management system that supports the OIG mission. (1 Measure)

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
Percentage of planned data-based proactive projects completed this fiscal year	Annually	New in 2020	100%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	

5 - Recruit, develop, and retain a highly qualified and diverse workforce. (3 Measures)

Measure	Frequency	FY 2019 Actual	FY 2020 Actual	FY 2021 Target	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual	Was 2021 KPI Met?	Explanation For Unmet KPI
Percentage of vacancies	Annually	New in 2020	20.2%	3%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	18.62%	Unmet	The Covid pandemic impacted the OIG's ability to attract and retain talents. Many of the OIG's positions are highly skilled and, as such, are hard to fill at the best of times.
Percentage of new hire retention (more than 1 year)	Annually	New in 2020	0%	90%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	80%	Unmet	For the % of new hires in 2021, the OIG was at 80% (4/5); 1 of 5 new hires left the OIG before they completed a year. This employee was terminated during the probationary period for not meeting the OIG's standards.
Percentage of voluntary employee turnover	Annually	New in 2020	2%	2%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	2.27%	Unmet	The Covid pandemic impacted the OIG's ability to attract and retain talents. Many of the OIG's positions are highly skilled and, as such, are hard to fill at the best of times.

🔻 2021 Workload Measures

Measure	FY 2019 Actual	FY 2020 Actual	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual
1 - Hotline and Data Analysis Programs (4 Measures)							
Number of contacts analyzed by the RAFP Hotline Program and Medicaid Fraud Control Unit (MFCU)	4042	236	Annual Measure	Annual Measure	Annual Measure	Annual Measure	2351
Number of actionable complaints to the RAFP Hotline	New in 2020	202	20	30	37	49	136
Number of referrals made to District agencies by RAFP	New in 2020	100	12	20	20	22	74
Number of Hotline complaints analyzed by RAFP	New in 2020	694	191	167	163	194	715
1 - Oversight Work (6 Measures)							
Number of proactive analytical products RAFP-DAU that initiated an investigation, audit, or inspection	4	3	Annual Measure	Annual Measure	Annual Measure	Annual Measure	24
Number of recommendations made to District agencies	48	123	Annual Measure	Annual Measure	Annual Measure	Annual Measure	111
Number of referrals made to District agencies resulting from hotline contacts	57	100	Annual Measure	Annual Measure	Annual Measure	Annual Measure	74
Number of RAFP-DAU products completed in support of an active investigations, audit, or inspection	New in 2020	33	1	0	0	23	24
Number of proactive products completed by RAFP	New in 2020	8	0	1	0	12	13
Number of RAFP proactive products used to initiate an investigation, audit, or inspection	New in 2020	3	0	0	0	5	5
2 - OIG Policies and Procedures (2 Measures)							
Number of planned quality assurance review projects by DQM	New in 2020	15	Annual Measure	Annual Measure	Annual Measure	Annual Measure	8
Number of quality assurance review projects completed within 10 business days by DQM	New in 2020	7	0	0	4	4	8

