

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Office of the Secretary of the District of Columbia



Responses to Fiscal Year 2016 Performance Oversight Questions

Lauren C. Vaughan
Secretary of the District of Columbia

Submission to
Committee on Government Operations

Chairman Brandon T. Todd
Councilmember, Ward 4

February 17, 2017

Committee on Government Operations
John A. Wilson Building
1350 Pennsylvania Ave., NW
Washington, DC 20004



Questions for Performance Oversight Hearing on Fiscal Year 2016 - 2017

- 1 Please provide the legislative history for the creation of the Office. Specifically,
 - a. The legislative vehicle by which the Office was created (Mayor's Order, resolution or statute).
 - b. What powers the Office has been delegated through Mayor's Order.
 - c. The legislative vehicle by which the Director was appointed (Mayor's Order, resolution, statute).

Response (a):

The history of the District of Columbia and the Office of the Secretary date back to 1802 when President Thomas Jefferson signed an act of Congress that established the Corporation of the City of Washington, in which the Voters who were defined as white males that paid taxes and had lived in the city for at least a year, received the right to elect a 12-member council. This First Council of the City of Washington established the Office of the City Register, which was the predecessor to the Office of Secretary.

In the years of history of the District of Columbia and the Office of the Secretary, there have been various amendments to the District's charter and changes in the title, duties, and responsibilities of the City Register, who was first appointed by the Mayor in 1802. The District's charter was amended in 1820 to broaden the scope of suffrage to property owners. The charter was amended again in 1848 to remove the property qualification for voting. In 1871, Congress amended the District's charter by uniting Washington City, Georgetown, and the County of Washington under a territorial government. In concert with the appointment of the governor and the council, President Grant appointed Norton P. Chipman as the first secretary under the territorial government. During the territorial government, the title of City Register was changed to Secretary. Also during this period, the current seal of the District of Columbia was adopted on August 3, 1871.

Congress amended the District's charter once again in 1874 by abolishing the territorial government and replacing it with a three-member commission. In 1878, Congress passed the Organic Act that established a Board of Commissioners for the District of Columbia. The Secretary of the District of Columbia served at the pleasure of the Board of Commissioners until 1967 and subsequently at the pleasure of the Mayor-Commissioner, when Congress established the Mayor-Commissioner form of government. This form of government lasted until 1974 when the current Home Rule charter was implemented. Under the District of Columbia Home Rule Act of 1973, the residents of the District of Columbia elect the Mayor and thirteen members of the Council of the District of Columbia. The Mayor appoints the Secretary of the District of Columbia, subject to the confirmation of the District Council.

The Office of the Secretary was established by Mayor's Order 1983-21, dated January 3, 1983, as amended by Mayor's Order 1984-51, dated February 29, 1984; as amended by Mayor's Order 1984-77, dated April 16, 1984, as amended by Mayor's Order 1984-112, dated July 11, 1984. The Office of the Secretary was then realigned by Mayor's Order 1987-1, dated January 2, 1987, then realigned by Mayor's Order 1991-192, dated December 4, 1991, as amended by Mayor's Order 1995-49, dated April 6, 1995, then realigned by Mayor's Order 1997-177, dated October 9, 1997; as amended by Mayor's Order 2014-043, dated February 21, 2014.

Response (b):

- Mayor's Order 2016-031 — Delegation — Authority to the Secretary of the District of Columbia to issue Notary Public regulations; and
- Mayor's Order 2012-025 – Delegation – Authority to the Secretary of the District of Columbia to issue procedures for the preparation and processing of administrative issuances, including Mayor's Orders and Mayor's Memoranda.



Response (c):

Lauren C. Vaughan was appointed as the Acting Secretary of the District of Columbia through Mayor's Order 2014-351, dated December 31, 2014. It was superseded by Mayor's Order 2015-138, dated May 21, 2015, which appointed Lauren C. Vaughan as the Secretary of the District of Columbia.



2 Please explain the mission of your Office.

Response:

The mission of the Office of the Secretary is to provide protocol, authentication and public records management services to the Mayor and District government agencies. The Office of the Secretary manages the District of Columbia's Archives, commissions all District of Columbia Notaries Public and publishes the District of Columbia Register and the District of Columbia Municipal Regulations.

The Secretary of the District of Columbia is the custodian of the Seal of the District of Columbia and attests to the appropriate use of the Seal and authenticity of official records, bond documents and other official documents of the executive branch. The Secretary also serves as the Chief Protocol Officer of the District.



3 Please explain the programming and services within your Office.

Response:

The Office of the Secretary of the District of Columbia consists of three offices and two units:

- Office of Documents and Administrative Issuances
- Office of Notary Commissions and Authentications
- Office of Public Records
- Protocol and International Affairs Unit
- Ceremonial Services Unit

The primary mission of the Office of Documents and Administrative Issuances is to provide prompt preparation, editing, printing and publication of the District of Columbia Register and the District of Columbia Municipal Regulations in accordance with the District of Columbia Documents Act of 1978. The office also has a primary responsibility for preparing or reviewing, editing and assisting in the drafting of Mayor's Orders, Mayor's Memoranda and policies and procedures, appointments to cabinet and senior-level positions in subordinate agencies to the Mayor, and board and commissions, delegations of authority to exercise authority to act on behalf of the Mayor, establishment of agencies, departments, and boards and commissions, and any other duties conferred to the Mayor by the District of Columbia Home Rule Act of 1973. The office's secondary mission is the enforcement of standards and procedures to be followed by all District of Columbia government agencies seeking to promulgate rules and regulations or to propose and issue executive orders and other administrative issuances. The Office of Documents and Administrative Issuances was established as the Office of Documents in 1979 by the District of Columbia Documents Act (DC Law 2-153). The Secretary became responsible for supervision of the Office of Documents in 1983. In 1987, the Office of Documents moved from the oversight of the Secretary to the Office of Intergovernmental Relations. Pursuant to Mayor's Order 91-192, the office is again a component office of the Office of the Secretary.

The Office of Notary Commissions and Authentications (ONCA) commissions District of Columbia notaries public and authenticates documents for domestic and foreign use. Authentication requires a signature from a DC department head or notarization by a District of Columbia commissioned notary public. A document is considered authenticated once the District of Columbia Seal and the proper certificate has been affixed to it.

The Office of Public Records schedules, collects, stores and manages records of the District government through the services of the District of Columbia Archives, Records Center and the Library of Government Information. These repositories hold a wide array of documents that include administrative, architectural, engineering, fiscal, genealogical, historical and legal records. The Office of Public Records Management, Archival Administration and Library of Government Information (Office of Public Records) was established in the Office of the Secretary, February 11, 1986, by Mayor's Order 86-28, in accordance with DC Law 6-19, to collect and preserve the history of the District government.

