

Attachment 11

DEPARTMENT OF EMPLOYMENT SERVICES  
BUDGET VS ACTUAL REPORTING OF US DEPARTMENT OF LABOR FUNDING STREAMS  
SUMMARY REPORTING  
FISCAL YEAR 2015  
YEAR ENDING : SEPTEMBER 30, 2015

DOL GRANT NO.	DOCUMENT NUMBER	CATEGORY	YEAR	TOTAL BUDGET	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	CURRENT YEAR UNOBLIGATED BALANCES	SEPTEMBER 30, 2015 YEAR END UNOBLIGATED BALANCES	AUGUST 31, 2015 MONTH CLOSE UNOBLIGATED BALANCES	PRIOR MONTH VARIANCE
AA229281255A11	AA229281P0	Local Youth Total	PI12	2,207,411.00	1,012,000.04	1,195,410.96	0.00	0.00	0.00	0.00
		State Youth Total	PI12	116,180.00	116,180.00	-	-	0.00	0.00	-
	AA229281Z0	Local Dislocated Worker Total	PI13	1,543,315.20	1,543,315.20	-	-	(0.00)	(0.00)	-
		State Dislocated Worker Total	PI13	110,256.80	110,256.80	-	-	(0.00)	(0.00)	-
		State-Wide Rapid Response Total	PI13	482,146.00	69,952.47	412,193.53	-	0.00	0.00	-
AA229281255A11 Total				4,459,768.01	2,551,684.51	1,607,604.49	0.00	0.01	0.01	0.00
AA240841355A10	AA24084C00	Local Adult Total	PI14	1,746,589.25	1,746,589.25	(0.00)	-	-	-	0.00
		State Adult Total	PI14	91,925.75	40,937.57	36,111.88	-	14,876.30	14,876.30	-
	AA24084C00	Local Dislocated Worker Total	PI14	2,272,799.00	503,122.21	1,255,072.33	(0.00)	474,664.46	364,995.41	109,609.05
		State Dislocated Worker Total	PI14	119,621.00	64,294.20	37,076.29	-	18,250.51	-	18,250.51
AA240841355A10 Total				4,220,935.00	2,354,943.23	1,368,260.59	(0.00)	507,781.27	364,995.41	142,785.86
AA240851355A11	AA24085C00	Local Dislocated Worker Total	PI13	199,445.40	199,445.40	-	-	(0.00)	(0.00)	-
		State Dislocated Worker Total	PI13	14,246.10	-	14,246.10	-	-	-	-
	AA24085C00	State-Wide Rapid Response Total	PI13	71,230.50	13,584.15	57,646.35	-	0.00	0.00	-
		Local Youth Total	PI13	1,971,098.08	210,504.56	381,522.36	-	1,379,073.68	933,825.79	445,247.89
		State Youth Total	PI13	103,742.00	103,742.00	-	-	-	-	-
AA240851355A11 Total				2,256,764.00	527,223.51	453,414.81	0.00	1,379,073.68	933,825.79	445,247.89
AA25346165A11	AA25346T00	Local Adult Total	PI14	130,099.69	-	130,099.69	-	0.00	0.00	-
		State Adult Total	PI14	12,475.31	-	12,475.31	-	-	-	-
	AA25346T00	State Dislocated Worker Total	PI14	281,592.31	-	281,592.31	-	281,592.31	281,592.31	-
		State-Wide Rapid Response Total	PI14	37,191.44	-	50.75	-	37,140.69	(0.00)	37,140.69
	AA25346T00	Local Youth Total	PI14	106,261.25	-	106,261.25	-	0.00	-	-
		Local Youth Total	PI14	2,022,266.76	-	203,076.39	0.00	1,819,190.37	2,022,205.26	(203,076.39)
		State Youth Total	PI14	193,910.24	104.00	152,407.28	-	41,401.55	82,493.28	(41,091.73)
	AA25346T00	Local Adult Total	PI15	1,706,818.47	-	1,540,677.23	0.00	166,141.24	378,815.48	(212,674.24)
		State Adult Total	PI15	163,667.53	-	10,991.99	-	152,675.54	121,619.44	31,056.10
	AA25346T00	Local Dislocated Worker Total	PI15	1,703,875.45	-	11,454.03	-	1,692,421.42	1,692,170.19	251.23
		State Dislocated Worker Total	PI15	225,033.55	-	22,146.63	-	202,886.92	91,616.58	111,270.34
		State-Wide Rapid Response Total	PI15	642,953.00	-	254,866.14	0.00	388,086.86	459,603.27	(71,516.41)
AA25346165A11 Total				7,228,043.00	10.00	2,441,506.70	0.00	4,786,537.30	5,130,117.21	(343,579.91)
AA26722155A11	AA26722V00	Local Adult Total	PI15	159,423.30	-	-	-	159,423.30	159,423.30	-
		State Adult Total	PI15	11,713.70	-	-	-	11,713.70	11,713.70	-
	AA26722V00	Local Dislocated Worker Total	PI15	132,214.00	-	-	-	132,214.00	132,214.00	-
		State Dislocated Worker Total	PI15	52,885.60	-	-	-	52,885.60	52,885.60	-
	AA26722V00	State-Wide Rapid Response Total	PI15	132,214.00	-	-	-	132,214.00	132,214.00	-
		Local Youth Total	PI15	2,126,083.94	-	-	-	2,126,083.94	2,126,083.94	-
		State Youth Total	PI15	203,871.06	-	-	-	203,871.06	203,871.06	-
AA26722155A11 Total				2,824,405.60	-	-	-	2,824,405.60	2,571,499.28	252,906.32
AD254951455A11	AD254951V00	SCSEP Federal Total	PI14	500,281.00	124,122.16	376,158.84	(0.00)	(0.00)	(0.00)	0.00
AD254951455A11 Total				500,281.00	124,122.16	376,158.84	(0.00)	(0.00)	(0.00)	0.00
AD268551555A11	AD268552V00	SCSEP Federal Total	PI15	500,281.00	-	129,064.88	-	371,216.12	433,716.95	(62,500.83)
AD268551555A11 Total				500,281.00	-	129,064.88	-	371,216.12	433,716.95	(62,500.83)
CS246067CS-5	CS246067CS-5	OSIA Federal Total	PI15	476,760.00	-	476,760.00	(0.00)	-	28,652.09	(28,652.09)
CS246067CS-5 Total				476,760.00	-	476,760.00	(0.00)	-	28,652.09	(28,652.09)
DV156710555A11	DV15671D42	DISABLED VETERANS OPPORTUNITY TOTAL	PI14	467,000.00	305,274.98	105,554.83	-	9,770.19	2,980.97	6,789.22
DV156710555A11 Total				467,000.00	305,274.98	105,554.83	-	9,770.19	2,980.97	6,789.22
DV2460141555A11	DV246014NSC	DISABLED VETERANS OPPORTUNITY TOTAL	PI15	455,000.00	-	361,672.79	-	54,327.21	149,688.74	(95,361.53)
DV2460141555A11 Total				455,000.00	-	361,672.79	-	54,327.21	149,688.74	(95,361.53)
DV2460141555A11 Total		LOCAL VETERANS EMPLOYMENT ASSIST TOTAL	PI15	216,000.00	-	211,692.05	-	4,307.95	18,683.01	(23,375.06)
DV2460141555A11 Total				672,000.00	-	573,364.84	-	98,635.16	131,005.73	(32,370.57)

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SUMMARY REPORTING  
FISCAL YEAR 2015  
YEAR ENDING : SEPTEMBER 30, 2015

DOI GRANT NO.	DOCUMENT NUMBER	CATEGORY	YEAR	TOTAL BUDGET	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	CURRENT YEAR UNOBLIGATED BALANCES	SEPTEMBER 30, 2015 YEAR END UNOBLIGATED BALANCES	AUGUST 31, 2015 MONTH CLOSE UNOBLIGATED BALANCES	PRIOR MONTH VARIANCE
ES229831255A11	ES229831255A11	Alien Labor Certification Total	FY13	123,808.00	-	47,744.38	(0.00)	76,064.62	82,983.46	(6,918.84)
ES229831255A11 Total	ES229831255A11		FY13	123,808.00	-	47,744.38	(0.00)	76,064.62	82,983.46	(6,918.84)
ES2460721355A11	ES2460721355A11	RESERVE CLAIMANTS Total	FY13	137,000.00	-	-	-	137,000.00	137,000.00	-
ES2460721355A11 Total	ES2460721355A11		FY13	137,000.00	-	-	-	137,000.00	137,000.00	-
ES260101455A11	ES260101455A11	Employment Service Total	FY14	131,000.00	1,174,256.13	948,877.87	-	0.00	0.00	0.00
ES260101455A11	ES260101455A11	Work Opportunities Tax Credit Total	FY15	66,000.00	-	66,000.00	-	0.00	(2,086.91)	2,086.91
ES260101455A11 Total	ES260101455A11		FY15	66,000.00	-	66,000.00	-	0.00	(2,086.91)	2,086.91
ES260101455A11	ES260101455A11	One-Stop-Workforce Info Grants Total	FY14	238,809.00	1,512.07	236,934.47	0.00	51,362.46	88,607.77	(37,245.31)
ES260101455A11 Total	ES260101455A11		FY14	238,809.00	1,512.07	236,934.47	0.00	51,362.46	88,607.77	(37,245.31)
ES274812X0	ES274812X0	Employment Service Total	FY15	2,088,474.00	-	84,115.09	-	2,004,358.91	2,064,973.46	(60,614.55)
ES274812X0	ES274812X0	One-Stop-Workforce Info Grants Total	FY15	289,809.00	-	50.00	-	289,759.00	88,607.77	201,151.23
ES274812X0 Total	ES274812X0		FY15	2,378,283.00	-	84,165.09	-	2,294,117.91	2,153,581.23	140,536.68
ES274812X0	ES274812X0	Foreign Labor Certification Total	FY14	10,000.00	-	-	-	10,000.00	10,000.00	-
ES274812X0 Total	ES274812X0		FY14	10,000.00	-	-	-	10,000.00	10,000.00	-
ES271521555A11	ES271521555A11	Foreign Labor Certification Total	FY15	10,000.00	-	-	-	10,000.00	10,000.00	-
ES271521555A11 Total	ES271521555A11		FY15	10,000.00	-	-	-	10,000.00	10,000.00	-
ES271521555A11	ES271521555A11	Current Employment Statistics (CES) Total	FY15	103,274.05	-	103,274.05	-	0.00	9,970.98	(9,970.98)
ES271521555A11	ES271521555A11	Local Area Unemployment Statistics (LAUS) Total	FY15	50,629.51	-	50,629.51	-	0.00	13,495.75	(13,495.75)
ES271521555A11	ES271521555A11	Occupational Employment Statistics (OES) Total	FY15	207,534.89	-	207,534.89	-	0.00	4,869.03	(4,869.03)
ES271521555A11	ES271521555A11	Quarterly Census of Employment and Wages (QCEW) Total	FY15	256,161.50	-	256,161.50	-	0.00	52,586.59	(52,586.59)
ES271521555A11 Total	ES271521555A11		FY15	657,599.95	-	657,599.95	-	0.00	71,054.25	(71,054.25)
ES271521555A11	ES271521555A11	Trade (TAA) Training - Program Total	FY13	282,252.00	365,430.25	20,761.25	(0.00)	-	-	(0.00)
ES271521555A11	ES271521555A11	Trade (TAA) Training - Program Total	FY15	282,252.00	266,590.75	20,761.25	(0.00)	181,212.65	182,286.91	(1,074.26)
ES271521555A11 Total	ES271521555A11		FY15	282,252.00	266,590.75	20,761.25	(0.00)	181,212.65	182,286.91	(1,074.26)
ES271521555A11	ES271521555A11	Unemployment Insurance Total	FY12	13,707,666.00	13,315,063.25	-	-	392,602.75	392,602.75	-
ES271521555A11	ES271521555A11	Emergency Unemployment Comp Total	FY13	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Comp Total	FY14	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Comp Total	FY15	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY14	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY15	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY16	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY17	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY18	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY19	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY20	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY21	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY22	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY23	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY24	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY25	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY26	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY27	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY28	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY29	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY30	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY31	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY32	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY33	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY34	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY35	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY36	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY37	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY38	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY39	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY40	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY41	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY42	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY43	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY44	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY45	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY46	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY47	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY48	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY49	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY50	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY51	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY52	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY53	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY54	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY55	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY56	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY57	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY58	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY59	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY60	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY61	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY62	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY63	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY64	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY65	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY66	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY67	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY68	13,707,666.00	13,315,063.25	1,632.77	-	531,697.00	531,697.00	-
ES271521555A11	ES271521555A11	Emergency Unemployment Insurance Total	FY69	13,707,666.00	13					

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## Department of Employment Services (CFD)

[illegible]

Attachment 13

## CF0 - Department of Employment Services

### YOY Fixed Cost

Agency	Comp Object	FY2016 Budget	FY2016 Expenditures	FY2015 Budget	FY2015 Expenditures	FY15 Variance
CF0	0301-FUEL AUTOMOTIVE	11,957	1,463	18,757	7,774	10,983
CF0	0302-FUEL - HEATING	0	0	11	0	11
CF0	0304-GAS	0	0	0	0	0
CF0	0305-ELECTRICITY	603,912	102,485	379,735	518,318	(138,583)
CF0	0307-WATER	180,378	15,868	57,592	66,657	(9,066)
CF0	0330-SUSTAINABLE ENERGY	26,894	0	29,634	10,275	19,358
CF0	0308-TELEPHONE, TELETYPE, TELEGRAM, ETC	922,210	95,652	684,392	869,854	(185,462)
CF0	0309-RENTALS - LAND AND STRUCTURES	1,313,062	167,056	353,360	615,367	(262,007)
CF0	0440-SECURITY SERVICES	1,125,538	82,723	637,305	1,014,367	(377,062)
CF0	0310-OCCUPANCY FIXED COSTS	1,470,388	157,962	1,094,355	1,173,488	(79,133)
CF0	0404-MAINTENANCE AND REPAIRS - AUTO	141,701	34,090	71,203	174,573	(103,370)
Overall - Total		5,796,041	657,298	3,326,344	4,450,675	(1,124,331)

\* The Rent expenditure includes UDC MOU

Attachment 14

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**

**Department of Employment Services**

MURIEL BOWSER  
MAYOR



DEBORAH A. CARROLL  
ACTING DIRECTOR

March 4, 2015

Office of Administrative Hearings  
Attn: Honorable Wanda Tucker, Acting Chief AU-OAH  
441 Fourth Street, N.W.  
Suite 450N  
Washington, DC 2001-2714

Dear Judge Tucker:

The Department of Employment Services has finalized the Memorandum of Understanding (MOU) for 2015 between the Department of Employment Services and the Office of Administrative Hearings to support the Unemployment Compensation Lower-Level Administrative Appeal function. Attached is the final version of the MOU.

