

DEPARTMENT OF HUMAN RESOURCES
FY17-18 Performance Oversight Questions
Committee on Labor and Workforce Development
Councilmember Elissa Silverman (At-Large), Chair

I. Agency Organization

1. Please provide a current, as of Feb. 1, 2018, **organizational chart** for the agency, including the number of vacant, frozen, and filled positions in each division or subdivision.
 - a. Include the names and titles of all senior personnel,
 - b. Please provide an explanation of the roles and responsibilities of each division and subdivision.
 - c. Please provide a narrative explanation of any changes to the organizational chart made during FY17 or FY18, to date.
 - d. Note on the chart the date that the information was collected.

Answer: Please see attachment A (DCHR Org Chart as of February 1, 2018), and below responses.

Office of the Director – provides executive oversight and leadership; policy direction; strategic and financial planning; public relations; resource management; support for DCHR and consultation to the Mayor and members of the Cabinet on human resource issues. Controls and disseminates work assignments and coordinates agency operations to ensure the attainment of the agency's goals and objectives. These functions are standard for all agencies using performance-based budgeting.

The Office of the General Counsel (OGC) – provides legal support and advice to DCHR management and its various administrations on a wide variety of legal issues necessary to accomplish DCHR's mission. OGC also provides legal services and advises District agencies on a wide range of human resources matters arising under the Comprehensive Merit Personnel Act ("CMPA"), District Personnel Manual ("DPM"), and other federal and District personnel and employment laws.

Benefits and Retirement Administration (BRA) – is responsible for the service delivery of the District's benefits program and policies for 32,000 benefit-eligible employees and retirees (pre- and post-October 1, 1987). This includes plan management, contracting, and communication for all health, voluntary, and retirement programs. In addition, BRA oversees the Police and Firefighters' Retirement and Relief Board, which makes determinations and decisions on all retirement and survivor benefit claims and cases.

- **Benefits Operation Unit** – provides benefits services that strengthen individuals and organizational performance and assists in enabling

the District government to attract, develop, and retain a well-qualified, diverse workforce through the service delivery of the District's benefits programs to all eligible employees and retirees; and

- **Police and Firefighters Retirement and Relief Board** – provides oversight and support for the Police and Firefighters Retirement and Relief Board (PFRRB). The PFRRB hears and rules on optional and disability retirement, as well as survivor annuity cases pertaining to sworn personnel of the Metropolitan Police Department, Fire and Emergency Medical Services Department, U.S. Park Police, and U.S. Secret Service.

Human Resources Solutions Administration (HRSA) – provides recruitment, position management, and classification assistance to the District of Columbia government.

- **Recruitment and Staffing (Talent Acquisition)** – provides recruitment, selection, and placement services to client agencies and oversight controls for effective recruitment and staffing, and provides auditing of subordinate agencies who have delegated their recruitment authority;
- **Classification** – provides position management and classification support services to District government agencies; provides management and guidance of realignments, reorganizations, and reductions in force; establishes official classifications and descriptions; and develops classification policies, procedures, and regulations;
- **Information Technology** – provides information technology support for both HR applications and infrastructure, help desk support for the HR Information System (HRIS), and troubleshoots and resolves errors.

Learning and Development – provides training, workforce planning and organizational development programs, and activities that increase the knowledge, skills, and competencies of District government employees.

- **Training and Development** – provides training and a professional forum for implementing consortiums and programs that increase knowledge, skills, and competencies of District government employees;
- **Capital City Fellows** – provides central oversight for this two-year training program for recent graduates of master's degree programs in public administration, public policy, urban planning, and related fields while working for the District government; and
- **Special Programs** – designed to increase the capacity of District employees and the residents DCHR serves. Programs include Executive Leadership program; Certified Public

Management program; District Leadership program; L.E.A.P. program; and Residents Services Program.

Strategic Human Capital Administration – provides oversight and full lifecycle management of the strategic human capital planning process, provides data to support recruitment and classification strategies for the District, and evaluates reports and data to assist with data-driven decisions for HR solutions.

Policy and Compliance Administration (PCA) – designs, implements, and oversees unified personnel standards to support a safe, effective, and best-in-class work environment.

- **Compliance** – audits and monitors employee suitability and agency adherence to federal and District laws, regulations and policies to support the District’s strategic staffing objections.
- **Policy** – implements the provisions of the Comprehensive Merit Personnel Act by developing modern and usable personnel tools to ensure a work environment to support superior public service; and provides unparalleled assistance and support to employees and management in subordinate agencies with matters governed by the District Personnel Manual (DPM); and
- **Compensation** – provides expert advice to District government management in the areas of compensation, administration of pay schedules, merit pay, compensation policies, and FLSA.

DCHR did not have any changes to the organizational chart at this time.

2. Please attach in Excel a current **Schedule A** for the agency, as of February 1, 2018, with the following information for each position:
 - a. Employee’s name, if the position is filled;
 - b. Program and activity name and code as appears in the budget;
 - c. Office name, if different from activity code;
 - d. Title/position name;
 - e. Position number;
 - f. Grade, series, and step;
 - g. Salary and fringe benefits (please separate salary and fringe and include the FY17 fringe benefit rate);
 - h. Job status (e.g. continuing/term/temporary);
 - i. Type of appointment (e.g. career, MSS);
 - j. Full-time, part-time, or WAE;
 - k. Seasonal or year-round;
 - l. Start date in the position (i.e., effective date);
 - m. Start date with the agency;
 - n. Previous office (program) and position (job title) with the agency, if relevant
 - o. Position status (A-active, R-frozen, P-proposed, etc);
 - p. Date of vacancy or freeze, if relevant; and
 - q. Whether the position must be filled to comply with federal or local law (and

if so, please specify what federal or local law applies).

Answer: Please see attachment B (Schedule A).

3. For any **term or temp position** included in the schedule A and filled in FY17 or FY18, please provide a brief narrative for why the hire was done on a term or temporary basis and not on a continuing basis.

Answer: All MOU funded positions are term positions based on the agency needs and funding availability.

4. Please provide the following information on any **contract workers** in your agency:
- a. Position name
 - b. Organizational unit assigned to
 - c. Hourly rate
 - d. Type of work duties

Answer:

**Senior Human Resources Specialist (Classification)
HR Solutions Administration
\$55 per hour**

- Responsible for carrying out the full range of classification and position management services for the District of Columbia Government.
- Conducts job analysis, position reviews and desk audits; reviews and analyzes reorganizations and realignments; researches and analyzes complex issues; etc.
- Participates in tasks forces and special projects aimed at improving the Districts classification program
- Serves as advisor to management regarding various classification and organizational issues; offers solutions to complex problems.
- Implements FLSA rules and laws.

5. Please complete the following chart about the **residency of new hires** in FY17 or FY18, to date:

Number of Employees Hired in FY 2017 and FY 2018 to date

<i>Position Type</i>	<i>Total Number</i>	<i>Number who are District Residents</i>
Continuing	3832	1687
Term	1301	530
Temporary	1750	1034
WAE	2739	1594

6. Please list all **employees detailed** to or from your agency. For each employee identified, please provide the name of the agency the employee is detailed to or

from, the reason for the detail, the date of the detail, and the employee's projected date of return.

Answer: See the table on the following page.

Name	Agency	Rationale
Kristina Savoy	Department of Consumer and Regulatory Affairs (DCRA)	Serve as a member of the Retirement coding task force to develop a training module for Retirement processing as part of the HR Management Training program and support current agency operations.
Abigail Marcus-Garvie	Office of the People's Counsel	Agency enhanced learning opportunity
Donnetta Jackson	Department of Housing and Community Development	Agency enhanced learning opportunity

7. Please provide the Committee with a list of **travel** expenses, arranged by employee for FY17 and FY18, to date, including the dates of travel, amount of expenses, and reason for travel. Please specify whether employees may be reimbursed for out-of-pocket travel expenses; and, if so, please describe agency protocol and requirements for employees to apply for and receive reimbursements for such travel expenses, such as necessary documentation, timeframes, and other requirements.

Answer: See tables below.

FY 2017

Employee	Travel Dates	Total Expense	Justification
Paul Shaw	10/23 – 10/25/16	\$4,188.96	Shared Services Training
Victoria Easterday	10/23 – 10/25/16	\$4,188.96	Shared Service Training
John Parham	10/23 – 10/25/16	\$4,188.96	Shared Services Training
Cheryl Robertson	10/23 – 10/25/16	\$517.02	National Certified Public Manager Consortium Annual Meeting
Ventris Gibson	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services
Agnes Cholewa	12/13 – 12/15/16	\$457.47	Administrative Resource Center – Shared Services
Victoria Easterday	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services
Clarissa Rucker	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services

Paul Shaw	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services
Justin Zimmerman	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services
Lorraine Greene	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services
Kena Cofield Jones	12/13 – 12/15/16	\$309.50	Administrative Resource Center – Shared Services
Nicole Cook	4/11 – 4/13/17	\$2,021.88	2017 Global Skillssoft Conference
Ronald Williams	4/11 – 4/13/17	\$2,021.88	2017 Global Skillssoft Conference
John Parham	5/29 – 6/2/17	\$3,124.00	Globoforce/Work Human Conference
Carlos Jones	6/18 – 6/21/17	\$2,939.00	SHRM Conference
John Parham	6/17 – 6/21/17	\$2,629.90	SHRM Conference
Menbere Assefa	6/18 – 6/21/17	\$2,494.00	SHRM Conference
Paul Shaw	6/18 – 6/21/17	\$2,939.00	SHRM Conference
Jodelle Lefranc	6/18 – 6/21/17	\$1,483.78	SHRM Conference
Julia Bradley	6/19 – 6/23/17	\$2,353.76	OPM Federal Retirement Benefits Training
Justin Zimmerman	9/16 - 9/20/17	\$3,420.60	IPMA- HR Training Conference and Expo
Ledesma Mathis-Smith	9/17 – 9/20/17	\$2,923.34	Administrative Professional Conference

Employees are only entitled to the Per Diem amount allowed by GSA. DCHR does not reimburse for out-of-pocket travel expenses.

FY 2018

Employee	Travel Dates	Total Expense	Justification
Justin Chow	10/3 – 10/5/17	\$2,568.90	LinkedIn Talent Connect 2017 – Recruiter Conference
Cheryl Robertson	10/25 – 10/28/17	\$1,517.88	National Certified Public Manager (CPM) Consortium 2017 Annual Meeting
Nicole Cook	10/25 – 10/28/17	\$1,415.88	National Certified Public Manager (CPM) Consortium 2017 Annual Meeting
Lissette Ortiz	12/4 – 12/8/17	\$2,972.95	Justice Center of Atlanta – Basic Mediation Skills

Gia Stancell	12/4 – 12/8/17	\$2,972.95	Justice Center of Atlanta – Basic Mediation Skills
Ellen Brennan	12/4 – 12/8/17	\$2,972.95	Justice Center of Atlanta – Basic Mediation Skills
Justin Zimmerman	1/31 – 2/2/18	\$1,772.84	Major City HR Managers’ Meeting
Paul Shaw	1/31 – 2/2/18	\$1,772.84	Major City HR Managers’ Meeting

Employees are only entitled to the Per Diem amount allowed by GSA. DCHR does not reimburse for out-of-pocket travel expenses.