The Protocol and International Affairs Unit is the District government's primary liaison with the diplomatic and international community in Washington, DC. We host one of the largest diplomatic communities in the world as well as many international agencies. This office serves as the primary link to the 186 embassies and two special interest sections located in the District of Columbia. This Unit also manages the Sister City program, and currently, the District of Columbia has partnership with 14 cities.

The Ceremonial Services Unit is responsible for processing all requests for ceremonial documents from the Mayor including proclamations, salutations, citations, certificates of appreciation, public service awards, greetings, congratulatory or condolence letters and other items of a ceremonial nature. The Mayor presents or sends these documents to individuals, businesses, organizations and government agencies.



4 **Please provide, as an attachment to your answers, a copy of your Office's current annual performance plan as submitted to the Office of the City Administrator.**

Response:
See Attachment A.



Contracts/Procurement-Contracts lapsed into retroactive status	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Budget- Local funds unspent	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Budget- Federal Funds returned	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Customer Service-Meeting Service Level Agreements	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Human Resources-Vacancy Rate	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Human Resources-Employee District residency	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Human Resources-Employee Onboard Time	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017
Performance Management-Employee Performance Plan Completion	✓	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017

2017 Operations

Operations Header	Operations Title	Operations Description	Type of Operations
1 - Promote the District of Columbia and its rich history to local, national and international communities through events and initiatives while supporting the quest for DC democracy. (3 Activities)			
DC DEMOCRACY INITIATIVES	DC Democratic Grant		Daily Service
CEREMONIAL SERVICES	Ceremonial documents for constituents		Daily Service
Emancipation Day	Emancipation Day celebration		Daily Service
2 - Provides customer friendly and efficient processing of notary commissions and the authentication of documents signed by District notaries for domestic and foreign use. (2 Activities)			
NOTARY AUTHENTICATIONS	Commission the notaries		Daily Service
NOTARY AUTHENTICATIONS	Authenticate documents for international and domestic use		Daily Service
3 - Provide support and outreach services to the diplomatic and international communities. (1 Activity)			
INTERNATIONAL RELATIONS & PROTOCOL	Serve as liaison with diplomatic community in DC		Daily Service
4 - Provides meaningful access to records of the District government to members of the public and District employees through prompt customer service, accurate arrangement and description of collections, and appropriate retention and preservation of historic documents. (3 Activities)			
ARCHIVAL ADMIN.	Manage District government records		Daily Service
ARCHIVAL ADMIN.	Manage the Library of Government Information		Daily Service
LIBRARY OF GOVT. INFO. ACTIVITY	Library of Government Information		Daily Service
5 - Provide timely technical, professional and other legal services to the Mayor, District of Columbia agencies, and general public in order to give and/or have official notice of all proposed and adopted legal mandates. (1 Activity)			
ADMIN. ISSUANCES	Publish the DC Register and the DC Municipal Regulations		Daily Service

2017 Workload Measures

Measure	New Measure/ Benchmark Year	Add Historical and Target Data (FY17)	Numerator Title	Units	Frequency of Reporting	FY 2014	FY 2015	FY 2016 Actual
3 - Serve as liaison with diplomatic community in DC (1 Measure)								
Percentage of National Day letters written versus number of National Days	✓		National Day Letters Written	Percent of National Day Letters	Annually	Not available	Not available	New Measure
4 - Manage District government records (5 Measures)								
Number of on-site researchers served	✓		Number of on-site researchers served	Number of researchers	Annually	Not available	Not available	New Measure

Number of publications added to the Library of Government Information	✓	Number of publications added to the Library of Government Information	Number of publications	Annually	Not available	Not available	New Measure
Volume of records accessioned to the DC Archives	✓	Volume of records accessioned to the DC Archives	Number of records	Annually	Not available	Not available	New Measure
Number of transfers ("SF-135s") made by District agencies to the Federal Records Center	✓	Number of transfers ("SF-135s") made by District agencies to the Federal Records Center	Number of transfers	Annually	Not available	Not available	New Measure
Number of records requests received	✓	Number of records requests received	Number of requests	Annually	Not available	Not available	New Measure

5 - Publish the DC Register and the DC Municipal Regulations (2 Measures)

Number of rulemakings processed	<input type="checkbox"/>	Number of rulemakings	#	Annually	436	398	495
Number of administrative issuances processed	<input type="checkbox"/>	Number of administrative issuances	#	Annually	296	349	195

2017 Strategic Initiatives

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date
ADMIN. ISSUANCES (2 Strategic initiative-operation links)		
In conjunction with OCTO, continue to review ODAI's e-rulemaking website, DCRegs, to determine required fixes, updates and enhancements	ODAI expects to continue to work with OCTO to determine the requirements to enhance DCRegs	09-30-2017
Provide public access to Executive Office of the Mayor's historical administrative issuances	During FY 2017, ODAI will publish on DCRegs digitized historical Mayor's Orders for years 1965 through 1972.	09-30-2017
ARCHIVAL ADMIN. (2 Strategic initiative-operation links)		
New Archives Facility	Undertake needed activities to prepare the archives and records center collections for a move to a new archives facility by FY2022	09-30-2017
Archives Technology	Implement a full-featured, comprehensive archives and records center information management system to support and facilitate OPR's operations.	09-30-2017
INTERNATIONAL RELATIONS & PROTOCOL (1 Strategic Initiative-Operation Link)		
Create a taskforce of major players	Create a taskforce of major players involved in peripheral embassy matters that would meet regularly	09-30-2017
NOTARY AUTHENTICATIONS (2 Strategic initiative-operation links)		
Automate the commissioning functions of the Office of Notary Commissions and Authentications (ONCA)	This initiative will allow ONCA to automate its workflow process for both notary and authentications. The notary services currently rely only on hard copies of notary files to search for applicants and must use Excel sheets to track information and provide OCTO with information for the "Search for a Notary Public" link. This initiative would also allow the possibility of providing for online notary applications and the use of credit cards online. The authentications division would be enhanced by allowing a rapid validation of the notary and more efficient process for the authentication certificates. This initiative has been requested in at least 2009 and in 2015 and was not achieved.	09-30-2017

Complete amendments and updates to the DC Code (Chapter 12) and DCMR (17-2400)

This initiative would a comprehensive update of necessary changes to the code and DCMR for ONCA. Much of the current language is outdated and we also are out of compliance with some language that in practice and reality does not work. While we worked on some major issues, there are still many outstanding topics to be resolved. Some of these may require consideration by the Council as they will be changes in the code. The changes in the DCMR should be finalized by mid-January and then will need to be published in the DC Register. Among the measurements will be establishing a hearings and review procedure for denials and revocations of notary commissions, compliance with the regulations and increase in the notarial fees; this will make the notaries extremely happy. The amendments to the code may include changing the language of "sole" place of business eliminating the requirement for notaries who resign their commissions turn their records over to the office and possibly including additional requirements to become a notary.