Please feel free to contact the agency if you have any concerns pertaining to the 2015 MOU. We continue to look forward to an efficient year in Appeals.

Sincerely,

Deborah A. Carroll,  
Acting Director

Attachment 15

**MEMORANDUM OF UNDERSTANDING  
BETWEEN THE DEPARTMENT OF EMPLOYMENT SERVICES  
AND THE OFFICE OF ADMINISTRATIVE HEARINGS TO SUPPORT THE  
UNEMPLOYMENT COMPENSATION LOWER-LEVEL ADMINISTRATIVE APPEAL  
FUNCTION UNDER THE DISTRICT OF COLUMBIA UNEMPLOYMENT  
COMPENSATION ACT**

**I. INTRODUCTION**

This Memorandum of Understanding (hereinafter, MOU) is entered into by and between the District of Columbia Department of Employment Services (DOES) and the District of Columbia Office of Administrative Hearings (OAH), and sets forth the agreement of the Parties with respect to the adjudication of lower-level unemployment compensation appeals.

**II. PROGRAM GOALS AND OBJECTIVES**

WHEREAS, DOES is the District of Columbia agency charged with the administration of unemployment compensation laws pursuant to the District of Columbia Unemployment Compensation Act, D. C. Code, as amended, §§ 51-101 *et seq.* (hereinafter, the Act);

WHEREAS, the United States Department of Labor (hereinafter, DOL), pursuant to 42 USC § 1101(c)(1)(A), in assisting the District of Columbia in its administration of the Unemployment Compensation Act, has certified a grant of funds for the administration thereof by DOES pursuant to 42 USC § 502(a);

WHEREAS, pursuant to D.C. Code, as amended, §§ 47-105, -355.02(2); 31 USC §§ 1341, 1342, and 1349 to 1351; and subchapter II of Chap. 15 of Title 31 United States Code, as amended, the provision herein authorizing DOES to expend or obligate federal monies to fund the adjudication of lower-level unemployment compensation appeals takes effect solely upon the appropriation or certification of unemployment compensation grant funds to the District of Columbia by DOL;

WHEREAS, pursuant to D.C. Code, as amended, §§ 51-111(c), (d) and (e), the administration of the Act encompasses the responsibility to conduct formal administrative hearings, as necessary, for the proper and efficient functioning of said administration, the federal administrative grant includes funds allocated for this purpose; and

WHEREAS, the Office of Administrative Hearings Establishment Act of 2001, D.C. Code, as amended, §§ 2-1831 *et seq.*, established OAH as an independent agency, and as of October 1, 2004, transferred thereto jurisdiction to adjudicate contested cases formerly handled by DOES, other than those involving private workers compensation, and including lower-level unemployment compensation administrative appeals on behalf of DOES.

**III. SCOPE OF SERVICES**

Pursuant to the applicable authorities and in the furtherance of the shared goals of the Parties to carry out the purposes of this MOU expeditiously and economically, the Parties do hereby agree:

**A. RESPONSIBILITIES OF OAH**

1. Pursuant to D.C. Code, as amended, § 2-1831.03(b)(1) and D.C. Code § 51-111(b), upon application, OAH shall provide lower-level administrative appeals in unemployment insurance cases arising under the Act. Pursuant to UIPL 19-14, State Workforce Agency Unemployment Insurance (UI) Resource Planning Targets and Guidelines established a base appeals workload for the District of Columbia for fiscal year (FY) 2015 at 1,539.
2. OAH shall utilize any and all funds provided it pursuant to this MOU solely to adjudicate unemployment compensation lower-level appeals during the fiscal year within which the funds were either appropriated or certified for the named expenditure or obligation. OAH shall attach a detailed line-item budget as part of this MOU for the agreed sum total of \$1,385,343.13. (See Appendix 1- Budget Details)
3. On a quarterly basis, and in the format as directed, OAH shall provide DOES the financial documentation pertaining in whole, or in part, to the expenditure of local and/or federal unemployment compensation administrative grant funds – to include: Accounting invoices with detail backup documentations, comparative budget to actual expenditure statement/plans, cost formulas, staffing and expenditure plans, etc. – to allow DOES to monitor compliance with District of Columbia and DOL regulations, requirements, and directives.
4. OAH shall provide DOES, upon DOES's reasonable request or at regular intervals agreed on by the Parties, copies of such documentation, including accounting statements, budget plans, corrective action plans, narratives, and quality appraisal case selections, as may be required by DOES and/or DOL pursuant to the unemployment compensation administrative grant and applicable federal and local laws, regulations, and directives.
5. OAH shall timely implement all pertinent current and future DOL directives, policy statements, and requirements that pertain, in whole or in part, to the efficient functioning of the lower-level unemployment compensation appeals process, provided, however, that this obligation shall not apply to federal or state directives, statements, or requirements notice of which is not given to OAH promptly upon receipt by DOES.
6. OAH shall use its best efforts to issue all decisions on lower-level unemployment compensation appeals on a sufficiently regular and proportionate basis to achieve and maintain a level of decision issuance equal to or greater than sixty percent (60%) of all appeals within thirty (30) calendar days of the filing of the subject appeal, and a level of issuance equal to or greater than eighty percent (80%) of all appeals within forty-five (45) calendar days of the filing of the subject appeal.
7. In the achievement of its timely issuance goals, OAH shall use its best efforts to maintain an average age of pending appeals of less than or equal to thirty (30) days. The average age of

appeals shall be calculated by determining the sum of the ages, in days from filing, of all pending lower authority appeals divided by the number of lower authority appeals.

8. OAH shall use its best efforts to ensure that eighty percent (80%) or more of the appeals issued by OAH shall achieve a quality score equal to or greater than eighty-five percent (85%) of potential points. This rating shall be based upon an evaluation of results of quarterly samples selected from the universe of appeal hearings.

9. OAH and DOES shall, if mutually agreeable, implement the process to allow DOES representatives to appear for hearings via videoconferencing technology rather than in person in appeals where DOES is a named Party.

10. OAH shall direct all communication with DOL concerning its adjudication of lower-level unemployment compensation appeals through DOES. Any inquiry of, or response to, DOL, its directives, policy statements, standards, measures, or requirements that pertain to the lower-level appellate function shall be transmitted to, and from, DOL through DOES. Notwithstanding the foregoing, if DOL directly queries OAH concerning the lower-level appeal function, OAH shall respond and promptly inform DOES of the communication. If the communication with DOL is in writing, OAH will simultaneously provide DOES with the DOL request and OAH response.

11. OAH shall transmit to DOES, each week, a list of all unemployment compensation appeal requests filed at OAH without a Claims Examiner's Determination. Said list shall contain the date of filing and, to the extent known by OAH, the names of the employer and the claimant, with the pertinent Social Security number. Upon receipt thereof, DOES shall transmit to OAH within three (3) business days, copies of the initial determination issued in each of the listed appeals, or a statement that no such determination has been issued.

In addition, to expedite the hearing process, OAH can send an "Order for more Information" to the claimant and/or employer directly and a copy to DOES Appeal's Division Supervisor, communicating that the request for an appeal has been received. However, the Party who filed the request for an appeal must provide the determination letter before a hearing can be scheduled. Upon receipt of the "Order for more Information" by DOES Appeals Division Supervisor, the Supervisor within 24 hours will communicate with Benefits Supervisor to have the Claims Examiner who issued the determination resend the claimant and/or employer a copy of the determination letter. DOES Appeals Supervisor will then forward a copy of the determination to OAH to assist in expediting scheduling of appellant's hearing.

12. OAH shall submit to DOES, on the 15<sup>th</sup> of each month, or the next working day, the following reports: (1) ETA 5130 (monthly information on the appeals case workload); (2) ETA 9054 (monthly information on the time lapse of appeals from date of filing to decision); and (3) ETA 9055 (monthly information on the inventory of appeals filed but undecided). Each monthly report shall be submitted to DOES electronically in PDF format on its respective Unemployment Insurance Required Reports (UIRR) form as reproduced in the UI Reports Handbook No. 401 promulgated by DOL or any amendment thereto.

13. OAH shall submit to DOES, on the 15<sup>th</sup> day of the second month following the end of the quarter to which the data relates, or the next working day, ETA 9057 (a quarterly report which

provides information on the quality of lower authority appeals hearings and decisions). Each quarterly report shall be submitted to DOES electronically in PDF format on the UIRR form reproduced in the UI Reports Handbook No. 401 promulgated by DOL or any amendment thereto.

14. OAH shall make available to DOES an electronic portal providing access to certain reports and information about UI cases in OAH's case management system (eCourt). OAH and DOES shall cooperate in determining the information that will be accessible by DOES. Nothing in this clause shall be construed as obligating OAH to collect or to make available through eCourt information not currently collected in eCourt or to provide reports not currently generated by eCourt. Notwithstanding the foregoing, OAH shall make reasonable efforts to accommodate DOES's requests for additional information and reports and shall keep DOES apprised of its efforts to respond to any such requests.

15. OAH shall submit to DOES the data extract files required to administer the DOL data validation protocols for the previously submitted ETA-5130, -9054 and -9055 reports. OAH shall submit the data extract files using the data formats required by DOL and provided by DOES. The specific request for, and the parameters of, said data files shall be timely transmitted to OAH by DOES upon their receipt from DOL. The completed data extract files shall be returned to DOES by or before forty-five (45) days from the initial transmission.

16. If the actual proportionate funds required are less than anticipated, OAH shall grant a refund to DOES.

#### **B. RESPONSIBILITIES OF DOES**

1. After the execution of the MOU and receipt of the first quarter FY2015 detailed invoice, DOES will transfer \$346,335.78 to OAH via Intra-District advance, in accordance with Section IV.B. of this MOU. Such transfer of funding is to occur no later than 30 days following the receipt of the detailed invoice.

Upon receipt of the second, third, and fourth quarter FY2015 detailed invoices, DOES will transfer the amount of the quarterly invoice to OAH through an Intra-District advance, in accordance with Section IV.B. of this MOU. Such transfer of funding is to occur within 30 days of the receipt of the detailed invoice for that quarter.

2. DOES shall provide OAH, promptly upon receipt, all DOL directives, policy statements, requirements, or communications that pertain, in whole or in part, to lower-level unemployment compensation appeals process or protocols. Such materials shall include, but shall not be limited to, information about base workload established by DOL for 2015 and information required for submission in the SQSP. The base appeals workload for the District of Columbia for FY2015 is 1,539 (see UIPL19-14). In addition, DOL and DOES shall meet on one or more occasions to determine whether DOES is in possession of existing DOL directives, policy statements, requirements, or communications that have not been provided to OAH. DOES shall promptly provide copies of any such information to OAH.

3. Upon their receipt from DOL, DOES shall timely transmit to OAH the parameters of the data extract files required to administer the DOL data validation protocols for the previously submitted ETA ar5130, ar9054 and ar9055 reports.

4. In a case where the employer is an agency of the District of Columbia government, DOES Claims Examiners' Determinations shall identify the correct employing agency and its proper mailing address.

5. DOES shall cooperate with OAH and DOL to ensure the proper expenditure of local and federal administrative grant funds consistent with all applicable District of Columbia and federal laws, regulations, and DOL directives, policy statements, and requirements as required by D.C. Code, § 51-113(e).

#### **IV. FUNDING PROVISIONS**

##### **A. COST OF SERVICES**

1. Total cost for services under this MOU shall not exceed \$1,385,343.13 for Fiscal Year (FY) 2015. Funding for the services shall not exceed the actual cost of the services, based on the actual number of cases adjudicated at the following rates, provided all costs and expenditures shall not exceed \$1,385,343.13. OAH shall attach a detailed line-item budget as part of this MOU for the agreed sum total of \$1,385,343.13.

2. DOES shall provide OAH, pursuant to the qualifications and timetables contained herein, with the local and federal unemployment compensation administration funds to provide lower-level administrative appeals as delineated within this MOU.

3. Also on a quarterly basis, DOES shall transfer to OAH any and all contingency earnings received by DOES from DOL for the issuance of appeal decisions in excess of the base workload as previously established. Said quarterly payments are contingent upon the timely and accurate submission by OAH to DOES of all reports, audits, and/or information required by statute, the instant MOU, the Oversight Committee, or DOES in its capacity as the federally recognized employment security administration in the District of Columbia. Failure to timely and accurately submit said reports, audits, or information shall result in the suspension of said quarterly payment until all submissions have been accomplished to the satisfaction of DOES. Further, the payment of said contingency earnings shall not increase the total amount of yearly funding of the lower-level unemployment appeals function beyond that as contained in the 2015 Budget Request Act of 2012.

4. Where OAH has failed to achieve the DOL Secretary Standards or Core Measures for the adjudication of lower-level unemployment compensation appeals and, as a result thereof, DOL reduces the federal administrative grant monies payable to the District of Columbia through DOES, an identical amount will be deducted from the total of the administrative payment due OAH from DOES pursuant to the instant MOU.