Measure	FY 2019 Actual	FY 2020 Actual	FY 2021 Quarter 1	FY 2021 Quarter 2	FY 2021 Quarter 3	FY 2021 Quarter 4	FY 2021 Actual
2 - Spending Plans (3 Measures)							
Dollars spent quarterly	New in 2020	$13,638,290	$1,339,728	$3,631,004	$1,348,073	Waiting on Data	Waiting on Data
Dollars returned to federal government	New in 2020	Waiting on Data	Annual Measure	Annual Measure	Annual Measure	Annual Measure	Waiting on Data
Dollars returned to general fund	New in 2020	Waiting on Data	Annual Measure	Annual Measure	Annual Measure	Annual Measure	Waiting on Data
3 - Independent Oversight Work (11 Measures)							
Number of audit reports issued by OIG staff	New in 2020	9	1	0	1	6	8
Number of audit recommendations to District agencies	New in 2020	82	7	0	6	58	71
Number of audit recommendations agreed to by District agencies	New in 2020	77	7	0	0	47	54
Sum of funds recouped (fines, restitutions, and overpayments) from audit	New in 2020	$7,432,480	$155,165	$0	$0	$2,466,528	$2,621,693
Sum of funds put to better use from audit	New in 2020	$47,336	$0	$0	$0	$26,866,528	$26,866,528
Sum of questioned costs from audit	New in 2020	$1,570,000	$13,836	$0	$0	$0	$13,836
Number of audit engagements completed within 210 business days	New in 2020	5	1	0	1	3	5
Number of inspection and evaluation reports issued by OIG staff	New in 2020	4	1	1	1	2	5
Number of inspection and evaluation recommendations to District agencies	New in 2020	41	12	6	0	22	40
Number of inspection and evaluation recommendations agreed to by District agencies	New in 2020	31	8	6	0	18	32
Number of inspection and evaluation projects completed within 210 business days	New in 2020	1	0	0	0	1	1
3 - Reporting Evidence of Wrongdoing (4 Measures)							
Number of Investigation Unit's cases opened	New in 2020	76	10	5	8	8	31
Number of Investigation Unit's cases closed	New in 2020	113	12	20	15	15	62
Number of Medicaid Fraud Control Unit's cases opened	New in 2020	134	24	17	12	28	81
Number of Medicaid Fraud Control Unit's cases closed	New in 2020	117	20	25	20	35	100
4 - Information Management System (1 Measure)							
Number of proactive data-driven projects conducted by RAFP	New in 2020	1	0	0	0	1	1
5 - Strategic Operation 5 (4 Measures)							
Number of FTEs	New in 2020	112	Annual Measure	Annual Measure	Annual Measure	Annual Measure	84
Number of FTEs with completed performance plans	New in 2020	74	Annual Measure	Annual Measure	Annual Measure	Annual Measure	81
Number of FTEs with completed mid-year performance reviews with supervisors	New in 2020	74	Annual Measure	Annual Measure	Annual Measure	Annual Measure	83
Number of FTEs with completed annual performance reviews with supervisors	New in 2020	73	Annual Measure	Annual Measure	Annual Measure	Annual Measure	81

2021 Operations

Operations Title	Operations Description	Type of Operations
1 - Proactively identify and reduce vulnerabilities that could lead to corruption, fraud, waste, abuse, and mismangement. (3 Activities)		
Oversight Work	Conduct audits, investigations, and inspections based on proactively identified leads and indicators.	Daily Service

Operations Title	Operations Description	Type of Operations
Reduce Misconduct	Forward to the appropriate authority any report, as a result of any audit, inspection or investigation conducted by the office, in order to reduce misconduct or unethical behavior.	Daily Service
Hotline and Data Analysis Programs	Operate hotline and data analysis programs to aid in identifying and evaluating allegations of corruption, fraud, waste, abuse, and mismanagement.	Daily Service
2 - Integrate plans, processes, and resources to support organizational accountability. (3 Activities)		
OIG Policies and Procedures	Integrate internal OIG policies and procedures to ensure the OIG executes its mission in compliance with applicable standards to support organizational accountability.	Key Project
Performance Excellence	Implement a performance assessment/excellence framework within the OIG to ensure continuous improvement.	Key Project
Spending Plans	Develop spending plans to ensure appropriated resources are used efficiently and effectively to support organizational accountability and are in compliance with District regulations.	Daily Service
3 - Deliver actionable, relevant, and timely products and services to customers and stakeholders that promote economic, efficient, and effective government operations, deter misconduct and hold wrongdoers accountable. (4 Activities)		
Independent Oversight Work	Initiate and conduct independent financial and performance audits, inspections, and investigations of District government operations.	Daily Service
GAO Liaison	Serve as the principal liaison between the District government and the US Government Accountability Office.	Key Project
Annual District Audit	Contract with an outside audit firm to perform the annual audit of the District government's financial operations with the results published in the Comprehensive Annual Financial Report (CAFR) and chair the CAFR oversight committee.	Key Project
Reporting Evidence of Wrongdoing	Forward to the Mayor, within a reasonable time of reporting evidence of criminal wrongdoing to the Office of the U.S. Attorney's Office for the District of Columbia, or other law enforcement office, any report regarding the evidence, if appropriate.	Daily Service
4 - Implement an information and knowledge management system that supports the OIG mission. (3 Activities)		
Information Management System	Collect, process, and communicate information to enable the agency's leadership team to make more effective and efficient decisions.	Key Project
Knowledge Management System	Manage agency knowledge to improve performance and achieve the OIG mission.	Key Project
Information Security	Establish and maintain digital and physical security controls to protect critical information and knowledge assets from unauthorized access.	Key Project
5 - Recruit, develop, and retain a highly qualified and diverse workforce. (1 Activity)		
Strategic Operation 5	Assess current staffing to ensure it meets the OIG's mission and vision.	Daily Service

