



**Washington Metropolitan Area Transit Authority  
Inspector General's Semiannual Report to the  
Board of Directors, No. 8  
January 1, 2011 – June 30, 2011**



Photo of customers entering and exiting Medical Center Station

## INSPECTOR GENERAL'S MESSAGE TO THE BOARD OF DIRECTORS

July 25, 2011

We are pleased to provide this Semiannual Report on the activities and accomplishments of the Washington Metropolitan Area Transit Authority (WMATA) Office of Inspector General (OIG) from January 1, 2011, through June 30, 2011. Our work, highlighted in this report, demonstrates our commitment to promoting accountability, efficiency, and effectiveness in WMATA's programs and operations and keeping the Board fully and currently informed about deficiencies in the Authority's activities, as well as the necessity for and progress of corrective action.

Over the last six months, OIG issued 40 audit products, including audit reports, attestation reports and audit waivers. We reviewed pricing information in contractors' proposals with a value of \$15,579,146 and suggested \$2,269,491 in net audit adjustments. We also closed 12 investigations and processed 161 complaints.

We issued two performance audits during this period, which are discussed in this report. In the audit report entitled *Review of WMATA's MAXIMO<sup>1</sup> Work Orders Module*, we focused on one component of a complex database from an information technology perspective, and we found some deficiencies in the way work orders were maintained and closed out. In the audit report entitled *Review of the Office of Bus Maintenance Inspection Program*, we found deficiencies in completion of preventive maintenance service records and closing of completed work orders in Maximo.

In addition, OIG has worked closely with management to resolve safety-related recommendations from our *Control Self-Assessment – Employee Safety in the Office of Track and Structures Systems Maintenance*, which was issued in September 2010 and described in Semiannual Report No. 7. As of June 30, 2011, we have closed 14 of the 19 recommendations based upon our review of information management gave us of corrective actions taken.

I am especially pleased to report that the Association of Local Government Auditors completed its peer review of the audit organization of my office, and we received a "clean opinion" - indicating that our office's "internal quality control system was suitably designed and operating effectively to provide reasonable assurance of compliance with Government Auditing Standards for audits and attestation engagements during the period January 1, 2010 through April 30, 2011." The conclusion of the peer review validates one of our core values: accountability and compliance with professional standards.

Finally, I have participated in two Board orientation sessions for new Board members to discuss the OIG mission and work. I found these meetings to be helpful in getting to know the Board members, as well as their areas of interest. I look forward to continuing to work with all the Board members.

/s/

Helen Lew  
Inspector General

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<sup>1</sup> A computerized asset maintenance management system.

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## INTRODUCTION

On August 19, 2009, the WMATA Compact was amended to recognize the OIG by statute. Board Resolution 2006-18, approved April 20, 2006, originally established the OIG to conduct and supervise audits, program evaluations, and investigations relating to agency activities; promote economy, efficiency, and effectiveness in WMATA activities; detect and prevent fraud and abuse in WMATA activities; and inform WMATA officials and the Board of Directors about deficiencies in WMATA activities, as well as the necessity for and progress of corrective action. The OIG follows generally accepted audit standards for all audits, and supervises WMATA's annual independent audit of financial reporting. The Inspector General (IG) reports to the Board of Directors (Board) through the Board's Audits and Investigations Subcommittee. The IG prepares a Quarterly Report to the Board's Audits and Investigations Subcommittee and a Semiannual Report to the Board of Directors.

The OIG began operations on May 14, 2007, when the current IG came on board. A mission statement and core values have been developed for OIG and are provided below.

### **Mission Statement**

The OIG supervises and conducts independent and objective audits, investigations, and other activities of WMATA's programs and operations to promote economy, efficiency, and effectiveness, as well as to prevent and detect fraud, waste, and abuse in such programs and operations. We provide advice to the Board and General Manager and Chief Executive Officer to assist in achieving the highest levels of program and operational performance in WMATA.

### **Our Core Values**

Excellence - We have a commitment to excellence in our people, our processes, our products, our impact and in the performance of our mission.

- We value a diverse, educated, and highly trained workforce that reflects independence, initiative, and mutual respect.
- We value operating within an objective code of standards, yet remain open to new innovations.
- We support WMATA's mission of operating a safe, reliable and effective transit system.