## **B. PAYMENT**

1. Payment for all of the goods and services shall be made through an Intra-District advance by DOES to OAH based on the total amount of this MOU.
2. On a quarterly basis, OAH shall submit a detailed invoice which shall explain the amounts billed for that period. The detailed invoice shall include staffing expenditures and the number of cases resolved for the quarter addressed by the invoice to allow DOES to monitor the expenditure of local and/or federal unemployment compensation administrative grant funds and ensure compliance with District of Columbia and DOL regulations, requirements, and directives.
3. OAH will relieve the advance and bill DOES through the Intra-District process only for those goods or services actually provided pursuant to the terms of this MOU. OAH will return any excess advance to DOES by September 30 of the current fiscal year.
4. The Chief Administrative Law Judge of OAH (hereinafter, CALJ) and the Director of DOES (hereinafter, Director) or their designees shall resolve all adjustments and disputes arising from services performed under this MOU. In the event that the Parties are unable to resolve a financial issue, the matter shall be referred to the D.C. Office of Financial Operations and Systems.

## **V. GENERAL PROVISIONS**

### **A. DOES-OAH PROGRAM MEETINGS**

1. OAH and DOES program staff, as designated below, shall meet on one or more occasions upon the reasonable request of either Party to discuss issues of mutual concern and interest, including but not limited to MOU activity, performance trends, OAH-DOES communications, and improvements in partnership activities. OAH and DOES shall cooperate in setting the agendas for these meetings. The meetings shall be chaired alternately by representatives of each agency. OAH and DOES shall work cooperatively and in good faith to address promptly issues of concern raised during the meetings. These meetings are in addition to, and do not replace, the quarterly stakeholder meetings already being held for interested Parties.
2. The CALJ and Director each have designated these staff members as committee members. The address and phone numbers to members are as shown below.

**OAH members:**

Chief Administrative Law Judge  
Principal Administrative Law Judge for the Unemployment Insurance Jurisdiction  
Supervisory Attorney-Advisor  
Attorney-Advisor for the Unemployment Insurance Jurisdiction  
Paralegal for the Unemployment Insurance Jurisdiction

Address: 441 4<sup>th</sup> Street, NW, Suite 450N, Washington, DC 20001  
Phone number: (202) 442-9094

**DOES members:**

General Counsel  
UI Associate Director  
Appeals Division Supervisor

Address: 4058 Minnesota Ave, NE, Washington, DC 20019  
Phone number(s): (202) 671-1195 – General Counsel  
(202) 698 -3702 – UI Director  
(202) 698-3801 - Appeals Supervisor

This list may be updated as needed by the CALJ and by the Director. Amendments or substitutions to the list may be made at any time by written notification from the CALJ or Director.

**B. ADMINISTRATIVE AND MANAGEMENT SYSTEMS**

The Parties hereto shall develop and implement administrative and management systems adequate to collect, monitor and report on all aspects of this MOU in an accurate and timely manner to DOES and DOL. OAH shall maintain complete and accurate records justifying and supporting all accrued expenditures, as may be required by law.

**C. MODIFICATION**

This MOU shall be modified or amended only by the written agreement of the Director and the CALJ. If either Party wishes to modify or amend the terms herein, a written notice of the term of the proposed amendment or modification must be delivered to the other Party at least thirty (30) days prior to its proposed start date.

**D. LIMITATIONS**

1. The terms of this MOU are not intended to alter, amend, or rescind any provision of District of Columbia or federal law or regulation. Any provision of this MOU which conflicts with said statutory or regulatory authority shall be null and void.
2. Titles and headings used in this MOU are for the convenience of the Parties and of no other effect.

## VI. PERIOD OF PERFORMANCE

The period of performance of this MOU shall be from October 1, 2014 through September 30, 2015. Thereafter, this MOU shall be automatically renewed on a fiscal year-to-fiscal year basis, unless either Party notifies the other in writing of its intent not to renew at least sixty (60) days prior to the expiration of the MOU. Any subsequent renewal shall be subject to the availability of funding and an appropriation or certification of funding being made pursuant to District of Columbia and federal laws at the time of the renewal.

This MOU supersedes all other prior versions and modifications.

IN WITNESS WHEREOF, the Parties hereto have signed this MOU as follows:

### DEPARTMENT OF EMPLOYMENT SERVICES

\_\_\_\_\_  
Deborah A. Carroll, Acting Director

\_\_\_\_\_  
Date

### OFFICE OF ADMINISTRATIVE HEARINGS

\_\_\_\_\_  
Wanda R. Tucker, Acting Chief ALJ

\_\_\_\_\_  
Date

### APPENDIX 1- Budget Details

#### Office of Administrative Hearings (FSO) FY 2015 Intra-District FTEs (DOES-UI Contract)

No.	Agy	FY	Posn Nbr	Title	Budgeted Salary	Hourly Rate	Index	PCA	Proj #	Proj Phase	Fund	Prgm
1	FSO	15	00013470	Administrative Law Judge	\$144,176.31	69.32	DOES2	2001A	DOES00	15	0701	020A
2	FSO	15	00033120	Administrative Law Judge	\$144,176.31	69.32	DOES2	2001A	DOES00	15	0701	020A
3	FSO	15	00036381	Administrative Law Judge	\$147,518.15	70.92	DOES2	2001A	DOES00	15	0701	020A
4	FSO	15	00036958	Administrative Law Judge	\$144,176.31	69.32	DOES2	2001A	DOES00	15	0701	020A

Attachment 16



## **FY 2015 Performance Accountability Report Department of Employment Services**

### **INTRODUCTION**

The Performance Accountability Report (PAR) measures each agency's performance for the fiscal year against the agency's performance plan and includes major accomplishments, updates on initiatives' progress and key performance indicators (KPIs).

### **MISSION**

The Department of Employment Services (DOES) fosters economic development and growth in the District of Columbia by providing workforce development services, bringing together employers and jobseekers, compensating injured workers, providing needed benefits to the unemployed, and promoting safe and healthy workplaces. DOES achieves its mission by providing the necessary tools for the District of Columbia workforce to become more competitive using tailored approaches to ensure that jobseekers and workers are successfully paired with businesses and employers. The agency advances opportunities for employment, helping employers find qualified workers, and tracking labor market information and other national economic measurements that relate to the District of Columbia. Regardless of the department or program, the agency's services focus on the District's employers, job seekers, and employees.

### **SUMMARY OF SERVICES**

DOES is District of Columbia's lead labor and workforce development agency, providing customers with comprehensive workforce development services funded through a combination of federal grants and local appropriations. The agency delivers basic income support services via the Unemployment Insurance Compensation Division to unemployed or underemployed persons who lost their jobs through no fault of their own. The Labor Standards Division ensures a safe and healthy work environment for workers in the District, administers a program to provide benefits to qualified individuals with employment-related injuries or illnesses, administers the District's wage-and-hour laws, and provides hearing and adjudication services to settle workers' compensation disputes. The Workforce Development Division provides jobseekers with workforce development and training programs and services to ensure employers have access to qualified job candidates. Lastly, the agency provides District youth with job training, academic enrichment, leadership, and employment opportunities through its Year-Round, Summer Youth, Youth Leadership Institute, and other youth programs.

### **OVERVIEW – AGENCY PERFORMANCE**

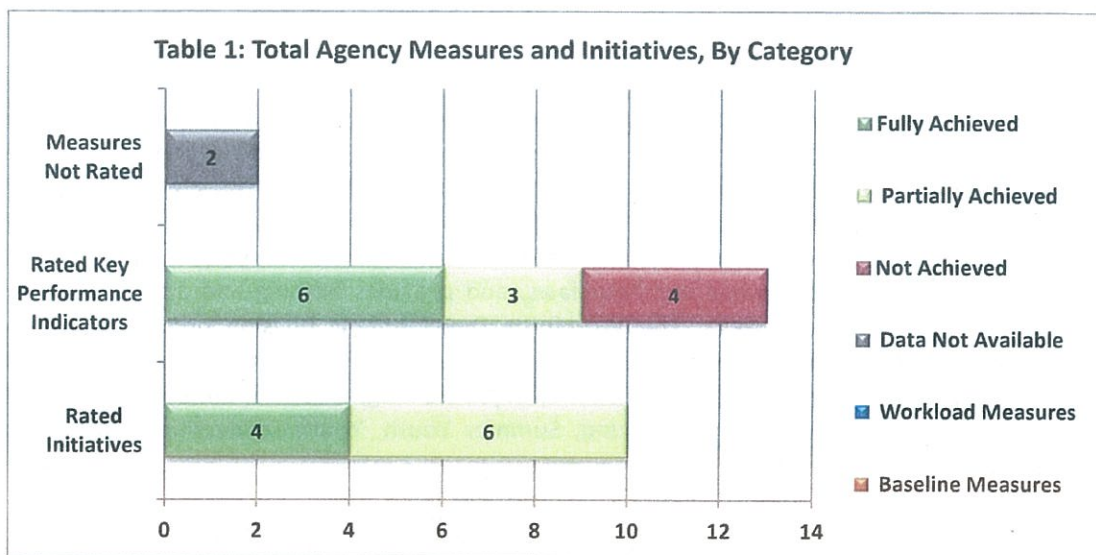
The following section provides a summary of DOES performance in FY 2015 by listing DOES's top three accomplishments, and a summary of its progress achieving its initiatives and progress on key performance indicators.

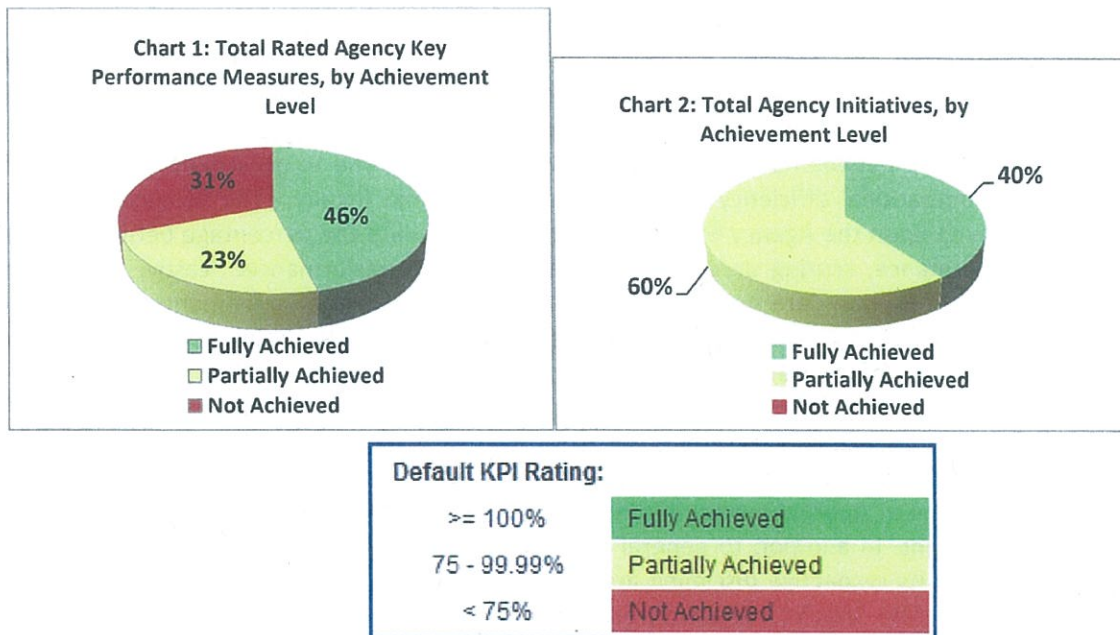


### TOP THREE ACCOMPLISHMENTS

The top three accomplishments of DOES in FY 2015 are as follows:

- ✓ The District's unemployment rate was reduced by one full percentage point, from 7.8% to 6.8%, totaling approximately 5,100 jobs. Of those 5,100 jobs, the agency filled 3,600 with hard-to-hire residents, which are those who have been unemployed for 12 months or more. Many of the hard-to-hire residents were connected to entry level jobs in various fields. One successful tactic of connecting residents to employers was hosting job fairs.
- ✓ The agency launched the LEAP (Learn, Earn, Advance, Prosper) Academy. Working with District Government agencies, educational institutions, and private sector employers DOES created a network of interconnected partners utilizing the "earn-and-learn" approach that links the city's unemployed residents with paid employment, education, and training opportunities. To date, over 100 District residents have participated in the LEAP Academy.
- ✓ The agency successfully expanded the Marion Barry Summer Youth Employment Program (MBSYEP) to include 22 to 24 year-olds. There were 844 participants in said age range.





In FY 2015, DOES fully achieved almost half of its initiatives and its rated key performance measures. **Table 1** provides a breakdown of the total number of performance metrics DOES uses, including key performance indicators and workload measures, initiatives, and whether or not some of those items were achieved, partially achieved or not achieved. **Chart 1** displays the overall progress is being made on achieving DOES objectives, as measured by their rated key performance indicators. Please note that chart 2 contains only rated performance measures. Rated performance measures do not include measures where data is not available, workload measures or baseline measures. **Chart 2** display the overall progress DOES made on completing its initiatives, by level of achievement.

## PERFORMANCE INITIATIVES – ASSESSMENT DETAILS

### Workforce Development Programs

**OBJECTIVE 1: Expand the District's integrated workforce system to improve customer service and outcomes for employers and job seekers.**

**INITIATIVE 1.1: Establish performance benchmarks for job training providers.** DOES is working with the Workforce Investment Council (WIC) and other key partners to establish performance benchmarks to assess the effectiveness of training providers. In FY 2014 the WIC continued to implement new eligibility and performance policies, designed to ensure that training providers are accountable for results. In FY 2015 DOES and the WIC plan to conduct a study on the effectiveness of training programs in the District, using the data to better aligned with demand occupations. In addition, DOES and the WIC will implement new monitoring and oversight procedures aligned with these new requirements.

**Completion Date: September 2015**



- **Performance Assessment Key: Partially Achieved.** The WIC successfully expanded the list of training providers from eight (8) to 14. Additionally, the agency developed scorecards to be used for the agency's programs and training providers and/or vendors. The goal is to utilize the scorecards in FY 2016 to identify the gap between actual and targeted performance, and to determine organizational effectiveness and operational efficiency both programmatically and fiscally. The Scorecard will use success metrics based upon the Agency Goals in a formula to calculate the percentage between actual and targeted performance, scoring or grading vendor and DOES performance. Lastly, the agency switched to the use of Human Care Agreements as the form of contractual agreements between the government and training providers allowing flexibility in the contract to scale up and scale down according to performance of the training provider.