8. Please provide the Committee with a list of the total **workers’ compensation** payments paid in FY17 and FY18, to date, including the number of employees who received workers’ compensation payments, in what amounts, and for what reasons.

Answer: There were no worker’s compensation payments paid in FY 17 and FY 18.

9. For FY17 and FY18, to date, please list each **employee separated** from the agency, other than due to retirement. Also include:
- Amount of separation pay, if relevant;
 - Number of weeks of pay, if relevant; and
 - The reason for the separation.

Answer: Please see the tables below.

FY17 10/1/2016 – 9/30/2017

Position	Pay Amount	Amount of weeks	Explanation
Policy Analyst	N/A	N/A	Resignation
Records Assistant	N/A	N/A	Expiration of appointment
HR Specialist	N/A	N/A	Termination within probationary period
Intern	N/A	N/A	Expiration of appointment
Intern	N/A	N/A	Expiration of appointment
Compliance Specialist	N/A	N/A	Resignation
MAP Specialist	N/A	N/A	Resignation
General Counsel	N/A	N/A	Resignation

FY18 10/1/2017 - Present

Position	Pay Amount	Amount of weeks	Explanation
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Associate Director	N/A	N/A	Resignation
Attorney Advisor	N/A	N/A	Transfer to DDOT
HR Specialist	N/A	N/A	Resignation
Benefits Specialist	N/A	N/A	Resignation
Project Manager	N/A	N/A	Termination within probationary period

10. Please provide the Committee with a list of employees who received **bonuses or special award pay** granted in FY 2017 and FY 2018, to date, and identify:

- a. The employee receiving the bonus or special pay,
- b. The amount received, and
- c. The reason for the bonus or special pay.

Answer: No employees received bonuses or special award pay in FY 17, FY18, or to date.

11. Please provide the name of each employee who was or is on **administrative leave** (not to include medical leave) in FY 2017 and 2018, to date. In addition, for each employee identified, please provide:

- a. Their position;
- b. A brief description of the reason they were placed on leave;
- c. The dates they were/are on administrative leave;
- d. Expected date of return;
- e. Whether the leave was/is paid or unpaid; and
- f. Their current status (as of February 1, 2018).

Answer: See table below.

Position	Description	Dates
Project Leader	Termination within probationary period	12/5/17-12/8/17

12. Please provide a list of each **collective bargaining agreement** that is currently in effect for DCHR employees.

- a. Please include the bargaining unit (name and local number), the duration of each agreement, and the number of employees covered.
- b. Please provide, for each union, the union leader's name, title, and his or her contact information, including e-mail, phone, and address if available.
- c. Please note if the agency is currently in bargaining and its anticipated completion date.

Answer: There are no collective bargaining agreements currently in effect for DCHR employees.

13. Please list in chronological order, any **grievances filed by labor unions** against the agency or agency management in FY16, FY17, or FY18, to date, broken down by source.

- a. For each grievance, give a brief description of the matter as well as the current status.
- b. Include on the chronological list any earlier grievance that is still pending in any forum.
- c. Please describe the process utilized to respond to any complaints or grievances received and any changes to agency policies or procedures that have resulted from complaints or grievances received.
- d. For any complaints or grievances that were resolved in FY17 or FY18, to date, describe the resolution or outcome

Answer: On August 1, 2017, DCHR received notice of an Unfair Labor Practice complaint filed by Fraternal Order of Police (DYRS) against DCHR and DYRS.

FOP/DYRS alleges that DYRS & DCHR violated D.C. Official Code § 1-617.04 by allegedly interfering with collective bargaining rights by declining to supply union officials with an internal, deliberative investigative report aimed at assessing personnel management and providing DYRS with recommendations for improvement. Currently, this matter is pending mediation before the Public Employee Relations Board. No earlier grievances are known. The Office of Labor Relations and Collective Bargaining has filed an answer to this complaint on behalf of the District. No policy changes have been made as a result of the complaint.

No earlier grievances are known.

14. Please list in chronological order, any **additional employee grievances or complaints** that the agency received in FY17 and FY18, to date, broken down by source.
 - a. For each, give a brief description of the matter as well as the current status.
 - b. Include on the chronological list any earlier grievance that is still pending in any forum.
 - c. Please describe the process utilized to respond to any complaints or grievances received and any changes to agency policies or procedures that have resulted from complaints or grievances received.
 - d. For any complaints or grievances that were resolved in FY17 or FY18, to date, describe the resolution or outcome.

Answer: Based on available records, see attachment C (Complaints and Grievances).

15. Please describe the agency's procedures for investigating allegations of **sexual harassment** or misconduct committed by or against its employees. List and describe any allegations received by the agency in FY17 and FY18, to date, and whether or not those allegations were resolved. Please describe the nature of such resolution.

Answer: Prior to the implementation of Mayor’s Order 2017-313, DCHR processed sexual harassment allegations consistent with Mayor’s Order 2004-171. Under the prior order, managers and supervisors were required to report and document any complaints of harassment. The agency EEO officer was responsible for investigating allegations of sexual harassment and for providing a report of his/her findings to the agency. Pending final resolution of a sexual harassment complaint, DCHR would, at its own discretion, or upon the request of a complainant, initiate temporary administrative actions, such as moving personnel. The agency would take appropriate action and disciplinary action, if needed. Today, DCHR will follow the guidelines established in Mayor’s Order 2017-313. DCHR designated its existing EEO officer to serve as the Sexual Harassment Officer going forward.

DCHR received one sexual harassment allegation in FY17 and F18, to date. A former employee alleged sexual harassment after the employee left the agency in FY17. Under the previous Mayor’s Order in effect at the time, investigations or complaints by former District employees must be conducted by D.C. Office of Human Rights. The employee was encouraged to report the allegation to the D.C. Office of Human Rights. We have no reason to believe that the employee pursued the matter at OHR and DCHR considers the matter closed.

16. For any **boards or commissions** associated with your agency, please provide a chart listing the following for each:
- a. For each member:
 1. The member’s name;
 2. Confirmation date;
 3. Term expiration date;
 4. List any previous terms served;
 5. Whether the member is a District resident or not; and
 6. Attendance at each meeting in FY17 and FY18, to date.
 - b. List any vacancies.
 - c. Describe the board’s or commission’s responsibilities and activities in FY17.
 - d. Attach agendas and minutes of each board or commission meeting in FY17 or FY18, to date, if minutes were prepared.

Answer: See table below, and attachment D (Attendance Data), as well as responses below.

Member's Name	Term Start	Term End	Residency
Justin Zimmerman	1/18/2017	Pleasure of the Mayor	DC
Jeremy Grey	7/25/2017	Pleasure of the Mayor	DC
Andrea Comentale	1/22/2013	Pleasure of the Mayor	MD
Frank McDougald	10/14/1983	Pleasure of the Mayor	MD
Ralph Ennis	7/20/2012	Pleasure of the Mayor	MD
Aubrey Mongal	7/20/2012	Pleasure of the Mayor	MD
Charnette Robinson	7/20/2012	Pleasure of the Mayor	MD
Wilfredo Manlapaz	7/22/2015	Pleasure of the Mayor	MD
Vendette Parker	7/22/2015	Pleasure of the Mayor	MD

Stuart Emerman	7/22/2015	Pleasure of the Mayor	MD
Mark Wynn	1/22/2013	Pleasure of the Mayor	MD
Milton Douglas	9/26/2013	Pleasure of the Mayor	DC
Jacqueline Watson	6/1/2015	Pleasure of the Mayor	DC
Brian Amy	6/1/2015	Pleasure of the Mayor	DC
Charles Epps	7/14/2009	10/29/2018	DC
Henry Wyatt		6/1/2019	DC
VACANT	USSS		
Matthew Dierberg	USSS Uniformed		
Alfonso Dyson	USSS Uniformed		

A United States Secret Service seat is vacant.

The Police and Firefighters' Retirement and Relief Board makes determinations and decisions on all disability and optional retirement cases concerning members of the D.C. Metropolitan Police Department, D.C. Fire and Emergency Medical Services Department, U.S. Secret Service, U.S. Secret Service/Uniformed Division and the U.S. Park Police Force. The Board also determines survivor benefit eligibility for their surviving spouses and children.

No agendas or minutes are available. The Police and Firefighters' Retirement and Relief Board hearings are closed to the public because they exclusively involve medical records and other personal information of members and their families.

17. Please list the **task forces and organizations** of which the agency is a member and any associated membership dues paid.

Answer: DCHR has paid membership dues for the Society for Human Resource Management (SHRM), International Personnel Management Association (IPMA-HR), Local Government Personnel Association of Baltimore-Washington Area (LGPA), and Corporate Executive Board (CEB).

II. Budget and Expenditures

18. Budget

- a. Please provide a table showing your agency's Council-approved original budget, revised budget (after reprogrammings, etc.), and actual spending, by program and activity, for FY17 and the first quarter of FY18. For each program and activity, please include total budget and break down the budget by funding source (federal, local, special purpose revenue, or intra-district funds).
- b. Include any over- or under-spending. Explain any variances between fiscal year appropriations and actual expenditures for FY17 for each program and activity code.

- c. In FY16 or FY17, did the agency have any federal funds that lapsed? If so, please provide a full accounting, including amounts, fund sources (e.g. grant name), and reason the funds were not fully expended.

Answer: Please see attachment E (Budget Expenditures by Program).

19. Please provide a table listing all **intra-District transfers** for FY17 and FY18 (YTD), as well as anticipated transfers for the remainder of FY18.
- a. For each transfer, include the following details:
 - i. Buyer agency;
 - ii. Seller agency;
 - iii. The program and activity codes and names in the sending and receiving agencies' budgets;
 - iv. Funding source (i.e. local, federal, SPR);
 - v. Description of MOU services;
 - vi. Total MOU amount, including any modifications;
 - vii. Whether a letter of intent was executed for FY17 or FY18 and if so, on what date;
 - viii. The date of the submitted request from or to the other agency for the transfer;
 - ix. The dates of signatures on the relevant MOU; and
 - x. The date funds were transferred to the receiving agency.
 - b. Attach copies of all intra-district transfer MOUs or MOAs, other than those for overhead or logistical services, such as routine IT services or security.
 - c. Please list any additional intra-district transfers planned for FY18, including the anticipated agency(ies), purposes, and dollar amounts.

Answers: See attachment F (DCHR As Seller FY17), G (DCHR As Buyer FY17), H (DCHR As Seller FY18), I (DCHR As Buyer FY18).

