



Activities Report: January 2021 to March 2021

Office of the Inspector General

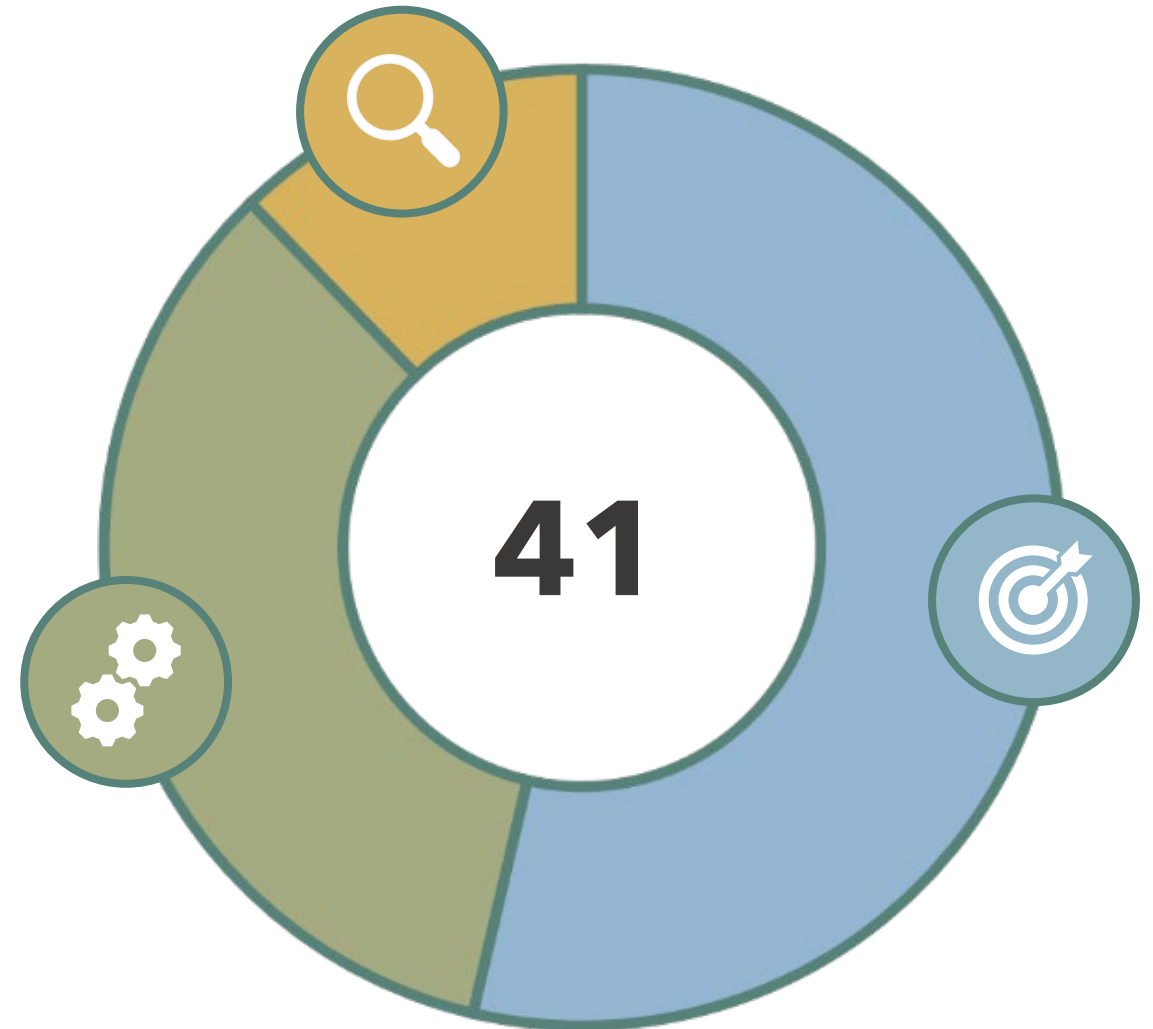
Investigations at a Glance

41 Complaints Received Since OIG Inception

 5 under active investigation

 14 under preliminary review

 22 resolved



Investigations at a Glance

22 Cases Resolved



✓ 7 investigated

✗ 7 declined: insufficient information or out of scope

➡ 8 forwarded to another department

Investigations at a Glance

Common Themes to Most Complaints

Fraud

We received **11**
complaints alleging
fraud. Time sheet and
contracting fraud are
the most common
suballegations.

