

# STRATEGIC PLAN

2016-2019

September 1, 2015



**OIG** NEW ORLEANS OFFICE OF  
INSPECTOR GENERAL

E. R. Quatrevaux, Inspector General

**STRATEGIC PLAN  
2016-2019**

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## I. INTRODUCTION

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This Strategic Plan of the City of New Orleans Office of Inspector General (OIG) covers the period 2016–2019 and is updated annually as the plan for the next year is created.

Strategic planning identifies missions and goals, and develops priorities and strategies to accomplish those goals with available resources. Strategic planning is a cyclical process that assesses performance and reconsiders operational methods and work plans in order to obtain our goals in a changing environment.

The purpose of this plan is to define the direction of OIG activities. It sets forth the OIG mission, the risk assessments that determine OIG priorities, and strategies for accomplishing goals within resource constraints. The strategic plan is a means to ensure that resources remain focused on the most important issues and to guide future resource allocations.

### **Mission of the Office of Inspector General**

The mission of the OIG is to deter and detect fraud, waste, and abuse, and to promote efficiency and effectiveness in operations administered or funded by the City. The OIG finds facts and reports them to the Ethics Review Board and the public.

The establishing ordinance provides the OIG unique operational independence from the City's Executive and Legislative branches and encourages the OIG to work cooperatively with the Ethics Review Board. The ultimate customers of the OIG are the citizens and businesses that receive city services and pay city taxes.

## II. RISK ASSESSMENT

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The purpose of this assessment is to guide the OIG in its selection of projects and priorities for future work. It is neither a definitive analysis nor a comprehensive assessment. It is a listing of the concerns that guide OIG planning.

### ASSESSMENT CATEGORIES

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The risk assessment considers the universe of city programs and operations, and uses the following criteria in order of priority: public safety or public health risk; potential revenue increases or potential cost reductions; concerns expressed by City officials; and sources of widespread public concern.

#### City of New Orleans Procurement

The City's government adopted a new procurement policy for professional services contracting shortly after taking office in 2010. That policy was based on OIG recommendations in a report that described how the function was performed by other cities. Although the OIG often finds opportunities to improve individual procurements, the system generally provides transparency to the City's procurement of professional services.

#### Corruption

Fraud is theft by deceit and various schemes exist throughout the greater city government. Corruption is the enemy of efficiency and effectiveness and must be largely eliminated before city managers can turn their full attention to government performance.

#### Public Safety Risks

Public safety is the responsibility of the criminal justice system, which is composed of the New Orleans Police Department, prosecutors, courts, public defenders, corrections officials, and the medical examiner (coroner).

Dealing with violent crime demands that New Orleans have an excellent police force, one with an effective chain of command, a sufficient number of trained and fit officers, adequate equipment and technology, sufficient community support, and officers acting in compliance with the law and the Constitution. The OIG will continue to assist the NOPD in the pursuit of those goals through projects that illuminate problems and their causes as well as potential solutions.

Prosecutors and the courts must operate efficiently and effectively, have sufficient resources, and comply with the law. The medical examiner must have sufficient resources, operate efficiently and effectively and comply with the law.

The OIG has received grant funding to examine the finances of the justice-related entities. Funding inspections have been completed of the Jail, the NOPD, and the Traffic Court. Other entities to be inspected are the courts including the Juvenile Court, the Youth Study Center, the Coroner's Office, the District Attorney's Office, Orleans Public Defenders, and the Law Department.

### **Potential Revenue Risks**

- Property Tax assessments may be understated.

### **Potential Cost Reduction Risks**

- The Sewerage & Water Board's internal controls over payroll are defective and present opportunities for fraud.

### **Public Concerns**

- Many streets remain in poor condition.

### III. STRATEGIES

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The OIG strategy to prevent and detect fraud and abuse in City operations and entities includes:

- (1) Conducting Fraud Awareness seminars;
- (2) Conducting discussions based on OIG's Handbook for Boards and Commissions with publicly funded boards;
- (3) Conducting proactive analyses to identify potential fraud indicators;
- (4) Screening new procurements exceeding \$100,000 in value;
- (5) Monitoring high-risk City contracts; and
- (6) Conducting investigations into allegations or indications of fraud and abuse, and referring credible evidence of fraud or abuse to prosecutors and City officials, as appropriate.

The OIG has undertaken significant work at the NOPD, Sewerage & Water Board, and the Audubon Commission/Institute. The OIG will begin work at the Regional Transit Authority in 2017 or 2018.

The Construction Fraud Division will continue to provide fraud deterrence activities for the construction of a new terminal at Louis Armstrong International Airport until the new terminal is opened in 2018.

The strategy to promote efficiency and effectiveness consists of reviewing those areas of city operations or programs that may offer opportunities to improve public safety, to increase city revenues or reduce city expenditures, and to assess widespread public concerns.

## IV. RISK MITIGATION ACTIVITIES

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The projects listed below implement the strategy and are intended to mitigate the risks identified in the assessment. The schedule of activities will be reviewed and modified as circumstances warrant during 2016.

### 2016-2019 ACTIVITIES

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The projects shown in bold are scheduled to begin in 2016; the remaining projects in the following years. Projects may be delayed due to the carryover of 2015 projects or actions beyond the control of the OIG, such as delays in receiving requested documents.