**INITIATIVE 1.2: Expand existing programs to train 100 District residents in the latest green construction skills. (Sustainable DC Plan Built Environment Action 3.3 and Energy Action 3.4)** In FY14, DOES, through its Office of Apprenticeship Information and Training, funded several construction pre-apprenticeship programs. In addition to general construction and trade specific training each of the following programs in its respective discipline areas exposed District residents to green construction practices. Ninety five (95) District residents received green construction training, conducted by a relevant union sponsor entity in the following areas and disciplines: Steam-fitting, Electrical, Plumbing, and Sheet metal. In FY15, DOES plans to fund these programs again and is exploring opportunities to fund pre-apprenticeship programs in other construction trades that would feature a training component related to current green construction industry standards. In addition, DOES will explore options to partner with local institutions to train residents in renewable energy and energy-efficiency work. **Completion Date: September 2015**

- **Performance Assessment Key: Partially Achieved.** In FY 2015, the DOES Associate Director responsible for both the Office of Apprenticeship and Business Services met several times with the District Department of the Environment, renamed the Department of Energy and Environment (DOEE), regarding partnership opportunities in green jobs. Working with DOEE and the DC Sustainable Energy Utility, DOES formed a core group and began designing a curriculum for career pathways in green jobs. Focus on career pathways is consistent with requirements for the implementation of the Workforce Innovation and Opportunity Act (WIOA). The DOES Agency Director traveled to New York to assess Sustainable South Bronx and the Department of General Services visited Baltimore.

**INITIATIVE 1.3: Promote the local On-The-Job Training.** DOES plans to reinstate the local On-The-Job training initiative in FY15, with a newly designed program that requires interested companies to demonstrate that the positions for which they are seeking to utilize OJT are legitimate, as evidenced by the opening being fully funded and posted in the agency's DCNetworks virtual one-stop system. The program will deemphasize the use of OJT for entry level positions, as other DOES programming focuses on this area. In the alternative, OJT will be focused on career ladder positions with demonstrated evidence of promotion potential. The OJT funding will be directed to defraying the participating company's onboarding and initial training costs rather than functioning as a long-term wage



supplement. Participating companies will be required to develop and show proof of successful execution of a specific training plan for each employee they receive OJT funding for in order to receive full reimbursement under the program. **Completion Date: September 2015**

- **Performance Assessment Key: Fully Achieved.** In addition to launching the LEAP Program, the agency created a legal framework for private sector OJT and received approval from the Office of the Chief Financial Officer for reimbursement to businesses via direct payment.

**INITIATIVE 1.4: Increase the number of District residents hired by District-funded contracts.** With more than \$60 billion in the District's development pipeline, the office continues to monitor contractors and subcontractors to ensure that First Source hiring and apprenticeship requirements are met by these employers. Better compliance equals more jobs for city residents. In FY 2015, the First Source Employment Program will continue efforts to expand its online employer reporting system as part of the ongoing effort to facilitate the hiring of District residents and tracking of employee data. First Source is working with the DOES Office of Information Technology to finalize the next version of the online system. The new online system is in the final testing phase and DOES began training companies to use the system in FY 2014.

For the period of January 1, 2014 to June 30, 2014 First Source recorded a 45.8% hiring rate reported by businesses on projects or contracts subject to First Source Employment Agreements. This percentage represents a 12.5% increase from the preceding reporting period. For FY15 First Source will work with employers to increase this effort to 60%. **Completion Date: September 2015**

- **Performance Assessment Key: Partially Achieved.** The Semiannual First Source Report for the period of January 1, 2015 to June 30, 2015 reflects a 47.32% hiring rate on projects subject to First Source Employment Agreements. This percentage reflects a 6.8% increase from the preceding reporting period, July 2014 to December 2014. In January 2016 employers will report the December 2015 numbers, which will lead to a further increase in the percentage.

As it pertains to the online system, in FY 2015 the agency continued its efforts to expand the online employer reporting system as part of the ongoing effort to facilitate the hiring of District residents and to track data. The DOES division responsible for First Source Compliance is working with the agency's Office of Information Technology to finalize the next version of the online system, which is slated for completion in FY 2016. The agency will train companies to use the system once it is complete.

**INITIATIVE 1.5: Establish a program to prepare hard-to-employ citizens for the new economy.** In FY14, DOES aimed to enter into a Memorandum of Understanding with the Office of the State Superintendent of Education (OSSE) and Department of Human Services (DHS) to implement job readiness training for our hardest to employ citizens. Among the proposed deliverables was the creation of a Career Navigation course, which would provide educational assessment, occupational literacy and/or postsecondary education, career assessment, career exploration, career counseling,



workshops (on customer service, resume preparation, professional dress and etiquette, and interviewing techniques), and/or other related services.

The goal for FY14 was for DHS to identify up to 200 Supplemental Nutrition Assistance Program (SNAP) recipients to attend a DOES' Career Navigation course. However, due to Supplemental Budget Actions affecting the FY14 budget, DOES was unable to enter into the Memorandum of Understanding between DOES, DHS and OSSE for FY 14, to fund the Career Essential Boot Camps, occupational literacy, postsecondary education and training services for Supplemental Nutrition Assistance Program (SNAP) customers. Although lack of funding prevented the implementation of the initiative in FY 14, the agencies continue to collaborate in preparation of implementation pending funding availability in FY 15. The agencies' continued collaboration have helped to develop needed programmatic components for implementation such as creation of program flyer, in-take process, customer referral flow and process, e-CASAS certification of DHS staff just to name a few.

In FY 15 the agencies' will focus on program needs and coordination of services to ensure that the program will be well positioned for implementation upon funding availability. DHS staff now having a full understanding of available services offered through the American Job Center network, and are capable of describing these and other services offered through DOES offerings in their counseling sessions with customers to encourage participation. Through this ongoing partnership, SNAP recipients will continue to receive information about and take advantage of the many career services offered through DOES and OSSE. **Completion Date: September 2015**

- **Performance Assessment Key: Fully Achieved.** As previously mentioned the agency launched the LEAP Program; where initially the primary targeted population was individuals involved in the Department of Human Services' (DHS') Rapid Rehousing Program and those reaching the 60-month maximum time limit to receive cash benefits within the Temporary Assistance for Needy Families (TANF) program. Hard-to-Hire has been defined as those who have been unemployed for 12 months or more. The DHS customers previously mentioned often are hard-to-hire and are in extraordinarily precarious financial positions and would benefit tremendously from the employment, education, and training opportunities through the LEAP Academy. The agency is also partnering with DHS by regularly sending staff members from both DOES Project Empowerment and the American Job Centers to Adams Place, the city's daytime service center for homeless individuals. DOES staff work with the Adams Place attendees, providing job placement assistance and referrals to training programs and opportunities. Additionally, the agency is working with the Department of Corrections to create an American Job Center "behind the wall", a pre-release program targeting incarcerated individuals several weeks prior to their release date to prepare them to enter into the workforce.

**OBJECTIVE 2: Ensure the District's youth employment program provides occupational skills training, work experience, academic enrichment and life skills training to facilitate the development of work habits and skills that are essential for success in the workplace.**



**INITIATIVE 2.1: Integration of federal and local youth programs.** During FY15, the DOES Office of Youth Programs intends to integrate its federally appropriated Workforce Investment Act (WIA) funds with its local year round youth employment funds to develop a coordinated, streamlined set of programs and services that is designed to meet the needs of the diverse youth population we serve. The integrated program and service delivery model will allow the DOES Office of Youth Programs to better serve and serve more youth, particularly those who fall below the federal poverty guidelines. Through this model, youth will be afforded the opportunity to complete training programs, work experiences, and access services that will help them obtain long-term career success and full-time employment.

This initiative includes several key goals:

- To develop a streamlined youth service delivery strategy for the District with a uniform and transparent intake, enrollment, and referral process.
- To ensure that all youth, providers, and partners to have a consistent, positive experience.
- To ensure that all youth programs and services align with the required ten elements of WIA Youth Programs, as mandated by federal law.
- To boost our WIA enrollment by 70% and offer more comprehensive support to help youth meet outcomes and improve the District's overall performance.

We anticipate allocating at least \$4M of federal funds and at least \$4M in local year round youth employment funds towards this initiative. We anticipate serving up to 1,000 youth in year-round youth employment programs. **Completion Date: September 2015**

- **Performance Assessment Key: Partially Achieved.** We have started the integration process beginnings with the SYEP expansion for youth ages 22-24. This included a total of 844 youth who participated in the program this summer, 246 of whom were connected to employment by nature of their engagement in the program.

There will be more to come in FY16, including the full implementation of the recently launched DC Career Connections program, the expansion of our Pathways for Young Adults Program, and the creation of the new Youth Earn and Learn Program for disconnected youth ages 18-24.



# KEY PERFORMANCE INDICATORS- Workforce Development Program

	KPI	Measure	FY 2014 YE Actual	FY 2015 YE Target	FY 2015 YE Revised Target	FY 2015 YE Actual (KPI Tracker)	FY 2015 YE Rating (KPI Tracker)	Budget Program (KPI Tracker)
	1.1	Number of adult participants completing workforce development training program [Established in FY2011]	1,152	1,500	Not Applicable	1,116	74.4%	Workforce Development
	1.2	Number of SYEP youth participants referred to summer jobs	13,766	14,000	Not Applicable	14,067	100.48%	Workforce Development
	1.3	Percent of D.C. residents filling new available positions	27.0%	28%	Not Applicable	Not Applicable	Not Applicable	Workforce Development
	1.4	Percent of young adults, ages 20-24, who are employed	57.6%	64%	Not Applicable	70.10%	137.17%	Workforce Development
	1.5	Number of long-term unemployed residents that obtained jobs through the On-the-Job Training positions	Not Applicable	50	Not Applicable	Not Applicable	Not Applicable	Workforce Development
	1.6	Job growth in District	1.1%	1.0%	Not Applicable	-1.1%	0%	Workforce Development
	1.7	District of Columbia unemployment rate (as reported by the USDOL Bureau of Labor Statistics – not seasonally adjusted)	7.5%	8%	Not Applicable	7.3%	119.4%	Workforce Development
	1.8	Private sector's participation in the District economy [One City Action Plan Indicator 1B]	68.4%	68.4%	Not Applicable	69.00%	101.3%	Workforce Development



## Unemployment Insurance Program

**OBJECTIVE 1:** Increase the efficiency and integrity of unemployment compensation benefits and unemployment tax services provided to unemployment insurance claimants and District employers through the creation and leveraging of technological solutions.

**INITIATIVE 1.1:** Implement technological solution to provide customers with access to unified reemployment services via a single portal. Currently, the District's UI program does not allow for a single point of entry for all UI services. The existing system provides separate interfaces for claimants and employers, while workforce services are offered through another distinct system. This disjointed process increases average UI claim duration, fosters improper UI payments, and hinders rapid reemployment strategies designed to reduce the unemployment rate.

To address these issues, DOES plans to implement an Integrated Workforce Registration System (IWRS) that will allow District residents accessibility to unified reemployment services via one portal. Although this integrated system will roll out in a modular fashion, once complete the modules will form a single entry point for District customers. The first module, the Employer Self-Service Portal (ESSP) is scheduled for launch September 30<sup>th</sup>, 2014. The IWRS combines unemployment benefits and workforce services that will aid UI claimants to more promptly return to the workforce, reduce unemployment claim durations, and decrease fraudulent UI claims and payments.

- **Performance Assessment Key: Partially Achieved.** The first module, the Employer Self-Service Portal (ESSP) launched in October 2014. The IWRS combines unemployment benefits and workforce services that will aid UI claimants to promptly return to the workforce, reduce unemployment claim durations, and decrease fraudulent UI claims and payments.



# KEY PERFORMANCE INDICATORS- Unemployment Insurance Program

	KPI	Measure	FY 2014 YE Actual	FY 2015 YE Target	FY 2015 YE Revised Target	FY 2015 YE Actual (KPI Tracker)	FY 2015 YE Rating (KPI Tracker)	Budget Program (KPI Tracker)
	1.1	Percentage of all first unemployment insurance payments made to eligible claimants within 14 days of the first compensable week-ending date. [87% is the Federal Standard/ Industry Standard]	67.7%	87%	Not Applicable	81.59%	93.78%	Unemployment Insurance
	1.2	Percentage of new unemployment insurance status determinations made within 90 days of the ending date of the first quarter of liability	79.2%	70%	Not Applicable	75.98%	108.54%	Unemployment Insurance
	1.3	District of Columbia re-employment rate as reported by USDOL	54.2%	60%	Not Applicable	57.37%	95.61%	Unemployment Insurance



### **Labor Standards Program**

**OBJECTIVE 1: Provide a more efficient and effective system to prevent workers from exposure to unsafe working environments and from falling beneath an unacceptable income level at times of unemployment due to injury/illness.**

**INITIATIVE 1.1 Continue document digitization efforts for Administrative Hearings Division and the Compensation Review Board to improve efficiency in the workers' compensation system.** Both DOES' Administrative Hearings Division, which provides formal administrative hearings in accordance with the workers' compensation acts, and the Compensation Review Board, which provides administrative review of case decisions (compensation orders) issued by the Administrative Hearings Division and/or the Office of Workers' Compensation, will effectively convert hardcopy files and records totaling nearly 1 million images into a digital format to not only further modernize and create efficiency within the workers' compensation system but also to use a workplace sustainability tip, "be green at work." The effort will create a digital file repository in which DOES users can access all files that have been digitized by entering key searches criteria. Furthermore, this effort will reduce the agency's hardcopy paper footprint once files have been converted to a digital format. Due to budgetary challenges with the contracting mechanism, the original April 2014 kickoff was delayed. **Completion Date: March 2015**

- **Performance Assessment Key. Partially Achieved.** DOES started the process of effectively converting hardcopy files and records totaling nearly 1 million images into a digital format to further modernize and create efficiency within the workers' compensation system. This effort has reduced the agency's hardcopy paper footprint as files have been converted to a digital format. As previously stated, once complete, this effort will create a digital file repository in which DOES users can access all digitized files by entering key search criteria.



