



**Government of the District of Columbia
Department of Insurance, Securities and Banking**

EMPLOYEE OFFICE HANDBOOK

Revised April 2014





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Cost Reimbursement for Local Travel: Taxi, Metro and Parking costs for travel on DISB business in the District of Columbia are reimbursable through the Imprest Fund (See Procurement-Imprest Fund above). Such travel does not require prior authorization. Taxi and parking receipts are required for reimbursement.

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N: Drive Operational Links for DISB Employee Handbook

[DISB Staff Directory Alphabetical by Last Name](#)

[DISB Staff Directory by Office](#)

[DISB Organizational Chart](#)

[DC Government Identification Request Form](#)

[District Personnel Manual \(DPM\) See DCHR Website](#)

[DC Government – DCHR Website Benefits Summary Page](#)

[DC Government Payroll Calendar FY13 \(This changes annually, see DCHR Webpage Related Contents\)](#)

[DC Government Department of Human Resources \(DCHR\) MSS Training District Personnel Manual \(DPM\) See DCHR Webpage and relevant chapters](#)

[DC Government Leave Request Form](#)

[DC Government Incident Report Form](#)

[DC Government Official Time Report Form](#)

[DC Government Employee Benefits – Health and Dental Insurance Plans:](#)

- Aetna US Health Care
- Kaiser Permanente
- United Health Care / MD-IPA
- CIGNA Dental
- Quality Plan Administrators
- FY13 Health Insurance Premium Rates
- FY 13 Long Term Disability

[Employee Assistance Program \(EAP\) COPE](#)

[Federal Hatch Act](#)

[Flexible Spending Plan Administrators](#)

[Payflex](#)

[ADP](#)

[ING Direct Defined Contribution Plan](#)

[DISB Standard Operating Procedure \(SOP\)](#)

[DISB Building Evacuation Response Team \(BERT\)](#)

[DISB Violence in the Workplace Policy](#)



N: Drive Operational Links for DISB Employee Handbook (continued)

DISB Dress Code

DC Government Code of Ethics

Treasury Savings Bonds

DISB Forms

Request for Training and Travel

Hotel Per Diem Waiver

GSA Per Diem Rates: <http://www.gsa.gov/portal/content/104877>



INTRODUCTION

The Employee Office Handbook is a quick reference guide to workplace rules, conditions and terms of employment. The handbook provides an overview of the District of Columbia Department of Insurance Securities, and Banking (DISB's) organizational structure, followed by sections that summarize the policies, procedures and rules that are necessary for the efficient conduct of the Agency's business.

DISB is responsible for supervising and regulating the activities of insurance and securities companies and individuals, banking and other non-depository financial institutions. The Department works to promote a thriving financial marketplace where solvent and ethical providers offer Washington D.C. consumers and residents access to the fullest possible range of insurance, securities and banking services. The Agency's goal is to protect the interests of District of Columbia consumers from unfair and abusive practices. In addition, DISB ensures that all relevant consumer protection laws are strictly enforced.

This handbook is a dynamic document that contains the procedures and protocols applicable to all DISB staff at the time of publication. The handbook will be updated periodically to reflect changes in policies and procedures. Nothing within this handbook is a contract or promise. The policies can change at any time, for any reason and without prior notice. Your suggestions and guidance on its contents are welcome.

Throughout this handbook readers will be referred to DISB's Shared/Common Drive (N) to obtain supplemental or more detailed information pertaining to a particular topic. Readers should also keep in mind that the information summarized here is usually set out in detail in a number of official resources, which include:

- District of Columbia laws and regulations;
- Federal laws including, but not limited to, the Human Rights Act, the Fair Labor Standards Act, the Family and Medical Leave Act, the Americans with Disabilities Act, and the Hatch Act, which outlines both permissible and prohibited political activity;
- The District of Columbia Personnel Manual;
- Executive orders, administrative issuances and policies issued by the Mayor;
- Rules established by the District of Columbia Human Resources office (DCHR);
- Administration procedures established by the DCHR Director;
- Fiscal rules established by the Office of the Chief Financial Officer; and
- Applicable collective bargaining agreements

Please note, this Handbook summarizes DISB's practices and policies; it is not a legal text or a contractual commitment. In all matters involving rulings and policy interpretations, the pertinent laws, executive orders, rules, procedures, fiscal rules and agreements cited above will always be the official governing documents and will supersede this Handbook. Detailed additional guidance in personnel areas may be obtained from the District of Columbia Personnel Manual (DPM) located at <http://dchr.dc.gov> or from your supervisor, manager or the Associate Commissioner of your practice area.



Interim Commissioner
Chester A. McPherson

SECTION I – ABOUT THE DEPARTMENT

A. BACKGROUND

The Department of Insurance, Securities and Banking (DISB) is the District of Columbia's oldest continuously operating regulatory body. Its earliest predecessor, the Office of the Superintendent of Insurance for the District of Columbia, was established in 1901. State-level banking regulation was introduced in the District in 1986, and state-level securities regulation was undertaken in 2000. DISB, in its current configuration was established in 2004 by legislation merging the Department of Insurance and Securities Regulation with the Department of Banking and Financial Institutions. DISB is one of only three U.S. "state-level" jurisdictions that integrate the regulation of all three key financial services.¹

DISB regulates the following financial entities: insurance companies, insurance producers, health maintenance organizations, captive insurance companies and risk retention groups; securities businesses; investment advisers; investment representatives; broker-dealers; broker-dealer agents and agents of issuers operating securities businesses; banks; mortgage lenders; brokers and loan originators; check cashers; money transmitters; consumer-sales finance companies; money lenders and consumer credit services organizations.

With the passage of the historic Affordable Care Act, the department helped develop the DC Health Benefit Exchange Authority, a crucial part of making health insurance more affordable to D.C. residents. In 2012, The Banking bureau expanded its efforts to support economic development by launching the D.C. Collateral Support Program, and the Risk Finance Bureau administers the Certified Capital Company Program. Under both programs, the goal is to provide District-based small businesses with access to capital.

The Department uses the most current regulatory practices and state-of-the-art information technology. As one of the nation's first state securities regulators to accept electronic filings, the introduction of electronic record keeping made it possible for DISB to offer a revitalized financial services environment to the public. Today, more than 1,300 insurance companies are licensed to operate in the District. At the end of fiscal year end 2013, there were more than 70,000 licensed insurance professionals and nearly 130,000 licensed securities brokers and advisors. Washington, D.C.'s financial marketplace attractions include efficient regulatory procedures, experienced accessible regulatory personnel, fair and responsive consumer protection provisions, prudent capital and reserve requirements and progressive company and product licensing rules.

The Department maintains an extensive network of relationships with consumers, consumer groups and the insurance, securities and banking industries. The Department's regulatory resources are enhanced by Washington, D.C.'s unique financial-service infrastructure including a host of national financial service trade associations, law firms, accounting firms, consulting operations and research institutions, regulatory organizations as well as the many federal agencies and congressional offices that deal with national economic, banking, investment, insurance and consumer policy issues. Dozens of foreign embassies and international organizations give DISB local gateways to world financial market information and resources.

B. MISSION STATEMENT

The Department of Insurance, Securities and Banking has two interdependent missions:

1. To fairly and efficiently supervise financial services in order to protect residents of the District;
2. To attract financial service businesses to the District.



¹ This system includes 56 jurisdictions: the 50 U.S. States, the District of Columbia, and five territories.

DISB OFFICE LOCATION: District of Columbia Department of Insurance, Securities and Banking
810 First Street, NE
Suite 701
Washington, DC 20002
Telephone: (202) 727-8000
Fax: (202) 535-1196
Website: www.disb.dc.gov
[Facebook](#)
[Twitter](#)

STAFF MEMBERS: [DISB Staff Directory by Last Name](#)

[DISB Staff Directory by Bureau](#)

[Organization and Function](#)

DISB consist of:

- The Office of the Commissioner, which consists of the Deputy Commissioner for Market Operations, the Deputy Commissioner for Market Compliance, and the Administrative Operations Office (including Policy, Administration and Communications which reports directly to the Commissioner.
- The Deputy Commissioner for Market Operations oversees Insurance, Securities, Banking and Risk Finance Bureaus.
- The Office of Deputy Commissioner for Market Compliance oversees Enforcement, Consumer Protection and the Compliance Analysis Divisions.

[DISB Organizational Chart](#)

The Department's staff is its greatest asset. It seeks to attract staff members of the highest caliber appropriate to job requirements and under employment terms and conditions that foster the continued growth and development of each employee. Staff members work together in an atmosphere of trust and accountability to achieve the Agency's goals and objectives.

C. OFFICE OF THE COMMISSIONER

The Commissioner has statutory responsibilities for regulating the insurance, securities and banking industries in the District of Columbia. The Commissioner's Office leads the Department's planning and implementation processes; reviews and evaluates departmental performance and ensures that each staff unit carries out its functions effectively and efficiently. The Commissioner is responsible for identifying emerging trends in financial services and recommending changes in regulatory policy and administrative practices. The Commissioner represents the District before regulatory and standard-setting organizations such as the National Association of Insurance Commissioners (NAIC) and the North American Securities Administrators Association (NASAA). The Office of the Attorney General and the Controller's Office are two specialized offices that report directly to the Commissioner and provide support for all bureaus and offices in DISB.

Information Contact:

Alicia Wade, Executive Assistant

(202) 442-7760



D. THE OFFICE OF GENERAL COUNSEL (OGC)

The Department of Insurance, Securities and Banking's (DISB) Office of the General Counsel (OGC) provides all legal support for the DISB, providing legal support to every bureau and unit of the department.

The OGC:

- Provides legal guidance on insurance, securities and banking issues to the Insurance Bureau, Securities Bureau, Banking Bureau, Risk Finance Bureau, and the Market Examinations Division, Compliance Analysis Division and Enforcement and Consumer Protection Division as well as District of Columbia regulated entities and consumers;
- Provides legislative and regulatory drafting to address insurance, securities and banking issues;
- coordinate the agency's comments on any external proposed legislation or regulation that would impact the mission of the department;
- Negotiates and/or drafts settlement agreements, administrative bulletins, consent orders, administrative orders, rules, adjudicatory petitions, responses to motions, legal memorandums and briefs;
- Develops charges and specifications relative to the denial, suspension and revocation of licensed companies and individuals;
- Provides legal support and /or representation for corrective and disciplinary actions against employees;
- provides legal support and/or representation in employee grievances;
- Manages the Department's Freedom of Information Act requirement, including preparation of Department's annual FOIA report;
- Manages all legal support for civil or administrative matters referred to the Office of the Attorney General;
- Serves as Legislative Counsel for the Department to the Council of the District of Columbia, the Office of Policy and Legislative Affairs and the Office of Documents and Administrative Issuance; and
- Serves as the department's Ethics Officer

The OGC also supports the Hearing Examiner function responsible for conducting hearings on the full range of challenges that come before the Department of Insurance, Securities and Banking (DISB), including administrative hearings relating to license suspensions, revocations, fines and other enforcement actions.