#### PUBLIC SAFETY

##### **NOPD**

- **Audit of Uniform Crime Report Data Accuracy – Sex Crimes**
- **Audit of Sex Offender Checks**
- Audit of Uniform Crime Report Data Accuracy – Signal to be determined
- Evaluation of Traffic Ticket Issuance (NOPD) and Processing (Law Department)

##### **JUSTICE SYSTEM FUNDING EVALUATIONS**

- **Orleans Parish Criminal District Court**
- **Clerk of Criminal District Court**
- **Orleans Parish Juvenile Court & Youth Study Center**
- **Orleans Parish District Attorney’s Office**
- **Orleans Public Defenders**
- Orleans Parish Coroner’s Office
- Orleans Parish First and Second City Courts; Clerks and Constables
- Orleans Parish Civil District Court (voluntary)

##### **COURTS**

- Evaluation of Marijuana Diversion Programs

##### **LAW DEPARTMENT**

- Evaluation of Traffic Ticket Issuance (NOPD) and Processing (Law Department)

#### SEWERAGE & WATER BOARD

- Evaluation of Sewerage & Water Board Procurements
- Evaluation of Sewerage & Water Board Operations & Costs

- Evaluation of Sewerage & Water Board Self Insurance
- Evaluation of Sewerage & Water Board Fuel Controls

#### **ORLEANS PARISH SHERIFF’S OFFICE**

- **Audit of Food Services & Facilities**
- Evaluation of Health Services Contract
- Evaluation of Civil Sheriff Operations

#### **CITY OF NEW ORLEANS**

- **Audit of Accumulated Leave**
- **Evaluation of Parking Division Operations**
- Audit of Grant Subrecipients Oversight
- Audit of NOPD Off-duty Details
- Audit of Bureau of Revenue
- Audit of Vendor Listing
- Evaluation of Red-Light Camera Program
- Audit of Public Works Controls & Processes
- Evaluation of Permitting Process
- Evaluation of 911 Call Operations including Computer Aided Dispatch System
- Evaluation of Legal Claims
- Evaluation of Signal Shop Operations

#### **AUDUBON COMMISSION and AUDUBON NATURE INSTITUTE**

- **Audit of Fees Collection**
- Evaluation of Procurement

#### **REGIONAL TRANSIT AUTHORITY**

- Audit of Use of Funds
- Audit of TRANSDEV Contract Administration
- Evaluation of RTA / TRANSDEV Public-Private Partnership

#### **TOURISM**

- Aviation Board Construction Fraud Deterrence Program—ongoing
- French Quarter Citizen Reporting Initiative—ongoing



## **PROCUREMENT OVERSIGHT**

- Screen high value solicitations to assess risk and offer comments—ongoing
- Monitor high-risk contracts, including conducting audits and/or inspections—ongoing

## **PUBLIC CORRUPTION**

- Conduct Fraud Awareness seminars for employees and contractors—ongoing
- Conduct investigations and refer evidence to appropriate prosecutors—ongoing

## **LEGISLATIVE REVIEW**

- Review pending and existing ordinances, statutes and regulations, and make recommendations relating to fraud and abuse, or efficiency and effectiveness, in city programs and operations—ongoing

## V. VISION

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The NOLA OIG vision is ***to be an organization that serves all the citizens of New Orleans—one that makes a positive difference in the integrity, efficiency, effectiveness, and fairness of City government.***

The OIG serves its clients as constructive critic, helpful advisor, and positive change agent. While maintaining our independence, we work in a cooperative fashion with others to improve governance of the City of New Orleans.

Our aim is to deter those who would commit fraud or abuse their position. Failing that, our aim is to cause them to be held accountable for their misconduct. We also seek to contribute materially to government efficiency and effectiveness—to make a positive difference in the delivery of services to the City’s citizens.

## VI. GOALS

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The OIG is an oversight organization and accomplishes its mission principally through audits, evaluations, investigations, and other fact-finding and reporting activities. OIG mission effectiveness is guided by the following goals:

- **RELEVANCE:** Focusing OIG activities on the right issues at the right time;
- **CREDIBILITY:** Performing the work in a professional manner; and
- **COMMUNICATION:** Reporting the results of our work in a manner that achieves maximum impact and encourages expeditious action.

We believe that accomplishing these broad goals represents the best performance possible by an OIG.

## VII. PERFORMANCE MEASURES

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One or more sub-goals are presented for each goal, and performance measures and validation means are identified for each.

**GOAL: RELEVANCE** – OIG resources are directed to the issues of greatest concern; important projects are selected for review.

**Performance Measures:**

- Strategic plan assessed risks for the universe of City of New Orleans and its component and satellite entities responsibilities and operations. (Y/N)
- Resources were assigned according to priorities based on a risk assessment. (Y/N)

**GOAL: CREDIBILITY** – Reviews are performed by independent staff of sufficient competence to achieve review objectives in accordance with professional standards.

**SUBGOAL 1: *Independence*** – OIG staff is organizationally and personally independent.

**Performance Measures:** IG Certification of Independence prior to commencement of projects and in final reports. (Y/N)

**SUBGOAL 2: *Competence*** – OIG staff possesses the knowledge and skills to achieve the objectives of OIG projects.

**Performance Measures:**

- Percentage of staff meeting continuing professional education requirements.
- Percentage of audit and investigative staff with national certification(s).
- Percentage of audit and evaluation staff with advanced degrees.

**SUBGOAL 3: *Methodology*** – The methodology employed meets professional standards and is appropriate to review objectives.

**Performance Measures:**

- Percentage of reviews meeting applicable professional standards.
- Percentage of draft findings sustained in final reports.

**GOAL: COMMUNICATION** – Findings and recommendations reported achieve maximum impact and encourage corrective action.

**SUBGOAL 1: *Quality***: Information presented is accurate and complete; findings identify underlying causes of reported problems; and recommendations are effectively communicated to decision makers.

**Performance Measures:**

- Instances of factual errors or material omissions in final reports.
- Percentage of recommendations accepted.
- Annual Quality Assurance Review reports.

**SUBGOAL 2: *Form and Content*** – OIG reports meet all form and content expectations established by city ordinance and professional standards.

**Performance Measure:**

- Identified instances of failure to meet or satisfy form and content requirements.