Accountability - We insist on high standards of professional conduct from employees at all levels and compliance with professional standards to ensure the Board and management can rely on our products.

- We have confidence in the accuracy of our work and that our results hold up to professional scrutiny.
- We encourage an environment of risk-free communication and promote an open, honest, and respectful exchange of ideas and information.

Integrity - We strive to maintain the highest level of trust and integrity in all of our activities, and the approach we take in accomplishing our mission must reflect fairness, balance, and credibility.

- The personal and professional qualities of our employees include honesty, respect for others, and freedom from bias.
- We value and protect our access to information recognizing that reputations, public confidence, and lives can be affected by our actions.

## **OIG Staff**

OIG is made up of two components — Audit and Investigations. The Audit component is comprised of three audit teams: contracts, internal operations, and information technology. OIG audits examine the performance of WMATA programs and contractors in carrying out their respective responsibilities and are intended to provide independent assessments of WMATA programs and operations. These assessments help reduce waste, abuse, and mismanagement and promote economy and efficiency throughout WMATA. OIG audits are performed with OIG’s own resources, and OIG oversees audit work done by outside audit firms.

The Investigations component of OIG conducts criminal, civil, and administrative investigations of fraud, waste, and abuse related to WMATA programs and operations. OIG investigations can lead to criminal prosecution, civil penalties, disciplinary action, and/or administrative action. The Investigations component handles the OIG Hotline, including in-take of complaints and determining the appropriate handling of them. Complaints may be investigated by OIG or referred to management, the OIG Audit component for audit consideration, or another agency, as appropriate.

OIG had 25 full-time employees as of June 30, 2011, the majority of whom do audits. Our staff is comprised of auditors, investigators, an information technology specialist, and an office manager with educational backgrounds and graduate degrees in accounting, finance, mathematics, computer science, law, criminal justice, management information systems, and business. More than half of the staff have professional certifications as accountants, internal auditors, fraud examiners, investigators, information systems auditors, computer forensic examiner, information systems security professional, government financial managers, and inspectors general.

## AUDITS

During this reporting period we issued 40 audit products in the form of audit reports, alternative products, such as attestations and alert memoranda, and audit waivers.

### Audit Resolution and Follow-Up

Board Resolution 2006-18 requires us to provide Semiannual Reports listing each report for which management has not completed corrective action. Table 1 shows recommendations described in previous Semiannual Reports (SARS) on which corrective action has not been completed as of June 30, 2011.

### Summary of Audit Reports Issued

We issued two audit reports during this reporting period. These reports are listed in Table 2 and are summarized below.

- **Review of Washington Metropolitan Area Transit Authority's (WMATA) MAXIMO Work Orders Module** – (Information Technology No. 11-002, issued March 28, 2011).

We conducted an audit of WMATA's MAXIMO Work Orders Module. The objective of the audit was to determine whether MAXIMO had adequate controls to ensure that its Work Orders Module is working as intended and meeting the users' needs. We found that the MAXIMO Work Orders Module does not have adequate controls to ensure that its Work Orders Module is working as intended and meeting the users' needs.

Specifically, MAXIMO does not have adequate controls in place to prevent and detect: (1) completed work orders that were not closed; (2) work orders that were missing essential maintenance data; and (3) work order failure class codes and/or problem codes that were not correctly entered in MAXIMO. Failure to have adequate controls affects the ability of management and users to rely on the accuracy and completeness of information in the Work Orders Module.

We also identified an issue concerning MAXIMO's database configuration. The MAXIMO development team failed to detect or document database configuration changes, which can result in application development, integration, and reporting problems.

We made four recommendations to the Deputy General Manager, Administration and Chief Financial Officer (DGMA/CFO) based on our findings. In the DGMA/CFO's March 9, 2011, response to a draft of this report, she concurred with our findings and recommendations.

- **Review of Office of Bus Maintenance Inspection Program** - (Internal Operations No. 11-002, issued June 3, 2011).

We conducted an audit of the Office of Bus Maintenance (BMNT) Inspection Program to determine whether adequate internal controls are in place for the bus maintenance inspection program to ensure the safety and reliability of bus revenue vehicles.