Information Contact:

Dena Reed, General Counsel

(202) 442-7772

E. THE OFFICE OF THE CHIEF FINANCIAL OFFICER (OCFO)

This office provides financial support to the department, including budgeting, financial planning, forecasting, accounting operations and payroll activities. This office is responsible for administering the District of Columbia's insurance bureau and health maintenance organization (HMO) division assessment programs.

Information Contact:

Bright A. Ahaiwe, Agency Fiscal Officer

(202) 442-6349



F. THE OFFICE OF COMMUNICATIONS

The staff is responsible for all of DISB's internal and external communications, public and media relations and community outreach. The office develops and edits public information materials, manages external relations with partners, coordinates events, updates the DISB internet site, drafts talking points and speeches and handles inquiries by the press and public. The Office of Communications works with other bureaus to manage the consumer education campaigns related to financial services.

Information Contact:

Kate Hartig, Public Information Officer

(202) 442-7820

G. THE MARKET OPERATIONS DIVISION

The Market Operations Division is responsible for the overall management of the DISB bureaus that carry out the Department's regulatory functions.

1. Insurance Bureau

The Insurance Bureau protects the interests of District consumers by ensuring that insurers and individuals presenting insurance products in the District of Columbia are qualified, appropriately licensed and acts in accordance with all requirements of the insurance laws and regulations of the District of Columbia. The insurance bureau licenses companies and producers, and reviews insurance policies and rates to ensure compliance with applicable laws. The Insurance Bureau is responsible for the insurance related aspects of implementing the Patient Protection and Affordable Care Act. The Insurance Bureau consists of five branches: financial examinations, actuarial analysis, health actuarial analysis, forms, policy analysis, and licensing.

Information Contact:

Philip Barlow, Associate Commissioner

(202) 442-7823

a. Financial Examinations Branch

Reviews the annual statement, quarterly financial statements and supplemental exhibits filed by domestic insurance companies and health maintenance organizations to determine compliance with District of Columbia laws; and reviews audited financial statements, management controls, discussion and analysis statements, actuarial opinions, risk based capital filings filed by domestic companies. This Branch also reviews financial information, financial ratios and documentation provided by the National Association of Insurance Commissioners (NAIC) and other state regulatory agencies when determining the financial condition of domestic companies. The Branch performs reviews on certain foreign insurance companies and advises the Commissioner of any financial concerns encountered. The Branch also conducts financial examinations of domestic insurance companies and health maintenance organizations doing business in the District to ensure they comply with local insurance laws and regulations. This Branch prioritizes companies for examination, prepares planning and examination work papers and prepares examination reports in accordance with District of Columbia statutes and NAIC examination procedures.

Information Contact:

Nathaniel K. Brown, Supervisory Insurance Operations

(202) 442-7785



b. Actuarial Analysis Branch

Reviews rate schedules issued by property and casualty, insurance companies and health maintenance organizations. It conducts actuarial and statistical analysis of rate increase request. This Branch performs reviews on the actuarial opinions provided by domestic companies.

Information Contact:

Robert Nkojo, Supervisory Actuary

(202) 442-7757

c. Health Actuarial analysis Branch

This Branch reviews rating rules, rate manuals and rate schedules issued by insurance companies and health maintenance organizations for health insurance. It conducts actuarial and statistical analysis of rate increase requests. This Branch performs reviews on the actuarial opinions provided by domestic health companies.

Information Contact:

Efren Tanhehco, Supervisory Actuary, Health

(202) 442-7752

d. Forms and Policy Analysis Branch

This Branch reviews property and casualty, life/annuities, accident/health forms for conformity with District of Columbia and pertinent federal insurance laws and regulations. This Branch administers the statutory requirements concerning the prohibition of discrimination based on AIDS and other protected classes by ensuring that insurance policy forms properly address these matters. The Branch determines if the non-forfeiture benefits and cash surrender values of life insurance policies meet the minimum statutory standards. The Branch ensures mandatory benefit requirements and notice of cancellations for homeowners and automobile insurance policies are included in approved forms.

Information Contact:

Jamai Fontaine, Insurance Examiner Manager

(202) 442-7782

e. Licensing Branch

This Branch supervises the licensing of insurance companies, fraternal benefit organizations, insurance producers, insurance agencies and premium finance companies as well as health maintenance organizations (HMO) operating in the District of Columbia. The Branch administers written examinations to candidates for bail bondsmen and public adjusters and oversees the administration of insurance agents and broker licensure examinations. It is also responsible for the registration of risk purchasing groups pursuant to the Liability Risk Retention Act of 1986 and maintaining and updating the licensing database. It also supervises the licensing of managing general agents and reinsurance intermediaries. This Branch is responsible for the comprehensive pre-licensing and continuing education programs for producers and, determines the requirements for course curriculum, instructor and school certification approval.

Information Contact:

Zadie Bowles, Insurance Licensing Manager

(202) 442-7819



2. Risk Finance Bureau

Under the direction of the Associate Commissioner for Risk Finance, the Risk Finance Bureau regulates captive insurance companies, risk retention groups and other nontraditional risk-transfer entities operating in or from the District of Columbia. The Bureau licenses qualified institutions, conducts financial and licensing compliance surveillance to ensure financial solvency and collects market information. It also licenses and examines certified capital companies or CAPCOs (investment companies that provide growth funds for promising small businesses). The Bureau focuses on practical and innovative regulatory responses to captive insurance companies and other risk-finance organizations looking to establish operations or conduct business in the District. The Risk Finance Bureau has two divisions, Financial Analysis and Compliance.

a. Financial Analysis Division

This Division is responsible for analyzing annual and quarterly financial statements filed by risk retention groups, and annual financial statements submitted by all other captive insurers. The financial analysis division also performs on-site financial examinations of all licensed companies.

b. Compliance Division

This Division is responsible for all licensing and compliance related activities for captives and Certified Capital Companies (CAPCOs).

Information Contact:

Dana Sheppard, Associate Commissioner

(202) 442-7820

3. Securities Bureau

Under the Associate Commissioner for Securities, this Bureau administers and enforces District of Columbia's laws and regulations applicable to securities offerings and investment professionals. The Bureau licenses and monitors investment advisers and their representatives; broker-dealers and their agents and reviews certain public securities offerings in the District of Columbia; The Bureau also receives notice filings of other public securities offerings, such as mutual funds, which are reviewed solely by the Securities and Exchange Commission (SEC) or are exempt from review. The Securities Bureau protects DC investors by ensuring that those providing investment opportunities and investment-related services are qualified, properly licensed and comply with all applicable rules requiring openness and fair and honorable treatment. The Securities Bureau also provides and supports consumer/investor education activities on behalf of the Department. The Securities Bureau has three divisions, Licensing, Examinations and Corporation Finance.

a. Licensing Division

This Division reviews and approves applications for licenses to transact securities business in the District. The licensing division staff conducts "desk audits" of new applications and reviews the disciplinary histories of firms and individuals. The licensing division may require the sponsoring firm to use heightened supervisory procedures. The licensing division also responds to public inquiries regarding licensed entities.



b. Examination Division

This Division is primarily responsible for conducting on-site inspections/examinations of DC licensed broker-dealers and their agents, and investment advisers and their representatives. The Division reviews and analyzes the firm's compliance programs, books and records, accounting systems and available public and non-public information to determine compliance with the Securities Act of 2000. The Division communicates findings to firms and requests corrective action or makes formal enforcement recommendations to the Commissioner and may refer cases to the Enforcement and Consumer Protection Division for possible criminal referral.

c. Corporation Finance

The Corporation Finance Division (CFD) reviews the required disclosures and other registration materials of securities offerings that are registered with the Bureau to ensure that they make the required disclosures of material information about their company. CFD also receives notice filings for mutual funds and certain other offerings that are exempt from registration under District law or preempted from state registration by federal law.

Information Contact:

Theodore Miles, Associate Commissioner
James McManus, Assistant Director

(202) 442-7800

(202) 442-7826

4. Banking Bureau

DISB's Banking Bureau administers the District of Columbia's laws and regulations applicable to banking and non-depository financial institutions. The Banking Bureau operates under the direction of the Associate Commissioner of Banking and ensures that a sound and thriving financial-service community is operating in the District of Columbia that is providing the products, credit and capital vital to the needs of District residents and businesses. The Banking Bureau also focuses on ensuring consumer protection for matters pertaining to banking and non-depository products and services.

The Banking Bureau charters and supervises District-chartered banks. The Banking Bureau also licenses and supervises non-depository financial institutions, such as mortgage lenders, brokers and loan originators, money transmitters, check cashers, money lenders, consumer sales finance companies, operators of non-bank owned automated teller machines, and consumer credit service organizations. As of fiscal year 2012, there are more than 2800 financial services institutions and individuals licensed to operate in the District of Columbia.

In addition, The Banking Bureau also maintains records of other state and federally chartered bank branches operating in the District of Columbia, and acts as an intermediary regarding communications with these banks on behalf of other District agencies. The Banking Bureau has three operational divisions, Licensing, Examinations and Market Services.

a. The Licensing Division

The Licensing Division participates with the National Mortgage Licensing System (NMLS) and investigates licensing applications to ensure financial stability and compliance with licensing requirements for firms doing business with District residents. The Licensing Division is also responsible for maintaining and updating the publicly available licensing database that provides information on the license status of individual licensees.



b. The Examination Division

The Examination Division conducts examinations of District-chartered banks and District-licensed non-depositories. The examination process is intended to ensure that chartered and licensed firms are operating in compliance with District law and regulations in a safe and sound manner. Further, examiners focus on matters pertaining to consumer protection to ensure fair treatment of District consumers.

c. The Market Services Division

The Market Services Division focuses on the agency's economic development mission by working to improve and/or expand banking, Bank on DC and non-depository services in the District of Columbia. The Market Services Division also administers the DC Foreclosure Mediation Program and the State Small Business Credit Initiative (SSBCI).