#### KEY PERFORMANCE INDICATORS- Labor Standards Program

	KPI	Measure	FY 2014 YE Actual	FY 2015 YE Target	FY 2015 YE Revised Target	FY 2015 YE Actual (KPI Tracker)	FY 2015 YE Rating (KPI Tracker)	Budget Program (KPI Tracker)
●	1.1	Percentage of back wages collected from employers on valid wage and hour complaints	100%	97%	Not Applicable	97%	102.79%	Labor Standards
●	1.2	Percentage of workers' compensation formal hearings resolved within 120 working days	77.9%	80%	Not Applicable	80%	75.96%	Labor Standards
●	1.3	Rank: Per premium rate to secure workers compensation coverage in the District of Columbia	Not Applicable	51st (Least Expensive)	Not Applicable	51 <sup>st</sup> (Least Expensive)		Labor Standards

#### Office of the Director

#### OBJECTIVE 1: Improve the Office of the Director, Management and Administration

**Initiative 1.1: Implement a Leadership Development Training program for DOES employees.** DOES Management will offer comprehensive leadership and management training to all DOES staff. The training will be mandatory for all agency managers, and available to all other staff members striving to improve their potential and advance into management. The training aligns with the District's Department of Human Resources (DCHR) learning and development career continuum and will cover topics such as priority management, teambuilding, effective communication and collaboration, conflict resolution, and change management. By leveraging DCHR's existing curriculum DOES will be able to quickly deploy and coordinate a rich spectrum of beneficial training.

**This coordinated effort will be complete by September 30, 2015.**

- **Performance Assessment Key. Fully Achieved.** In FY 2015, the agency implemented Strategic Doing, a framework developed by Purdue University, which teaches people how to form collaborations quickly, move them toward measurable outcomes, and make adjustments along the way. It enables leaders to



design and guide new networks that generate innovative solutions. It is the strategy DOES is using to implement the Workforce Innovation and Opportunities Act (WIOA) throughout the District of Columbia. A district-wide team coordinated by DOES was trained and is certified as Strategic Doing Practitioners. Incorporating Strategic Doing, the Director's office coordinated three (3) agency wide professional development days. In FY 2016, the agency will continue to utilize Strategic Doing for WIOA Implementation and intra agency training. The Director's office also ensured all managers received Ethics Training and training on the Language Access Act, which was also provided to key personnel and/or front line staff.

**INITIATIVE 1.2 Conduct agency sustainability assessment using OCA approved criteria developed by DDOE and OP in accordance with Mayor's Order 2013-209 (Sustainable DC Governance Goal 1, Action 1.2; Built Environment Goal 3)**






Within one hundred twenty (120) days after the City Administrator approves sustainability assessment criteria developed jointly by the District Department of the Environment and the Office of Planning, each agency head subject to the authority of the mayor shall use the criteria to evaluate the sustainability of their respective operations in accordance with the requirements of Mayor's Order 2013-209, the Sustainable DC Transformation Order, and submit to his or her responsible Deputy Mayor and the Office of the City Administrator the results of the agency's internal assessment.

**Completion Date: April 2015**



**Performance Assessment Key. Fully Achieved.** The agency completed the aforementioned assessment and asked for confirmation from the District Department of Environment, now the Department of Energy and Environment (DOEE), on Thursday, May 28, 2015. DOEE provided confirmation on Monday, January 4, 2016.

**KEY PERFORMANCE INDICATORS- Operations and Agency Management**

   	KPI	Measure	FY 2014 YE Actual	FY 2015 YE Target	FY 2015 YE Revised Target	FY 2015 YE Actual (KPI Tracker)	FY 2015 YE Rating (KPI Tracker)	Budget Program (KPI Tracker)
	1.1	Number of mandatory staff agency-wide trainings	5	5	Not Applicable	5	60%	Agency Management

**WORKLOAD MEASURES – APPENDIX**

**WORKLOAD MEASURES**

Measure Name	FY 2013 YE Actual	FY 2014 YE Actual	FY 2015 YE Actual	Budget Program
Number of Work Opportunity Tax Credits Processed	3,888	3,317	5,343	Workforce Development
Number of customers visiting American Job Centers	22,540	20,234	26,900	Workforce Development

Attachment 17



## **FY 2016 Performance Plan Department of Employment Services**

### **MISSION**

The Department of Employment Services (DOES) fosters economic development and growth in the District of Columbia by providing workforce development services, bringing together employers and jobseekers, compensating injured workers, providing needed benefits to the unemployed, and promoting safe and healthy workplaces.

DOES achieves its mission by providing the necessary tools for the District of Columbia workforce to become more competitive using tailored approaches to ensure that jobseekers and workers are successfully paired with businesses and employers. The agency advances opportunities for employment, helping employers find qualified workers, and tracking labor market information and other national economic measurements that relate to the District of Columbia. Regardless of the department or program, the agency's services focus on the District's employers, job seekers, and employees.

### **Summary of Services**

DOES is District of Columbia's lead labor and workforce development agency, providing customers with comprehensive workforce development services funded through a combination of federal grants and local appropriations. The agency delivers basic income support services via the Unemployment Insurance Compensation Division to unemployed or underemployed persons who lost their jobs through no fault of their own. The Labor Standards Division ensures a safe and healthy work environment for workers in the District, administers a program to provide benefits to qualified individuals with employment-related injuries or illnesses, administers the District's wage-and-hour laws, and provides hearing and adjudication services to settle workers' compensation disputes. The Workforce Development Division provides jobseekers with workforce development and training programs and services to ensure employers have access to qualified job candidates. Lastly, the agency provides District youth with job training, academic enrichment, leadership, and employment opportunities through its Year-Round, Summer Youth, Youth Leadership Institute, and other youth programs.

### **PERFORMANCE PLAN DIVISIONS**

- Workforce Development Program
- Unemployment Insurance Program
- Labor Standards Program
- Agency Management Program



## AGENCY WORKLOAD MEASURES

Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 YTD
Number of Work Opportunity Tax Credits Processed	3,888	3,317 <sup>1</sup>	
Number of customers visiting American Job Centers	22,540	20,234	

### *Workforce Development Programs*

**OBJECTIVE 1: Expand the District's integrated workforce system to improve customer service and outcomes for employers and job seekers.**

**Initiative 1.1: Establish Agency Service Provider Scorecards.** The agency is working with the Workforce Investment Council (WIC) and other key partners to establish performance benchmarks to assess the effectiveness of training providers. In FY 2015, the WIC continued to implement new eligibility and performance policies, designed to ensure that training providers are accountable for results. In FY 2016, DOES will implement **Agency Service Provider Scorecards** for all training, job development, job placement and retention contracts, or Human Care Agreements. Success Metrics will be determined based upon the Agency Goals and the criterion established within the Human Care Agreements to measure intended outcomes and quantifiable outputs expected of the service providers. Examples of such criterion are timely submission of required reports; the timely delivery of training services; the achievement of proposed training outcomes, specific to training type; and customer satisfaction. Using the success metrics and the criterion in a formula to calculate the percentage between actual and targeted performance will produce a score or grade for service providers' performance.

The Service Provider Scorecards will provide data that will drive decision-making regarding reshaping and renewing Human Care Agreements. The performance outcomes upon which contract payment or compliance will be based, shall include, but may not be limited to the following:

- Recruitment and enrollment of the total number of proposed participants no later than three (3) months after the contract start date;
- Number and percentage screened and assessed as "job ready";
- Number and percentage receiving job development and placement services;
- Number and percentage receiving employability skills training, support, and counseling;
- Number and percentage placed into full-time employment; and
- Demographic information of the number and percentage of customers served.

<sup>1</sup> The Work Opportunity Tax Credit (WOTC) program's legislative authority for all WOTC target groups expired on December 31, 2013. As a result, the program is currently undergoing an authorization lapse and is in "hiatus". Per the U.S. Department of Labor's Training and Employment Guidance Letter (TEGL) 08-13, State Workforce Agencies will continue to accept and process applications for valid target groups that are timely filed for employers' new hires made on or before December 31, 2013. Furthermore, the District's WOTC team will continue to accept and mark as timely all certification requests for employers' new hires made on or after January 1, 2014 that are received during the hiatus and are filed within the 28 days of the applicant's start of employment, until informed otherwise by ETA. However, no new eligibility certifications will be issued for these applications unless the program is reauthorized.



Providers will be incentivized for placement beginning at one month of entering the program, 6 months retention, and 12-months retention. For placement and retention of customers and/or clients living in Police Service Areas the Mayor has identified as priorities, additional supplemental incentives will be offered. **Completion Date: December 2015.**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** (1) Increase DC's employment by 40,000 jobs by 2018, and create a thriving business climate for entrepreneurs; and (2) Increase the employment for residents living in Wards 7 & 8.

**Initiative 1.2: Enhance access to services via mobile units.** In FY 2015, the agency used a mobile unit to provide services to residents at the DC General Family Shelter once a week. In FY 2016, DOES will add a second mobile unit to its inventory, creating the **Mobile Workforce on Wheels**, connecting people experiencing homelessness as well as Ward 7 and 8 residents, to job training and/or education and workforce services. Both buses will be staffed with full-time DOES employees 35 hours a week. **Completion Date: December 2015.**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** (1) End Homelessness; and (2) Increase the employment for residents living in Wards 7 & 8.

**Initiative 1.3: Expand youth programs, job training, and internships and "learn and earn" programs.** Throughout the agency's Workforce Development Division programs will submit program plans outlining steps to work with the private sector to partner with the Learn, Earn, Advance and Prosper (LEAP) Academy, Summer Youth Employment Program job fairs, and to extend on-the-job training and apprentice opportunities. **Completion Date: September 2016.**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** (1) End Homelessness; and (2) Increase the employment for residents living in Wards 7 & 8.

**OBJECTIVE 2: Ensure the District's youth employment program provides occupational skills training, work experience, academic enrichment and life skills training to facilitate the development of work habits and skills that are essential for success in the workplace.**

**Initiative 2.1: Integration of federal and local youth programs.** During FY 2016, the DOES Office of Youth Programs intends to integrate its federally appropriated Workforce Innovation and Opportunity Act (WIOA) funds with its local year-round youth employment funds to develop a coordinated, streamlined set of programs and services that are designed to meet the needs of the diverse youth population. The integrated program and service delivery model will allow the DOES Office of Youth Programs to better serve more youth, particularly those who fall below the federal poverty guidelines. Through this model, youth will be afforded the opportunity to complete training programs, work experiences, and access services that will help them obtain long-term career success and full-time employment.



This initiative includes several key goals:

- Develop a streamlined youth service delivery strategy for the District with a uniform and transparent intake, enrollment, and referral process;
- Ensure that all youth, providers, and partners to have a consistent, positive experience;
- Ensure that all youth programs and services align with the required ten elements of WIA Youth Programs, as mandated by federal law; and
- Boost our WIA enrollment by 70% and offer more comprehensive support to help youth meet outcomes and improve the District's overall performance.

**Completion Date: September 2016**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** Increase the employment for residents living in Wards 7 & 8.

**KEY PERFORMANCE INDICATORS - Workforce Development Program**

Measure	FY 2014 Actual	FY 2015 Projection	FY 2015 YTD	FY 2016 Projection	FY 2017 Projection	FY 2018 Projection
Number of adult participants completing workforce development training program [Established in FY 2011]	2,362	1,500	4,453	1,500	1,600	1,600
Number of Summer Youth Employment Program (SYEP) youth participants referred to summer jobs	13,766	14,000	14,067	14,000	14,000	14,000
Percent of D.C. residents filling new available positions [Established in FY 2013]	27% <sup>1</sup>	28%	?	28.5%	29%	29%
Percent of young adults, ages 20-24, participating in the labor force. [Established in FY 2013]	56.5%	64%	70.10%	65%	66%	66%
Number of long-term unemployed residents that obtained jobs through the On-the-Job Training initiative <sup>2</sup>	Not Available	50	?	75	100	100
Job growth in District <sup>3</sup>	1.9%	1.0%	0.67%	1.3%	1.5%	1.5%
District of Columbia unemployment rate (as reported by the USDOL Bureau of Labor Statistics – not seasonally adjusted)	8.1%	8%	7.3%	7.0%	6.8%	6.8%
Private sector's participation in the District economy	68.4%	68.4%	69.00%	68.9%	69.3%	69.3%



### *Unemployment Insurance Program*

**OBJECTIVE 1: Increase the efficiency and integrity of unemployment compensation benefits and unemployment tax services provided to unemployment insurance claimants and District employers through the creation and leveraging of technological solutions.**

**Initiative 1.1: Implement technological solution to provide customers with access to unified reemployment services via a single portal.** Currently, a single point of entry for all Unemployment Insurance (UI) services within the agency's Unemployment Insurance Compensation Division does not exist. The system provides separate interfaces for claimants and employers, while workforce services are offered through another distinct system. This disjointed process increases average UI claim duration, fosters improper UI payments, and hinders rapid reemployment strategies designed to reduce the unemployment rate.

The agency plans to implement an Integrated Workforce Registration System (IWRS) that will allow District residents accessibility to unified reemployment services via one portal. Although this integrated system will roll out in a modular fashion, once complete the modules will form a single entry point for District customers. The first module, the Employer Self-Service Portal (ESSP) launched in October 2014. The IWRS combines unemployment benefits and workforce services that will aid UI claimants to promptly return to the workforce, reduce unemployment claim durations, and decrease fraudulent UI claims and payments. **Completion Date: September 2016**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** Increase the employment for residents living in Wards 7 & 8.