We generally found that internal controls were adequate for the bus maintenance inspection program to ensure the safety and reliability of bus revenue vehicles. We found that 1,166 or 85 percent of the total/overall inspections we reviewed conformed to the BMNT inspection goal. Although the overall inspection goal of 85 percent was met, two types of inspections in our sample, American Disability Act (ADA) Equipment and "B Level" Preventive Maintenance (PM-B) Service, did not always conform to the BMNT goal. On-time inspections for ADA equipment at the Northern Division met the goal 79 percent of the time, while the remaining three divisions in our sample attained the 85 percent goal. On-time inspections for the PM-B at the four divisions met the goal between 74 and 83 percent of the time.

Although adequate internal controls were generally in place, we found policies and procedures were not always followed, specifically: (1) preventive maintenance service records were not always properly completed, and (2) completed work orders were not always closed in Maximo.

Lastly, we have concerns about the availability of parts for the Preventive Maintenance Inspection (PMI) Service Program due to a lack of bus parts needed for the PMI repairs. The parts needed were not readily available from the main warehouse storerooms.

Based on the above findings, we made three recommendations to the Assistant General Manager (AGM), Department of Bus Services (BUSV). In the AGM's May 26, 2011, response to a draft of the report, he indicated general agreement and concurrence with our findings and recommendations.

### **Summary of Alternative Products Issued**

From January 1, 2011, through June 30, 2011, we issued 38 attestation reports.

Our attestation engagements are performed within their stated scope and objective(s) as agreed with management and can cover a broad range of financial and non-financial subjects. They can also be part of a financial audit or performance audit. Because these reports generally involve contractor proprietary information, the reports are not posted

on the OIG website and are not publicly distributed. A compilation of our attestation reports/certifications appears in Table 2.

Some key types of attestation reports issued by OIG include pre-negotiation, billing rate, and pre-award reviews. These are described more fully below along with the number of such reports issued this reporting period.

- **Pre-negotiation Attestation Reports** (11 reports)

This type of report generally relates to a review and analysis of a contractor's proposal to determine if the pricing information is current, accurate, and complete and ties back to the contractor's accounting systems. During the reporting period January 1, 2011, through June 30, 2011, we reviewed pricing information with a proposed value of \$15,306,289 and suggested \$2,113,167 in net audit adjustments.

- **Billing Rate Attestation Reports** (12 reports)

At the request of WMATA's Office of Procurement and Materials (PRMT), we review the billing rates submitted by contractors and subcontractors to PRMT for approval. The primary objective of this review is to verify the basis of the billing rates and the support for the cost elements (base wage rates and overheads) included in the contractor's proposal and to ensure that the pricing information is current, accurate, and complete. The results of our review are sent to PRMT for use in the negotiation process.

- **Pre-award Attestation Reports** (11 reports)

Prior to the final determination of a contract award, the Contracting Officer sends financial data (Income Statements, Balance Sheets, Retained Earnings Statements, Source and Application of Funds and related notes), submitted by the prospective contractor to the OIG for evaluation. We conduct an agreed-upon procedure review to determine if the contractor has adequate financial resources (going concern) and whether the contractor meets the applicable standards for a responsible prospective contractor.

- **Other Attestation Reports** (4 reports)

We also performed other attestation services as requested by PRMT, including Advisory Memoranda on contract issues and attestation reviews of contractor claims. We reviewed pricing information with a proposed value of \$272,857 and suggested \$156,324 in net audit adjustments. In addition, we issued one audit waiver in response to requests from contracting officers to waive audits of cost and pricing information when this information is available and considered adequate.



## **INVESTIGATIONS**

During the reporting period January 1, 2011, through June 30, 2011, we received a total of 185 complaints through the OIG Hotline, in writing, and in person. We processed 161 matters that included both complaints requiring investigative attention that did not result in an investigation and those referred directly to other complaint resolution processes or management. We opened 17 investigations and closed 12 investigations (a summary is provided in Table 4).

### **Summary of Significant Case Completed**

An OIG investigation, completed on April 26, 2011, determined that an Automatic Parking Lot Technician assigned to the Automatic Fare Collection Branch of System Maintenance was, over a period of years, taking a WMATA vehicle to his house and remaining there during work hours and that he entered fictitious activities and locations in a WMATA database tracking the status of assigned work. Based upon the work rules violations uncovered in the OIG investigation, the technician's employment with WMATA was terminated. In a June 3, 2011, response to the OIG Report of Investigation, management indicated that it had identified areas, which it specified, where greater management oversight and strengthening of current procedures were required.