20. Please provide a table listing every **reprogramming** of funds (i.e. local, federal and SPR) into and out of the agency for FY17 and FY18, to date, as well as anticipated inter-agency reprogrammings for the remainder of FY18. Please attach copies of the reprogramming documents, including the Agency Fiscal Officer's request memo and the attached reprogramming chart. For each reprogramming, include:
- a. The reprogramming number;
 - b. The sending or receiving agency name;
 - c. The date;
 - d. The dollar amount;
 - e. The funding source (i.e. local, federal, SPR);
 - f. The program, activity, and CSG codes for the originating funds;
 - g. The program, activity, and CSG codes for the received funds; and
 - h. A detailed rationale for the reprogramming.

Answer: See tables below.

BE0 - FY2017 Reprogramming List - Into & Out of DCHR - As of 9/30/2017				
Date	Amount	From	To	Description
03/20/17	\$948,642.00	Contingency Fund - 1734	DCHR / BE0 - Local Funds - Personnel	To fund Capital City Fellow & District Leadership Program (Summer and year-round Interns)
06/13/17	\$226,290.99	Contingency Fund - 1734	DCHR / BE0 - Local Funds - Non-Personnel	To hire a consultant for identify and quantify employment tax issues
\$1,174,932.99		Total FY 2017		
		BE0's Total FY 2017 Reprogramming as of 9/30/2017		
	\$1,174,932.99			
	\$8,427,784.80	Original Local Budget		
		FY16 Supplemental (Reduction or increase)		
	\$1,174,932.99	From Contingency fund - 1734		
	\$80,334.48	Carry over funds from FY16 (Comp & Class Reform Project fund)		
	\$9,683,052.27	Total Revised FY2017 Local Budget		
	\$479,130.33	Original O - Type Budget		
		MOU funds added from independent agencies (Health Benefits Exchange)		
	\$479,130.33	Total Revised FY2017 O - Type Budget		
	\$5,858,018.65	Original ID Budget		
		Repro funds added from other agencies - see above for details		
	\$2,760,936.97	Additional MOU funds collected/returned after the start of the fiscal year		
	\$8,618,955.62	Total Revised FY2017 ID Budget		

BE0 - FY2018 Reprogramming List - Into & Out of DCHR - As of 2/1/2018				
Date	Amount	From	To	Description
10/26/17	\$433,710.00	Contingency Fund - 1734	DCHR / BE0 - Local	To hire a consultant for identify and

			Funds - Non- Personnel	quantify employment tax issues
In Process	\$510,455.00		DCHR / BE0 - Local Funds - Personnel	To fund Capital City Fellow & District Leadership Program (Summer and year-round Interns)
	\$433,710.00	Total FY 2018 Reprogramming		
	\$433,710.00	BE0's Total FY 2018 Reprogramming to date - As of 2/1/2018		
	\$8,866,052.68	Original Local Budget		
		FY16 Supplemental (Reduction or increase)		
	\$433,710.00	From Contingency fund - 1734		
	\$9,299,762.68	Total Revised FY2018 Local Budget		
	\$415,500.55	Original O - Type Budget		
		Budget Revision (added)		
		MOU fund added from Independent agencies		
	\$415,500.55	Total Revised FY2018 SPR Budget		
	\$6,747,298.71	Original ID Budget		
	\$1,421,323.91	Additional MOU funds collected after the start of the fiscal year		
	\$8,168,622.62	Total Revised FY2018 ID Budget		

21. Please list, in chronological order, every **reprogramming** *within* your agency during FY17 and FY18, to date, as well as any anticipated intra-agency reprogrammings. Please attach copies of any reprogramming documents. For each reprogramming, include:

- a. The date;
- b. The dollar amount;
- c. The funding source (i.e. local, federal, SPR);
- d. The program, activity, and CSG codes for the originating funds;
- e. The program, activity, and CSG codes for the received funds; and
- f. A detailed rationale for the reprogramming.

Answer: Please see tables below.

BE0 - FY2017 Reprogramming List - Within DCHR - As of 9/30/2017					
Date	Amount	Fund	From	To	Description
09/21/17	\$73,298.85	Intra District	From Index - AM7BE, PCA - 10100, Object - 0125	From Index - AM7BE, PCA - 10100, Object - 0409	The reprogramming is to realign the budget authority with revenue collected

09/21/17	\$9,696.35	Intra District	From Index - FHBAS, PCA - 10100, Object - 0219	From Index - FHBAS, PCA - 10100, Object - 0409	The reprogramming is to realign the budget authority with revenue collected
\$82,995.20			Total FY 2017		
\$82,995.20			BE0's Total FY 2017 Reprogramming as of 9/30/2017		

BE0 - FY2018 Reprogramming List - Within DCHR - As of 2/1/2018				
Date	Amount	From	To	Description
		None to date		
		Total FY 2018 Reprogramming		
		BE0's Total FY 2018 Reprogramming to date - As of 2/1/2018		

22. For FY17 and FY18, to date, please identify any **special purpose revenue funds** maintained by, used by, or available for use by the agency. For each fund identified, provide:

- a. The revenue source name and fund code;
- b. A description of the program that generates the funds;
- c. The revenue funds generated annually by each source or program;
- d. Expenditures of funds, including the purpose of each expenditure; and
- e. The current fund balance (i.e. budget versus revenue)

Answer: Please see Attachment J (Special Purpose Revenue Fund Sources).

23. Please list all **memoranda of understanding ("MOU")** and memoranda of agreement ("MOA") entered into by your agency during FY17 and FY18, to date, as well as any MOU or MOA currently in force. (You do not need to repeat any intra-district MOUs that were covered in the question above on intra-district transfers.)

- a. For each MOU, indicate:
 - i. The parties to the MOU or MOA;
 - ii. Whether a letter of intent was signed in the previous fiscal year and if so, on what date;
 - iii. The date on which the MOU or MOA was entered;
 - iv. The actual or anticipated termination date;
 - v. The purpose; and
 - vi. The dollar amount.
- b. Attach copies of all MOUs or MOAs, other than those for overhead or logistical services, such as routine IT services or security.
- c. Please list any additional MOUs and MOAs planned for FY18, including the anticipated agency(ies), purposes, and dollar amounts.

Answer: Please see Attachment(s) F (DCHR As Seller FY17), G (DCHR As Buyer FY17), H (DCHR As Seller FY18), I (DCHR As Buyer FY18).

Part I. The committee would like to better understand the agency's programmatic needs and the associated budgetary costs. Please submit copies of your **FY19 budget submission to the Mayor's Office of Budget and Finance (OBF)**. In FY19, this includes:

- a. The Operating Budget Submission Memo;
- a. Attachment A, Vacancy List;
- b. Form 1 (Impact of Agency's Marc);
- c. Form 2 (Enhancement Requests); and
- d. Attachment B, List of intra-districts.

Part II: In addition, please identify:

Which of your agency's MARC reductions and hypothetical 2% cuts (Form 1) were accepted or rejected (i.e. if the cut was rejected, the funds were not swept and if the cuts were accepted, the funds were swept) ; and

- a. Which of your agency's enhancement requests (Form 2) were accepted (i.e. which enhancements were added to your agency's FY19 budget).

Part III: For FY16 and FY17, please include each fiscal year's information for #24 Part I and Part II. Please indicate if your agency is willingly omitting any information requests in Part I and Part II.

Answer: We are working with the Mayor's Budget Office and the Deputy City Administrator on developing our Fiscal Year 2019 budget. The Mayor's Fiscal Year 2019 budget will be submitted to the Council on March 21, 2018.

24. Please list each **grant or sub-grant**, including multi-year grants, received by your agency in FY17 and FY18, to date. List the following:
- a. Source;
 - b. Purpose;
 - c. Timeframe;
 - d. Dollar amount received;
 - e. Amount expended;
 - f. How the grant is allocated if it is a multi-year grant; and
 - g. How many FTEs are dependent on each grant's funding, and if the grant is set to expire, what plans, if any, are in place to continue funding the FTEs.

Answer: There were no grants or sub grants received by the agency.

25. Please describe every **grant** your agency is, or is considering, applying for in FY18.

Answer: There are no grants being considered for FY18.

26. Please list each **contract, procurement, and lease** leveraged in FY17 and FY18 (year-to-date) with a value amount of \$10,000.00 or more. "Leveraged" includes

any contract, procurement, or lease used by the agency as a new procurement establishment (i.e. HCA, BPA, etc.), contract extension, and contract option year execution. This also include direct payments (if applicable). For each contract, procurement, or lease leveraged, please attach a table with the following information, where applicable:

Part I

- a. Contractor/Vendor Name;
- b. Contract Number;
- c. Contract type (e.g. HCA, BPA, Sole Source, single/exempt from competition award, etc.);
- d. Description of contractual goods and/or services;
- e. Contract's outputs and deliverables;
- f. Status of deliverables (e.g. whether each was met or not met, in-progress, etc.);
- g. Copies of deliverables (e.g. reports, presentations);
- h. Subcontracting status (i.e. Did the Contractor sub any provision of goods and/or services with another vendor);
- i. Total contract or procurement value in FY17;
- j. Total contract or procurement value in FY18 (YTD);
- k. Period of performance (e.g. May 31 to April 30);
- l. Current year of contract (e.g. Base Year, Option Year 1, etc.);

Part II: Please attach monitoring documentation, including any monitoring reports or performance evaluations developed for use. If any contract is performance-based, specify the basis of performance (i.e. the metrics) and describe the payment formula.

Answer: See Attachment(s) K (FY17 Procurement Over 10K), Attachment L (FY18 Procurement Over 10K)

See Attachment M (Performance Evaluation Form Developed For Use).

The designated Contract Administrator of every contract monitors contractor performance against a number of requirements:

- **the specified deliverables stated within the contract**
- **the review of invoicing against the stated price schedule within the contract**
- **regular communication with contractors**
- **monthly, quarterly, and annual written performance evaluations**

The Contracting Officer reviews all performance documents for compliance.

27. Please list each **grant** awarded by your agency during FY17 and FY18 (year-to-date) for good and/or services provided by your agency. Please attach any documentation of monitoring, including any reports developed.

For each grant, please include the following information, where applicable:

Part I

- a. Grant/Program Title;
- b. Grant/Program Number;
- c. Grantee Name;
- d. Description of goods and/or services;
- e. Grant's outputs and deliverables;
- f. Status of deliverables (e.g. whether each was met or not met, in-progress, etc.);
- g. Copies of deliverables (e.g. reports, presentations);
- h. Program Manager name and title assigned to each grant;
- i. Grant Administrator name and title assigned to each grant;
- j. Oversight/monitoring plan for each grant and associated reports, performance evaluations, cure notices, and/or corrective action plans;
- k. Sub-granting status (i.e. Did the Grantee sub any provision of goods and/or services with another vendor);
- l. Requisitions and purchase order numbers established under each grant;
- m. Total grant award value in FY17;
- n. Total grant award value in FY18 (YTD);
- o. Period of performance (e.g. May 31 to April 30);
- p. Current year of grant award (e.g. Base Year, Option Year 1, etc.);

Part II: Please attach monitoring documentation, including any monitoring reports or performance evaluations developed for use. If any grant is performance-based, specify the basis of performance (i.e. the metrics) and describe the payment formula.

Answer: The agency did not award any grants.