**Initiative 1.2: Track Unemployment Claims Data to gage the increase of employment, especially for those in underserved areas, to allocate resources and determine the success of programs..** UI Claims data contains individual employment information including their address and zip code. This information can be used to produce estimates by ward. This goal will be measured in two different ways: The first is the comparison between total number of claimants in Ward 7 and Ward 8 in January 2014 and total number of claimants in Ward 7 and Ward 8 in January 2018 (numerical and percentage). The second is to survey Ward 7 and Ward 8 claimants on how they were able to find a job (numerical and percentage). The survey should be conducted online in December 2017.

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** Increase the employment for residents living in Wards 7 & 8.



#### KEY PERFORMANCE INDICATORS - *Unemployment Insurance Program*

Measure	FY 2014 Actual	FY 2015 Projection	FY 2015 Actual	FY 2016 Projection	FY 2017 Projection	FY 2018 Projection
Percent of all first unemployment insurance payments made to eligible claimants within 14 days of the first compensable week-ending date. [87% is the Federal Standard/ Industry Standard]	68.3%	87%	80.1%	87%	87%	87%
Percent of new unemployment insurance status determinations made within 90 days of the ending date of the first quarter of liability	81%	70%	74%	70%	70%	70%
District of Columbia re-employment rate as reported by the U.S. Department of Labor (USDOL) <sup>4</sup>	52%	60%	56.7%	60%	60%	60%

#### *Labor Standards Program*

**OBJECTIVE 1: Provide a more efficient and effective system to prevent workers from exposure to unsafe working environments and from falling beneath an unacceptable income level at times of unemployment due to injury/illness.**

**Initiative 1.1: Continue document digitization efforts for the Administrative Hearings Division and the Compensation Review Board to improve efficiency in the workers' compensation system.** Both the agency's Administrative Hearings Division, which provides formal administrative hearings in accordance with the workers' compensation laws, and the Compensation Review Board, which provides administrative review of case decisions (compensation orders) issued by the Administrative Hearings Division and/or the Office of Workers' Compensation, will effectively convert hardcopy files and records totaling nearly 1 million images into a digital format to further modernize and create efficiency within the workers' compensation system. This effort will create a digital file repository in which DOES users can access all digitized files by entering key search criteria. Furthermore, this effort will reduce the agency's hardcopy paper footprint once files have been converted to a digital format. **Completion Date: September 2016.**

**District Priority Area: N/A**

**District Priority Goal : N/A**

**Initiative 1.2: Increase and track District's employment.** The agency's occupation projections estimate, for 2014 through 2018, an estimated 37,000 additional jobs in the District by 2018. The agency will track this goal using a combination of data from the Bureau of Labor Statistics (BLS) data and the US Census Bureau. This data contains employment numbers and wages reported by employers covering 98 percent of the US jobs, Quarterly Census of Employment and Wages, and the quarterly number or count of



new hires by businesses' age, Quarterly Workforce Indicators. It also could be used to produce estimates by Major Sector Groups and by Ward. This goal should be measured in two different ways. The first is the comparison between the total number of jobs in January 2014 and total number of jobs in December 2017 (numerical and percentage). The second is the comparison between new hires by the businesses' age in 2014's first quarter, and new hires by the businesses' age in 2017's fourth quarter. Please note: Other agencies may have other data sources to utilize, such as the Office of Tax and Revenue.

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** Increase DC's employment by 40,000 jobs by 2018, and create a thriving business climate for entrepreneurs.

**KEY PERFORMANCE INDICATORS - Labor Standards Program**

Measure	FY 2014 Actual	FY 2015 Projection	FY 2015 YTD	FY 2016 Projection	FY 2017 Projection	FY 2018 Projection
Percent of back wages collected from employers on valid wage and hour complaints	100% <sup>5</sup>	97%	97%	97%	97%	97%
Percent of workers' compensation formal hearings resolved within 120 working days	77.9%	80%	55.2%	80%	80%	80%
Rank: Per premium rate to secure workers compensation coverage in the District of Columbia	45 <sup>th</sup>	51st (Least Expensive)	51st (Least Expensive)	51st (Least Expensive)	51st (Least Expensive)	51st (Least Expensive)

**Agency Management (Office of the Director)**

**OBJECTIVE 1: Improve the Office of the Director, Management and Administration**

**Initiative 1.1:** In FY 2016, DOES will create an **Agency Dashboard and Scorecard** to track performance using data sets from various DOES Systems as performance metrics, while providing true visual graphics to help analyze the data. Examples of the DOES systems are as follows:

1. The District's Online Compensation System (DOCS) for Unemployment Insurance (UI) Claimant related data;
2. District's Unemployment Tax Accounting System (DUTAS) for UI Tax data;
3. Virtual One-Stop System (VOS) for workforce development data related to programs and enrolled customers receiving services;
4. PeopleFirst3 for payroll data related to program participants; and
5. The District's AVAYA telecommunications system for data related to call center operations.



Additionally, the Scorecard will gauge the agency's alignment with, and impact on, the District Priority Goals as well as the agency's progress in reaching Agency Goals. **Completion Date: December 2015.**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** (1) Increase DC's employment by 40,000 jobs by 2018, and create a thriving business climate for entrepreneurs; and (2) Increase the employment for residents living in Wards 7 & 8.

**Initiative 1.2: Implement a Leadership Development Training program for DOES employees.** Agency Management will offer comprehensive leadership and management training to all DOES staff. The training will be available to all agency managers, and available to all other staff members striving to improve their potential and advance into management. The training will align with the District's Department of Human Resources (DCHR) learning and development career continuum and will cover topics such as priority management, teambuilding, effective communication and collaboration, conflict resolution, and change management. A position description has been drafted, creating a full-time position for a Training Coordinator.

In FY 2015, the agency implemented Strategic Doing, a framework developed by Purdue University, which teaches people how to form collaborations quickly, move them toward measurable outcomes, and make adjustments along the way. It enables leaders to design and guide new networks that generate innovative solutions. It is the strategy DOES is using to implement the Workforce Innovation and Opportunities Act (WIOA) throughout the District of Columbia. A district-wide team coordinated by DOES was trained and is certified as Strategic Doing Practitioners. In FY 2016, the agency will continue to utilize Strategic Doing for WIOA Implementation and intra agency training. **Completion Date: September 2016.**

**District Priority Area:** A Strong Economy for All

**District Priority Goal:** (1) Increase DC's employment by 40,000 jobs by 2018, and create a thriving business climate for entrepreneurs; and (2) Increase the employment for residents living in Wards 7 & 8.



#### KEY PERFORMANCE INDICATORS - Operations and Agency Management

Measure	FY 2014 Actual	FY 2015 Projection	FY 2015 YTD	FY 2016 Projection	FY 2017 Projection	FY 2018 Projection
Number of mandatory staff agency-wide trainings	5	5	5	5	5	5

<sup>1</sup> Ibid.

<sup>2</sup> DOES' On-The-Job Training Initiative was suspended in early FY 2013 and will not operate as outlined. DOES will report on specialized training progress mid-year FY 2014.

<sup>3</sup> Projection numbers could change given current and historical trends.

<sup>4</sup> USDOL identifies re-employment as a core measure linked with the following: "Percent of UI claimants who become re-employed within the quarter following their first UI payment." Please note that the performance data charts generated by USDOL regarding the re-employment query are based on data extracted from the UI database on the date and time this query is executed. Because the UI database is dynamic, data extracted at other times may differ as states occasionally submit amended reports. USDOL also attempts to verify outliers and correct obviously erroneous data from time to time.

<sup>5</sup> Data as of March 31, 2014. The Office of Wage and Hour (OWH) is undergoing a restructuring to include the implementation of automated reporting.



Attachment 18



Dear Business Stakeholder,

Thank you for attending the Business Roundtable hosted by the Office of Wage-Hour.

We value your feedback and input; please help us serve District employers better by filling out the survey below.

Thank you,  
Office of Wage-Hour  
DC Department of Employment Services

	Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree
I can put what I learned today to immediate use.					
Overall, the topics covered were relevant and consistent with the description of the agenda.					
The speakers were knowledgeable regarding the topics covered.					
The handouts and materials were useful.					
I feel confident about my ability to comply with the WTPAA properly.					
I would recommend this session to other employers.					
Overall, the session met my expectations.					
I plan to attend future OWH meetings and events.					



**Do you have any comments on the organization of the session or the content covered?**

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**How do YOU maintain compliance at your business? We'd like to know! What best practices or methods does your business employ to stay abreast of District labor laws?**

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**What are your recommendations for Outreach and Education? What are the best ways for the DOES Office of Wage-Hour to maintain communication with a business like yours (e.g., industry, size, location)?**

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Attachment 19



Please tell us about your service was today by completing a Customer Service Survey.  
You may also visit [www.gradedc.gov](http://www.gradedc.gov) to complete an online survey.

## *Tell us how we are doing!*

1. Date of visit \_\_\_\_\_
2. Which of the following service(s) did you request?
  - ☐ Unemployment
  - ☐ Job Search (American Job Center)
  - ☐ Tax Division
  - ☐ Youth Services
  - ☐ Veterans Services
  - ☐ Other (please specify) \_\_\_\_\_
3. Did you have an appointment? ☐ Yes ☐ No  
If yes, with whom and for what time? \_\_\_\_\_
4. Was he/ she available at the time of your appointment? ☐ Yes ☐ No ☐ Not Applicable
5. If you did not have an appointment, did a staff member assist you upon arrival? ☐ Yes ☐ No
6. Was the staff member knowledgeable about the programs and services offered at DOES?
  - ☐ Yes, very much so
  - ☐ Yes, somewhat
  - ☐ No, not at all
7. If your problem was not resolved, did a DOES staff member provide an alternate solution(s)?  
Yes ☒ No  
If yes, what type of solution was offered? \_\_\_\_\_
8. DOES Staff is courteous, professional, and caring.
  - ☐ Strongly Agree
  - ☐ Agree
  - ☐ Disagree
  - ☐ Strongly Disagree
9. DOES is helpful in finding solutions to problems in a timely manner.
  - ☐ Strongly Agree
  - ☐ Agree
  - ☐ Disagree
  - ☐ Strongly Disagree
10. Overall, how do you rate the quality of service you received at DOES?
  - ☐ Excellent
  - ☐ Good
  - ☐ Fair
  - ☐ Poor

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_
11. What can DOES do to provide you with superior service?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name (optional)

Phone number (optional)

Email address (optional)

If you have any questions or would like to speak to a customer service representative, please call 202-671-1900 or email us at [doescustomerservice@dc.gov](mailto:doescustomerservice@dc.gov). Visit DOES online at [www.does.dc.gov](http://www.does.dc.gov)  
To complete an online survey, please visit [www.surveymonkey.com/s/DOESCustomerService](http://www.surveymonkey.com/s/DOESCustomerService)

Thank you for allowing us the opportunity to serve you.

Attachment 20

## DOES CAPITAL BUDGET PROJECT

Implementing Agency	Owner Agency	Project Name	Project Description	Approved Project No	FY 2016 AVAILABLE AND BUDGETED FUNDS	FY 2017 AVAILABLE FUNDS AND REQUESTED BUDGET	FY 2018 AVAILABLE FUNDS AND REQUESTED BUDGET	FY 2018 FUNDS AND BUDGET REQUEST	FY 2019 FUNDS AND BUDGET REQUEST	Total Budget
CF0	CF0	UI MODERNIZATION PROJECT-FEDERAL	This project is focused on developing and deploying a fully integrated (Unemployment Benefits and Tax) robust solution resulting in efficiencies and the ability to offer broader services to the residents of the District of Columbia. All systems within Unemployment Insurance will be integrated including the Document Imaging system and ACD/IVR system.	UIM02C	1,500,000.00	14,000,000	2,500,000	9,000,000	13,000,000	40,000,000

The project in FY 2016 is in the research gathering and proposal writing phase. The agency expects to complete and post the request for proposals in FY 16. Award of contract and work to commence in FY 17 with projected completion date of FY 19.

Attachment 21

**U.S. Department of Labor**

Employment and Training Administration  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210



**FEB - 2 2016**

**FINAL DETERMINATION**

**UI**

Reference: December 16, 2015

Mr. Tiong The  
Single Audit Coordinator  
Government of the District of Columbia  
1100 4<sup>th</sup> Street, SW Suite 750  
Washington, DC 20024-4451

Dear Mr. The:

This letter is to transmit the Grant Officer's (GO) Final Determination (FD) on the audit of the Employment and Training Administration (ETA) program operated by the Government of the District of Columbia. The Initial Determination was issued on the date referenced above. The final audit report (FAR) contained four (4) administrative findings and \$89,597 in questioned costs. The enclosed FD on the audit findings is summarized as follows:

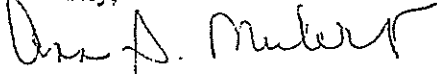
Audit Report No.: 24-15-591-03-315  
Grant No.: ES-22056-11-55, UI-19575-10-55, UI-21092-11-55,  
                  UI-22268-12-55, UI-23929-13-55, UI-25195-14-55  
Audit Period: October 1, 2013 through September 30, 2014  
Amount Questioned: \$89,596  
Amount Allowed: \$89,596  
Amount Disallowed: \$0  
No. of Administrative Findings: 4  
No. of Uncorrected Administrative Findings: 1

Corrective action is required to address the administrative finding. Uncorrected administrative findings are tracked until effective corrective action is implemented or other resolution occurs which meets the approval of the ETA Regional Administrator. Your agency should address the remaining uncorrected issues by developing and implementing the corrective actions needed. Periodic progress reports to the Regional Administrator are required until all findings are corrected.

In accordance with 29 CFR 96.63 (b), you may initiate an appeal of the open issues identified in the FD by filing a written request for hearing with the Chief Judge, Office of Administrative Law Judges, U.S. Department of Labor, 800 K Street, N.W.; Suite 400-North, Washington, D.C. 20001-8002. The request must be sent within 21 calendar days from receipt of this FD, should be accompanied by a copy of the FD and should specifically identify those sections of the determination upon which a hearing is requested. The request may be transmitted by certified mail, return receipt requested. Copies of the request for a hearing should be provided to this office and to the ETA Regional Administrator.