### **Other Investigations Efforts**

During this semiannual period, OIG Investigations launched a project to work with other WMATA offices, such as the Office of Risk Management (RISK), Metro Transit Police Department (MTPD) and General Counsel (COUN), to address misuse of worker's compensation. That effort is on-going.

## **OTHER OIG ACCOMPLISHMENTS**

- The Audit component of OIG received a "clean opinion" from the Association of Local Government Auditors (ALGA) in a letter dated May 26, 2011. ALGA concluded that "the Washington Metropolitan Area Transit Authority, Office of the Inspector General's internal quality control system was suitably designed and operating effectively to provide reasonable assurance of compliance with Government Auditing Standards for audits and attestation engagements during the period January 1, 2010 through April 30, 2011." The ALGA peer reviewers mentioned two areas in which our office "excels" - our Audit Manual and the continuous improvement in the performance audits and attestation engagements throughout the peer review period. They also offered suggestions to further strengthen our internal quality control system. We intend to implement the suggestions offered by the ALGA peer reviewers.

- From January 2011 to June 2011, OIG Audit management and Investigations staff continued to participate in weekly New Employee Orientation training to acquaint recently hired employees of the role and mission of the OIG and to provide them with contact information.
- Audit Manager Barbara Jackson-Williams, gave a presentation on “Internal Controls,” and Senior Special Agent Joseph Barlow gave a presentation on “Fraud Awareness” to Contracting Officer’s Technical Representatives at WMATA on January 12, 2011, March 10, 2011, and May 5, 2011.
- Senior Special Agent Joseph Barlow presented two “Fraud Awareness” briefings to the Office of Training & Organizational Development on February 9, 2011 (staff) and on February 28, 2011 (vendors).
- Audit Supervisor Leon Langford, conducted an “Internal Controls” presentation for a WMATA safety training class on January 13, 2011.
- In January 2011, Inspector General Helen Lew, Assistant Inspector General for Audits Andrew Clemmons and Special Agent Hugh Fox, were elected to the Executive Board of the District of Columbia Chapter of the Association of Inspectors General. Special Agent Fox also holds the position of 2<sup>nd</sup> Vice President. The Association of Inspectors General consists of Inspectors General and their professional staff who are responsible for promoting ethical conduct in government operations, providing oversight of agencies under their jurisdictions, and conducting fair, thorough, and independent investigations of alleged criminal and/or administrative misconduct.

**Table 1: Recommendations Described in Previous SARs on Which Corrective Action Has Not Been Completed as of June 30, 2011**

Report Number	Report Title (Prior Semiannual Report [SAR] Number and Page)	Date Issued	Total Monetary Findings	Number of Recommendations		Latest Target Date (Per WMATA Corrective Action Plan)
				Open	Complete	
<b>Internal Operations Audits</b>						
IO 11-001	Review of Monthly Reports on Bus Ridership and Revenue (SAR 7, page 7)	09/22/10		2	5	Aug 2012*
IO CSA 11-001	Control Self-Assessment Employee Safety in the Office of Track and Structures Systems Maintenance (SAR 7, page 10)	09/08/10		5	14	Jun 2012*
<b>Contract Performance Audits</b>						
CA 09-037	Audit of Martek Global Services, Incorporated (SAR 5, page 5)	10/02/09		1	4	Nov 2011*
<b>Information Technology Audits</b>						
IT 10-001	Review of People Soft Remediation Project (SAR 5, page 4)	10/21/09		1	6	Nov 2011*
IT 11-001	Review of Emergency Plans for Critical Information Technology Operations and Financial Systems (SAR 7, page 6)	09/24/10		2	3	Dec 2011*
* Expected completion date changed from previous report.						