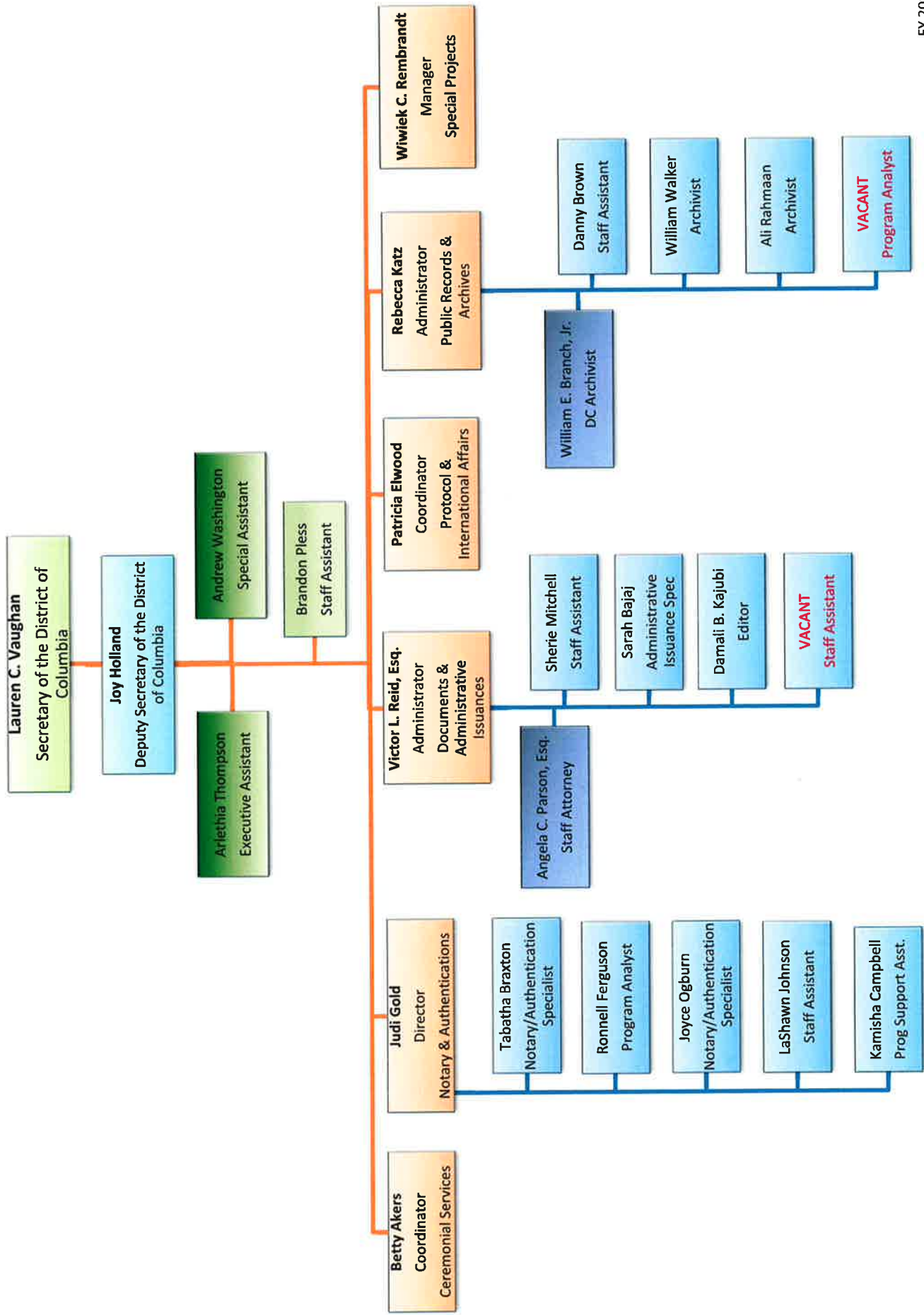
09-30-2017

5 Please provide, as an attachment to your answers a current organizational chart for your Office including and, as explanation of the roles and responsibilities for each division and subdivision.

Response:
See Attachment B.



Office of the Secretary of the District of Columbia



6 Please provide a complete position listing for your agency for fiscal year 2016 to date, including the following information.

- a. Name of employee
- b. Title of position
- c. Grade, series and step of position
- d. Date employee began
- e. Salary & fringe benefits
- f. Job status (continuing, term, temporary or contract)

Response:

Name	Title	Grade	Step	Hire Date	Salary	Fringe	Reg/ Temp/ Term
Vaughan, Lauren C	Secretary of the District of Columbia	E3	0	1/2/2015	143,221.50	27,068.86	Reg
Holland, Joy	Deputy Secretary of the District of Columbia	ES9	0	6/25/2007	136,325.65	25,765.55	Reg
Pless, Brandon C	Staff Assistant	9	3	6/2/2014	50,201.00	9,487.99	Term
Washington, Andrew	Special Assistant	12	5	1/18/2011	79,077.00	14,945.55	Reg
Rembrandt, Wiwiek	Special Projects Coordinator	13	5	10/22/2012	91,438.00	17,281.78	Reg
Thompson, Arlethia	Executive Assistant	12	5	10/21/2002	79,077.00	14,945.55	Reg
Akers, Betty J	Coordinator Ceremonial Svc	13	7	3/7/1982	96,632.00	18,263.45	Reg
Elwood, Patricia Sue	Coordinator International Affairs	ES8	0	1/2/2007	113,563.83	21,463.56	Reg
Gold, Judi A	Director Notary & Authentication.	ES7	0	3/31/2008	101,315.95	19,148.71	Reg
Ferguson, Ronnell	Program Analyst	12	3	11/13/2001	74,711.00	14,120.38	Reg
Braxton, Tabatha R	Notary and Authentication Spec	12	2	6/22/1990	72,528.00	13,707.79	Reg
Johnson, LaShawn	Staff Assistant	ES3	0	4/18/2016	49,440.00	9,344.16	Reg
Ogburn, Joyce M	Notary and Authentication Spec	13	4	2/3/1983	88,841.00	16,790.95	Reg
Campbell, Kamisha	Program Support Assistant	7	1	10/17/2016	39,063.00	7,382.91	Term
Reid, Victor L	Administrator, Ofc of Document	ES8	0	2/28/2011	124,570.88	23,543.90	Reg
Mitchell, Sherie C	Staff Assistant	11	6	3/31/2014	65,987.00	12,471.54	Reg
VACANT	Staff Assistant	ES3	0		57,964.00	10,955.20	Reg