Copies of this FD are being provided to the Office of Inspector General for Audit and the ETA Regional Administrator.

Sincerely,

A handwritten signature in dark ink, appearing to read "Ana I. Mulero", with a stylized flourish at the end.

ANA I. MULERO

Grant Officer

Division of Policy, Review, and Resolution

Enclosure

U.S. Department of Labor

Employment and Training Administration  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210



UI

FEB - 2 2016

Reference: December 16, 2015

SUBJECT: FINAL DETERMINATION

REFERENCES: Government of the District of Columbia

Audit Report Number: 24-15-591-03-315

Grant No.: ES-22056-11-55, UI-19575-10-55, UI-21092-11-55,  
UI-22268-12-55, UI-23929-13-55, UI-25195-14-55

Audit Period: October 1, 2013 through September 30, 2014

Questioned Costs: \$89,597

Amount Allowed: \$89,597

No. of Administrative Findings: 4

No. of Uncorrected Administrative Findings: 1

This is the Grant Officer's Final Determination (FD) on the findings and recommendations in the above-referenced single audit of the U.S. Department of Labor (DOL) Employment and Training Administration (ETA) program administered by the District of Columbia (DC), Department of Employment Services (DOES). The final audit report (FAR) covered the October 1, 2013 through September 30, 2014. The audit report contained questioned costs in the amount of \$89,597 and identified four (4) administrative findings.

The audit was performed by KPMG, LLP in accordance with generally accepted auditing standards issued by the United States Comptroller General, and with the provisions outlined under the Office of Management and Budget (OMB) Circular A-133, Single Audits of States, Local Governments and Non-Profit Organizations.

On August 11, 2015, the GO transmitted the FAR to DC DOES as issued to the U.S. DOL/ETA by the Office of the Inspector General (OIG). DC DOES provided its responses to the FAR on October 13, 2015.

On December 16, 2015, the GO issued the Initial Determination (ID), which provided the DC DOES with another opportunity to respond to the audit findings. DC DOES did not provide a response to the ID.

All available information has been reviewed and considered in developing this FD.

#### A. ADMINISTRATIVE FINDINGS:

**Finding No. 1: Activities Allowed or Unallowed and Allowable Costs/Cost Principles**  
**(2014-032) (Pages 142-145)**

The auditors' review disclosed that comparisons of actual costs to budgeted distributions were not completed for two grants management employees who provided support to multiple grants. Additionally, in 25 payroll transactions (17 employees spent 100% of their time on UI and 8 employees worked on multiple grants including UI) the auditors noted that for several employees who worked 100% of their time on UI:

- there were no semi-annual certifications completed for the period of October 1, 2013 – March 31, 2014; and
- there were no semi-annual certifications completed for the period of April 1, 2014 through September 30, 2014

2 CFR 225, Appendix B(8)(h)(3-5) (3), January 1, 2014 states, "Where employees are expected to work solely on a single Federal award or cost objective, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications will be prepared at least semi-annually and will be signed by the employee or supervisory official having first-hand knowledge of the work performed by the employee. (4) Where employees work on multiple activities or cost objectives, a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation which meets the standards in subsection 8.h.(5) of this appendix unless a statistical sampling system (see subsection 8.h.(6) of this appendix) or other substitute system has been approved by the cognizant Federal agency. Such documentary support will be required where employees work on: (a) More than one Federal award, (b) A Federal award and a non-Federal award, (c) An indirect cost activity and a direct cost activity, (d) Two or more indirect activities which are allocated using different allocation bases, or (e) An unallowable activity and a direct or indirect cost activity. (5) Personnel activity reports or equivalent documentation must meet the following standards: (a) They must reflect an after-the-fact distribution of the actual activity of each employee, (b) They must account for the total activity for which each employee is compensated, (c) They must be prepared at least monthly and must coincide with one or more pay periods, and (d) They must be signed by the employee. (e) Budget estimates or other distribution percentages determined before the services are performed do not qualify as support for charges to Federal awards but may be used for interim accounting purposes, provided that: (i) The governmental unit's system for establishing the estimates produces reasonable approximations of the activity actually performed; (ii) At least quarterly, comparisons of actual costs to budgeted distributions based on the monthly activity reports are made. Costs charged to Federal awards to reflect adjustments made as a result of the activity actually performed may be recorded annually if the quarterly comparisons show the differences between budgeted and actual costs are less than ten percent; and (iii) The budget estimates or other distribution percentages are revised at least quarterly, if necessary, to reflect changed circumstances."

The auditors recommended that management:

- Adhere to its existing policies and procedures regarding the completion of semi-annual certification for all employees who spend 100% of their time on the UI program until such time as the District formally adopts a new practice that meets existing requirements under OMB Circular A-87 as well as the new requirements set forth in 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards which become effective for certain grants in fiscal year 2015; and
- Develop and implement a process to perform a periodic comparison of employees' estimated hours to the actual hours incurred for those employees who work on multiple cost objectives, and make any necessary adjustments as required by OMB Circular A-87.

In response to the auditors, DC DOES indicated that it does not concur with the finding. DC DOES explained that it follows OMB Circular A-87 as confirmed by the Department of Labor that the current system of charging federal grants through the time and labor distribution in PeopleSoft, the District HR system, meets that payroll documentation and certification requirements of OMB Circular A-87.

In response to the FAR, DC DOES explained its processes used for certifying employees that work on single federal awards or multiple federal awards or cost objectives and meets all requirements. The PeopleSoft system electronically certifies the time of employees working on both the single and multiple federal awards or cost objectives on a bi-weekly basis. Supervisors then verify and approve the time electronically in the system. The same process is used for employees working on multiple Federal awards or cost objectives except time worked on each federal award or cost objective which are electronically certified by the employees and approved by the supervisor. DC DOES also explained that its bi-weekly electronic certification process meets the requirements of 2 CFR 200.

**Determination:** Based on the above, the finding is corrected.

**Finding No. 2:**  
**(2014-033)**

**Period of Availability**  
**(Pages 146-147)**

The auditors' review disclosed that in 25 payroll samples totaling \$47,328, two samples totaling \$4,153 in expenditures were charged to the grant. The payroll expenditures were for the periods ending on May 31, 2014 and June 18, 2014. DC DOES did not receive an extension for the grant. Additionally, the auditor noted that a total of \$89,597 of fiscal year 2014 payroll expenditures, including fringe benefits, were charged to grant UI21PY Phase 13 after March 31, 2014.

DC DOES did not adequately monitor expenditures that were charged to the UI21PY Phase 13 grant to ensure that all expenditures were obligated by December 31, 2013 and were expended and liquidated by March 31, 2014. DC DOES did not request an extension when it was determined by the UI program that expenditures would incur after December 31, 2013.

2 CFR 215.28, January 1, 2014 states, "Where a funding period is specified, a recipient may charge to the grant only allowable costs resulting from obligations incurred during the funding period and any pre-award costs authorized by the Federal awarding agency."

2 CFR 215.71 (a-c), January 1, 2014 states, "(a) Recipients shall submit, within 90 calendar days after the date of completion of the award, all financial, performance, and other reports as required by the terms and conditions of the award. The Federal awarding agency may approve extensions when requested by the recipient. (b) Unless the Federal awarding agency authorizes an extension, a recipient shall liquidate all obligations incurred under the award not later than 90 calendar days after the funding period or the date of completion as specified in the terms and conditions of the award or in agency implementing instructions. (c) The Federal awarding agency shall make prompt payments to a recipient for allowable reimbursable costs under the award being closed out."

The auditors recommended that management strengthen its current internal controls to ensure that expenditures are monitored appropriately and request the proper extensions from the DOL as necessary.

In response to the auditors, DC DOES explained that the UI expenditures outside of the period of availability are in fact from actual UI costs incurred by the UI Administrative grant and no other program and/or activity. Management will continue to strengthen its current internal controls to ensure that expenditures are monitored appropriately and to request the proper extensions from DOL, as necessary, by monitoring whether the program officially submits the proper extension in accordance with the required protocol of the UI funding agreement. If DC DOES has not secured an official approved period of availability extension of the UI grant from the program, DC DOES will terminate the effective date of any and all further transactions to coincide with the period of availability of the UI grant as of December 31<sup>st</sup> of each awarding fiscal year.

In response to the FAR, DC DOES reiterated that it continues to work with all parties to ensure that all grants expenditures are in compliance with the period of availability of each award and that extensions for grants are requested well in advance as applicable. Specifically, the Unemployment Insurance Administrative grant has an award period of three years; however, the grantee must spend all funds within 15 months; except for technology services which must be obligated within the 15 month timeframe and expended within the grant period. DC DOES stated that its fiscal team at the time was not aware of the requirement that UI Administrative grants funds must be expended within 15 months; except for technology services. The requirement is now understood and beginning in June 2015, reconciliation was completed to ensure that DC DOES was in compliance. Going forward, the fiscal team will place a hard control in the financial system so that no expenditures can be charged to the grant after the allowable period. In addition, ongoing reviews and monitoring are being done by the fiscal team, to ensure that all expenditures incurred are in compliance to the period of availability for the Unemployment Insurance Administrative grant. The Grants Manager, Grants Analyst and Program staff are responsible for monitoring expenditures to ensure that they are charged in the correct period of availability.

**Determination:** Based on the above, the finding is corrected.

**Finding No. 3:**  
**(2014-034)**

**Reporting**  
**(Pages 148-150)**

The auditors' review disclosed that the amount recorded on the September 2014 ETA 2112 report, row 50 (Withholding) Column E (Unemployment Trust Fund Account), the \$804,370 recorded did not agree with the amount on the supporting documentation of \$682,103. Additionally, the number of convictions obtained reported on the ETA 227 report did not agree with the number of conviction letters identified on the OIG website.

29 CFR 97.20(A(1-2), July 1, 2014 states, "A State must expand and account for grant funds in accordance with State laws and procedures for expending and accounting for its own funds. Fiscal control and accounting procedures of the State, as well as its subgrantees and cost-type contractors, must be sufficient to—(1) Permit preparation of reports required by this part and the statutes authorizing the grant, and (2) Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes."

The auditors recommended that DC DOES strengthen its current policies, procedures, and internal controls requiring a proper review of all reports for completeness and accuracy prior to submission to DOL.

In response to the auditors, DC DOES indicated that it has adequate policies, procedures, and internal controls in place to ensure that all reports submitted to the DOL are complete and accurate.

In response to the FAR, DC DOES stated that it has strengthened its review process in compliance to the agency Unemployment Insurance Required Report (UIRR) SOP with regards to the ETA 2112 report ensuring that the review and supervisory approval functions are separated; thereby, ensuring that reports are properly reviewed for completeness and accuracy before submission to DOL. The report is prepared by the Accountant and is now reviewed by the Accounting Officer and supervisory approval is done by the Controller to ensure that information of financial activities for the reporting period are as specified in the statements of the financial institutions. The District submitted its June 2015 ETA 2112 report that showed that the review and supervisory approvals are separated and performed by the individual detailed above. In addition, DC DOES provided its current UIRR SOP that clearly establishes that the review and supervisory approval functions are clearly separated.

In regards to the ETA 227 report, DC DOES stated that its Benefit Payment Control (BPC) division increased its efforts to obtain conviction information from the Office of the Inspector General BPC designated an OIG Liaison who is responsible for communicating with OIG and obtaining updated conviction or other status updates on referred cases. The OIG Liaison will also be responsible for reporting the updated case statuses. BPC created a case referral update form that includes the claimant's name, social security number, the overpayment amount, referral date to the OIG, and a status column for the OIG to insert the updated information for each case. This case referral update form is sent to OIG quarterly by the OIG Liaison. Additionally, at the close of each quarter (prior to submission of the ETA 227), BPC management and the BPC legal team

will check the OIG's website for individual press releases of convictions obtained during that quarter. The BPC Standard Operating Procedure (SOP) has been updated to reflect these strengthened internal procedures to review reports before submission to DOL, and the SOP is pending review and approval. BPC has dedicated additional resources to participate in the review process prior to submission to a supervisor for an additional review and sign off.

**Determination:** Based on the above, the finding is **corrected**.

**Finding No. 4: Special Tests and Provisions – UC Program Integrity - Overpayments**  
**(2014-035) (Pages 151-152)**

The auditors' review disclosed that DC DOES did not have policies and procedures in place to ensure compliance with the Unemployment Compensation Program Integrity-Overpayments compliance requirements until October 21, 2014.

29 CFR 97.20(a)(1)(2), July 1, 2014 states, "A State must expand and account for grant funds in accordance with State laws and procedures for expending and accounting for its own funds. Fiscal control and accounting procedures of the State, as well as its subgrantees and cost-type contractors, must be sufficient to—(1) Permit preparation of reports required by this part and the statutes authorizing the grant, and (2) Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes."

29 CFR 99.300 (b), July 1, 2014 states, "The auditee shall maintain internal control over federal programs that provides reasonable assurance that the auditee is managing Federal awards in compliance with laws, regulations, and the provisions of contract or grant agreements that could have a material effect on each of its Federal programs."

The auditors recommended that DC DOES execute the policies and procedures established in October 2014 and also implement internal controls over compliance with the requirement of Pub. L. No. 112-40.

In response to the auditors, DC DOES explained that it will review fraudulent overpayments established between Benefit Weeks Ending October 26, 2013 and October 18, 2014. For compliance part one of UIPL 02-12, the District will assess a 15 percent penalty to all fraudulent payment established after October 21, 2013. Once the District assesses the penalty to all fraudulent overpayments established after October 21, 2013, the District will waive the penalty from the claimants' outstanding fraudulent overpayment. DOES further stated that it elected to waive the 15 percent penalty on the fraudulent payments is based on the rationale that it would be unfair to the claimant who made payment arrangements, and in some cases paid their debt in full, to be assessed a 15 percent penalty retroactively and without notice. The District will compile all documentation involved in the process for assessing and waiving the penalties for each claimant in the October 26, 2013 through October 18, 2014 population.