Information Contact:

Christopher Weaver, Associate Commissioner

(202) 442-7774

H. MARKET COMPLIANCE

The Deputy Commissioner for Market Compliance is responsible for the overall management of the Agency's offices that carry out the Department's regulatory compliance and provides technical and administrative authority over the Department's functional areas of Enforcement and Consumer Protection Division, Market Examinations Division, and Compliance Analysis Division.

1. Enforcement and Consumer Protection Division

The Enforcement and Consumer Protection Division (ECPD) plans and directs well-designed anti-fraud programs to detect, investigate, and conduct financial services enforcement activities on behalf of the residents and businesses in the District of Columbia. This is an infinite and perpetual ongoing initiative to protect DC residents through fraud detection, investigation and prosecution using administrative, civil and criminal referral enforcement actions against those that would defraud DC residents, eventually punishing and/or removing the offenders from the community. The ECPD has two Branches, the Investigation Branch and the Agent Enforcement/Fraud Compliance Branch.

a. ECPD Investigation Branch

This branch has the mission of protecting D.C. residents from financial frauds. It investigates allegations of fraud or violations of insurance, securities and banking laws by insurance claimants, insurance companies, health maintenance organizations, securities firms, agents, brokers and individuals, mortgage lenders, check cashers and money services businesses, unlicensed financial entities and persons who sell illegal financial products and services. Proven violations based on its investigations are presented to the United States Attorney's Office, the D.C. Office of the Attorney General or the DISB Office of General Counsel for administrative, civil or criminal enforcement action.

b. ECPD Agent Enforcement/Fraud Compliance branch

This branch conducts administrative investigations of DISB licensed financial services professionals to detect misconduct or disqualifying activities by licensees for enforcement purposes. The unit conducts



background checks in support of other DISB bureaus. Additionally, the unit ensures the appropriate oversight of the implementation and enforcement of insurance industry's anti-fraud plans, its Special Investigative Units (SIU) requirements, and compliance with the Insurance Fraud Prevention and Detection Amendment Act of 1998.

Information Contact:

Gregory Marsillo, Acting Associate Commissioner

(202) 442-7109

2. Market Examinations Division

This Office conducts on-site examinations of all domiciled insurance companies; inspects District-based investment advisers and broker-dealer, District-chartered banks, and non-depository financial services institutions doing business in the District; monitors solvency of financial firms doing business in the District of Columbia; and develops comprehensive analysis of financial services market to identify current and emerging systematic issues and coordinate regulatory actions.

Information Contact:

Senayet Meaza, Director Market Examinations

(202) 442-4794

3. Compliance Analysis Division

This office provides research and analysis of industry sectors to establish best practices, and coordinates information from the Market Examinations Bureau with other Bureaus to identify and define key market factors that drive changes in each industry sector.

a. Compliance Analysis Division

The team reviews consumer complaints regarding financial institutions and firms operating the District to determine compliance with District of Columbia laws and regulations. The Branch conducts analyses and investigates consumer issues, such as claim disputes, cancellation or non-renewal of insurance policies, improper insurance producer conduct and uninsured motorist fund claims, complaints regarding allegations of misconduct by securities professionals operating in the District of Columbia and complaints regarding banks and non-depository financial institutions to determine compliance with District of Columbia laws and regulations.

b. Market Compliance

Provides research and analysis of industry sectors to establish "best practices" standards and guidelines for design, delivery, and results monitoring of financial products and services.

Information Contact:

Lee Backus, Manager, Consumer Services, Director of Compliance Analysis (202) 442-7812

I. POLICY, PLANNING & ADMINISTRATION DIVISION



The Office of Administration manages the planning of work to be performed, the setting of priorities, the preparing of schedules for work completion, and the developing of quantitative and qualitative measures for evaluating professional performance by DISB personnel. Also, the Office also coordinates procurement, logistic support and the provision of clerical and administrative services to the Department.

The Office is also responsible for implementing and maintaining an integrated program of risk management and risk control for the agency. The Office is also responsible for compliance functions including performance management, strategic planning, benchmarking, serving as the agency ombudsman, and coordinating and ensuring agency compliance with Equal Employment Opportunity, Occupational Safety and Health Administration and Americans with Disabilities Act rules and regulations.

1. Office of Human Resources

Advises the Commissioner and senior staff on personnel procedures, prepares administrative orders and policy memoranda, and is responsible for managing personnel and labor-management issues.

2. Office of Systems, Technology and Administrative Support

Administers the DISB computer network and provides the Department's staff with logistic support. The office manages staff electronic communication services and document access. It ensures DISB system compatibility with the Local Area Network (LAN), the equipment and software configurations used by DISB's client community and the District government's Wide Area Network. This office reviews, classifies and archives mail, publication directives, facsimiles and electronic communications. It coordinates record retention, categorizes documents received by the Department, and performs searches for records maintained by the Department. The office manages the procurement of supplies, and services required for DISB operations.

Information Contact:

Katrice D. Purdie, Chief of Policy & Administration	(202) 442-7773
HR Matters: Ernesto Rodriguez, Management Liaison Specialist	(202) 442-8585
Logistic Support: Terry Moore, Administrative Services Supervisor	(202) 442-8793
IT Support: Shankar Vaidyanathan, Chief Information Officer	(202) 442-8154

SECTION II- THE INDIVIDUAL EMPLOYEE

RECRUITMENT

All job openings will be announced and posted within the organization at the time announced to the public unless the position is limited to DISB Employees only. If a vacant position is opened only to current DISB employees, it will not be posted to the public. All current employees are encouraged to review the requirements for each position and apply for those positions in which they are interested.

New employees serve a one-year probationary period before their appointments become permanent and can be terminated or relieved of duty during this period without cause. New employees must remain in the current position for a minimum of 90 days before applying for another DC government position.



A. JOB DESCRIPTION

The duties and responsibilities of each DISB staff position described are set out in an official job description, which is part of the public record. This official document plays a key role in a number of employment related processes, including determining the class for an employee's position, assisting in performance planning and evaluation, organizational staffing and in determining retention rights. Therefore, it is important that the staff member and his or her supervisor periodically review and update the document for accuracy. Each DISB position is assigned to a specific class that has a specific compensation range and a position may be evaluated to determine the appropriate class if the permanent duties change significantly. The items included in each position description are the following: (1) Title of position; (2) Department; (3) Position qualifications (essential qualifications including job experience, skills, and education); (4) Job summary; (5) Duties and responsibilities; and (6) Supervisor or manager.

B. PRINCIPAL EMPLOYER

Unless otherwise agreed at the onset of employment, a DISB staff member's position with DISB is his or her principal full-time employment. Staff members are expected to exercise due diligence if they accept part-time outside employment while with the Department and are expected to seek guidance from the Department's human resources specialist when any such question exists. Outside employment with another employer, or other activity (business transactions or ownership, volunteer positions, etc.) where a conflict of interest may exist or that is, or can be seen as incompatible with the proper exercise of the duties and responsibilities of your DISB position is not permitted. Staff members are responsible for exercising due diligence and for seeking guidance and approval from the Department before engaging in outside employment or activity where such incompatibility may exist. Failure to do so may result in disciplinary action or dismissal.

DISB staff members may hold an active license in an industry regulated by the Department. DISB staff members may not actively engage in any employment-related activity in any jurisdiction if such activity is regulated by the Department.

C. COMPENSATION

Upon commencing employment with DISB staff member's pay may change due to a number of actions (annual adjustments, promotions, demotions etc.). It is important to verify your pay when changes occur and report any potential errors immediately.

D. POSITION CLASSIFICATION

Pay for any position is based on the service to which the position belongs. Each position will have a pay grade with a minimum and maximum level of compensation and intervening steps. Normally, the entry salary is the minimum rate for a class.

See Also: [District Personnel Manual Chapters on Classification and Compensation](#)

E. IDENTIFICATION CARD

For security purposes, every DISB employee must have an agency-issued identification badge (nametag or photo ID card) while on the agency's premises and performing his or her duties. Such identification must be readily available to be shown when needed.



The District of Columbia government issues ID cards for all DISB staff members. These cards can have a built-in Smart Trip (Metro) capability, if desired. To obtain a card or replace one, an ID Request Form must be submitted to the DISB Human Resources Office which will provide instructions for obtaining the new ID card.

Information Contact:

Personnel Matters: Marlene Simmons, Management Liaison Specialist (202) 442-7771
Alice Pettigrew, Management Liaison Specialist (202) 442-8129

F. PRIVACY AND ACCESS TO RECORDS

The Department recognizes a staff member's right to privacy. To achieve this goal, DISB follows these basic principles:

- The collection of information about staff members is limited to that which DISB needs for business and legal purposes;
- The confidentiality of all personal information in our records is protected;
- All staff members involved in record keeping are required to adhere to these policies and practices. Violations of this policy will result in disciplinary action;
- Internal access to personal records is limited to staff members having a business-related, need-to-know basis. Access may also be given to third parties, including government agencies, pursuant to court order or subpoena;
- The Department will not release personal information to outside sources without the staff member's written approval, unless legally required or permitted to do so;
- Staff members are permitted to see the personal information maintained about them in DISB records. They may correct inaccurate information or submit written comments regarding disagreement with any material contained in their personnel records.

Information Contact:

Personnel Matters: Marlene Simmons, Management Liaison Specialist (202) 442-8585
Katrice D. Purdie, Chief of Policy & Administration (202) 442-7773

See Also: [DC Personnel Manual at Chapter 31](#)

G. PAYROLL PROCEDURES

The DISB work year is divided into 26 pay periods and DISB's paychecks are issued bi-weekly. (See Calendar Year D.C. Government Payroll schedule) Staff members may elect to have paychecks mailed to their homes or automatically deposited into their personal bank accounts. For more information on how to enroll for automatic deposits visit the DCOP Direct Deposit Site.

H. PAYROLL DEDUCTIONS

The following mandatory deductions are made from every employee's gross wages: federal income tax, Social Security FICA tax and applicable District or state taxes. Every staff member must fill out and sign a federal withholding allowance certificate, Internal Revenue Service (IRS) Form W-4. The employee may fill out a new W-4 at any time when their circumstances change. Employees who paid no federal income tax for the preceding year and who expect to pay no income tax for the current year may fill out an Exemption from Withholding Certificate, IRS Form W-4E. Employees are expected to comply with the



instructions on Form W-4. Questions regarding the propriety of claimed deductions may be referred to the IRS in certain circumstances. Every staff member receives an annual Wage and Tax Statement, IRS Form W-2, for the preceding year on or before January 31. Any employee, who believes that his or her deductions are incorrect for any pay period, or on Form W-2, should check with the Controller's Office immediately.