**Table 2: OIG Audit Reports and Alternative Products on WMATA Programs and Activities (January 1, 2011 through June 30, 2011)**

Report Number	Report Title	Date Issued	Questioned Costs*	Unsupported Costs	No. of Recommendations
<b>AUDIT REPORTS</b>					
<u>Internal Operations</u>					
IO 11-002	Review of Office of Bus Maintenance Inspection Program	06/03/11			3
<u>Information Technology</u>					
IT 11-002	Review of Washington Metropolitan Area Transit Authority's (WMATA) MAXIMO Work Orders Module	03/28/11			4
<u>Contract Attestations</u>					
<u>Pre-Negotiation Attestation Reports</u>					
CAA 11-009	Independent Review of Revised Proposal for Contract CQ9044, PCO No. Option F, Enterprise GIS Deployment (GIS-MMMS Integration Study)	01/28/11			
CAA 11-010	Independent Review of Proposal for Contract No. FQ11131/RK, MetroNet Networked Hardware Services	02/01/11			
CAM 11-045	Independent Review of Sole Source Pricing Proposal for Contract No. RFP CQ-11-221, EMC <sup>2</sup> VMAX Upgrade	02/10/11			
CAA 11-011	Independent Review of Proposal for Contract No. CQ10152, Truck & Bolster Subassembly Alstom 6K Railcar-Spares	02/22/11			
CAA 11-012	Independent Review of Proposal for Contract FQ11262, Migration to ISO-Standard Chip for SmarTrip®	02/23/11			
CAM 11-048	Independent Review of Additional Payment and Performance Bond Premium Costs for Contract No. FQ9206, PCO No. 1, Rehabilitation of the Orange/Blue Line Stadium Armory to National Airport	02/24/11			
CAA 11-013	Independent Review of Revised Proposal for Contract No. FQ11135, OrbCAD System Enhancement	03/18/11			

Report Number	Report Title	Date Issued	Questioned Costs*	Unsupported Costs	No. of Recommendations
CAA 11-014	Independent Review of Invoices for Purchase Order No. 0000044346, Quality Assurance Inspection Services for Wheels and Axles, from January 1 through November 30, 2010	04/07/11			
CAA 11-015	Independent Review of Proposal for Contract No. CQ10157/GWF, Rollback Protection on 5000 Series Railcar	04/28/11			
CAA 11-016	Independent Review of Revised Proposal for Contract No. FQ8001, Mod. No. 1, Demolition and Site Preparation for the DC Village Bus Garage	06/27/11			
CAA 11-017	Independent Review of Proposal for Contract No. FQ11120, Bus Vehicle Engineering Consultant Services	06/30/11			
<b><u>Billing Rate Attestation Reports</u></b>					
CAM 11-042	Independent Review of Proposed Rates for Contract FQ10063/KPN, FY2011, On-Call Automatic Traction Control/Trackwork Engineering Consultant Services	01/11/11			
CAM 11-044	Independent Review of Proposed Rates for Contract FQ10061/KPN, FY2011, On-Call Traction Power Engineering Consultant Services	02/04/11			
CAM 11-049	Independent Review of Proposed Rates for Contract CQ9205, FY2011, Railcar Engineering Consultant Services	02/25/11			
CAM 11-051	Independent Review of Proposed Rates for Contract FQ10064/KPN, FY2011, On-Call Automatic Fare Collection Engineering Consultant Services	03/14/11			
CAM 11-052	Independent Review of Proposed Rates for Contract FQ10062/KPN, FY2011, On-Call A&E Consultant Services	03/14/11			
CAM 11-053	Independent Review of Proposed Rates for Contract CQ9205, FY2011, Railcar Engineering Consultant Services	03/14/11			
CAM 11-056	Independent Review of Proposed Rates for Contract FQ10060/KPN, FY2011, On-Call General Architectural & Engineering Consultant Services	04/07/11			
CAM 11-063	Independent Review of Proposed Rates for Contract FQ10062/KPN, FY2011, On-Call General Communications Engineering Consulting Services	06/01/11			