Compliance

We received **12**
complaints alleging
noncompliance. Policy
and procedural
noncompliance are
the most common
suballegations.

OIG Charter Not Approved - Opposition Continues

- Jan. 14 – Board continued charter to future meeting, requesting more discussion with unions about our interaction with their members
- Unions revised our charter, making changes that restrict our work and weaken our mandated authority
- We met with each Board Director to explain that accepting many of the unions' revisions would compromise our independence and undermine our mandated responsibilities



OIG Charter Not Approved Opposition Continues



- Mar. 25 – Board request for General Manager to facilitate engagement between the OIG and unions to develop *“mutually agreed-upon procedures”*
- Our original charter outlines the roles and responsibilities typical of OIGs:
 - Adherence to OIG norms and professional standards
 - Doesn’t imply that we won’t uphold union members’ rights or allow for union feedback and input when appropriate
- We are requesting mutual respect from unions and support from the Board of Directors to fulfill our mandated role



Not Alone in Facing Political Opposition

Political pressure for auditors to act in a manner counter to their principles and standards is stronger than ever.

“The overall message from the standards is that we have our marching orders, and we know what we need to do.” - Glenda Ostrander Director of Internal Audit, Gwinnett County Public Schools

“Trying to reach a compromise is preferred in order to preserve long-term relationships with auditees. However, attempts at compromise stop when internal audit’s authority is being questioned.” - Kip Memmott, Audit Director for the Oregon Secretary of State’s Office

“[Auditors] must consider the public sector mandate to serve the public good while maintaining their independence and upholding the principles of good governance.” - Public Sector Audit Center

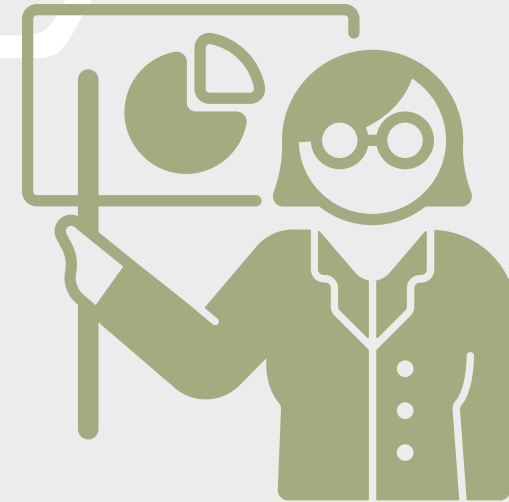
Major Activities

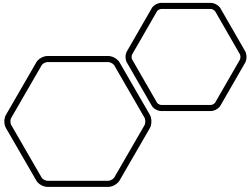
- Tackled investigation backlog
 - Launched six investigations, completed one, and prioritized entire backlog of 41 complaints
 - Need cooperation from everyone at BART and all BART stakeholders to get this important work done
- Reviewed risk assessment draft
 - Working with TAP International to clarify and organize content
 - Shaping content to paint clear picture for everyone on where audits will best add value



Next Steps

- Education efforts
 - Most declined complaints are due to insufficient information or are outside the scope of our office
 - We will be developing education materials and hope to be part of HR orientation to present information to new employees
- New team member
 - Jeffrey Dubsick is our new Principal Investigative Auditor
 - Experienced investigator hard at work addressing our backlog; you'll see reports from him soon





Questions?



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