Information Contact:

Procedures & Records: Valencia Branham, Payroll Accounts Specialist (202)442-6918
Compensation Policy: Marlene Simmons Management Liaison Specialist (202) 442-7771

I. LEAVE

1. Accrued & Annual Leave

Except as specified in subsection 1232.6 of this section, a full-time employee to whom this chapter applies shall earn annual leave as follows:

- (a) An employee with less than three (3) years of service shall earn four (4) hours for each full biweekly pay period;
- (b) An employee with three (3) but less than fifteen (15) years of service shall earn six (6) hours for each full biweekly pay period, except that the accrual for the last full biweekly pay period in the leave year shall be ten (10) hours; and
- (c) An employee with fifteen (15) or more years of service shall earn eight (8) hours for each full biweekly pay period.

See Also: [DCHR Benefits Summary Page District Personnel Manual – Leave Summary](#)

Employees are entitled to paid vacation leave, which is accrued evenly over the course of the year at a rate determined by the employee's length of service. Annual leave may be accrued from year to year but not more than 240 hours may be carried from one year to the next. Upon termination, an employee will receive cash value for 100 percent of the remaining accrued vacation days up to 240 hours.

2. Leave Requests

Except in emergencies, employees must request and obtain approval from their supervisors before using annual leave. If an employee has an emergency, the supervisor must be contacted as soon as possible on the first day of absence.

Employees must submit a Request for Leave or Approved Absence, DC Optional Form -71 and also enter their requests electronically in PeopleSoft, for all annual leave requests. This will serve as documentation of the request and status of the request and to assist supervisors as they approve time sheets. This process will also assist management to track and control personnel levels within the office. Supervisors should make sure that the method used is applied consistently to all employees.

Supervisors should make sure that all employees are aware of the procedures that are to be followed when requesting leave. Employees should address any questions on the procedures to request annual leave to their supervisor.



Duration of Leave	Advance Notice Required	Response by
1 to 3 days	Prior Day	Same Day
4 to 7 Days	5 days or more	
Vacations	5 days	(see following paragraph)

Information Contact:

Records & Information: Valencia Branham, Payroll Accounts Specialist (202) 442-6198

3. Vacation Leave Planning

Every effort is made to grant staff members vacation leave during the time requested. If DISB operations would suffer by scheduling all leave requests during a given period of time, a schedule will be worked out with all conflicts to be resolved based upon length of service (seniority). The Department may establish periods during the year when leave will not be allowed. Staff members are responsible for planning ahead for vacation and working out a schedule with their supervisor/manager. Once scheduled, no changes shall be made by DISB unless mutually agreeable or an emergency arises.

4. Sick Leave

Sick leave must be requested and approved in advance on DC Optional Form -71 and also entered electronically in PeopleSoft for planned medical needs. This will serve as documentation of the request and status of the request, and to assist supervisors as they approve time sheets. This process will also assist management to track and control personnel levels within the office. However, for emergencies and other unscheduled illnesses or injuries, the employee must telephone or email his/her supervisor either before or shortly after the beginning of a scheduled workday to inform the supervisor of the problem and request unscheduled sick leave. If an employee is absent for more than one day, he/she must call or email daily unless prior arrangements are made with the supervisor noting the expected period of sick leave. Supervisors should make sure that the method used is applied consistently to all employees.

A medical certificate or other administratively acceptable evidence must be presented if more than three (3) consecutive working days of sick leave are used. However, it is the supervisor's right to ask for a medical certificate or other administratively acceptable evidence of illness or medical treatment whenever he/she deems documentation is necessary.

Administratively acceptable evidence of illness or medical treatment is documentation that is acceptable by the supervisor, and may vary depending on the circumstances of the request, and the employee's record.

Supervisors should ensure that all employees are aware of the procedures that are to be followed when requesting sick leave. Employees should address any questions on the procedures to request annual leave to their supervisor.

See the Requesting and Approving Annual and Sick Leave Policy # XXX, revised Apr 2014.



5. Liberal Leave

A liberal leave policy permits staff members to use annual leave without obtaining advance approval or providing detailed justification. This is commonly put into effect by the District government during weather emergencies.

6. Leave Sharing

The Department has authorized a leave sharing program to allow employees to donate annual leave to another employee. The Annual Leave Bank program is a fund of accumulated annual leave donated by employees for the use of other leave bank members. This program prevents or limits the loss of income by employees who are faced with medical emergencies and who do not have sufficient paid leave to cover their period of absence. In order to become a member and receive leave from the leave bank, an employee must donate a minimum of four hours of annual leave each successive year. For additional information on leave sharing, please contact the Human Resources Management Liaison Specialist or the Human Resources Specialist.

7. Family and Medical Leave Act (DCFMLA) (FLMA)

The DC Family and Medical Leave Act (DCFMLA) became effective on October 3, 1990, and is applicable to employees whose actual work location is in the District of Columbia as of April 1, 1991. To be eligible, employees must have worked for the District for one year with no break in service and have worked at least 1,000 hours (DCFMLA) or 1,250 hours as prescribed under the Federal (FMLA) during the 12-month period immediately preceding the request for leave.

The DCFMLA allows for up to 16 weeks of unpaid leave in any 24-month for the birth, adoption, or foster placement of a child; for the serious illness of a family member. An employee who is physically unable to work because of a serious medical condition is allowed up to 16 weeks of unpaid leave in any 24-month period as prescribed by the DCFMLA. The employee must provide documentation explaining the nature of the leave and the expected date of return.

OTHER LEAVE

1. Funeral Leave

In accordance with the Funeral and Memorial Service Leave Amendment Act of 2013 (D.C. Law 20-83; D.C. Official Code § 1-612.03 (n)), effective February 22, 2014, an employee shall be entitled to not more than three (3) days of authorized absence without loss of or reduction in pay, or leave to which otherwise entitled, or credit for time or service, to make arrangements for, or attend the funeral of, or memorial service for, an immediate relative,

Unless the mission of the agency would be seriously impaired, an agency shall grant an employee's request for annual leave, sick leave, exempt time off or compensatory time up to three (3) days upon the death of an immediate relative.

The days requested for funeral leave need not be consecutive, but if they are not consecutive, the employee shall furnish the approving authority satisfactory reasons justifying the granting of funeral leave for nonconsecutive days. An agency may grant funeral leave only from a prescribed tour of duty, including regularly scheduled overtime, from a period during which the employee would have worked, except for absence on funeral leave.

<C:\Documents and Settings\LLOYD\My Documents\Policydocs\Bereavement Leave - 8-15-06.DOC>

2. Military Leave

A full-time, permanent, term or taper District government employee, who is a member of a reserve and national guard component of the armed forces, is entitled to leave of absence without loss in pay, time or efficiency rating for a period of not more than 15 calendar days in a calendar year while on active duty



for annual training. A full-time District employee, who performs full-time service for the purpose of providing military aid to enforce the law or full-time military service for the District of Columbia or full-time military service for his or her state, is entitled to leave of absence without loss in pay, time or efficiency rating for not more than 22 workdays in a calendar year. Additional absence requested by an employee should be charged to annual leave or leave without pay as appropriate.

3. Jury Duty

Court leave is the authorized absence, without loss of pay, leave or credit for time of service, during a period in which an employee is summoned, in connection with a judicial proceeding, to serve as a juror or as a witness on behalf of any party in connection with a judicial proceeding to which the United States, the District of Columbia or a state or local government is a party.

4. Voting

A staff member shall be excused for the purpose of registering for, and voting in any election or referendum on a civic matter in his or her community as follows: (1) where the polls are not open at least three hours either before or after his or her regular hours of work, the individual may be granted an amount of excused leave that will permit him or her to report for work within three hours of the time the polls open or leave work three hours before the polls close; whichever requires the lesser amount of excused absence; and (2) under exceptional circumstances where the general rule does not permit sufficient time to vote, an employee may be excused for such additional time as may be needed.

5. Leave Without Pay

DPM Chapter 12, Section 1267.3 states: Except as provided by the D.C. FMLA, authorizing leave without pay shall be a matter of administrative discretion. Leave without pay is an approved absence from duty in a nonpaid status granted upon the staff member's request and shall not exceed 52 weeks without Personnel approval. The authorization of leave without pay is a matter of administrative discretion other than for disabled veterans needing medical treatment and reservists and National Guardsmen needing leave without pay for military training duties.

6. Administrative Leave

Administrative leave is leave with pay granted by the Commissioner for administrative reasons.

Information Contact:

Leave Policy: Marlene Simmons, Management Liaison Specialist (202) 442-7771
Alice Pettigrew, Management Liaison Specialist (202) 442-8129

See Also: [DCHR Benefits Summary Page](#)

K. WORKPLACE ACCIDENT OR INJURY

If you are involved in an accident or hazardous incident on the job, whether it results in injury or not, you must complete an [Incident Report Form](#) and report the accident or incident to your supervisor or manager who will notify the appropriate parties. You will be kept informed of progress. If the incident requires a disability compensation review, your supervisor will notify the Third Party Administrator. Be sure to fully complete the incident report form and be as descriptive as possible. Please keep available any supporting documents and share them with your supervisor.

1. Please Report Hazards

If you see dangerous and potentially injurious conditions or safety and / or security risks in the office, such as a faulty door, ripped or loose carpet, fire hazard, health hazard, obstructed passage ways and



exits, unknown or unfamiliar people walking through the office etc., please fill out an incident report and notify your supervisor or manager immediately.

Information Contact:

DISB Risk Management: Katrice D. Purdie, Policy Analyst / Risk Manager (202) 442-7773

L. BENEFITS

The Government of the District of Columbia offers an extensive system of benefits for employees who have reached permanent status. This responds to needs in the areas of counseling, health protection, and loss of income, life insurance, retirement income and savings. The specific benefit programs are set out below. Once a staff member enrolls in the benefit programs, changes in health insurance, disability insurance and flexible spending accounts programs can only be made during an "open season," which takes place in the last quarter of each year. [DCHR Benefits Summary Page](#).

[Please Note staff members employed before October 1, 1987, have a slightly different benefit program.](#)

1. Employee Assistance Program

All staff members may use the Employee Assistance Program (EAP), which provides confidential counseling and referral services for emotional, professional or financial problems. This confidential counseling program is staffed by non-government agency professionals. Staff members considering use of this program should consult DISB's Human Resources Office.

