



Executive Committee

Action Item III-A

February 8, 2024

Acceptance of Inspector General's Report

Washington Metropolitan Area Transit Authority

Board Action/Information Summary

☒ Action ☐ Information

Document
Number:
205706

Resolution:
☐ Yes ☒ No

Presentation Name:

Acceptance of OIG's Report

Project Manager:

Michael Hayunga

Project Department:

OIG

Purpose/Key Highlights:

The Executive Committee's acceptance of OIG's report entitled: *Evaluation of WMATA's Background Screening Process for Employees of Contractors*

As part of the OIG Audit and Evaluation Plan, OIG initiated a review of WMATA's Background Screening Process. OIG learned that an inactive contractor remotely accessed their personal computer to log into WMATA systems and focused its review on the background screening process for employees of contractors.

Acceptance of the final report constitutes the Board's authorization to post it on the WMATA OIG website provided the Inspector General has conferred with the General Counsel and confirmed that any private or confidential information has been redacted in accordance with applicable law and WMATA policy.

Interested Parties:

None

Background:

In 2017, WMATA shifted responsibility for performing background screening for contractors' employees to the Contractor. Some of the steps WMATA has taken include updating contract language to reflect the change and instruction and/or training of COTRs and contractors in their responsibilities and requirements.

The review's objective was to determine if contractors meet the requirements to

conduct background screenings on their employees and if the process is sufficient to protect WMATA's interest. It was noted that all contractors had processes in place to conduct the background screening of their employees. Contractors are also required to submit quarterly certifications related to these screenings. OIG noted exceptions in the quarterly certification process. Details are provided in the Findings and Recommendation section of the report.

Discussion:

The overall results indicated that each contractor had developed and implemented its process for conducting such screenings.

While each contractor had a process for conducting screening in place, the OIG noted that five of the ten contractors were not in full compliance, in that:

- Two contracts had not been modified. Those contractors did not provide quarterly certifications.
- Three contractors submitted incomplete quarterly certifications.
- One contractor was unable to provide documentation on five of the nine employees selected for review.

OIG provided management with five recommendations to improve the overall program.

1. Ensure that all active contracts include language identifying the contractor's responsibilities and requirements related to contractor background screening and certification.
2. Ensure that contractors fully understand and are compliant with contractor background screening and certification requirements.
3. Ensure that COTRs fully understand their responsibilities and requirements related to contractor background screening and certification.
4. Revise the current certification process to ensure the inclusion of sufficient evidence that supports assertions made by contractors in their quarterly certifications.
5. Perform periodic reviews of the contractor's background screening process to ensure they are compliant with the intent of the requirement and that the contractor's procedures and processes in place are sufficient to protect WMATA's interest.

Management generally agreed with OIG's recommendations and committed to implementing corrective actions by June 12, 2024.

The work highlighted in this report demonstrates OIG's commitment to promoting

accountability, efficiency, and effectiveness in WMATA's programs and operations and keeping the Board of Directors fully and currently informed about deficiencies in WMATA's activities, as well as the necessity for and progress of corrective actions.

Funding Impact:

There is no impact on funding.

Previous Actions:

There were no previous actions.

Next Steps:

Management generally agreed with OIG's recommendations and committed to implementing corrective actions by June 12, 2024.

Recommendation:

Approval to: post the report on the WMATA OIG website.