Parsons, Angela C.	Attorney Advisor	13	7	12/31/2012	113,893.00	21,525.78	Reg
Bajaj, Sarah	Administrative Issuance Spec.	12	5	9/21/2015	79,077.00	14,945.55	Reg
Kajubi, Damali B	Editor	13	6	5/30/2006	94,035.00	17,772.62	Reg
Katz, Rebecca A	Public Records Administrator	ES7	0	3/29/2010	100,785.50	19,048.46	Reg
Branch Jr., William E	Archivist	13	5	10/18/2004	91,438.00	17,281.78	Reg
Rahmaan, Ali	Archivist	11	7	10/4/2004	67,814.00	12,816.85	Reg
Walker, William A	Archivist	12	7	10/4/2004	83,443.00	15,770.73	Reg
Brown, Danny O	Staff Assistant	9	5	9/15/2008	53,217.00	10,058.01	Reg
VACANT	Program Analyst	12	1		70,345.00	13,295.21	



- 7 For fiscal years 2015, 2016, 2017 to date, please list each employee whose salary was \$110,000 or more. For each employee listed provide the name, position title, salary, and amount of any overtime and/ or bonus pay.

Response:

FY 2017

Name	Title	Grade	Step	Salary	Fringe	Bonus/ Overtime
Vaughan, Lauren C	Secretary of the District of Columbia	E3	0	143,221.50	27,068.86	N/A
Holland, Joy	Deputy Secretary of the District of Columbia	ES9	0	136,325.65	25,765.55	N/A
Reid, Victor L	Administrator, Ofc of Document	ES8	0	124,570.88	23,543.90	N/A
Parsons, Angela C.	Attorney Advisor	13	7	113,893.00	21,525.78	N/A
Elwood, Patricia Sue	Coordinator International Affairs	ES8	0	113,563.83	21,463.56	N/A

FY 2016

Name	Title	Grade	Step	Salary	Fringe	Bonus/ Overtime
Vaughan, Lauren C	Secretary of the District of Columbia	E3	0	139,050.00	24,820.43	N/A
Holland, Joy	Deputy Secretary of the District of Columbia	ES9	0	132,355.00	23,625.37	N/A
Reid, Victor L	Administrator, Ofc of Document	ES8	0	120,942.60	21,588.25	N/A
Elwood, Patricia Sue	Coordinator International Affairs	ES8	0	110,256.15	19,680.72	N/A

FY 2015

Name	Title	Grade	Step	Salary	Fringe	Bonus/ Overtime
Fitzgerald, Alfonza	Support Services Manager	MSS15	0	141,855.72	32,343.10	N/A
Vaughan, Lauren C	Secretary of the District of Columbia	E3	0	135,000.00	30,780.00	N/A
Holland, Joy	Deputy Secretary of the District of Columbia	ES9	0	128,500.00	29,298.00	N/A
Reid, Victor L	Administrator, Ofc of Document	ES8	0	117,420.00	26,771.76	N/A



- 8 **Please provide a list of employees detailed to or from your agency. Provide the reason for the detail, the detailed employee's date of detail, and the detailed employee's projected date of return.**

Response:

None



9 Please list and describe any ongoing investigations, audits, or reports on your Office.

Response:

None



10 **Please list all employee grievances filed against your Office in fiscal years 2016 and 2017 to date, if any. Please provide a brief description of the matter as well as the current status.**

Response:

None



- 11 **Does the agency conduct annual performance evaluation of all its employees? If so, who is responsible for conducting them? What steps are taken to ensure all agency employees are meeting individual job requirements?**

Response:

All OS staff is evaluated. Supervisors are responsible for reviews of each employee's work. Reviews are conducted routinely.



12 **Please describe any employee trainings your staff are required to attend and are they up to date on them?**

Response:

All employees are up to date with the District's mandatory trainings. Sexual harassment and ethics trainings are a few of mandatory trainings that all employees are required to take. All OS employees took the sexual harassment and ethics trainings during the new employee orientation. OS, in collaboration with DC Human Resources, also conducted a refresher mandatory Sexual Harassment training for OS staff in September 2016.

The Office of the Secretary has designated staff as the agency's Donations Point of Contact and Agency Risk Manager Representative. OS's Donations Point of Contact attended the annual Donation Management Training conducted by the Office of Partnerships and Grant Services in December 2016. OS's Agency Risk Manager Representative is also current with the training requirements set by the Office of Risk Management.



13 Please describe the Office's efforts to minimize internal waste, fraud, and abuse.

Response:

The Office of the Secretary minimizes internal waste, fraud and abuse by requiring all employees to perform their work on DC government computers and to save their work on a shared drive. This enables the District government to monitor activity, thereby minimizing the opportunity for fraud and abuse and reducing the need for paper files. This also allows staff to share and track the work of each other.



14 **What services does your Office provide specifically to District residents and how many residents take advantage of those services?**

Response:

The Ceremonial Services Unit is responsible for processing all requests for ceremonial documents from the Mayor including proclamations, salutations, citations, certificates of appreciation, public service awards, greetings, congratulatory or condolence letters and other items of a ceremonial nature. On average, the unit prepares approximately 1,200 documents every year. Most requests are received through the OS website.

The Protocol and International Affairs Unit serves as the primary liaison between the diplomatic community and the District government. The Protocol and International Affairs Unit also works with government agencies and specific embassies to help solve problems.

The Office of Notary Commissions and Authentications (ONCA) commissions individuals to become notaries public and authenticates documents for overseas and domestic use. ONCA serves approximately 650 walk-in customers weekly. ONCA also commissions all notaries public in DC. The orientation sessions for notaries public are held twice a month. On average, 50-75 people attend each session.

The Office of Public Records (OPR) provides access to a range of historical materials. Most of the requests fall into three categories: genealogy related requests, which frequently can be fulfilled with no visit required; building permits and plans, which require an appointment; and land records (deeds). During FY16, the office responded to 3,760 reference requests.

The Office of Documents and Administrative Issuances (ODAI) publishes the *District of Columbia Register* (DCR), the official weekly legal publication for the District of Columbia government and includes District of Columbia laws enacted by the Council of the District of Columbia. Regulations promulgated by the Mayor's subordinate agencies, District independent agencies, charter schools, ANCs and other official entities of the District of Columbia government. The *District of Columbia Register* is published each Friday. The *District of Columbia Register* is published on the Internet via ODAI's website, DCRegs (www.dc.dcregs.gov), and it is publically assessable. ODAI does not track how many District residents access and review the *District of Columbia Register*.