III. Agency performance, evaluation, and disputes

28. Please list all pending **lawsuits** that name the agency as a party.
 - a. Provide the case name, court, where claim was filed, case docket number, and a brief description of the case.
 - b. Identify which cases on the list are lawsuits that potentially expose the District to significant financial liability or will result in a change in agency practices, and describe the current status of the litigation.
 - c. Please provide the extent of each claim, regardless of its likelihood of success.
 - d. For those identified, please include an explanation about the issues involved in each case.

Answer: John McFarland v. DCHR/DCRA, 2017 CA 7722 in Superior Court of the District of Columbia: Mr. McFarland seeks to overturn DCHR's classification of his position as a Grade 9.

29. Please list all **settlements** entered into by the agency or by the District on behalf of the agency in FY17 or FY18, to date, including any covered by D.C. Code § 2-402(a)(3), which requires the Mayor to pay certain settlements from agency operating budgets if the settlement is less than \$10,000 or results from an incident within the last two years. For each, provide
- The parties' names;
 - The amount of the settlement; and
 - If related to litigation, the case name, court where claim was filed, case docket number, and a brief description of the case; or
 - If unrelated to litigation, please describe the underlying issue or reason for the settlement (e.g. Administrative complaint, etc.).

Answer: See table below.

	Amount	Case	Reason
HR Specialist	\$75,000.00	OEA Matter No.: in the Office of Employee Appeals. Employee appealed the termination of his/her position.	N/A
HR Specialist	\$38,447.00	N/A	Employee could have been eligible for a retirement award had employee remained employed with the District.

30. Please list in chronological order, all **administrative grievances or complaints** filed by parties outside the agency against the agency in FY17 or FY18, to date, broken down by source. Include on the chronological list any earlier grievance that is still pending in any judicial forum.
- For each grievance or complaint, give a brief description of the matter as well as the current status.
 - Please describe the process utilized to respond to any complaints and grievances received and any changes to agency policies or procedures that have resulted from complaints or grievances received.
 - For any complaints or grievances that were resolved in FY17 or FY18, to date, describe the resolution.

Answer: Please see answer to #13.

31. Please list and describe any ongoing **investigations, audits, or reports** on the agency or any employee of the agency, or any that were completed during FY17 and FY18, to date. Please attach copies of any such document.

Answer: See response below.

Annual Audits:

The following FY17 annual audits are currently in progress. These audits are completed by an independent third-party vendor selected by the Office of the Chief Financial Officer.

- ✓ **Comprehensive Annual Financial Report (CAFR);**
 - ✓ **Pension Plan Audit 401(a) and 457(b); and**
 - ✓ **Other Post-Employment Benefits (OPEB) Audit**
-
- **Comprehensive Annual Financial Report (CAFR) for FY17:** The annual CAFR was conducted by SB and Company and examines the financial completeness and accuracy of new hire and termination actions within the District. In addition, the technology used for recruiting and hiring employees (i.e. PeopleSoft) is examined for appropriate internal controls. The auditors have completed all necessary field work and have expressed verbally that all testing is complete and accurate.
 - **Pension Plan Audit for FY17** – F.S. Taylor and Associates is currently conducting the annual audit of the retirement programs in the District, which consist of the 457 Deferred Compensation Plan and the 401(a) Defined Contribution Pension Plan. The Pension Plan audit examines the operations and assets of the plans including verifying that employees are enrolled correctly and are contributing the correct amounts. Fieldwork is in progress and DCHR has not received any final finding(s) or recommendation(s).
 - **Other Post-Employment Benefits (OPEB) Audit for FY17** – SB and Company is preparing the actuarial valuation of the OPEB Fund. This audit examines the completeness and accuracy of the offering, enrollment, and deduction of funds for other post-employment benefits. DCHR has not received any final findings or recommendations.

32. Please provide a copy of the agency's FY17 **performance accountability report**.

- a. Please explain which performance plan strategic objectives and key performance indicators (KPIs) were met or completed in FY17 and which were not.
- b. For any met or completed objective, also note whether they were completed by the project completion date of the objective and/or KPI and within budget. If they were not on time or within budget, please provide an explanation.
- c. For any objective not met or completed, please provide an explanation.

Answer: See attachment N (FY17 Performance Accountability Report).

33. Please provide a copy of your agency's FY18 **performance plan** as submitted to the Office of the City Administrator. Please discuss any changes to outcomes

measurements in FY17 or FY18, including the outcomes to be measured, or changes to the targets or goals of outcomes; list each specifically and explain why it was dropped, added, or changed.

Answer: See attachment O (FY18 Performance Plan).

34. Please provide the number of **FOIA requests** for FY17 and FY18, to date, that were submitted to your agency.
- Include the number granted, partially granted, denied, and pending.
 - Provide the average response time, the estimated number of FTEs required to process requests, the estimated number of hours spent responding to these requests, and the cost of compliance.
 - Did the agency file a report of FOIA disclosure activities with the Secretary of the District of Columbia? Please provide a copy of that report as an attachment.

Answer: There were 3 FOIA requests granted; 4 are pending for FY 18. The average response time is 37.33 days, with 2 FTEs required to process requests, an estimated 23 hours spent responding to these requests and approximately \$ 1,017.45 as the cost of compliance in FY 18.

35. Please provide a list of all **studies, research papers, reports, and analyses** that the agency prepared or contracted for during FY17 and FY18, to date. Please attach a copy if the study, research paper, report, or analysis is complete. For each study, paper, report, or analysis, please include:
- The name;
 - Status, including actual or expected completion date;
 - Purpose;
 - Author, whether the agency or an outside party;
 - Reference to the relevant grant or contract (name or number) in your responses above; and
 - Source of funding (program and activity codes) if not included in responses above.

Answer: No formal studies, research papers, reports and analyses were prepared or contracted for during FY17 or FY18, to date.

36. Please list all **reports or reporting** currently required of the agency in federal law, the District of Columbia Code, or Municipal Regulations. For each, include
- The statutory code or regulatory citation;
 - Brief description of the requirement;
 - Any report deadlines;
 - Most recent submission date; and
 - A description of whether the agency is in compliance with these requirements, and if not, why not.

Answer: See response below.

(1) Voluntary Transfer Leave Program (D.C. Official Code § 1-612.38) DCHR must provide a Voluntary Transfer Leave Program Report to the Council on or before February 1 of each year. DCHR last submitted a report in 2016 for 2015. A 2016 report was not issued due to data integrity issues. These challenges have been largely resolved, and DCHR is scheduled to issue a 2017 report soon.

(2) Agency Performance Report (D.C. Official Code § 1-614.13) DCHR must develop and submit to the Council a performance report covering all major programs of the agency not later than January 15. DCHR submitted its report in January 2018.

(3) New Employee Quarterly Report (D.C. Official Code § 1-608.01(g)) DCHR must submit to the Mayor and the Council quarterly reports detailing the names of all new employees and their pay schedules, titles, and place of residence. The report shall explain the reasons for employment of non-District residents. Every quarter, DCHR publishes a Public Body Employee information report with current personnel information that can be released to the public. The most recent report is from December 31, 2017. DCHR is working on issuing a report focused on new employees at the end of Q2. DCHR is currently conducting the annual residency audit. When completed, an audit report will be submitted to the Council.

(4) Incentive Awards Report (6B DCMR §§ 1904 and 1908) Approved exemplary performance awards by agencies must be submitted to DCHR for final review and reported to the Mayor, City Administrator, and the Council. An incentive awards annual report shall list the name, title, and grade of each recipient, the type of incentive award, summary of accomplishments or justifications of the award, and the amount of each monetary award. A report of approved monetary awards shall be forwarded to the Council for its information. The District started issuing incentive awards in FY 17. DCHR is scheduled to issue a report at the end of Q2.

(5) Annual Leave Bank Report (6B DCMR § 1258) DCHR shall maintain for each leave year quarter, an accounting of the total hours and corresponding dollar value of employee annual leave donations to and withdrawals from the Annual Leave Bank for employees in subordinate agencies. DCHR shall review and compile the accounting reports and provide a written report to the Mayor within sixty (60) calendar days following the end of each leave year. DCHR is working to issue the next report by March 1st.

(6) Suitability Compliance Report (6B DCMR § 440) DCHR must prepare and submit suitability compliance reports to the Mayor every six (6) months. DCHR finalized the roll-out of a revised suitability program last year. DCHR's first report is scheduled to be issued at the end of Q2.

(7) Financial Disclosure Statement Report (6B DCMR § 1810) DCHR must provide to the Board of Ethics and Government Accountability (BEGA) a list of all public officials who must file Public Financial Disclosure Statements no later than March of each year. DCHR submitted the report on March 2, 2017. DCHR also must provide a report to BEGA and a list of all designees who must file Confidential Financial Disclosure reports and whether or not the designees have filed the required report, and if not, shall provide a list of those designees who have failed to submit the required report. DCHR must notify employees on or before April 15th of each year, supply a list of designees to BEGA on or before May 1st of each year, and submit to BEGA the confidential filers certification report by June 1st of each year. DCHR last submitted its reports on April 21, 2017, April 28, 2017, and May 23, 2017 and is in compliance with all reporting deadlines.

(8) Freedom of Information Act (FOIA) Report (1 DCMR § 413) DCHR must compile and submit to the Secretary its FOIA report covering the preceding the fiscal year on or before the 31st of December of each year. DCHR submitted its last report on November 30, 2017 and is in compliance with the reporting deadline.

37. Please provide a list of any additional **training or continuing education** opportunities made available to agency employees. For each additional training or continuing education program, please provide the subject of the training, the names of the trainers, and the number of agency employees that were trained. What training deficiencies, if any, did the agency identify during FY17 and FY18, to date?

Answer: Please see attachment Q (FY17 Training Report), R (FY18 Training Report), S (Other Programs).

38. Please discuss **performance evaluations**.

- Does the agency conduct annual **performance evaluations** of all its employees?
- Who conducts such evaluations?
- What steps are taken to ensure that all agency employees are meeting individual job requirements?

Answer: Yes, the agency conducts performance evaluations for all full-time employees, which are conducted by managers who are responsible for creating performance plans for their direct reports. DCHR strives to ensure that all of its employees are properly evaluated as dictated in Chapter 14 of the District Personnel Manual.

39. Please list all **recommendations identified by the Office of the Inspector General, D.C. Auditor, or other federal or local oversight entities** during FY16, FY17, or FY18,

to date. Please provide an update on what actions have been taken to address each recommendation. If the recommendation has not been implemented, please explain why.

Answer: The Office of the District of Columbia Auditor (ODCA) conducted the following audits, and made the following recommendations:

Audit of Protection of Personally Identifiable Information (PII): This audit examined the internal controls and security policies and procedures related to the protection of PII at DCHR and three other District agencies. In November 2016, ODCA issued their final report and recommendations. The ODCA identified 11 District-wide recommendations. Below are the recommendations and implementation of each that applied to DCHR.