Report Number	Report Title	Date Issued	Questioned Costs*	Unsupported Costs	No. of Recommendations
CAM 11-064	Independent Review of Proposed Rates for Contract FQ10065/KPN, FY2011, Planning Support Consultant Services	06/01/11			
CAM 11-066	Independent Review of Proposed Rates for Contract FQ10060/KPN, FY2011, On-Call A/E Consultant Services	06/07/11			
CAM 11-067	Independent Review of Proposed Rates for Contract FQ10062/KPN, FY2011, On-Call Communication Engineering Consultant Services	06/16/11			
CAM 11-069	Independent Review of Proposed Rates for Contract FQ10060/KPN, FY2011, On-Call A&E Consultant Services	06/30/11			
<u>Pre-Award Attestation Reports</u>					
CAM 11-046	Independent Review of Pre-Award Financial Data for Contract No. FQ11247, "Revenue Transfer Carts"	02/14/11			
CAM 11-047	Independent Review of Pre-Award Financial Data for Contract No. IFB/FQ11230/GPC, "Multi-Year Construction Services Contract for Storage Tank Replacement at Various Bus & Rail Facilities located in DC, VA, and MD"	02/17/11			
CAM 11-050	Independent Review of Pre-Award Financial Data for Contract No. FQ11160, "Currency Processing System"	03/03/11			
CAM 11-054	Independent Review of Pre-Award Financial Data for Contract No. FQ11226, "Vendor Managed Inventory"	03/30/11			
CAM 11-055	Independent Review of Pre-Award Financial Data for Contract No. FQ11288, "Repair/Rehabilitation Projects WMATA System Wide Job Order Contract (JOC IV)"	04/01/11			
CAM 11-057	Independent Review of Pre-Award Financial Data for Contract No. CQ11269/JAD, "Drum Brake Shoe and Lining Assemblies"	04/25/11			
CAM 11-058	Independent Review of Pre-Award Financial Data for Contract No. FQ10162/BB, "Design and Maintain Bus Stop Schedule and Information Cases"	04/26/11			
CAM 11-059	Independent Review of Pre-Award Financial Data for Contract No. FQ11226/LAB, "Vendor Managed Inventory"	05/05/11			
CAM 11-060	Independent Review of Pre-Award Financial Data for Contract No. CQ11222, "Purchase Card Services"	05/17/11			

Report Number	Report Title	Date Issued	Questioned Costs*	Unsupported Costs	No. of Recommendations
CAM 11-061	Independent Review of Pre-Award Financial Data for Contract No. FQ11204, "Consolidation of On-Board Ancillary Bus Equipment and Fixed End Systems"	05/19/11			
CAM 11-068	Independent Review of Pre-Award Financial Data for Contract No. FQ11323, "Fare Card Vendor Coin Vault"	06/29/11			
<u>Other Attestation Reports</u>					
CAM 11-040	Advisory Memorandum Concerning PMRT's Request for Audit for Contract FQ10064/KPN, Billing Rate Proposal, On Call AFC Engineering Support	01/05/11			
CAM 11-043	Advisory Memorandum Concerning PRMT's Request for Audit of Pre-negotiation Proposal, Contract No. CQ11211, Suicide Prevention	01/21/11			
CAM 11-062	Independent Review for Sole Source Cost and Pricing Waiver for Contract No. FQ11134, "Inventory Item Master Data Clean-Up"	05/24/11			
CAM 11-065	Independent Review for Financial Settlement Work, Authorization Numbers 6D0118 and 6G041	06/02/11			
<p><b>* For purposes of this schedule, questioned costs include other recommended recoveries.</b></p> <p><b>Notes:</b>  <b>Description of Alternative Products</b></p> <p>Attestation reports convey the results of attestation engagements performed within the context of their stated scope and objective(s). Attestation engagements can cover a broad range of financial or non-financial subjects and can be part of a financial audit or performance audit. They include examination, review or performance of agreed-upon procedures on a subject matter or an assertion about a subject matter and reporting results.</p> <p>Pre-award audit services are provided by OIG in response to requests by WMATA's contracting or program office staffs. These normally include making an assessment of an offer or's accounting system and financial capability to perform the contract.</p>					

**Table 3: Other OIG Reports on WMATA Programs and Activities  
(January 1, 2011 through June 30, 2011)**

**(None were issued this reporting period)**

Report Number	Report Title	Date Issued
	<u>Internal Operations - Alert Memorandums and Control Self-Assessment</u>	



**Table 4: Investigative Activity Statistical Profile  
(January 1, 2011 through June 30, 2011)**

Statistic		No.
Complaints Received		<b>185</b>
Complaints Closed and Referred <sup>2</sup>		<b>161</b>
Investigations Opened		<b>17</b>
Investigations Closed		<b>12</b>
Matters Pending at end of Reporting Period (Investigations and Complaints)		<b>33</b>

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<sup>2</sup> Includes both complaints requiring investigative attention that did not result in an investigation and those referred directly to other complaint resolution processes.