15 **Through what methods (e.g., website, social media, newsletter, email, flyers, door knocking) does your Office communicate your services to District residents?**

Response:

Most of the information for the services offered by the Office of the Secretary is available through the OS website. The website is updated regularly to ensure all information is current.

The Office of the Secretary also utilizes various social media platforms to communicate its activities. Currently, the Office of the Secretary's Twitter account has more than 1,100 followers @SecretaryofDC. The Office of Documents and Administrative Issuances (ODAI) has a Twitter account and it tweets weekly to announce that the District of Columbia Register is available for review. ODAI also attaches a link to the District of Columbia Register to its tweet.

The DC One Fund Campaign, which is operated out of the Office of the Secretary, has a Twitter account @DCONEFUND to communicate its campaign activities.



16 **Please identify all databases maintained by your Office, including the following:**

- a. **A detailed description of the information tracking within each system;**
- b. **The age of the system and any substantial upgrades that have been made or planned to be made;**
- c. **How the information is protected; and**
- d. **Whether the public can be granted access to all or part of each system.**

Response (a):

Each program under the Office of the Secretary has maintained databases to track the activities within that program. OS uses the Intranet Quorum (IQ) system mostly to track various documents from creation to completion.

The Office of Documents and Administrative Issuances (ODAI)'s DCRegs database tracks notices submitted for publication from three main user groups: the DC Council, agencies of the Executive Branch, and DC Public Charter Schools. Within the database, DCRegs tracks each uploaded notice by assigning the notice an ID. DCRegs tracks the name of the user who created the notice and tracks users who make any changes to the uploaded notice, as well as the action type (submit, return, confirm for publication), and date and time for each action. Authorized users can view the tracking information using the Notice History for each notice.

The Office of Public Records (OPR) utilizes an information system called AXAEM, which is a comprehensive information management system designed specifically for state archives and records centers. Currently, there are three primary categories of data maintained in AXAEM: collections data (i.e. shelf location of records), agency data (i.e. the agency's history), and researcher data (i.e. researcher contact information and their research topics).

The Office of Notary Commissions and Authentications (ONCA) uses Excel for most of its database. Excel spreadsheets contain the notary public commissioner information and we use it to track the process for the applicants. ONCA also uses iNovah software for revenues collection. This system allows ONCA to accept credit cards, checks and money orders from customers who walk-in, but only checks for those who send in requests for authentications and notary applications by mail. The iNovah system is also used to record the serial numbers for the Apostilles (An Apostille is a certificate issued by a designated authority in a country where the Hague Convention Abolishing the Requirement for Legalization of Foreign Public Documents, Apostille Convention, is in force).

Response (b):

DCRegs was created in 2009. ODAI is in process of creating an updated version of DCRegs based on FileNet Architecture to allow for faster searches. FileNet will also allow ODAI to upload historical documents that were published as hardcopies.

AXAEM was implemented in 2014. OPR is looking to engage a vendor to update and maintain the system.

ONCA started using Excel to maintain its databases in 2011. There have been several efforts to adopt a new system that also allow for office automation. The iNovah system was installed in 2007 and it allows ONCA to accept credit card payment.

Response (c):

All applications used by our office are stored in the District Data Center that is maintained by OCTO. The protection of these applications and databases fall under OCTO's jurisdiction.

Response (d):

The public has access to information through the OS website.



17 **What has your Office done in the previous fiscal year to be more transparent with its activities and what can your Office do in the future to be more transparent?**

Response:

In the previous fiscal year, the Office of Secretary has performed the following:

- Updated the website of the Office of the Secretary regularly to ensure all information is current.
- DCRegs system debuted online and has brought together all of the District's updated municipal regulations for the first time ever.
- Added more historical mayor's orders to the OS website (1963-present).
- Use social media (Twitter account) to communicate with the general public about the activities of OS.

In the future, the Office of the Secretary will perform the following:

- Upgrade DCRegs website to be more user friendly.
- Automate the functions in the Office of Notary Commissions and Authentications.



18 **What were your priorities from the previous fiscal year and were they met? Please explain how.**

Response:

- Building of a new archive and records management facility.
- Update and /or develop record retention schedules for all District government agencies.
- Strengthen relations with the international community:
 - Sent a Welcome Packet from the Mayor to every newly-arriving Ambassador.
 - Delivered letter of Condolence for tragic events in a specific country, if applicable.
 - Sent a Congratulatory letter for the occasion of the country's National Day.
 - Attended receptions to show respect of the other country's traditions and customs.



19 What were your Office's major accomplishments or highlights in fiscal years 2016 and 2017 to date? Please explain.

Response:

FY 2016:

- Successful completion of the DC One Fund Campaign.
- Coordinated the first Full Democracy Champions Breakfast to revive the statehood movement.
- ODAI published the 2016 Zoning Regulations, which became effective September 6, 2016. Over a period of five years, ODAI worked with Office of Zoning to plan, review, edit and publish the Regulations. The Zoning Regulations of 2016 represent the first review and comprehensive overhaul of District of Columbia Zoning Regulations since 1958. The impact or benefit of the new Zoning Regulations on District residents are many including the important modernization of residential housing, commercial and use regulations. Moreover, the new Zoning Regulations are an excellent complement to recent (2013) District of Columbia Construction Codes.
- Ninety-five percent of agencies have designated records management officers.
- Successful celebration of the 60th Anniversary of the Sister Cities International. The Office of the Secretary in collaboration with the Sister Cities International and the Embassy of the People's Republic of China hosted a Welcome Reception to commemorate Sister Cities International's 60th Anniversary. The reception took place at the Embassy of the People's Republic of China.
- The Office of Public Records (OPR) participated in the Mayor's reception for the opening of the National Museum of African American History and Culture in September 2016. OPR exhibited some of OPR's collections to showcase the relevance of our archival collections while highlighting the significant contributions of the District's African American residents on the national stage since Emancipation.