Recommendation 1: Conduct Annual Security Training

Action Plan: On February 15, 2017, DCHR, in partnership with the Office of the Chief Technology Officer, launched new online Cybersecurity training for all District employees and contractors. The training includes modules on both physical and cyber PII security.

Recommendation 2: Encrypting laptops and USBs

Action Plan: DCHR, in partnership with OCTO, has received licenses for EndPoint full disk encryption software which has installed on all DCHR laptops. This software ensures that all data transferred to and from the laptop is encrypted and thus secure.

Recommendation 3: Conduct a Privacy Impact Assessment (PIA)

Action Plan: DCHR conducted and submitted a PIA as part of the ODCA's audit. DCHR also developed a PIA Form that will be used by all DCHR vendors with whom we share data.

Recommendation 4: De-identify documents with PII

Action Plan: DCHR, in partnership with OCTO, has de-identified SSNs on printed SF-50s. DCHR also implemented email encryption that is used to send all emails that include PII. DCHR is exploring additional possibilities to further increase our PII security.

Overtime Audit: This audit examined the internal controls, policies and procedures related to approving, granting and paying overtime. DCHR provided relevant District-wide overtime policies to the ODCA. DCHR has not yet received a final report and recommendations; however, during the exit meeting the ODCA communicated that they will be recommending that DCHR implement an electronic overtime process.

IV. Agency Operations

40. How did the agency address its **top five priorities** in FY17? What are the agency's top five priorities in FY18? Please explain how the agency expects to address these priorities in FY18.

Answer: See response below.

Below are updates on the top 5 priorities from FY17:

HR Shared Services: During FY17, the team researched best practices, visited several shared services providers, and solicited feedback from the HR community. During FY17, it was decided that shared services would be implemented in FY19. To continue planning, six working groups (best practices, innovations, communications, customer care, cultural transition, and employee engagement) began identifying key deliverables. DCHR also launched a SharePoint website that provides the HR community with updates.

Classification and Compensation Reform: In FY17, the project originally developed by the Labor Management Task Force was determined to exceed funding available to implement. It was decided that DCHR will conduct an analysis of the District's current classification system. DCHR will also analyze career ladder positions, complete desk audits, and examine classification inequities while researching options that offer new and modern systems.

Talent Acquisition Strategy: In FY17, DCHR hired 7,671 individuals, 49% are District residents. DCHR hosted 4 Direct Connect events, which connected District agencies with residents. Agencies held on the spot interviews and offered contingent job offers. Approximately, 4,250 individuals attended the four direct connect events and 125 have been successfully hired. In addition, DCHR, in partnership with the Mayor's Office of Veteran Affairs, hosted the first DC Hires Vets Event. During this event, District agencies held on the spot interviews and offered contingent job offers for veterans. In addition, workshops on resume building, interviews skills, and building a small business were offered. Approximately 515 veterans attended this event and, to date, 17 have been hired. These events connect residents with District agency job opportunities and provide information on various resources offered in the District. They also help to reduce unemployment and underemployment in the District.

Career Pathing: DCHR created a competency bank with assessment questions for agencies to use in succession planning. DCHR also completed the career paths for the 100, 200, 300, 400, and 500 level occupational series according to OPM standards. Lastly, DCHR completed the Beta version of the career pathing website. Positions listed in the career paths are linked to competencies and to classes offered at DCHR. Currently, there is at least one full career path represented in the 0000-0500 occupational series with more to be added in FY18.

Increased Retirement Plan (457) Participation: DCHR worked to finalize a customer opinion survey for employees, which was released in October 2017. Additionally, DCHR worked with the Mayoral Administration to propose a bill that would automatically enroll future District new hires into the 457(b) program. ICMA-RC also hosted a total of 368 workshops and seminars related to retirement preparation and knowledge.

Below are the agency's FY18 top priorities:

Streamlined Classification: In FY18, DCHR will update and streamline the current classification process by: creating a position description (PD) library, auditing current position descriptions to ensure they accurately reflect the duties and responsibilities that are being performed, standardizing position descriptions, and researching and recommending the implementation of an automated solution for position design and management (designing positions, job evaluation, classification) that will digitize, automate, optimize, track, monitor, and report on these activities and allow for an easily accessible database from multiple users.

Career Pathing: In FY18, DCHR will finalize the Career Pathways implementation by providing access to career path information, career resources, and skill development tools using a website that will be accessible to current and future employees. In addition, DCHR will create a marketing strategy and communications plan to announce the website. We will also educate agency employees about the Career Pathways initiative by conducting workshops at the agencies and at DCHR. DCHR will provide guidance to employees on the tools and resources available.

Shared Services: In FY17, DCHR began planning the transition of HR into a shared services delivery model, which enables delivery of HR services in a more consistent, efficient, and cost-effective manner. In FY18, DCHR will develop service level agreements, benchmark metrics, and continue the business process improvement for various HR processes. DCHR will also formalize a plan for creating a Centralized HR Processing Team. Finally, DCHR will implement a change in management approach that will heavily focus on District-wide HR community engagement.

Sexual Harassment: In FY18, DCHR will implement a mandatory, updated District-wide sexual harassment training program. All District employees will be required to complete an online training on sexual harassment. In addition, all employees will have to acknowledge the sexual harassment policy in PeopleSoft, our human resources information system. Furthermore, all District managers will be required to complete a full-day instructor-led training that has recently been updated based on Mayor's Order 2017-313.

Increased Retirement Participation: In FY18, DCHR will continue to work to increase participation in the 457(b) by working with research scientists to send targeted emails to employees based on specific characteristics. DCHR will also continue to advocate for automated 457(b) enrollment.

41. Please describe any **initiatives** that the agency implemented in FY17 or FY18, to date, to improve the internal operations of the agency or the interaction of the agency with outside parties. Please describe the results, or expected results, of each initiative.

Answer: See response below.

DCHR implemented the below in FY17 and FY18 to date:

5 Minute Fact Videos: The 5 minute fact videos are quick presentations, posted online, to help explain various HR policy matters. An example of one of these videos, relating to pay setting, can be seen at <https://youtu.be/pjhlygbTLxE>. The videos have been well received by agencies and employees and more are on their way.

District Personnel Manual Re-design: DCHR has been redesigning its personnel manual so that it is more modern and easier to read. The first redesigned guidance document, relating to public holidays, was issued on January 1, 2018 and can be located at: <https://dchr.sp.dc.gov/policy/PCA/EDPM/Issuances/I-2018-01-signed.pdf>.

Electronic Customer Sign-in: In FY17, DCHR introduced the capability for customers to sign-in electronically when they arrive to the customer care centers. This allows us to better track customer volume and needs. Staff training is adjusted based on customer needs. In addition, DCHR will be using this data to create customer specific tools such as videos and a Frequently Asked Questions page.

Mobile Environment: In FY17, DCHR successfully implemented a laptop based computing environment into the agency's information technology infrastructure to provide employees with the appropriate resources necessary to meet DCHR's operational needs. Data Privacy, Portability, Flexibility, Cost, Availability and Energy Efficiency are just a few of the benefits associated with providing employees with laptops all while aligning DCHR with the District's Innovative and Green Initiatives.

42. Please list each **new program** implemented by the agency during FY17 and FY18, to date. For each program, please provide:
- A description of the program;
 - The funding required to implement to the program;
 - The program and activity codes in the budget; and
 - Any documented results of the program.

Answer: See response below.

Workplace Coaching Initiative:

- In FY18, DCHR will launch a new Workplace Coaching Program. The program will include training for managers within District Government agencies, and coaching clinics where managers can obtain advice and other coaching resources. We completed the pilot phase in FY17 and measured the impact of the coaching initiative using pre- and post-surveys. We will introduce the 9 in 90 campaign which challenges managers to have 9 coaching conversations in 90 days.
- This program is currently supported by local FTEs.
- Existing FTEs
- DCHR has completed the Workplace Coaching pilot initiative. All of the pilot agencies (Department of Youth Rehabilitation Services, Department of Housing and Community Development, and Department of Consumer and Regulatory Affairs) continue to be actively engaged in the pilot program, including their agency leadership. Prior to the program implementation, a pre-survey was conducted at the three pilot agencies. Results from this survey indicated that 75% of employees believed that coaching from their supervisors is important to improving their performance. After the pilot agencies received the training, a post-survey was conducted. Results from the post-survey are pending. In Quarter 1, DCHR facilitated a 30-day Coaching Support period to assist them in their coaching efforts. DCHR also introduced a Coaching with Intention course for managers and non-managers.

District-wide Lean Six Sigma:

- In FY18, DCHR will launch a citywide Lean Six Sigma Program that will be available to all agencies. The program, which will be designed to educate the District's workforce on business process improvement, will include a Green Belt Training and Certification program, a Black Belt Training and Certification program, and Champion Training. In addition to training and coaching, participants will demonstrate their understanding of the Lean Six Sigma methodology through the completion of projects focused on saving time, energy and effort; eliminating waste and redundancies; and increasing staff/customer satisfaction.
- This program is currently supported by local FTEs.
- Existing FTEs

- d. Eight District employees participated in the Champion training, and there are nearly 50 participants total in the Green Belt Training representing several agencies including DCHR, DC Department of Transportation, Department of Human Services, and Child and Family Services Agency. DCHR hosted two Lean Six Sigma Program Information sessions to recruit additional Green Belt and Black Belt candidates. The inaugural cohort of District-wide Lean Six Sigma participants is targeted to complete their recommendations by March 2018. Preliminary results should be available at that time.

HR Auditing and Investigations Program

- a. The HR auditing and investigations program serves two purposes: (1) to conduct scheduled and unscheduled audits on HR activities to ensure compliance with federal and District personnel laws; and (2) to conduct in-depth personnel investigations into complex personnel management complaints or concerns. Both the audits and the investigations result in reports that make recommendations to management for improvement in the area of personnel management.
- b. Currently, the program is supported by two local FTEs.
- c. Existing FTEs
- d. Audit and investigation results have been compiled. Unfortunately, these cannot be released as there are confidential pursuant to Chapter 31 of the District Personnel Manual and are also considered privileged under the doctrine of deliberative process.

Workplace Wellness Expansion

- a. In FY16, DCHR established a framework and foundation for the District's workplace wellness program. In FY17, DCHR provided continued leadership, guidance, and resource management to Wellness Leaders from each agency, in coordination with the District's healthcare vendors, and provided health outcomes tracking through a comprehensive health outcomes evaluation.
 - b. Currently, the program is supported by local FTEs.
 - c. Existing FTEs
 - d. In FY17, DCHR expanded this program by increasing the number of District Agencies participating in the workplace wellness program. DCHR assisted at least 25 agencies with 59 wellness events including seminars, screenings, fitness classes, etc. In addition, DCHR provided enhanced and increased wellness options including: installation of 17 blood pressure machines, an onsite weight loss program, participating in the Mammovan, a self-contained mobile unit that offers one-stop mammogram screenings.
43. Please explain the impact on your agency of any **legislation** passed or regulations adopted at the federal level during FY17 and FY18, to date, which significantly affect agency operations.