Information Contact:

Employee Assistance: Marlene Simmons, Management Liaison Specialist (202) 442-7771
Alice Pettigrew, Management Liaison Specialist (202) 442-8129
Program Administrator: **COPE**, Inc. (800) 841-7406
(202) 628-5240

2. Health Insurance Programs

Permanent employees are eligible for several programs. In each case, the cost of the staff member's health insurance premium is shared with the District government, which contributes 75 percent toward the total premium cost. All health insurance premium deductions are made on a pre-tax basis, unless a specific waiver form is requested. For your information, current health insurance premium rates are available for review at the DC Department of Human Resources.

To select the health plan that's right for the staff members and their families, staff are strongly encouraged to evaluate the options open to them by comparing benefits, evaluating the network of providers, reviewing the plans' costs, considering the plans' quality, and understanding how the plans work. Plan summaries and physician listings are available by contacting the providers. Eligible employees have a choice of three health plans.

Information Contact:

Aetna US Healthcare (HMO)	Aetna US Healthcare	(888) 238-6258
Kaiser Permanente (HMO)	Kaiser Permanente	(301) 468-6000
United Healthcare-MD-IPA	UNITED HEALTHCARE MD-IPA/	(800) 603-3923

3. Dental and Optical Coverage



The District provides comprehensive optical and dental coverage for all non-union employees and union employees covered by the Compensation Unit 1 and 2 Agreement. The District pays 100 percent of the premium costs.

Information Contact:

Dental Plan: Cigna Dental Health, Inc. Cigna Dental Health, Inc. (800) 367-1037

Optical Plan: Quality Plan Administrators Quality Plan Administrators (202) 722-2744
(800) 900-4112

4. Flexible Spending Accounts

The District offers all benefit-eligible employees two pre-tax benefits: the Health Care Flexible Spending Account and the Dependent Care Flexible Spending Account (FSA). These pre-tax accounts allow you to pay for eligible, out-of-pocket health care expenses, dependent care expenses or both. Every plan year you must designate the amount to be set aside in your FSAs.

5. Health Care Flexible Spending Account Program (HCFA)

An HCFA allows you to plan for, and cover eligible out-of-pocket medical expenses on a pre-tax basis, with deductions taken directly from your base salary. Deductions for the HCFA reduce the gross income on your Form W-2 for federal and social security tax purposes. Your deductions are put into a special account, which will be used to reimburse participants for covered expenses up to a maximum of \$3,000 annually. If you have not used all the money you deposited into your HCFA by December 31st (last day of the calendar year), it must be forfeited according to IRS rules. All receipts for expiring year expenses of the previous year to the healthcare provider. You may elect to participate in this program and/or select a new deduction amount during the next open enrollment period.

6. Dependent Care Flexible Spending Account Program (DCFA)

A DCFA allows you to pay for eligible dependent care expenses on a pre-tax basis, with deductions taken directly from your base salary. These deductions reduce your gross income on your Form W-2 for federal and social security tax purposes. The deductions are put into a special account, which will be used to reimburse participants for covered expenses up to a maximum of \$5,000 annually. If you have not used all of the money that you deposited into your DCFA by December 31, of that year, it must be forfeited according to IRS rules. All receipts for 2007 expenses must be submitted by March 31, 2010.

Information Contact:

Flexible Spending Accounts Administrator: Flex America

7. Disability Insurance Programs

The D.C. government offers two disability insurance programs. All benefits-eligible employees may enroll in either one. Both programs provide income replacement that may be used in conjunction with your annual or sick leave. Participation is voluntary and the participating staff member pays 100 percent of the program cost. Deductions for both disability programs are done on an after-tax basis. This assures that any payments you receive from the program are not taxed.

8. Short-Term Disability Insurance Program

This program is designed to lessen the financial burden employees may incur from an extended non-work-related injury or illness. It has a 20-day elimination period. Income is replaced at 66 2/3 percent of the employee's base pay and coverage lasts for six months. Deductions for short-term disability insurance are done on an after-tax basis. This assures that any payments you receive from the program are not taxed.



9. Long-Term Disability Insurance Program: Long-term disability (LTD)

Insurance provides income replacement that may be used in conjunction with your annual or sick leave. This program has a 180-day elimination period. Income is replaced at 66 2/3 percent of your pre-disability earnings, reduced by deductible income. If you become disabled before age 62, LTD benefits may continue during disability until you reach age 65. If you become disabled at age 62 or older, the benefit duration is determined by your age when disability begins. For additional information, click the appropriate links on the N Drive or consult DISB's Human Resource Representatives.

Information Contact:

Cost Information: Rates for long-term disability insurance

Disability Insurance Provider: Standard Insurance Company

10. Life Insurance Programs

Group Term: DC Employees' Group Life Insurance plan offers term life insurance coverage equal to an employee's annual salary rounded to the next thousand, plus an additional \$2,000. The cost of the monthly premium is shared with the District. The staff member pays two-thirds of the total cost and the D.C. government pays one-third. Additional life insurance levels are available for employees and their dependents at low cost.

11. Optional Life Insurance

A second optional life insurance program is also available at low cost for employees and their dependents, but employees pay 100 percent of the cost.

Optional Life insurance Plans - Additional Coverage Provided

- | | |
|-----------|---|
| Option A: | Provides \$10,000 coverage. Cost determined by age. |
| Option B: | Provides coverage up to five times the employee's annual salary. Cost determined by age and employee's salary. |
| Option C | Family Provides \$5,000 coverage for the eligible spouse and \$2,500. Coverage for each eligible child. Cost determined by age. |

In order to carry life insurance coverage into retirement, new coverage must be in effect for the five years of service immediately preceding the retirement date or the entire period of service during which coverage was available (if this period is less than five years).

Information Contact:

Employee Benefits: Marlene Simmons, Management Liaison Specialist (202) 442-7771

Group Life Insurance Rates: DCEGLI Rates

RETIREMENT PROGRAMS

12. Defined Contribution Pension Plan - 401(a)

The District government's primary retirement plan for eligible employees hired on or after October 1, 1987, is a "defined contribution" plan, with benefits based on 100 percent employer-provided contributions plus earnings over the course of the participants' working years. The District funds this plan; there is no employee contribution. The current employer-paid contribution is 5 percent of the base salary. Employees must have one year of continuous service to participate, and they are fully vested in



the Defined Contribution Pension Plan after five years of continuous service. Investment options are available.

Information Contact:

Defined Contribution Plan Investment Options: ING 401 Plan?

13. Deferred Compensation Plan – 457(b)

All District government employees are eligible to participate in the Deferred Compensation Program, an optional savings program that allows employees to tax-defer income and invest for the future. The portion of salary an employee contributes reduces the amount of taxable income in each paycheck. The Internal Revenue Service determines the annual maximum amount that can be deferred. For 2014 the maximum contribution you may also be eligible for increased annual contributions during the three years prior to the year you attain Normal Retirement Age under a special 457 catch-up provision or when you reach age 50 or older by the end of the calendar year. Under this plan, there are no benefits if no contributions are made to the program.

Information Contact:

Information Brochure: "How Much Can I Contribute?"

Deferred Compensation Administrator: ING Financial Advisers (800) 584-6001

14. SAVINGS BOND PROGRAM

Any full or part-time salaried employee may purchase U.S. Savings Bonds through payroll deduction.

Information Contact: Center for Learning and Development (202) 442-9700 (Option #2)

Savings Bond Program: Treasury Direct?

15. TRAINING AND SELF IMPROVEMENT

The Department encourages staff to engage in strengthening self-empowered work habits, increasing knowledge and improving performance as key factors for becoming better regulators and, in turn, to be able to support the Department's mission and serve the consumers' needs. The Department encourages its staff to actively develop and expand their professional, technical and personal skills. Training opportunities are routinely offered in many basic office skill areas by the D.C. government's Center for Workforce Development. Individual DISB offices work-orient and train their staff members in the specialized areas with which they serve. The pursuit of outside training and specialized advanced education in position-related fields is encouraged and recognized as an important consideration in advancement.

a) MSS Courses for Managers

The District Government, through the Center for Workforce Development, provides employees in the Management Supervisory Service (MSS) with Specialized, high-level training that will help them respond to the immediate needs of their positions. Each year a mandatory series of courses is prescribed for MSS employees. The District government also offers certain required courses on a continuing basis for MSS employees. MSS Training Information

Information Contact:



Training Policy: Marlene Simmons, Management Liaison Specialist (202) 442-7771
Alice Pettigrew, Management Liaison Specialist (202) 442-8129

b) Tuition Reimbursement Policy

Under certain circumstances, the Department reimburses the costs of job related training and education. This policy allows staff members to obtain reimbursement for a percentage of tuition costs for successful completion of professional designation courses, and associate, undergraduate and graduate courses at accredited colleges or universities.

To be eligible to participate in the Tuition Reimbursement Program, an employee must meet the following requirements: (1) be employed in a position deemed to be of a continuing nature. (2) Be employed in a full-time position and successfully complete an initial probationary period of one year of service (3) Receive an overall evaluation of "Valued Performer" or higher during the employee's most recent evaluation period. Courses must be job related or consistent with the work performed by the Department. The maximum tuition Reimbursement amount is subject to modification and is based on the availability of funds, the number of employees participating in the program and general budgetary limitations.

The Tuition Reimbursement Policy shall not create a contractual obligation that is binding on the District government, the Department or the Commissioner, and may be discontinued at any time without prior notice.

See the Tuition Reimbursement - Department Order No. 2014-03.

M. ADVANCEMENT

The Department provides many opportunities for advancement within a position, including increases in compensation and competition-based promotion to more senior positions at DISB as these become available. Lateral transfers to openings in other D.C. government agencies also offer a path for advancement. Increases in compensation are considered annually, and promotions as the opportunities become available.

N. PERFORMANCE EVALUATION

Each staff member's performance is evaluated annually through a formal process in which the staff member participates. However, a mid-year progress discussion takes place prior to the evaluation. The Mid-year progress discussion is a formal meeting between a supervisor and employee to discuss the employee's performance and development. The ratings used are the following:

5. Role Model — Performance serves as a benchmark for other employees in the workplace. Contributions, initiative and productivity reflect the highest degree of performance.

4. Highly Effective Performer— Performance consistently exceeds expectations in most areas and meets expectations in all other areas. Demonstrates willingness to offer sound recommendations for improvement and is involved in the implementation of them.

3. Valued Performer— Performance expectations consistently meet and may occasionally exceed expectations, and therefore meets the minimum requirements of the position.

2. Marginal Performer— Performance of most expectations, needs improvement. Potential to improve is evident and demonstrates a willingness to improve skills.

1. Inadequate Performer- Performance is consistently inadequate, and therefore fails to meet the minimum requirements of the position. Potential to improve is not evident.