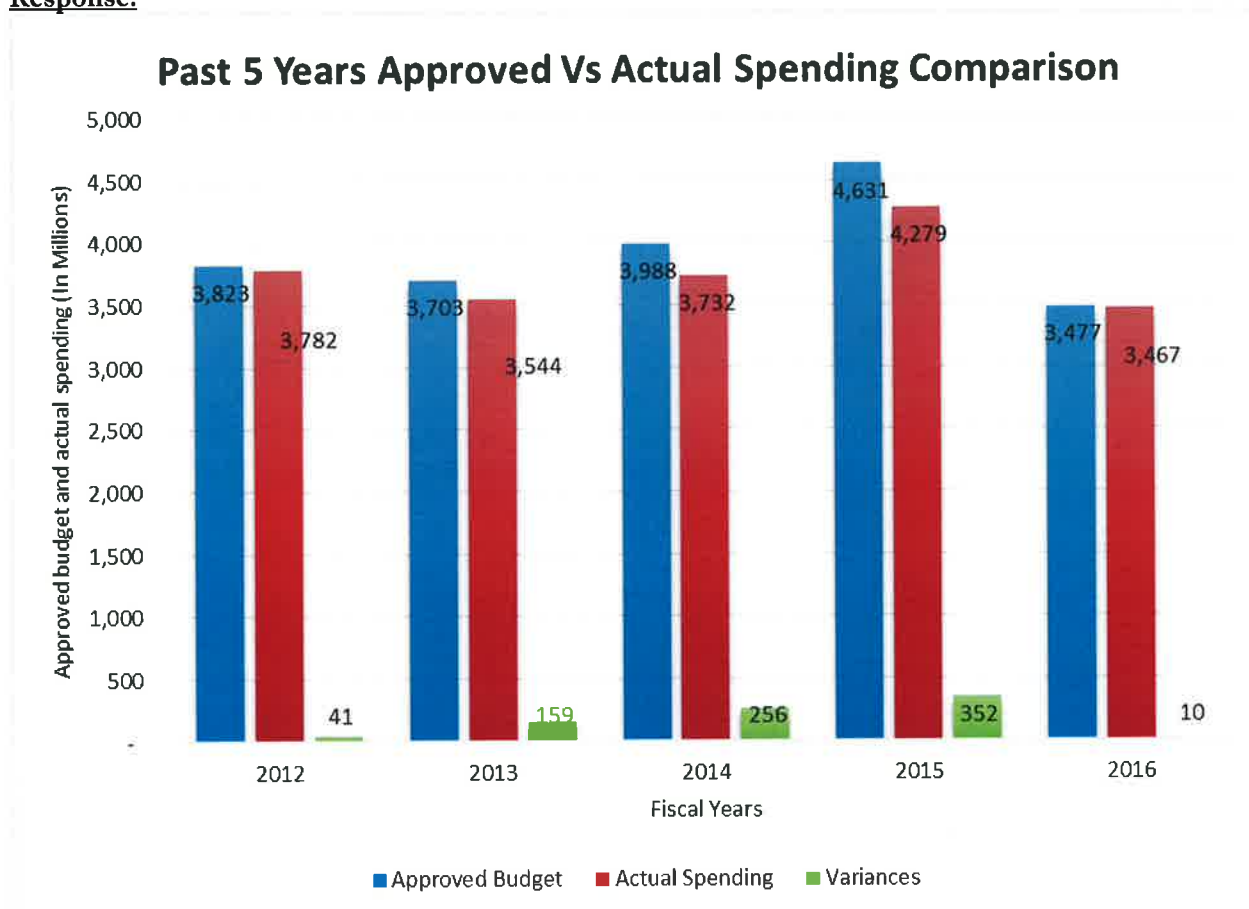
FY 2017:

- Successful completion of the DC One Fund Campaign.



- 20 Please provide a chart showing your Office's approved budget and actual spending for the past five fiscal years. Explain any variances between fiscal year appropriations and actual expenditures.

Response:



- 21 In chronological order, please provide any reprogramming, in or out, which occurred in fiscal years 2016 and 2017 to date. For each reprogramming, list the total amount of the reprogramming, the original purposes for which these funds were dedicated and the reprogrammed use of funds.

Response:

Transferor	Transferee	Reprogramming Number	Amount of Reprogramming	Date	Purpose of Reprogramming
Fiscal Year 2017 to date					
None					
Fiscal Year 2016					
Office of the City Administrator	Office of the Secretary	Reprogramming Numbers only provided for reprogramming over \$500,000	\$200,000.00	5/31/2016	To address overage in Non-Personnel cost
Office of the City Administrator	Office of the Secretary	Reprogramming Numbers only provided for reprogramming over \$500,000	\$100,000.00	9/8/2016	To address overage in Personnel cost
Office of the City Administrator	Office of the Secretary	Reprogramming Numbers only provided for reprogramming over \$500,000	\$100,000.00	9/9/2016	To address overage in Personnel cost



22 Please provide a complete accounting for all intra-District transfers received by or transferred from the agency during fiscal years 2016 and 2017 to date.

Response:

Transferor	Transferee	Amount of Transfer
Fiscal Year 2017 to date		
Office of the Secretary	Office of Financial Resource and Management	\$2,139.98
Office of the Secretary	Department of Public Works	\$7,517.42
Office of the Secretary	Office of Purchasing and Contracting	\$21,000.00
Office of the Secretary	Office of Chief Technology Officer	\$665.00
Office of the Secretary	Office Finance and Treasury	\$1,724.25
Fiscal Year 2016		
Office of the Secretary	Office of Financial Resource and Management	\$1,568.52
Office of the Secretary	Department of Public Works	\$3,733.44
Office of the Secretary	Office of Purchasing and Contracting	\$79,532.43
Office of the Secretary	Office of Chief Technology Officer	\$2,440.01
Office of the Secretary	Office Finance and Treasury	\$6,463.69



23 Please list all memoranda of understanding (MOU) in place during fiscal years 2016 and 2017 to date.

Response:

Fiscal Year 2017				
Transferor	Transferee	Amount of MOU	Duration	Purpose of MOU
Office of the Secretary	National Archives and Records Administration	\$700,000	10/1/2016 thru 9/30/2017	Records Storage and Services
Office of the Secretary	Executive Office of the Mayor	\$5,000	10/1/2016 thru 9/30/2017	EOM will provide telecom, transportation, courier, procurement, and associated administrative services that shall benefit the District in various facets of operation
Office of the Secretary	Office Finance and Treasury	\$7,000	10/1/2016 thru 9/30/2017	Merchant Services – processing revenue collections from the Office of Notary Commissions and Authentications
Office of the Secretary	United Black Fund	N/A	10/5/16 thru 9/30/18	Provides support for DC One Fund campaign
Fiscal Year 2016				
Transferor	Transferee	Amount of MOU	Duration	Purpose of MOU
Office of the Secretary	National Archives and Records Administration	\$625,842	10/1/2015 thru 9/30/2016	Records Storage and Services
Office of the Secretary	Executive Office of the Mayor	\$4,500	10/1/2015 thru 9/30/2016	EOM will provide telecom, transportation, courier, procurement, and associated administrative services that shall benefit the District in various facets of operation.
Office of the Secretary	Office Finance and Treasury	\$7,000	10/1/2015 thru 9/30/2016	Merchant Services – processing revenue collections from the Office of Notary Commissions and Authentications
Office of the Secretary	Office of Administrative Hearings	\$1,282.89	9/14/16 thru 9/30/16	Conduct requests for review of denials and revocations of notary commissions
Office of the Secretary	United Way of the National Capital Area	N/A	9/30/16 thru 9/30/18	Provides support for DC One Fund campaign