Answer: The Department of Labor, under President Obama, had imposed new regulations relating to overtime. Under those rules, the minimum salary for overtime eligibility would have increased from \$23,660 to \$47,476. Shortly after Obama left office, a federal court halted implementation of the new rules. Since that time, DOL has indicated that it may issue new regulations, with a lower minimum salary.

44. Please identify any **legislative requirements** that your agency lacks sufficient resources to properly implement. Please explain.

Answer: There are no legislative requirements that the agency lacks sufficient resources to properly implement.

45. Please discuss any **legislation** your agency plans to submit to the Council in FY18 or FY19.

Answer: The agency does not plan to submit legislation at this time.

46. Please identify any **statutory or regulatory impediments** to your agency's operations.

Answer: Employees of independent agencies frequently contact DCHR to assist with HR related issues. While DCHR assists to the greatest extent possible, its limited jurisdiction often impedes its ability to assist these employees.

47. Please list all **regulations** for which the agency is responsible for oversight or implementation.

- a. For each regulation, please list the chapter and subject heading, and the date of the most recent revision.
- b. Please list any pending or planned regulatory action, including the chapter and subject, status, and actual or anticipated completion date.

Answer: See attachment T (Regulations).

48. Please identify all **electronic databases** maintained by your agency, including the following:

- a. A detailed description of the information tracked or maintained within each system;
- b. The age of the system and any discussion of substantial upgrades that have been made or are planned to the system; and
- c. Whether the public can be granted access to all or part of each system.

Answer: see table on the following page.

Information System	Descriptive Metadata (a)	Age, Upgrade Info (b)	Public Access (c)
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DCHR Intra/Internet	Agency internal and external website.	Implementation Date: September 2010 Upgrade: FY18-FY19	Yes – Internet No – Intranet
FieldPrint	ISO 9001:2015 Quality Management Certified-applicant fingerprinting system used to track and store information pertaining to the fingerprinting process.	Implementation Date: February 2016 Upgrade: No upgrade planned at this time.	No
FileNet	Content management system used to convert hard copy records into digital file formats. (OCTO)	Implementation Date: September 2009/2010 Upgrade: No upgrade planned at this time.	No
ICMA-RC EZ-Link	Vendor supported application used to manage and administer 457 and 401 retirement plans.	Implementation Date: September 2015 No upgrade planned at this time.	No
Infolinx	Records Management Software that tracks the movement of physical official personnel folders.	Implementation Date: July 2013 Upgrade: No upgrade planned at this time.	No
PeopleSoft	HRIS functions to include: employee data, payroll, recruitment processes, benefits administration and time keeping.	Implementation Date: September 2006 Upgrade: 9.2 September 2017	No
RS2	Access control and credentialing system. Hosted by DGS/PSD.	Implementation Date: October 2015 Upgrade: N/A	No
SharePoint	Collaboration platform used to store, organize, share, and access information related to DCHR's business operations. Hosted by OCTO.	Implementation Date: September 2010 Upgrade: Microsoft Dynamics FY18	No

TrueScreen	ISO 9001:2015 Quality Management Certified-applicant criminal background system used to track and store information pertaining to the criminal background investigative process.	Implementation Date: February 2016 Upgrade: No upgrade planned at time.	No
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49. Please provide a detailed description of any **new technology** acquired or any upgrades to existing technology in FY17 and FY18, to date, or anticipated for the remainder of FY18.
- Include the cost, what it does, and the budget program and activity codes that fund it.
 - Cross reference to any relevant contracts (name or number) in the responses above.
 - Please explain if there have there been any issues with implementation.

Answer: See table below.

Technology	Cost	What It Does	Budget	Contract Cross Reference	Issues
Server Migration	None	Successfully migrated 9 DCHR legacy systems from the unsupported, less secure-Microsoft's Server 2003 operating environment to Microsoft's Server 2012 operating environment. Of the 9 servers, 3 were decommissioned-reducing DCHR's cyber footprint.	N/A	N/A	N/A
Digital Transformation (new)	TBD	Modernize its portfolio of technical tools to fully embrace social, mobile, and analytics from a centralized cloud based platform. A few key components we look to improve upon are: <ul style="list-style-type: none"> - Branding (Website) 	TBD	N/A	N/A

		<ul style="list-style-type: none"> - Electronic onboarding - Call Center Technology, Live Chat - Mobile HR Application <p>Market research is currently being conducted and no cost has been associated with the initiative at this time.</p>			
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V. Government Employees and Hiring

50. Please attach a searchable chart in Excel with the following information for each District government agency: total number of employees and number and percentage of employees residing in DC. For agencies with 100 or more employees, please also list the numbers and percentages for each agency with:

- Group 1 as entry-level Career Service, Competitive positions (i.e., Grades 9 or below or grades comparable to entry-level);
- Group 2 as entry-level Term or Temporary positions (i.e., Grades 9 or below or grades comparable to entry-level);
- Group 3 as the remaining Career Service, Competitive positions;
- Group 4 as the remaining Term or Temporary positions;
- Group 5 as Management and Supervisory Service positions;
- Group 6 as Legal Service positions;
- Group 7 as Excepted Service positions; and
- Group 8 as Executive Service positions.

Answer: see attachment U (Employees by Residency) with two tabs: Tab 1 – Residency and Tab 2 – Agencies over 100 by Group.

51. What efforts, if any, has DCHR undertaken in hiring District residents and what are the agency’s plans in FY18?

Answer: The Department of Human Resources prioritized Direct Connect Hiring Events, which are opportunities for District Residents to connect directly with District Government agencies to be interviewed on the spot and offered contingent employment. DCHR held two Direct Connect Hiring Events that were for District Residents only. Additionally, DCHR continues to work with District agencies to encourage the hiring of District residents.

DCHR actively participates in the selection and onboarding of L.E.A.P. interns creating a pathway to the middle class. These hires are all District residents. Today there are 34 L.E.A.P. interns actively working with the District.

In FY18, DCHR plans to establish partnerships with the Universities in the District of Columbia to target District Residents and will work with the agencies to host agency hiring events where appropriate.

DCHR will also begin to develop a branding strategy to better market District employment opportunities. To kick start this effort, DCHR advertised the careers.dc.gov website on the exterior and interior of WMATA metrobuses.

52. For FY16, FY17, and FY18, to date, please provide the number of complaints filed or reported to DCHR regarding the District government's hiring process and hiring practices. For FY16, FY17, and FY18, to date, please describe the allegations.

Answer: Based on available records, see attachment C (Complaints and Grievances).

53. For FY16, FY17, and FY18, to date, please attach a searchable chart in Excel organized by agency with the number and percentage of new hires that were Term or Temporary hires. Explain any trends upward or downward in the numbers provided for each agency.

Answer: See attachment V (DCGov Hires Term_Temp).

54. In the agency's response to Question 27 in its FY17 Performance Oversight questions, DCHR identified as its third major priority developing and implementing a Talent Acquisition Strategy. Please provide an update on these activities and any data capturing their results. This update should include whether the Talent Acquisition Strategy included an effort to increase the percent of new hires to District government who are District residents. Please provide a report on any plans the DCHR may have to improve District resident hiring, as the Committee requested from DCHR in the Committee's FY18 Budget Report and Recommendations.

Answer: In FY17, DCHR worked in partnership with OCTO on the PeopleSoft 9.2 Upgrade which included the eRecruit Module TAM. TAM (Talent Acquisition Manager) is a complete, integrated system that enables organizations to effectively manage workforce acquisition across all employment categories. Streams of applicants can be screened, interviewed, and hired quickly and efficiently. Primary Recruiting Process Flow with this application, allows for the ability to: create and manage job openings, enter and manage applicant information, manage job postings, search for job openings and applicants, screen applicants, route applicants, manage applicant interviews, and manage offers. We are

working with OCTO on enhanced capability of the components for full use of this module.

DCHR held an “Are You Employment Ready Event” in Ward 4 geared toward District residents to get them employment ready by offering hands on interviewing skills, mock interviews, resume review, computer/application assistance, dress for success, and overall job approach. Additionally, DCHR had in attendance various service organizations for additional resources.

DCHR also participated in various events to provide information on: the District Government as a viable employer, program opportunities (i.e. District Leadership Program, Capitol City Programs), employment opportunities, mock interviews, and resume building.

In FY18, the Department of Human Resources will partner with District Government agencies to develop agency specific hiring events to help increase the hiring of District residents. DCHR will assist agencies in the development, promotion, sourcing, screening, interviewing, and selection process of the event. The events enable agencies to thoroughly evaluate candidates and bolster their candidate relationship management.

Events to date

AGENCY	DATE	# OF OFFERS	# ONBOARDED
DDOT	11/4/2017	51	42
DMV	12/18/2017	9	0 (in progress)

University Partnerships

DCHR will strengthen the District Government’s university partnerships by attending numerous local university career fairs in an effort to build a strong talent candidate pipeline for District Government opportunities.

To date, DCHR attended the 2017 NGO, Non-Profit and Government Career Fair – 11/17/17 at George Washington University. The NGO, Non-Profit, and Government Career Forum is an exciting collaborative event between the Women’s Foreign Policy Group, New York University, The George Washington University, and the University of Pennsylvania to educate students about the NGO and government organization career paths within the field.

DCHR will participate in a Career Fair hosted by Georgetown University School of Continuing Studies on Feb. 23rd.

Virtual Career Fair

In FY18, DCHR will propose to host an inaugural virtual career fair. A virtual career fair will offer District agencies an opportunity to host a virtual exhibitor booth to attract candidates by promoting employment

opportunities, and workplace culture, with the capacity to reach thousands of candidates.

District Government Employment Branding

To date, DCHR has an approved logo. DCHR is spotlighting current vacancies through our social media platforms in an effort to increase District residents that apply for District jobs. (#PathwaysToTheMiddleClass)

55. After several years of negotiations, Comps 1 & 2, the District's largest labor agreements with District employees, are expected to be completed and entered into in FY18.
- a. Please provide the current status of DCHR's preparations for the District entering into newly negotiated Comps 1 & 2 contracts.
 - b. What is DCHR's plan to implement the changes that will be required by the new Comps 1 & 2 contracts?
 - c. What is DCHR's plan to fully inform union members covered under Comps 1 & 2 about any changes that may arise from the new contracts that will affect member compensation, benefits or any other aspect of their employment?

Answer: DCHR works in collaboration with the Office of Labor Relations and Collective Bargaining (OLRCB) to implement all collective bargaining agreements negotiated by the Mayor. DCHR prepared the new salary schedules included in the proposed agreement transmitted by the Mayor to the Council for approval. Additionally, DCHR provided the employee salary data to the OCFO that is used to prepare the fiscal impact statement. DCHR is responsible for implementing all wage increases and benefit changes. The new contract has a 3% increase for FY18, 2% increase for FY19, 3% increase for FY20 and a 3.5% increase for FY21. The metro subsidy provided to the members was also increased to \$50 monthly and all monies left at the end of the month will now be rolled over to the next month.