In response to the FAR, DC DOES stated that it has executed the policies and procedures established in October 2014, and also implemented internal controls to ensure compliance with the requirements of Pub. L.No.112-40. In response to Finding 2014-35, 550 claimants were

identified that should have received the retroactive 15% penalty assessment and waivers of those specific fraud penalties between BWE October 26, 2013, and BWE October 18, 2014. BPC issued a Notice of Determination of Overpayment and sent a letter explaining the retroactive penalty assessment and subsequent waiver of the penalty to all affected claimants. The amount of fraud penalties that can be waived is \$145,449. DC DOES also stated that the requirements gathering phase is almost complete regarding the implementation of part two (2) of UIPL 02-12. Currently, they are awaiting feedback from stakeholders in various departments in order to complete the requirements gathering phase. This legislation was not approved by the DC Council; however, edits are being made to the legislation with the hopes of ultimately obtaining the necessary approval to move forward with this initiative

DC DOES did not provide a response to the ID.

**Determination:** Based on the above, the finding is **uncorrected**. The Regional Office is scheduling a meeting with DC DOES to discuss the 15 percent fraud penalty waiver and to obtain additional information for this finding.

#### B. QUESTIONED COSTS:

**Finding No. 2:**  
(2014-033)

**Period of Availability**  
(Pages 146-147)

**\$89,597**

The auditors' review disclosed that in 25 payroll samples totaling \$47,328, two samples totaling \$4,153 in expenditures were charged to the grant. The payroll expenditures were for the periods ending on May 31, 2014 and June 18, 2014. DC DOES did not receive an extension for the grant. Additionally, the auditor noted that a total of \$89,597 of fiscal year 2014 payroll expenditures, including fringe benefits, were charged to grant UI21PY Phase 13 after March 31, 2014.

DC DOES did not adequately monitor expenditures that were charged to the UI21PY Phase 13 grant to ensure that all expenditures were obligated by December 31, 2013 and were expended and liquidated by March 31, 2014. DC DOES did not request an extension when it was determined by the UI program that expenditures would incur after December 31, 2013.

2 CFR 215.28, January 1, 2014 states, "Where a funding period is specified, a recipient may charge to the grant only allowable costs resulting from obligations incurred during the funding period and any pre-award costs authorized by the Federal awarding agency."

2 CFR 215.71 (a-c), January 1, 2014 states, "(a) Recipients shall submit, within 90 calendar days after the date of completion of the award, all financial, performance, and other reports as required by the terms and conditions of the award. The Federal awarding agency may approve extensions when requested by the recipient. (b) Unless the Federal awarding agency authorizes an extension, a recipient shall liquidate all obligations incurred under the award not later than 90 calendar days after the funding period or the date of completion as specified in the terms and conditions of the award or in agency implementing instructions. (c) The Federal awarding

agency shall make prompt payments to a recipient for allowable reimbursable costs under the award being closed out."

The auditors recommended that management strengthen its current internal controls to ensure that expenditures are monitored appropriately and to request the proper extensions from the DOL as necessary.

In response to the auditors, DC DOES explained that the UI expenditures outside of the period of availability are in fact from actual UI costs incurred by the UI Administrative grant and no other program and/or activity. Management will continue to strengthen its current internal controls to ensure that expenditures are monitored appropriately and to request the proper extensions from DOL, as necessary, by monitoring whether the program officially submits the proper extension in accordance with the required protocol of the UI funding agreement. If DC DOES has not secured an official approved period of availability extension of the UI grant from DC DOES program, DC DOES will terminate the effective date of any and all further transactions to coincide with the period of availability of the UI grant as of December 31<sup>st</sup> of each awarding fiscal year.

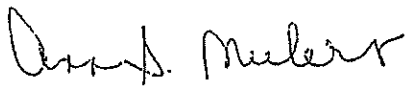
In response to the FAR, DC DOES stated that in regards to the questioned costs of \$89,597, it initiated and completed a secondary review during the time of the audit and completed it prior to the auditors exiting to ensure all applicable expenditures within the grants were related to that specific period of performance and an extension was not requested due to this oversight. Although the \$89,597 questioned costs were valid Unemployment Insurance program transactions that went beyond the grants period of availability, an adjustment was made to journal the costs to the grants within the period of availability. This task ensured that the grants did not have any expenditures charged beyond its period of availability. Any allowable expenditure that fell outside the 15 month allowable period was adjusted off of the grants and charged to each grant's phase 15. This action was completed on June 30, 2015. The District provided supporting journal vouchers for this grant.

The supporting journal vouchers provided by DC DOES were for reclassifying expenditures that went beyond the 15 month expenditure period for the FY 2014 UI State Administrative grant to the FY 15 UI State Administrative grant. Outside of the response, the DC DOES also provided the supporting journal vouchers showing that the \$89,957 in questioned costs were reclassified from the FY 2013 UI State Administrative grant to the FY 2014 UI State Administrative grant. As detailed above, DC DOES instituted internal controls to ensure that UI State administrative grants expenditures are expended within 15 months and to request the proper extensions from the U.S. Department of Labor if an extension is needed. In addition, DC DOES provided supporting journal vouchers that showed that the \$89,957 in questioned costs were properly reclassified from the FY 2013 UI State Administrative grant to the FY 2014 UI State Administrative grant. In addition, DC DOES provided supporting journal vouchers that showed the expenditures outside the 15 month expenditure period for the FY 2014 UI State Administrative grants were reclassified to the FY 15 UI State Administrative grant.

**Determination:** Based on the above, questioned costs of \$89,596 are allowed.

Summary of Administrative and Questioned Costs Findings

Finding No.	Corrected	Uncorrected	Amount Questioned	Amount Allowed
1	X		\$-0-	
2	X		\$89,597	\$89,597
3	X		\$-0-	
4		X	\$-0-	
Total			\$89,597	\$89,597



ANA I. MULERO

Grant Officer

Division of Policy, Review and Resolution



Attachment 22

**U.S. Department of Labor**

Employment and Training Administration  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210



SEP 19 2014

Mr. F. Thomas Luparello  
Acting Director  
District of Columbia Department  
of Employment Services  
4058 Minnesota Avenue, NE  
Washington, D.C. 20019

Dear Acting Director Luparello:

I am pleased to inform you that your agency's Supplemental Budget Request (SBR) for funds to implement the 2014 Program Integrity and Performance and System Improvements has been approved under authority of Section 302 of the Social Security Act. The approved projects are listed on the attachment.

We appreciate your commitment to implementing systems and activities that will help reduce the improper payment rate in your state; thereby reducing the overall national rate. This is an important priority as we work to ensure that timely unemployment insurance (UI) payments are made to claimants when they are properly due.

The obligation and expenditure of these grant funds should adhere to the time deadlines specified in Unemployment Insurance Program Letter (UIPL) No. 13-14. States should obligate grant funds received for individual projects to meet the milestones as provided in the state proposals to ensure timely implementation for these projects. All funding awarded for projects must be obligated by September 30, 2016, and liquidated within 90 days of that date. Please note that the projects related to the State Information Data Exchange System (SIDES) have an earlier implementation deadline of March 31, 2016.

As a condition of receipt of these awards, cumulative expenditures during the life of these projects should be reported in the remarks section of the Employment and Training Administration (ETA) Financial Report (ETA 9130) for projects funded under UIPL No. 13-14. You should work with your Federal Project Officer to establish a method for monitoring progress on these projects. Charges for agency employees that accrue to any of the projects should be reported only under the SBR project code. The state should ensure that these hours are not also charged under other project codes.

As mentioned in section 10 of UIPL No. 13-14, ETA is in the process of seeking Paperwork Reduction Act approval from the Office of Management and Budget for quarterly state reporting of SBR activities. ETA has proposed requiring states to report information on all SBR project quarterly expenditures, the completion of specific project milestones, and additional data necessary to assist ETA in monitoring project implementation. If approved, quarterly reporting on SBR projects may commence March, 2015. Please contact your Regional office for more information on the proposed SBR reporting requirement.

It is very important to ensure that expenditures are correctly identified in Section 6 of the SF-424A since it will be the basis upon which funds are to be expended. We recognize that the proposals include cost estimates that may change as the project is implemented. Changes of 20 percent or more occurring in any specific category on the SF-424A budget require a letter to be submitted electronically, along with a revised SF-424A, to the following e-mail address: [OUI.IntegritySBRs@dol.gov](mailto:OUI.IntegritySBRs@dol.gov), with a copy to the Regional Office. The letter must be signed by the agency's signatory official requesting approval of the change and should include the proposed project changes and applicable budget information. The request for these changes should be submitted as soon as the required information is available, but no later than 30 days prior to the end of the obligation period. Requests to extend the expenditure/liquidation period should be submitted at least 30 days prior to the end of the liquidation period. Once a grant has been through the grant close out process it is no longer possible to extend the liquidation period.

Please reference UIPL No. 13-14 and the UI grant number for this award in any future correspondence relating to this SBR. The UI grant number for this grant will be referenced in the Notice of Obligation issued to the state by ETA's Grants office. Please note that, unlike previous years, the UI grant number for this award will not be same as the State Unemployment Insurance Agreement 2014 grant number -- it will have its own separate grant number.

Best wishes for the successful and timely implementation of your projects.

Sincerely,



Gay M. Gilbert  
Administrator  
Office of Unemployment Insurance

Attachment

cc: ETA Regional Administrator

The approved Core Project(s) requested under UIPL 13-14:

Project #	Core Project Name(s)	Award	Reallocated	Award to State
2014-01	SIDES: Expansion	\$100,000		\$100,000
2014-02	SIDES: Subscription *	\$6,211	\$6,211	
<b>Total Core Project(s)</b>		<b>\$106,211</b>	<b>\$6,211</b>	<b>\$100,000</b>

The approved Additional Strategy Project(s) requested under UIPL 13-14:

Project #	Additional Strategy Project Name(s)	Award	Award
2014-03	Lexis Nexis Integration	\$650,000	\$650,000
<b>Total Additional Strategy Project(s)</b>		<b>\$650,000</b>	<b>\$650,000</b>

The approved Optional Strategy Project(s) requested under UIPL 13-14:

Project #	Optional Strategy Project Name(s)	Award	Award
2014-04	Merit Staff/Contract Support	\$249,600	\$249,600
2014-05	Work Search	\$499,200	\$499,200
<b>Total Optional Strategy Project(s)</b>		<b>\$748,800</b>	<b>\$748,800</b>
<b><u>Total Award for the State of District of Columbia</u></b>		<b>\$1,505,011</b>	<b>\$1,498,800</b>

\* SIDES: Subscription Fees reallocated to Maryland

U.S. Department of Labor

Employment and Training Administration  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210



OCT - 7 2015

Ms. Deborah A. Carroll, Esquire  
Director  
Department of Employment Services  
4058 Minnesota Avenue, NE  
Washington, DC 20019



Dear Director Carroll:

I am pleased to inform you that your agency's Supplemental Budget Request (SBR) for funds to implement the 2015 Program Integrity and Performance and System Improvements has been approved under authority of Section 302 of the Social Security Act. The approved projects are listed on the attachment.

We appreciate your commitment to implementing systems and activities that will help reduce the improper payment rate in your state; thereby reducing the overall national rate. This is an important priority as we work to ensure that timely unemployment insurance (UI) payments are made to claimants when they are properly due.

The obligation and expenditure of these grant funds should adhere to the time deadlines specified in Unemployment Insurance Program Letter (UIPL) No. 16-15. States should obligate grant funds received for individual projects to meet the milestones as provided in the state proposals to ensure timely implementation for these projects. All funding awarded for projects must be obligated by September 30, 2017, and liquidated within 90 days of that date. Please note that the projects related to the State Information Data Exchange System (SIDES) have an earlier implementation deadline of March 31, 2017.

As a condition of receipt of these awards, cumulative expenditures during the life of these projects should be reported in the remarks section of the Employment and Training Administration (ETA) Financial Report (ETA 9130) for projects funded under UIPL No. 16-15. You should work with your Federal Project Officer to establish a method for monitoring progress on these projects. Charges for agency employees that accrue to any of the projects should be reported only under the SBR project code. The state should ensure that these hours are not also charged under other project codes.

With regards to ETA 9165 quarterly status reporting of SBR activities by states, ETA has received the Paperwork Reduction Act approval from the Office of Management and Budget for this information collection. UIPL No. 19-15 provides detailed instructions on the information collection and timeline for the status reporting. Please contact your Regional office if you have questions on the SBR reporting requirement.

It is very important to ensure that expenditures are correctly identified in Section 6 of the SF-424A since it will be the basis upon which funds are to be expended. We recognize that the proposals include cost estimates that may change as the project is implemented. Changes of 20

percent or more occurring in any specific category on the SF-424A budget require a letter to be submitted electronically, along with a revised SF-424A, to the following e-mail address: [OUI.IntegritySBRs@dol.gov](mailto:OUI.IntegritySBRs@dol.gov), with a copy to the Regional Office. The letter must be signed by the agency's signatory official requesting approval of the change and should include the proposed project changes and applicable budget information. The request for these changes should be submitted as soon as the required information is available, but no later than 30 days prior to the end of the obligation period. Requests to extend the expenditure/liquidation period should be submitted at least 30 days prior to the end of the liquidation period. Once a grant has been through the grant close out process it is no longer possible to extend the liquidation period.

Please reference UIPL No. 16-15 and the UI grant number for this award in any future correspondence relating to this SBR. The UI grant number for this grant will be referenced in the Notice of Obligation issued to the state by ETA's Grants office. Please note that, as in 2014, the UI grant number for this award will not be same as the State Unemployment Insurance Agreement 2015 grant number -- it will have its own separate grant number.

Best wishes for the successful and timely implementation of your projects.

Sincerely,



Gay M. Gilbert  
Administrator  
Office of Unemployment Insurance

Attachment

cc: ETA Regional Administrator

The approved Project(s) requested under UIPL 16-15:

Project #	Project Name(s)	Award
2015-01	SIDES Database High Availability and Disaster Recovery Plan	\$114,864
2015-02	UI Application and Database Vulnerability Assessment and Penetration Testing	\$208,361
2015-03	UI Accessibility	\$176,775

<u>Total Award for the State of District of Columbia</u>	\$500,000
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