The staff member receives a copy of his or her final evaluation and a process exists for addressing grievances if the evaluation is believed to be unfair. Areas commonly considered include: technical ability, dependability and attendance, interpersonal skills, work attitude, adaptability and potential. Some of the factors that fall in each of these areas are set out below.

1. GUIDELINE: Common Considerations in Performance Evaluation

TECHNICAL ABILITY

Understanding of work assigned
Knowing how to use necessary equipment
Ability to organize work schedule
Skill in handling new technical problems
Ability to express views and ideas

DEPENDABILITY

Follows instructions
Shows skill at meeting deadlines
Anticipates scheduling problems
Ability to check work and catch errors

ATTENDANCE

Attendance and absentee record
Punctuality in reporting to work
Calling in early when ill
Reporting to work promptly after lunch
Seldom has to leave early

ADAPTABILITY

Supports Change
Makes good use of constructive criticism
Quickly learns to apply new work tools
Can recognize defective procedures and methods
Willingness to learn and be trained

INTERPERSONAL SKILLS

Good relations with fellow workers
Ability to cooperate with colleagues
Ability to listen to colleagues
issues quickly
Skill shown in teamwork

POTENTIAL

Likes advising and assisting others
Studies and trains for higher education
Demonstrates common sense Ability to overcome work
Is recognized for expertise
Shows initiative in taking on new tasks
Shows skill in handling a work crisis

WORK ATTITUDE

Enjoys being a DISB staff member
Positive toward supervisors and co-workers
Willing to help and train colleagues
Has ability to avoid being argumentative

See also: [District Personnel Manual – Performance Evaluation System Rating](#)

2. Appealing Performance Evaluation

An employee may within ten (10) calendar days of participating in a performance rating year-end discussion with the supervisor, request a review of the rating by submitting the request for review to the Commissioner (or designee). An employee's request for review of an official annual performance rating shall be in writing, and shall be submitted in accordance with procedures issued by the Office of Policy and Administration. An employee may appeal a final agency decision affecting a performance rating which results in removal of the employee with the Office of Employee Appeals.

0. ISSUES OF PERFORMANCE OR CONDUCT

In the case of problems or issues involving matters of performance or of conduct, the supervisor or manager is asked to schedule a prompt, private corrective interview with the affected staff member to



explain and discuss the issue or concern and seek a solution. Based upon this conversation, the supervisor/manager may or may not choose to initiate disciplinary action.

1. Sexual Harassment

The Department guarantees each staff member's right to work in an environment that is free from sexual harassment. Sexual harassment is prohibited, as is retaliation against those who file or support the filing of a sexual harassment complaint or creating a hostile or intimidating environment for them. Under this D.C. government policy, every DISB employee is prohibited from making sexual advances, requests for sexual favors or other verbal or physical conduct of a sexual nature when:

1. Submission to the conduct is either an explicit or implicit term or condition of employment;
2. Submission to or rejection of the conduct is used as a basis for employment decisions affecting the person who submitted to or rejected the inappropriate conduct; or
3. The conduct has the purpose of interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment.

The Department will take appropriate adverse and corrective action against any individual found to have been engaged in sexual harassment. A complaint of sexual harassment may be filed internally with the Department's EEO Counselor within 21 calendar days as an informal complaint or within 180 calendar days of the alleged occurrence, externally with the D.C Office of Human Rights in accordance with **4 DCMR 100 et seq., "Complaints of Discrimination in the District of Columbia Government."** Alternatively, an employee may file a complaint of sexual harassment with the Equal Employment Opportunity Commission. Each allegation of sexual harassment will be fully investigated and disciplinary action taken, whenever there is a finding of probable cause against the respondent. [Mayor's Order on Sexual Harassment](#)

Information Contact:

Procedures and Filing Guidance: Gregory Marsillo, DISB EEO Officer (202) 727-1564
Karen Coles, DISB EEO Counselor (202) 442-7787

2. Workplace Violence

The Department is committed to working with its staff to maintain a work environment free from violence, threats of violence, harassment, intimidation and other disruptive behavior. Such behavior includes physical assault, oral or written statements, gestures or expressions that communicate a direct or indirect threat of physical harm. This kind of behavior will not be tolerated and all reports of incidents will be taken seriously and dealt with appropriately. Individuals who commit such acts may be removed from the premises and may be subject to disciplinary action, criminal penalties or both. Staff members who observe or experience such unprofessional conduct by **anyone** on agency premises whether or not that person is a DISB staff member must report it immediately to a supervisor or manager. Supervisors and managers who receive such reports must seek advice from the Human Resource specialist regarding investigating the incident and initiating appropriate action. [DISB Violence in the Workplace Policy](#)

Note: Threats or assaults that require immediate attention by security or police should be reported first to police at 9-911.

P. EMPLOYEE UNION (AFSCME)

Pursuant to the District of Columbia Comprehensive Merit Personnel Act, various local unions or District Council 20 of the American Federation of State, County and Municipal Employees, AFL-CIO (AFSCME)



have been certified or recognized as the exclusive collective bargaining agent for employees of the District of Columbia government. Accordingly, AFSCME and the District have entered into an agreement, which has as its purposes: [C:\Documents and Settings\LLOYD\My Documents\Policydocs\Master Agreement AFSCME \(2\).pdf](C:\Documents and Settings\LLOYD\My Documents\Policydocs\Master Agreement AFSCME (2).pdf)

- Promotion of a positive policy of labor-management relations between the District of Columbia government and its employees;
- Improvement of morale of employees in the District of Columbia government;
- Enhancement of the quality of public service to the citizens of the District of Columbia;
- Creation of a government that works better; and
- Promotion of the rights of District of Columbia Government employees to express their views without fear of retaliation.

1. Grievances

Disputes may arise whenever people work together. These may arise out of differences of understanding, whether between supervisors and employees or among co-workers. Most disputes can and should be resolved informally and as quickly as possible. Some, however, require formal dispute resolution procedures.

2. Right to Grievance Procedure

A staff member may seek relief through a formal grievance procedure from an adverse disciplinary action or from any matter of concern affecting his or her employment and advancement that is under the control of the District government; and which the staff member believes impairs or adversely affects his or her interest, concern or welfare. This process includes alternative approaches to dispute resolution. It is not intended to restrict matters subject to a negotiated grievance and arbitration procedure set out in a collective bargaining agreement between the District government and a labor organization representing employees.

DISB staff members who submit a grievance must be treated fairly and the issue(s) involved must be treated objectively by the DISB management. The staff member presenting a grievance is guaranteed freedom from restraint, interference, coercion, discrimination or reprisal for doing so. The submission of a grievance in good faith by a staff member is not considered an act of disloyalty toward his or her supervisor or the Department. Likewise, the submission of a grievance, in itself, is not to be considered a reflection on the supervisor or of the general management of the Department. Reconsideration Resolution Plan 1, 2, and 3

3. Representation Using Official Time

Pursuant to Mayor's Order 2001-168, management may enter into agreements with the union for labor relations activities. "Official time" is defined as paid time off from assigned Government duties to represent a union or its bargaining unit employees.

Except as provided in a contrary collective bargaining agreement:

- a. An employee representative shall be authorized official time solely for the following authorized representational activities:
 - 1) Labor negotiations;
 - 2) Contacts between employee representatives and employees provided for in the negotiated grievance procedures;
 - 3) Grievance meetings and arbitration and unfair labor practice hearings;
 - 4) Disciplinary or adverse action meetings, if the Union is designated as representative of the employee;



- 5) Attendance at an examination of an employee who reasonably believes that he or she may be the subject of a disciplinary or adverse action and the employee has requested representation;
 - 6) Attendance at board or other committee meetings on which the Union representatives are authorized members by DISB or agreement;
- b. Any activities performed by an employee relating to the internal business of a labor organization (including but not limited to the solicitation of membership, elections of labor organization officials, collection of dues, posting notices of Union meetings, attending union meetings, preparing and distributing internal Union newsletters; and internal union strategy sessions for appeals, administrative hearings or arbitration proceedings) shall be on non-duty time and not official time.
- c. Official time spent on Union activities in paragraph (a) must be reported on the Official Time Report. The original must be submitted to Human Resources and a copy submitted to the representative's manager or supervisor.

See Also: [DISTRICT PERSONNEL MANUAL CHAPTER 16 PART I](#)

AFL-CIO Union Contract

Employee Assistance Program: COPE, Inc.

Information Contact:

Katrice Purdie, Chief of Policy and Administration	(202) 442-7773
Marlene Simmons, Management Liaison Specialist	(202) 442-7771
Gregory Marsillo, DISB EEO Counselor	(202) 442-7109
Frank Ryan, AFSCME Shop Steward	(202) 442-7786
Arthur Slade, AFSCME shop Steward	(202) 442-7804
COPE Inc., EAP Program Counselors	(202) 628-5240
	(800) 841-7406

SECTION III - WORKING AT DISB

A. THE WORK DAY

As a public regulatory agency, DISB must maintain an orderly work day structured to assure the public has dependable weekday access to our services on a predictable schedule and full emergency support if and when required. Within that framework, the Department management seeks to assure that staff members have reasonable time for meeting personal needs, for meals, for occasional breaks from fatigue and routine functions, and can enjoy weekends and official holidays. DISB offers optional work hours as a value-added option to employees' work-life schedule. An alternate work schedule or flextime where applicable is available tour of duty options to help staff meet the demands of their work and personal schedules.

B. DEPARTMENT HOURS

The Department's official hours of operation are from 8:15 a.m. to 4:45 p.m. Punctuality is expected and frequent or habitual tardiness can become a factor in limiting a staff member's advancement and result in disciplinary action.



C. ALTERNATE WORK SCHEDULES (AWS)

Subject to the approval of management, an employee may request and be approved for AWS. Please discuss the availability and approval of these options with your manager or Director and refer to the Department's AWS policy for more details about the program.

D. FLEXIBLE WORK SCHEDULES (FWS)

Please discuss the availability and approval of this option with your manager or Director. DISB employees should refer to the Department's AWS policy for details about the FWS option.

E. TOUR OF DUTY VARIATIONS

Under exceptional circumstances, staff members can be given exemption from the tour of duty restrictions. Exemptions can only be granted based upon a written justification prepared by the employee, approved in writing by his or her manager/supervisor, and signed by the Commissioner. Employees that do not have documentation supporting such exemption are expected to comply with the prescribed official tour of duty. A copy of the justification must be placed in the employee's personnel file.