24 Please identify any special purpose accounts maintained by, used by, or available for use by your agency during the previous fiscal year. For each account, please list the following

- a. Revenue source name and code
- b. Source of funding
- c. Description of the program that generates the funds
- d. Amount of funds generated
- e. Expenditures of funds

Response:

Revenue Source Name	Object Title	Code	Program Description	FY 16 Revenue	FY 17 (01/31/17)
Special Purpose Revenue Funds	DCMR TITLE 31 TAXICABS 7 PUBLIC VEHICLES	0633	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.		16.00
Special Purpose Revenue Funds	DCMR TITLE 6A POLICE PERSONNEL	0605	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	75.00	
Special Purpose Revenue Funds	NOTARY COMMISSIONS	0650	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	153,765.00	42,810.00
Special Purpose Revenue Funds	APOSTLE	0651	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	278,595.00	106,590.00
Special Purpose Revenue Funds	FOREIGN CERTIFICATES	0652	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	468,660.00	151,275.00
Special Purpose Revenue Funds	A CERTIFICATES	0653	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	1,230.00	525.00
Special Purpose Revenue Funds	DEPARTMENT HEAD CERTIFICATE	0654	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	10,080.00	2,370.00
Special Purpose Revenue Funds	OTHER REVENUES	6106	Notary provides commissions for all notaries public in the District of Columbia and authenticates documents signed by District notaries public for domestic and foreign use.	60.00	
TOTAL				912,465.00	303,586.00



25 List each contract, procurement, lease and grant awarded or entered into by your Office during the fiscal years 2016 and 2017 to date. For each contract, please provide the following information where applicable.

- a. The nature of the contracting party
- b. The nature of the contract, including the end product or service
- c. The dollar amount of the contract, including the budgeted amount and actually spent
- d. The term of the contract
- e. Whether the contract was competitively bid or not. How many bids were received?
- f. The name of the agency's contract monitor and results of any monitoring activity
- g. Funding source

Response (a):

To provide support for Mayor Bowser's initiatives to achieve full voting rights in the United States Congress, and, ultimately, statehood for the District of Columbia, the Office of the Secretary is charged with responsibility to issue competitive grants to promote voting rights and statehood.

Response (b):

The F Y 2016 and FY 2017 Budget authorize \$200,000 for the Office of the Secretary to issue competitive grants to promote voting rights and statehood.

Response (c):

In FY 2016, the Office of the Secretary granted a total of \$200,000 grant to the following entities:

- DC Vote has been awarded a grant for \$100,000.
- The League of Women Voters Education Fund has been awarded a grant for \$50,000.
- Stand Up! for Democracy in DC has been awarded a grant for \$10,000.
- Students for DC Statehood has been awarded a grant for \$30,000.
- Vision House has been awarded a grant for \$10,000.

Response (d):

The program funded with FY2016 funds must be expended by September 30, 2016, with a full accounting provided to the Office of the Secretary no later than December 31, 2016.

Response (e):

The grants are solicited through the Request for Applications for a Grant to Promote District of Columbia Voting Rights and Statehood.

Response (f):

The Office of the Secretary of the District of Columbia has been charged with responsibility to issue and monitor these competitive grants.

Response (g):

The DC Democracy Grant is budgeted through the local funds.



26 **If your Office oversees capital projects, please provide a list of projects and the following information:**

- a. **Description of each project**
- b. **Amount of capital funds available for each project**
- c. **Status report on each project, including timeframe for completion**
- d. **Planned remaining spending on the project**

Response (a):

- Planning, site selection and design for a new Office of Public Records (i.e. Archives) - The District's current primary archive facility is located at 1300 Naylor Court. It is anticipated that the new Archives will require 135,000 cubic feet of record storage space as well as research and user space. A/E is at the final phase or completing feasibility studies of various sites for the new facility.
- Stabilization effort for the 1300 Naylor Court building(OPR) - The building is going through HVAC upgrade and minor modification of the staff areas. The project is divided into two phases. Phase I includes the HVAC upgrade of the staff and research areas. Phase II includes the HVAC upgrade of the entire building.

Response (b):

- Proposed New Archive Facility - The budget authority request for FY17 is \$84,325,000, with the original appropriation in FY13. Although the funds are for OS's project, the Department of General Services (DGS) is the implementing agency that manages the construction portion of this project. As of FY17, the budget allotment is \$16,825,000, with the details as \$500,000 in FY13; \$4,000,000 in FY14; \$325,000 in FY15; \$2,000,000 in FY16; and \$10,000,000 in FY17. There is a reprogramming in FY17 to transfer \$3,000,000 to fund the stabilization effort for the 1300 Naylor Court building.
- 1300 Naylor Court building(OPR) - Current funding is \$3.016M, which includes \$3,000,000 reallocated funding

Response (c):

- Proposed New Archive Facility - Final feasibility and site selection report will be submitted to OS by the end of February 2017. Anticipated design phase completion is February 2018. Construction phase will be about 2-3 years.
- 1300 Naylor Court building(OPR) - Phase I will be completed on 2/15/17. Phase II will be completed in fall 2017.

Response (d):

- Proposed New Archive Facility - About \$2.5M on design Phase and the rest of the budget will be used for construction phase.
- 1300 Naylor Court building(OPR): About \$500,000 is currently spent on design and construction of phase I and about \$1.5M for Phase II.



27 **Please provide a list of all federal grants or other grants your Office received in the fiscal years 2016 and 2017 to date.**

Response:

FY 2016: None

FY 2017: None



- 28 In table format, please list the following for fiscal years 2016 and 2017 to date regarding the agency's use of SmartPay (credit) cards for agency purchases: (1) individuals (by name and title/position) authorized to use the cards; (2) purchase limits (per person, per day, etc.); and (3) total spent (by person and for the agency).

Response:

The Office of the Secretary has a MOU with the Executive Office of the Mayor (EOM)'s Support Services that authorizes EOM staff to provide procurement services to the Office of the Secretary.