DCHR serves as the project manager to implement District wage increases. We work in collaboration with OPRS and OCTO to develop a timeline of the tasks to be completed to implement the 3% pay increase for FY18. DCHR and OCTO loaded the new rates into the PeopleSoft test environment and ran the mass update process to ensure the increases to employees' salaries will be correct. DCHR is working to resolve any technical issues. Once the contract is approved by Council, DCHR, OPRS, and OCTO will be able to implement the new rates within two pay periods of the approval date. DCHR is working with WMATA to implement the changes to the metro subsidy.

DCHR will work with OLRCB to develop communications that will go to employees detailing the prominent changes to the new agreement. Additionally, DCHR and OLRCB will train the HR Advisors and Labor Liaisons on the changes in the new agreement.

56. In the agency's response to Question 27 in its FY17 Performance Oversight questions, DCHR identified as its second major priority reforming District government employee classification and compensation.
- a. Please provide an update on these activities and any data capturing their results. This update should include a detailed timeline with dates and milestones for the completion of the classification reform project, as the Committee requested from DCHR in the Committee's FY18 Budget Report and Recommendations.
 - b. In the agency's response to Question 12 of its Feb. 24, 2017 Performance Hearing Follow-up Questions, the agency stated that it would provide the Committee with a proposed date for submitting legislation regarding classification and compensation reform. Please update the Committee on the status of this legislation and provide a proposed date if available.

Answer: In early 2017, the City Administrator, in consultation with the Directors of DCHR and the Office of Labor Relations and Collective Bargaining, determined that enhancement of the District's current classification system should move forward through a combination of human and technical resources. The enhanced classification system will allow for the following: 1) The criteria used to determine the classification of a position to be automated; 2) Directors will have a more active role in the classification decision process; 3) the system will be simplified, user friendly, and will significantly speed up the process by providing a position description (PD) library from which key word searches can assist in the development of a position description and its corresponding classification; 4) improved effectiveness of classification decision-making and accountability; 5) track similarities and differences so as to minimize classification inconsistencies; and 6) generate averages, grade creep (where an agency's grades continuously rises), and the corresponding financial impact over time.

In August 2017, we committed to a path forward on the implementation of a new classification strategy that addressed concerns expressed by the Union. This plan addresses career ladders, classification inequities, desk audits, position classification reviews, and automating the classification process with the projected completion date of the project by December 2018. The project will be divided into three (3) phases to include:

Phase 1:

Career ladder - Identify and implement outstanding career ladders from FY-17 review – Estimated Completion date: 02/2018 – reviews completed-implementation decision pending.

Desk Audits – Determine agencies and the corresponding positions that are pending desk audits along with those positions awaiting classification reviews and new job classification requests – Estimated Completion date: 07/2018

Phase 2:

Classification Inequities: Identify common functions throughout agencies and develop standard position descriptions to facilitate recruitment and allow employees to grow and assume greater responsibilities without encountering undue restrictions inherent in the current classification system. Estimated Completion date: 07/2018

Phase 3:

Automated Classification Process: Identify and finalize business requirements for an electronic classification system that will simplify and speed up the classification of positions, make the process more serviceable and understandable, and improve the effectiveness of classification decision-making process. Estimated Completion date: 12/2018

The classification and compensation reform as presented in FY17 was terminated and therefore no legislation is required at this point.

57. In the agency's response to Question 27 in its FY17 Performance Oversight questions, DCHR identified as its fourth major priority creating career paths for District government employees. Please provide an update on these activities and any data capturing their results.

Answer: In FY17, DCHR was able to simplify the career path initiative in order to streamline the process. The career path website is divided into nine job categories where users can select to discover information about specific careers. The website features daily responsibilities of each position, how to land the position in the field, and the competencies most significant to those positions. The website also features links to learning opportunities offered by DCHR's Center for Learning and Development, the District's university partners, and the Skillport online learning portal. The website will also feature a discovery and assessment tool called "My Next Move" for those who are unsure of their career interests. Using key measures, we will be able to shape the training opportunities delivered to managers and build a well-informed manager base. The website will also feature an optional survey where participants can suggest improvements for the website. DCHR has formed an internal subject matter review team to ensure accuracy of language utilized in the website.

1. Number of clicks per position
2. Number of clicks of users inside the District versus outside the District
3. Number of people who utilize the My Next Move career profiler tool

Official launch of the website will be Q3.

58. What efforts, if any, has DCHR undertaken to improve retention of District government employees, including MPD and FEMS employees?

Answer: As a result of our discussions with MPD, DCHR advertises the position of Police Officer and any civilian vacancies on our online careers page. MPD now posts vacancies on our website. DCHR also provided guidance on enhanced social media use, which MPD implemented. DCHR will continue to provide support, as needed.

In 2015, DCHR worked with FEMS in a mass recruitment effort for the position of Fire Fighter/EMT, which had not been done since 2008. FEMS hires off the register that was established as a result of the mass recruitment effort in 2015.

VI. Employee Benefits and Taxes

59. How many claims for paid parental leave were accepted in FY17 and FY18 (to date)? What was the average length of the leave?

Answer: There were seven parental leave approvals. All were approved for 320 hours.

60. How many claims for paid family leave other than parental leave were accepted in FY17 and FY18 (to date)? What was the average length of the leave?

Answer: DCHR approved 16 employees for PFL for other than parental leave in FY17 and FY18 (to date). On average, employees were approved for 140 hours of leave.

61. What percentage of District government employees participated in our 457 plans in FY17? On average, what percentage of their salary did they contribute to their 457 plan?

Answer: In FY17, 37% of the workforce (13,703 employees out of 37,037) participated in the Districts 457 plan. On average, employees contributed 5.68% of their annual salary.

62. What percentage of District government employees who are eligible for our 401(a) plan are fully vested in the 401(a) plan? What percentage are partially vested?

Answer: 61% of employees participating in the 401(a) plan are fully vested, with 26% partially vested. The remaining 13% is comprised of employees who have less than two years of service with the District and thus have not met the threshold for vesting.

63. In the agency's response to Question 27 in its FY17 Performance Oversight questions, DCHR identified as its fifth major priority increasing employee

participation in the voluntary 457(b) Deferred Contribution retirement savings plan. Please provide an update on these activities and any data capturing their results.

Answer: DCHR has taken several steps, utilizing varied techniques, to increase employee participation in the 457(b) Deferred Compensation plan.

In an effort to increase employee awareness and prepare employees that will soon be eligible for retirement, DCHR has updated the retirement guide on our website, which provides important information to employees who are in the 401(a) retirement plan and are starting to consider or are currently planning retirement. This guide is a general overview of the benefits currently available to retirees.

In partnership with ICMA-RC, enrollment in the 457(b) deferred compensation plan was promoted at 592 events and seminars throughout the fiscal year. These events range from benefits fairs to New Employee Orientations, and other onsite seminars focusing on such topics as; investing, retirement-readiness, credit maintenance and social security. During fiscal year 2017, DCHR processed 2,734 new 457(b) enrollments.

To improve program efficiency, DCHR, in partnership with OCTO, developed and implemented a dedicated workflow process for the 401(a) and 457(b) enrollment and distribution processing. This automated process reduces paperwork and provides automation for forms, workflow, and Standard Operating Procedures to process for the 401(a)/457(b) distribution requests.

DCHR has also worked with the Office of the City Administrator and Executive Office of the Mayor to propose an amendment that was originally part of the Budget Support Act that would have automatically enrolled future District new hires into the 457(b) program. This amendment has since become part of separate legislation, which is currently under review by the DC Council.

DCHR also partnered with the Office of the Chief Financial Officer (OCFO)'s Office of Finance & Treasury (OFT) and ICMA-RC to draft and distribute a survey for employees to better understand their opinion of the District's retirement offerings and how we can better serve their needs. The consultants who conducted the survey will not have results available until March.

64. In the FY18 Budget, the Council funded a retirement match program for D.C. Council employees that would provide a 3% employer match to employee contributions made into their 457(b) deferred compensation accounts.
- a. Please state the status of fully implementing this program.
 - b. Council employees participating in the match program have noticed that, for a period of time after the program started, their pay stubs did not reflect

a match placed being into their 457(b) accounts. Moreover, Council employees participating in the program have most recently seen an amount placed into a separate 401(a) account. It is the Committee's understanding that this additional 401(a) account was created because, with the 3% match, many Council employees exceed the cap placed on 457(b) accounts by federal rules and regulations. Please confirm that this is accurate and provide any additional explanations for clarity.

- c. As a result of the match taking longer than expected to be fully implemented, interest and investment gains would have accrued if matches had been made starting at the beginning of FY18. How will DCHR determine and apply the retroactive pay to reflect the missing 3% contributions with interest and any other sum that should have accrued if the program were fully implemented? Please state the estimated date that these retroactive matches will appear in participating Council employee accounts.

Answer: See table below.

High Level Project Timeline	Timeframe
Discovery & Project Planning Meetings	Nov-Dec 2017
OFT, DCHR, OPRS, OCTO & ICMA-RC meet to determine direction & develop project plan	Completed
Matching Contributions for October to December '17	Nov 2017-Feb 2018
Setup Temporary 401 Plan	Completed
Setup Eligible participants in Temporary 401 Plan	Completed
Process Matching Contributions for Oct. to Dec. '17	Completed
Gain/Loss Calculation	In Progress
Targeted Mailing developed	Completed
ICMA-RC Mail Letter to participants	Completed
Matching Contributions Beginning January'18	Jan-2018
Process ongoing Matching Contributions Beginning January '18	Ongoing
Ongoing Contributions Setup	30-Nov-17
Update Plan Document establishing new 401a Plan	Ongoing
IT Project	Jan-April 2018
Programming to create new source in existing 401a Plan. Includes updates to PeopleSoft for new plan, online system, call center, reporting system and file transfer system	Ongoing
Conversion	April 2018

Move funds from New Plan to New Source in Existing 401 Plan	Pending
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A project team, consisting of members from DCHR, OFT, OPRS, OCTO and ICMA-RC, our 401(a) and 457(b) program manager, was established to implement the program. The implementation of the program is a two prong approach; a temporary plan to start the match as quickly as possible and a more automated permanent solution, both of which are underway. While DCHR administers the enrollment and distribution components of the plans, OFT has the fiduciary oversight and contract ownership, thus we have coordinated our answers to include their input.

Contributions for the pay periods beginning October 1, 2017 (10/24/17 pay date) through December 2017 were deposited in participating employees account on January 4, 2018. Contributions for the three pay periods in January 2018 will be deposited into participant's account on or about January 30, 2018; thereafter, deposits will be made bi-weekly until the permanent plan is fully implemented. The targeted completion date for the permanent solution is May 2018. A letter was mailed to all eligible employees in the three agencies on January 26, 2018 explaining the status of the implementation of the 3% matching contributions.