F. TIME SHEETS

The DISB attendance verification process requires all DISB employees to enter their attendance electronically into the PeopleSoft Human Resources Tracking System on a weekly basis. For any absences, each staff member is required to provide properly signed leave slips approved by the manager or supervisor and record his or her absence electronically in the PeopleSoft Tracking System.

G. LUNCH BREAK

DISB staff members are entitled to take a lunch period not to exceed thirty (30-minutes). An employee's thirty (30)-minute lunch break shall be in addition to his or her regularly scheduled duty hours to account for the extra non-compensable time for lunch.

An employee who wants to take a one-hour (1-hour) lunch period may be allowed to add the extra half hour (1/2 hour) to his or her regularly scheduled duty hours to account for the extra non-compensable time for lunch. For example, instead of working from 8:00 a.m. to 4:30 p.m. (i.e., eight (8) hours of compensable work time, plus a thirty minute (30-minute) lunch period), the employee may be allowed to work until 5:00 p.m. Lunch periods of more than 1 hour are not permitted. Managers have the discretion to make alternative schedules.

H. REST PERIODS

Employees are also entitled to take two fifteen (15) minute breaks during each four (4) hour period of work. Lunch breaks shall not be used by an employee to expand his or her regularly scheduled lunch period.



WEATHER – DECLARED EMERGENCY CONDITIONS

I. DELAYED ARRIVAL

Whenever the Mayor determines that an unscheduled leave policy is in effect, a delayed arrival is authorized. Conditions may develop during nonworking hours that make it difficult for staff to arrive to work on time. This situation might arise because of rain or snowstorm, which has made roads treacherous and delay transportation. In this situation, supervisors may excuse short periods of tardiness (usually up to two (2) hours) without charge to leave. Annual Leave or Leave Without Pay should be charged for absences in excess of authorized tardiness. Exception to the maximum authorized tardiness may be made when the supervisor determines after review of the facts that the staff member made every reasonable effort to get to work but was unable to do so. In these cases, the absence may be excused without charge to leave.

J. EARLY DISMISSAL

When District government offices close early because of hazardous weather or any other regional emergency, an announcement is made and staff members are released, at 30-minute intervals, based upon where they live. For this purpose, the Washington metropolitan area has been divided into four Residential Dismissal Zones, which are as follows:

Zones 1: First to depart are employees living beyond Montgomery, Prince George's or Fairfax Counties, (e.g., Anne Arundel County in Maryland and Fauquier County in Virginia).

Zone 2: One half-an-hour later, staff can depart who live in those portions of Montgomery, Prince George's and Fairfax Counties outside the Beltway (e.g., Gaithersburg, Maryland and Fairfax City, Virginia).

Zone 3: One half-hour later, staff living in the area encompassing the suburban areas inside of the Beltway but outside the District of Columbia (e.g., Arlington, Alexandria, and Fairfax County inside the beltway and College Park, Maryland).

Zone 4: One half-hour later, staff members, who live in the District of
i. Columbia, depart.

K. PERSONAL HARDSHIP SITUATIONS

With the Commissioner's approval, a staff member may be released prior to the time indicated for his or her zone if there are circumstances that threaten family safety (such as picking up a young child whose school has let out early), or personal property.

L. HOLIDAYS

The District government observes the official public holidays listed below. In addition to the holidays noted, the Mayor may specify other days or portions of days as nonworking days.

New Year's Day
Presidents' Day
Memorial Day
Labor Day
Veterans Day
Christmas Day

Dr. Martin Luther King Jr. Day
Emancipation Day
Independence Day
Columbus Day
Thanksgiving Day



When a holiday falls on a weekend, the holiday(s) falling on Saturday is observed the Friday immediately preceding the holiday and those holiday(s) falling on Sunday is observed the Monday following the holiday. See: Current Year Paid Holiday List

M. OFFICE SECURITY AND SAFETY

Department employees are expected to cooperate in maintaining building and office security and to know how to respond to emergency situations correctly.

1. Visitors

The Department is a public service Agency. However, because it deals with sensitive and confidential information, all visitors, including former staff members, must sign-in at the front desk. Visitors must identify who they are here to see and (1) must be escorted by the staff member they are visiting at all times, and (2) wear at all times a special temporary name tag issued by the Department Receptionist to visitors and contractors doing approved work in the Department.

2. Commissioner's Office

All visitors requesting an unplanned visit to see the Commissioner must make the request through the Commissioner's Executive Assistant. There can be **no exceptions**. Visitors violating this policy will be escorted out the offices of the Department. DISB staff members must support this policy and report those violating it to their supervisor or manager.

3. Individual Office Safety

For safety reasons, all DISB employees located within offices are required to keep their office doors unlocked while inside their office. In the event of an emergency requiring entry into an office (for example if someone is injured or fallen ill), a locked door presents a hazard that may prevent or delay entry. Inside every office there should always be a clear, unobstructed path for entry and exit. Do not block doors or windows with furniture, files, boxes, etc. In addition, live plants and appliances are prohibited.

4. Emergency Procedures

Fire, Personal Safety and Medical Emergencies in the building, threats or assaults or medical emergencies that require immediate attention by authorities should be reported to 9-911.

Fire: Remain calm. Close the door to the room where the fire is located; if possible alert others to the danger. Call 911 and ask for fire department help, and provide building address and floor. Notify the property management office at (202) 682-3101. Advise others. Go to nearest stairwell and evacuate the building.

Personal Safety: Remain calm. Move away from the area where the threat is located. Call 911 and ask for police department assistance, and provide building address and floor. Notify the property management office at (202) 682-3101. Advise others.

Medical Emergency: Remain Calm. Call 911 and request the emergency operator to send an ambulance, and provide building address and floor. Notify the property management office at (202) 682-3101. Provide other assistance and comfort to the victim as appropriate until help arrives.

N. BUILDING EMERGENCY EVACUATION PROCEDURES:

DISB has a Building Emergency Evacuation Team (**BERT**). In the event of an emergency requiring building evacuation, use the nearest safe, unobstructed stairway exit. Do not use elevators. PLEASE



FAMILIARIZE YOURSELF WITH ALL EXITS IN YOUR BUILDING AND ASK YOUR MANAGER WHO THE BERT MONITOR IS FOR YOUR PARTICULAR AREA. Floor Wardens have been designated who, assisted by Zone Monitors, are responsible for: ensuring that all personnel leave their work areas and exit via the designated stairway; for assisting handicapped staff members; and, for checking restroom and conference rooms. Wardens and Monitors wear bright orange vests.

TO IDENTIFY YOUR ZONE MONITOR, EVACUATION ROUTE AND ASSEMBLY AREA CLICK ON:

N Drive: BERT Assignments

All staff must follow the instructions of the Zone Monitors.

When the alarm sounds, immediately vacate offices and close doors.

Use only the stairwells to exit, never use the elevator in an emergency.

After exiting the building, go directly to your Assembly Area.

Information Contact:

DISB Risk Management: Katrice D. Purdie, Chief of Policy & Administration (202) 442-7773

O. TELEPHONE SYSTEM

Department telephones are part of DC-NET, a citywide D.C. government information service and are provided for official use; however, staff members may use DISB telephone for necessary personal calls provided such use is incidental, the calls are brief and do not interfere with the performance of official duties. Each staff member is given a telephone number and a password.

Telephone Directories: [DISB Staff Directory Alphabetical by Last Name](#)

[DISB Staff Directory by Office](#)

Information Contact:

Questions and Changes: Marlene Simmons, Management Liaison Specialist (202) 442-4927

1. Telephone Password

At the time of employment, each staff member is assigned a telephone system password, which is needed to access the system when away from the office and other voice-mail controls.

Information Contact:

Voice-mail Assistance: Terry Moore, Administrative Services Supervisor (202) 442-8793

2. Answering Calls

When answering the telephone DISB staff is expected to:

- (1) Answer the telephone by the third ring,
- (2) Greet the caller by announcing the agency, the branch name and the staff member's name.



- (3) Provide assistance. If the caller needs to speak with another office, transfer the call. Please do not transfer a call before confirming the employee is in the office (Blind Transfers).

3. Telephone Use

Each caller to the Department should be given the highest level of courtesy. Every staff member is expected to have effective telephone skills and use appropriate service-oriented behavior when dealing with DISB colleagues, clients and the public. All employees are also expected to have a basic understanding of the primary functions of the Department so referrals can be handled efficiently and without mistakes. Return all phone calls within 24 hours or within one business day. Effective telephone skills and appropriate customer service behavior is outlined in the District-wide Customer Service Telephone Standards and is available on the N Drive.

TELEPHONE ETIQUETTE GUIDELINES

- Treat callers with courtesy
- Do not be confrontational
- Convey sympathy, professional courtesy and a pleasant attitude
- Provide reference information when transferring calls
- No Secondary conversations with others while caller is on the phone
- Use speakerphones as little as possible in open office areas

An example of greeting a caller is:

"Good Morning, this is Kathy Smith, Department of Insurance, Securities and Banking, how may I help you?"

Answering Machine Messages: All voice mailboxes should be set up and ready to accept voice messages. Each voice mailbox should never be full and unable to accept new messages.

4. Voicemail Greeting

An individualized greeting is required. It provides the caller with certain basic information when a staff member is not at the work station: The message must:

- (1) Greet the caller.
- (2) Inform the caller he or she has reached the desk of [the staff member],
- (3) At the Department of Insurance, Securities and Banking
- (4) Ask for a message and a call back number, and
- (5) Indicate the incoming call will be returned within 24 hours or the next business day.
- (6) Advise that if immediate assistance is needed, the caller should contact the DISB receptionist at (202) 727-8000.

5. Extended Absence Greeting

Every staff member who will be out the office for more than one business day (annual/sick leave, training, jury duty, etc.) must record an extended absence greeting. In addition to the basic information

noted above, this greeting should outline the expected date of return or all calls should be forwarded to another staff member in the office.

6. Outside Access to System

To access your voice-mail messages when outside the Department, use the following procedure:



- (1) Dial Your Assigned Work Phone Number
- (2) When the system answers and the recording begins push *
- (3) When the system answers, enter your pass code and follow prompts

P. CELL PHONES

Staff members may bring personal cell phones to the office to be used for personal messages. Please avoid lengthy personal calls. To avoid disturbing nearby colleagues, the ring should be set at a low volume or to vibrate.