▼ 2021 Strategic Initiatives

Strategic Initiative Title	Strategic Initiative Description	Completion to Date	Status Update	Explanation for Incomplete Initiative
Knowledge Management System (1 Strategic Initiative)				
Knowledge Management Infrastructure	Design a knowledge management infrastructure to store and have access to all of the OIG's information, policies, procedures and governance tools in a secure framework to ensure that knowledge is shared freely throughout the agency and enable OIG staff to access, store, and query District data sources necessary to proactively identify corruption, fraud, waste, abuse, and mismanagement.	25-49%	There is no significant change to this initiative since the last Q3 update (see below). This initiative is dependent on Initiative 2.1. During Q2, the OIG identified trackable projects, and an initial timetable for deploying the various stages of knowledge management (KM) and data warehouse (DW) was reviewed and approved. It was noted previously that the District's Public Emergency in response to COVID-19 pandemic had reduced the OIG's budget for FY 2021 and FY 2022, and the resultant reduction in funds directly impacted the OIG's progress on this initiative. With the OIG's resources returning to pre-pandemic levels, measurable progress on this initiative should resume.	This initiative will continue in FY 2022.
OIG Policies and Procedures (1 Strategic Initiative)				
Operations Manual	Produce an agency-wide organizational manual that incorporates policies and procedures developed in FY 2019 and 2020 to provide effective guidance on handling all key processes in the OIG.	75-99%	All OIG's divisions and units have completed their draft policy manuals. Currently, these manuals are in the review stage. The OIG remains highly confident in completing this task this FY. During the FY, the completion of updated and integrated policies experienced delays due to changes in staffing and structure. This Initiative will continue in FY 2022.	This initiative will continue in FY 2022, and tracked internally.
Oversight Work (1 Strategic Initiative)				

Strategic Initiative Title	Strategic Initiative Description	Completion to Date	Status Update	Explanation for Incomplete Initiative
OIG Strategic Marketing	Continue implementing Phase II of the OIG's Strategic Marketing and Public Relations Plan to increase customers and awareness of the OIG's mission to prevent and detect corruption, mismanagement, waste, fraud, and abuse in District government programs and operations.	50-74%	In FY 2021, Mayor Bowser included in the proposed District of Columbia Fiscal Year 2022 Proposed Budget and Financial Plan, legislation to establish the Inspector General Support Fund. The "Inspector General Support Fund Establishment Amendment Act of 2021" was successfully included as part of the District's "Fiscal Year 2022 Budget Support Act of 2021." Through this fund, the additional resources will be used to support both Initiatives 1.1 and 2.2. Due to the establishment of this Fund in FY 2021, the OIG will leverage these resources in FY 2022 to complete ongoing efforts related to Initiatives 1.1 and 2.2

OIG annual training by District Employees was approved but the City Administrator and DCHR. The OIG is developed content for the training and is in the final review at the Agency. We anticipate rolling this training out in November 2021.

The OIG is finalizing the rollout of a new webpage, expected to go live is November 2021. | The OIG continue to make progress on this initiative and will continue in FY 2022 with target completion date of 9/30/2022. |