

# Reports on Past and Future Activities

Office of the Inspector General

September 19, 2023





## Three Major Reports

- Annual Report
- Strategic Plan
- Audit Plan
- Focus on Path Forward
- Commitment to Excellence



# Fiscal Year 2023 Annual Report to the California State Legislature

# FY23 Annual Report to CA Legislature

Eventful &  
Busy Year

## FY23 Highlights

- 35 Investigations Closed
- 7 Major Investigations
- 55 New Case Evaluations
- 21 Reports Issued

## Case Statistics

- 186 Total Complaints
- 22 Under Investigation
- 69 Investigated
- 39 Forwarded
- 56 Declined

# FY23 Annual Report to CA Legislature

## Eventful & Busy Year

### Investigation Trends

- Fraud: 43 (23%)
- Compliance: 39 (21%)
- Unprofessional Conduct: 28 (15%)
- Conflict of Interest: 16 (9%)

### All Recommendations

- 75 Total
- 66 Accepted
- 9 Not Accepted
- 45 Implemented
- 21 In Progress

### FY23 Recommendations

- 26 Total
- 25 Accepted
- 1 Not Accepted
- 10 Implemented
- 15 In Progress

# FY23 Annual Report to CA Legislature

## Eventful & Busy Year

### Audits

- Financial Structure: Complete
  - 2 Recommendations: 1 Implemented; 1 In Progress
- Span of Control: In Progress

### News of Funding Boost

- More Audits & Investigations

### Modern Communications

- Videos a Success

### Report Changes of Note

- Definitions Added to Report
- Breakdown Showing Resolutions

Fiscal Year 2024 - 2028

Strategic Plan

# FY24-28 Strategic Plan

## 4 Main Focus Areas

### Focus Area 1: Added Value

- 4 Strategic Goals
  - Build OIG Team
  - Promote Development/Well-being
  - Conduct Investigations
  - Complete Audit Plan

### Focus Area 2: Innovative Communications

- 4 Strategic Goals
  - Make Most of Communication Trends & Tools
  - Continue & Improve Video Use
  - Share Information
  - Work with Peer Organizations



# FY24-28 Strategic Plan

## 4 Main Focus Areas

### Focus Area 3: Dynamic Flexibility

- 5 Strategic Goals
  - Adjust Priorities to Address Changes
  - Shift Workloads to Address Changes
  - Real-time Audit-Plan Changes
  - Evolve Procedures for Efficiency
  - Rethink Team & Coordination Efforts

### Focus Area 4: Sustainable Relationships

- 6 Strategic Goals
  - Recognize & Learn from Others
  - Be Transparent
  - Understand Business Context
  - Demonstrate Appreciation
  - Show Empathy
  - Give Credit Where Due

# FY24-28 Strategic Plan

## 4 Main Focus Areas

### 31 Performance Measures

- Examples:
  - FA 1: Percent of Accepted Recommendations
  - FA 2: Number of Content Views
  - FA 3: Audit & Investigation Turnaround Times
  - FA 4: Willingness of Others to Assist OIG

### Risks to Strategic Plan

- Reputational Risk
- Talent Acquisition Risk
- Funding Risk
- Compliance Risk
- Communication Risk

Fiscal Year 2024 - 2026

Audit Plan

# FY24-26 Audit Plan

10 Planned  
Audits

## FY22-24 Audits Carried Over

- Construction Contract Change Orders
- Asset Management
- Employee Compensation & Reporting
- Contract Solicitation Practices
- Inventory Management

## New FY24-26 Audits

- Overtime Use
- Link21 Spending
- BART Stabilization
- On-Call Contract Use
- Hiring Practices



# FY24-26 Audit Plan

## 10 Planned Audits

### Launching In FY24

#### Overtime Use

- Consultant: November 2023 ~ \$300K

#### Construction Contract Change Orders

- Staff: December 2023 ~ \$238K

#### Asset Management

- Consultant: December 2023 ~ \$200K

#### Link21 Spending

- Consultant: January 2024 ~ \$198K

# FY24-26 Audit Plan

## 10 Planned Audits

### Expansive Reach Across District Areas

- Some Districtwide Audits
- Areas May Be Added

### Top Audit Drivers

- Fraud & Waste
- Cost Savings
- Accountability & Transparency
- Compliance



# Questions?

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