Fiscal Year 2016			
Name	Title	Amount Spend	Purchase Limits
Rosa Burch	Support Services Specialist	\$67,323.67	Single purchase limit = \$5000 for goods, \$2000 for services
Alfonza Fitzgerald	Support Services Manager	\$13,303.64	Single purchase limit = \$5000 for goods, \$2000 for services
Total = \$80,627.31			
Fiscal Year 2017 (YTD)			
Rosa Burch	Support Services Specialist	\$19,242.15	Single purchase limit = \$5000 for goods, \$2000 for services
Alfonza Fitzgerald	Support Services Manager	\$12,542.57	Single purchase limit = \$5000 for goods, \$2000 for services
Total = \$31,784.72			



29 (a) In table format, please provide the following information for fiscal years 2016 and 2017 to date, regarding your agency's use of cellular phones and mobile devices: (1) individuals (by name and title/position) authorized to carry and use such devices; (2) total annual expense (FY) for each individual's use; and (3) justification for such use (per person). If the list is more than one page in length, you may provide it as an attachment.

b) Please describe how your agency manages and limits its mobile, voice, and data costs, including cellular phones and mobile devices.

Response:

Executive Office of the Secretary

Name	Position		Total Expenses FY 2016	Total Expenses FY 2017 to date	Justifications for use
Vaughan, Lauren C	Secretary of the District of Columbia	C	\$640.68	\$141.09	Secretary of the District
		I	N/A	N/A	
Holland, Joy	Deputy Secretary of the District of Columbia	C	\$640.56	\$139.60	Deputy Secretary
		I	N/A	N/A	
Washington, Andrew	Special Assistant	C	N/A	\$94.72	Manager – to have mobile capability to be on call for any inquiries from the Office.
Pless, Brandon C	Staff Assistant	C	\$654.60	\$163.98	International Unit – This person is out of the office when handling delegation visits and needs to still be in contact with the office to perform job requirements.
Thompson, Arlethia	Executive Assistant	C	\$634.80	\$202.84	Executive Assistant to the Secretary is on call to assist Secretary with various OS needs 7 days per week.
		I	\$393.12	\$99.03	
Rembrandt, Wiwiek	Special Projects Coordinator	C	\$633.96	\$141.09	Manager – Needs mobile capability to perform job duties that may arise 7 days per week.
Akers, Betty J	Ceremonial Services Coordinator	C	\$744.12	\$141.09	Manager - Needs mobile capability for ceremonial duties that occur 7 days per week.
Elwood, Patricia S	International Affairs Coordinator	C	\$670.08	\$163.98	Manager – Needs mobile capability for protocol duties that occur 7 days per week.
		I	\$163.98	\$99.03	



Finance

Name	Position		Total Expenses FY 2016	Total Expenses FY 2017 to date	Justifications for use
Blake, Paul	Fiscal Officer	I	\$393.12	\$99.03	Fiscal Officer

Office of Public Records and Archives

Name	Position		Total Expenses FY 2016	Total Expenses FY 2017 to date	Justifications for use
Katz, Rebecca	Administrator	C	\$633.96	\$141.09	Manager – Needs mobile capability to perform job duties that may arise 7 days per week.
		I	\$393.12	\$99.03	
Branch Jr., William E	Archivist	C	\$654.60	\$163.98	Manager – Needs mobile capability when out of the office for the purpose of transporting records to OPR.
Walker, William A	Archivist	C	\$654.60	\$161.14	Manager – Needs mobile capability when out of the office for the purpose of transporting records to OPR.

Office of Documents and Administrative Issuances

Name	Position		Total Expenses FY 2016	Total Expenses FY 2017 to date	Justifications for use
Parson, Angela	Staff Attorney	I	\$393.12	\$99.03	Attorney – to have mobile capability to be on call for any inquiries from the Office.
Reid, Victor L	Administrator, Office of Document	C	\$634.68	\$141.09	Manager – to have mobile capability to be on call for any inquiries from the Office.
		I	\$393.12	\$99.03	

Note: C – Cellular
I – IPAD



30 (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2016 and 2017 to date, please list any vehicle the agency owns. You may group the vehicles by category (e.g., 15 sedans, 33 pick-up trucks, three transport buses, etc.).

(b) Please list all vehicle accidents involving your agency’s vehicles for fiscal years 2016 and 2017 to date. Provide: (1) a brief description of each accident; (2) the type of vehicle involved; (3) the justification for using such vehicle; (4) the name and title/position of the driver involved; and (5) whether there was a finding of fault and, if so, who was determined to be at fault.

Response (a):

Year	Make	Model	Assigned to	Ownership	Incident
2012	Dodge	Caravan	Office of Public Records	DC Owned	None
2012	Dodge	Caravan	Office of Public Records	DC Owned	None
2014	Isuzu	Diesel Truck	Office of Public Records	DC Owned	None

Response (b):

None



- 31 D.C. Law requires the Mayor to pay certain settlements from agency operating budgets if the settlement is less than \$10,000 or less than two years old (see D.C. Code § 2-402(a)(3)). Please itemize each charge-back to your agency for a settlement or judgment pursuant to D.C. Code § 2-402.
- (a) D.C. Law prohibits chauffeurs, take-home vehicles, and the use of SUVs (see D.C. Code §§ 50-203 and 50-204). Is your agency in compliance with this law? Please explain any exceptions.
- (b) If there are exceptions, please provide the following: (1) type of vehicle (make, model, year); (2) individuals (name/position) authorized to have the vehicle; (3) jurisdictional residence of the individual (e.g., Bowie, MD); and (4) justification for the chauffer or take-home status.

Response:

None

Response (a):

Yes

Response (b):

None



32 In table format, please provide the following information for fiscal years 2016 and 2017 to date regarding your agency's authorization of employee travel: (1) individuals (by name and title/position) authorized to travel outside the District; (2) total expense for each trip (per person, per trip, etc.); and (3) justification for the travel (per person and trip).

Response:

FY 2016: None

FY 2017: None



33 Identify any statutory or regulatory impediments to your Office's operations.

Response:

None



34 **Please explain, if any, the impact federal legislation has had on your Office for fiscal years 2016 and 2017 to date.**

Response:

FY 2016: None

FY 2017: None



35 Please explain, if any, the impact local legislation has had on your Office for fiscal years 2016 and 2017 to date.

Response:

FY 2016: None

FY 2017: None



36 **What are your Office's priorities and foreseeable challenges in this fiscal year?**

Response:

OS priorities and challenges include:

- Continue effort to build a new Office of Public Records
- Continue effort to create new agency record retention schedules
- Automate the Office of Notary Commissions and Authentications



37 Does your agency have a strategic plan? If so, please provide. If not, are there plans for one in the upcoming FY?

Response:

The Office of the Secretary created a strategic plan in 2015 and is currently in the process of revising it for FY17.