The existing 401(a) Plan Document allowed for matching contributions, Section 4.2 – Discretionary Matching Contributions; however, the OCFO had to work with legal counsel to amend the Plan Document to reflect the specifics in the legislation, such as, the three agencies referenced, vesting, and the frequency of deposits into participants' accounts. The team is working to update the bi-weekly payroll file which is transmitted to ICMA-RC for the 401(a) Plan to include a different source that will identify the matching contributions. Using the existing 401(a) plan is more expedient and cost-effective approach (rather than creating a new plan) and allows participants to electively contribute the up to the maximum IRS allowed deferral amounts to the 457 (b) Plan. The targeted completion date for the permanent solution is May 2018.

If an employee was actively contributing to the District of Columbia 457(b) plan for pay periods beginning on or after October 1, 2017, a lump sum matching contribution was deposited into a separate account for the employee on January 4, 2018. This represents the employer matching contribution for five pay periods, specifically, for pay dates of October 24 (the first pay period, 10/1/17 -10/14/17, when deferrals would have been effective), November 7, 21, December 5 and 19. Another lump sum payment will be made to this separate account on or about January 30 for the pay dates of January 2, 16 and 30. Thereafter, matching contributions will be allocated to this separate account on a bi-weekly basis as long as the employee has actively contributed to the 457(b) plan. Enrollment information was copied from the employee's existing 457(b) plan and their

matching contributions will be invested according to their 457(b) plan contribution allocations. ICMA-RC will calculate the interest on the retroactive lump sum payments, which will be based on the return of the VT Plus Fund, a stable value fund. Employees will be able to see the matching contributions in their account on the ICMA-RC website at DCRetire.com.

65. In December 2017, the "Tax Cuts and Jobs Act of 2017" (Pub. L No.115-97, 131 Stat. 2054) was signed into federal law, thereby making substantial changes to the Internal Revenue Code in upcoming fiscal years. How will DCHR handle these new tax reforms? Please explain what steps DCHR has taken to ensure that the District government will be in compliance with the new federal laws and regulations, including how DCHR will respond to any reforms that will affect District employees' personal tax exemptions and District employer withholdings.

Answer: DCHR has been in communication with the Office of Pay and Retirement Services (OPRS) regarding the updating of tax tables for wage withholding purposes necessitated by the Tax Cuts and Job Act of 2017. OPRS is working with the Office of the Chief Technology Officer (OCTO) to implement the new tax rules in PeopleSoft. Employees will see the changes to their pay checks by the last pay date in February.

VII. DCHR Initiatives

66. In the agency's response to Question 27 in its FY17 Performance Oversight questions, DCHR identified as its first major priority transforming District government's Human Resources into a more consolidated structure. Please provide an update on these activities and any data capturing their results.

Answer:

In FY17, DCHR completed the below activities to begin transitioning to a more consolidated structure:

- **Attended several regional and national conferences to better understand the shared services model and learn best practices from organizations operating under the model.**
- **Sent multiple feedback surveys to the HR community to better understand questions and concerns about the new model.**
- **Identified positions District-wide that would be impacted by the change.**
- **Created a HR community workload tracker that captured the tasks/activities and time allocated to each across the District. This information was used to better understand HR priorities across the District.**
- **Met key stakeholders such as the Office of Payroll and Retirement Services and the Office of Labor Relations and Collective Bargaining to better understand how the change would impact their agency.**
- **Drafted a Mayor's Order to a new proposed structure and model.**
- **Conducted agency visits with 17 agencies to discuss their current operations.**
- **Created agency specific dashboards based on agency visits.**
- **Visited a District call center to understand their metrics, structure, coverage, and call volume.**
- **Launched a SharePoint website that provides updates on the initiative.**
- **Created six working groups that focused on a core HR need. These include:**
 - **HR Best Practices,**
 - **HR Innovations,**
 - **Communications,**
 - **Cultural Transition,**
 - **Employee Engagement, and**
 - **Customer Care.**

In FY18, DCHR began to analyze the number of personnel actions requests (PARs), the number of employee services, and the number of PARs to be completed annually to begin to implement a Centralized HR Processing Action Team who would be responsible for processing personnel actions in PeopleSoft and creating/updated employee official personnel folders (OPFs).

67. For FY17 and FY18, to date, please provide the Committee with a list of upgrades to the PeopleSoft system. For each upgrade project, please include a brief explanation of the upgrade and its purpose, the date when the upgrade began, the date that the upgrade was completed or the expected date of completion

(whichever is applicable). If an upgrade has been delayed, please state the reason for the delay.

Answer: See table below.

Module	Description	Latest Start Date	Completion Date
Core HR	Provides HR with the power to initiate, approve, and process action requests quickly and easily. The system automatically routes a wide variety of requests directly to reviewing officials, and on to human resources. The Manage Positions business process will help define Human Resources by position, rather than job or by employee. With this application, HR can: Create and track position data and history, Process employee appointments by position, Maintain incumbent data, Budget for positions and departments, and View incumbent, position, and budget histories.	January 2017	September 5, 2017
Commitment Accounting	Enables AFO to budget for payroll expenses and track actual payroll costs. Budget Users will directly and independently access Department Budget pages to enter funding attributes (Combo Code) and distribution percentages for a given position.	January 2017	September 5, 2017
Benefits Administration	Provides an activity guide that will display your benefits summary and allows you to click on benefits that can be changed through self-service	January 2017	September 5, 2017
Enterprise Learning Management (eLM)	Users can: Establish the company training architecture, manually enroll employees into the training program, Track course information and Track the demand for training in an at the department or employee level.	January 2017	September 5, 2017
ePerformance	A self-service evaluation management application for managers, employees, and human	January 2017	September 5, 2017

	resources (HR) administrator that can be used as a tool for planning, collaboration, communication, assessment, and monitoring evaluations for two purposes: performance and development. ePerformance supports the entire planning and evaluation process, from planning and aligning employee performance or development goals with enterprise objectives, through assessing and rewarding employee performance results within the right behaviors.		
Self Service Workflow	The ESS portal is now presented in a tiled format. The portal is aware of the type of web-browser used to access it and will render the page per the form factor.	January 2017	September 5, 2017
Individual Record of Retirement	When a person is terminated the IRR (Individual Record of Retirement) is sent to OPM (Office of Personnel Management).	January 2017	September 5, 2017
Position Management Workflow	Incorporates a 3-level workflow approval for position updates. Level 1 - Agency AFO/CFOs to designate the labor distribution for each position. Level 2 - DCHR Compliance to designate position sensitivity codes (ex: protection, safety, security, etc.). Level 3 final approval will be completed by the identified DCHR position management group.	January 2017	September 5, 2017
eRecruit	Enables organizations to effectively manage workforce acquisition across all employment categories. Streams of applicants can be screened, interviewed, and hired quickly and efficiently. HR can: Create and manage job openings, Enter and manage applicant information, manage job postings, search for job openings and applicants, Screen applicants, Route applicants, Manage applicant interviews, and Manage offers.	January 2017	September 5, 2017

Interaction HUB 9.2 (ESS/MSS)	Allows employees to view, make changes, and submit changes to their personal information, i.e. name change, address change, life events, etc.		
Allows managers from a homepage click tiles that applies to them and their direct reports.	January 2017	September 5, 2017	
Labor Management	Assist the HR Advisor with selecting the correct pay plan and salary administration plan when adding or changing a job code on the position data record.	January 2017	September 5, 2017
Grievances	Allows for recording, monitoring, and resolving disciplinary events that can be assigned to a worker in the event of disciplinary action.	TBD	December 2018
Disciplinary Actions	Used to record disciplinary action that have been taken against an employee.	TBD	December 2018

68. In December 2017, the Mayor issued an order creating a sexual harassment policy for District government employees. This order provided extensive guidance and procedures related to implementing the new sexual harassment policy. Please state the current status of implementing this policy and meeting the deadlines set forth in the Mayor's order.

Answer: The D.C. Department of Human Resources has been working with the Office of Human Rights to fully implement the Mayor's order on sexual harassment. Specifically, DCHR drafted policy on how to conduct sexual harassment investigations, provided sample sexual harassment prevention posters to agencies, and training a cadre of professionals to participate in a train-the-trainer session on sexual harassment. Each trained DCHR employee will assist in meeting the district-wide manager training mandate beginning in February.

69. In the agency's response to Question 6 of its Feb. 24, 2017 Performance Hearing Follow-up Questions, the agency provided updates regarding the Comprehensive Annual Financial Report (CAFR) Audit for FY16 and the Pension Plan Audit for FY16. Please provide an update on the status of these audits and any other related

audits, including the Other Post-Employment Benefits (OPEB) Audit for FY16 and the result of the investigation into a former DCHR employee misusing a government vehicle.

Answer: DCHR received clean reports for the below FY16 annual independent audits:

- **Comprehensive Annual Financial Report (CAFR);**
 - [FY16 Comprehensive Annual Financial Report \(CAFR\)](#)
- **Pension Plan Audit 401(a) and 457(b); and**
 - [401\(a\) Defined Contribution Pension Plan](#)
 - [457\(b\) Deferred Contribution Plan](#)
- **Other Post-Employment Benefits (OPEB) Audit**
 - [Other Post-Employment Benefits Fund FY16](#)

DCHR referred the investigation into a former DCHR employee misusing a government vehicle to the D.C. Office of the Inspector General. We have no further updates at this time.

70. Please provide an update on the tax withholding error that DCHR discovered last year. The District entered into a contract with KPMG, a professional services and accounting firm, to review this payroll tax withholding error. Please provide the current status of this contract, and a timeline of its expected or actual completion (whichever is applicable). Please summarize and explain the findings of KPMG's review, including the cost to District government to correct the error. Please explain and describe DCHR's implementation plan for correcting the error.

Answer: DCHR is working closely with KPMG to identify and correct the errors. We are still investigating the extent of these errors and will provide more information once the investigation is complete.

71. For any DCHR-administered or -funded program that provides workforce development services, please fill out the attached table, "Workforce Development Program Information and Results." Please fill out all of the shaded cells to describe the programs and their performance results for the 2017 program year. Include at a minimum the following programs, for which the Excel file has a separate worksheet set up for each.

- a. LEAP
- b. Capital City Fellows

Does DCHR operate or fund any other workforce development programs? If so, please create a new sheet (copy a blank table to a new sheet) and complete it for each program.

Answer: See attachment W (Workforce Development Program Information).

72. The LEAP evaluation by IMPAQ International in 2017 showed strong performance results for employment and earnings (90% of participants obtained unsubsidized employment after the program, and average earnings were \$27,500 annualized). To what does DCHR attribute these strong results? Does DCHR plan to expand this program in FY18?

Answer: DCHR attributes the success of the LEAP Academy to our partnering agencies. Because most of these agencies have available and vacant FTEs, they have been able to successfully transition LEAP interns to Career Service employment. In addition, agencies like the Office of Unified Communications has seen a significant decrease in call wait time as a result of hiring LEAP interns. Like OUC, many host agencies are intent and purposeful in using vacancies to hire through the LEAP Program.

Yes, DCHR plans to expand the program in FY18. As such, we have increased the expected number of LEAP interns from 30 to 38 positions in the FY18 budget. The increase was due to demand from DPW for new Parking Enforcement Officers, OUC for new 311 Operators, and other partner agencies.