1. DISB-Issued Cell Phones

Cellular telephones belonging to the Department may be assigned to DISB managers whose duties require them to spend time outside the office, or who routinely travel on Department business and must be accessible at all times. Such cell phones are for government business and **not for personal use** and the charges for their use are monitored to assure compliance with this policy with violations resulting in disciplinary action. The security of cell phones is the responsibility of the individual to whom they are assigned. If the Agency cell phone is lost or stolen, the employee must contact the Office of Administrative Support within 24 hours. Within 72 hours of the loss, as appropriate, the employee must document the loss in a written memorandum submitted through his/her chain of command to the Administrative Services Program Supervisor. The memorandum must explain the circumstances of the loss in a complete and concise manner. The Administrative Services Program Supervisor will review each instance on a case-by-case basis to determine whether the loss of the phone was a result of gross negligence or reckless conduct on the part of the employee. This determination is based solely on the information contained in the memorandum and the procedures expressed in this policy statement. If gross negligence or reckless conduct can be determined, the employee will be required to reimburse the Agency the cost of the phone. The reimbursement cost of a new phone is dependent on the cost of a comparable model used by the Agency. A 25% deduction will be allowed against the replacement cost, based on the age of the phone at the time of loss.

If the employee is determined responsible for the loss or theft of the phone, the Administrative Services Program Supervisor will notify the employee via a written memorandum, with copies to the employee's respective supervisor and/or Deputy Commissioner. Employees may appeal any charges assessed to them for replacement by submitting a written appeal to the Chief of Policy and Administration within five workdays of receipt of notification.

If the employee is determined not responsible for the loss, the Administrative Services Program Supervisor will order a replacement phone at no cost to the employee, contingent upon the respective supervisor and Deputy Commissioner's approval. The Administrative Services Program Supervisor will maintain a record of all lost or stolen phones, and the circumstances of each, and present a summary of this record to senior staff upon request.

Q. CORRESPONDENCE

All correspondence, including e-mails received by the Department and requiring a response, must be handled promptly, accurately and with courtesy. All written material transmitted from the Department, including letters, memoranda, e-mails, faxes, brochures and pamphlets must be responsive, understandable, grammatically correct, and written in a courteous and professional tone.

1. Incoming Correspondence



Incoming correspondence that requires some action or response by DISB must be acknowledged or answered within two business days. The response should thank the correspondent for writing; respond to the matter at hand or provide a realistic timeframe for issue-resolution; and provide a contact person's name, telephone number and e-mail address, if appropriate. The response should clearly show the responding staff member's name, title, telephone number and the name of the Department. Responses should address all issues raised within the initial correspondence. If resolution cannot be provided within the stated timeframe, the staff member should subsequently follow up with the correspondent, provide a new resolution date and fulfill the request within this new timeframe.

Correspondence received in the office via walk-in should be handled according to DISB Standard Operating Procedures (SoPs). Special attention should be adhered to receiving mail from visitors to DISB. All mail received from visitors should be taken directly to the Mail Room for proper handling. The mail could possibly contain personal information or currency. The potential liability for misuse or mishandling correspondence could lead to disciplinary actions. A copy of DISB's SoPs is located in the Shared N Drive.

N DRIVE: DISB Standard Operating Procedures

2. Outgoing Correspondence

All correspondence should adhere to standards of commonly acceptable business communication. All correspondence, including e-mails received by the Department and requiring a response, must be handled promptly, accurately and with courtesy. All written material transmitted from the Department, including letters, memoranda, e-mails, faxes, brochures and pamphlets must be responsive, understandable, grammatically correct, and written in a courteous and professional tone. There are mail bins located on the 6th and 7th floor where outgoing office mail is picked up twice daily by the Administrative Operations Office staff. The receptionist does not hold mail, parcels or miscellaneous items for pick up from the front desk for any visitors to DISB.

3. DISB Letterhead

All official DISB correspondence must be sent on DISB letterhead. Homemade and electronic letterhead should not be used. Each printer has a drawer designated for official DISB letterhead, which may be obtained through the Office of Administrative Services Support.

4. Mail System

Each DISB office has a basket for depositing outgoing mail, which is picked up and delivered twice a day at 10:00 a.m. and at 3:00 p.m. Outgoing domestic mail is stamped in the mail room. However, a note should be attached with instructions to any outgoing mail item that requires special handling, which is going to an address outside the United States, or involves a mass mailing. The receptionist does not hold mail, parcels or miscellaneous items for pick up from the front desk for any visitors to DISB.

Information Contact:

Mail and Letterhead: Terry Moore, Administrative Services Supervisor

(202) 442-8793

R. ELECTRONIC COMMUNICATION

The Department provides DISB staff with a state-of-the art electronic communications system, including personal desk computers with e-mail Internet communication for drafting, designing and printing letters, memos, reports and other work materials. Each staff member is given a Log-On Identification (ID) and a personal password.

1. Restrictions on Use



Staff members shall not use DISB's electronic communication system for personal gain; for access to, or distribution of, indecent or obscene material; fraudulent information; harassing material; for items with racial, political or religious themes; or for any illegal purpose. These violations, as well as failure to properly use and safeguard the system can result in disciplinary action including dismissal. DISB employees are prohibited from utilizing the "DISB-All Personnel" email to email the entire agency. Employees may request to send information to "DISB- All Personnel" only after first clearing it through their immediate supervisor. Once the immediate supervisor approves the request, the employee will forward the draft email to the Executive Assistant and "cc" their supervisor for distribution. The Executive Assistant is the point of contact for the "DISB- All Personnel" emails and the only one authorized to make such a distribution.

2. E-mail and Internet Use

E-mail is an efficient and timely communication tool used to conduct the Department's business within its own organization, with other governmental agencies, with business partners and with the public. Outgoing DISB e-mails must show the staff member's name, title, Department name and their official D.C. government e-mail address.

3. Out-of-the-Office

Auto E-mail Response: If staff members will be out the office for more than one full business day (eight hours), it is their responsibility to have an out-of-the-office auto-response e-mail describing that they are out the office; their expected return date, when they will respond to the inquiry; and where the writer can call or e-mail for immediate assistance. New employees should use the voice mail set up and message access instructions provided in their Welcome Package and available also on the N Drive.

4. System Protection

To prevent the use of staff e-mail accounts by unauthorized individuals, the password to access the system given to each staff member must be safeguarded and is regularly changed. Staff users must act to prevent the introduction of computer viruses into D.C. government systems and should never download e-mail attachments unless the e-mail was received from a known and trusted source.

Each staff member is responsible for making proper use of the e-mail system and for protecting it against deliberate and accidental abuse or corruption. Listed below are some major considerations to have in mind when using the system.

GUIDELINE: ON USE AND PROTECTION OF DISB E-MAIL SYSTEM AND SOFTWARE

5. E-mails are Public Records

Because e-mail addresses identify the organization, staff members must always consider e-mail to be the equivalent of letters sent on official letterhead. E-mail messages are also considered public records and are therefore legally discoverable and subject to appropriate D.C. record retention policies. As a public record, an e-mail may be open to public inspection, unless it is otherwise protected by District or federal law.

a. Protect Confidentiality

It is the responsibility of every DISB employee to protect sensitive (e.g., confidential) information from intentional, inappropriate or accidental disclosure and protect the D.C. government or an individual from loss or harm. Sensitive (e.g., confidential) messages must be clearly identified immediately below the message header as follows: "CLIENT PRIVILEGED INFORMATION – DO NOT RELEASE TO



UNAUTHORIZED PERSONNEL." The sender must also be certain the recipient is properly authorized to receive and view the information.

b. Spoofing Prohibited

Staff members shall not send e-mail from DISB computers under names or addresses other than **THEIR** own, officially designated D.C. government e-mail address. Adding, removing or modifying identifying network header information ("spoofing") in an effort to deceive or mislead recipients is prohibited. All D.C. government policies relating to intellectual property protection, privacy, misuse of government resources, sexual harassment, data security and confidentiality apply to DISB staff use of e-mail.

c. Spam Control

Send all spam e-mails you receive to: emailabuse@dcwan@dc.gov

Note: Do not simply forward the objectionable e-mail, instead use the following procedure:

Save the objectionable e-mail message as a file as follows:

1. Click the e-mail message you want to save as a file.
2. On the File menu, click Save As.
3. In the Save in box, click the location where you want to save the file.
4. In the File name box, type a name for the file.
5. In the Save as type box, choose "Outlook message format (*.msg)"
6. Once saved, send it as a regular e-mail attachment to: e-mailabusedcwan@dc.gov

S. PRINTING AND COPYING

DISB printers and copiers are provided for official use. They cannot be used for: (1) any purpose that violates a federal or D.C. government law, code or policy, standard or procedure; (2) any purpose not directly related to the mission, charter or work tasks of DISB; (3) personal use, including private business, any activity meant to foster personal gain and for religious or political purposes; (4) printing and copying materials that contain profane language, pander to bigotry, sexism or other forms of prohibited discrimination, or can in any way be construed as intending to harass or threaten another individual; and (5) printing and copying materials that would reflect negatively on or damage the public image of DISB, the D.C. government or its agencies.

Information Contact: IT Support and Help Desk Request by Email: disbsupport@dc.gov

Shankar Vaidyanathan, Chief Information Officer (CIO)
Lloyd Anderson, IT Specialist

(202) 442-8154
(202) 442-7836

T. PROCUREMENT OF SUPPLIES AND SERVICES

DISB provides staff with the office supplies, equipment and support services necessary to perform their duties. While many basic office supplies are stocked by DISB, other supplies and services must be obtained through a centralized D.C. government procurement process. To obtain logistic support, use one of the methods noted below:

1. Office Supplies–Stocked

Everyday office supplies stocked by DISB are catalogued in DISB's List of Stocked Supplies. To order, use the Requisition for Stocked Supplies. The order must be approved (signed) by the staff member's supervisor or manager before being sent to the Administrative Services Division for processing.



2. Other Supplies and Equipment

To obtain other supplies not stocked by the Department from catalogue sources, use the Department's Requisition Authorization Form. The order must be approved (signed) by the staff member's supervisor or manager before being sent to the Administrative Services Division for processing.

3. Courier Services

For package delivery or pick up, complete the Courier Services Request Form and submit it together with the package to the mail room for processing.

4. Scanning of Documents

Submit the document(s) together with the Scanning Request Form to the Administrative Services Division.

Other Services

To order services, including printing, Xeroxing, imaging preparation and travel arrangements, use DISB's Administrative Services Request Form, which must be approved (signed) by the staff member's supervisor or manager and then sent to the Administrative Services Division for fulfillment.

- DISB List of Stocked Supplies
- DISB Requisition for Stocked Supplies
- DISB Requisition Authorization Form
- DISB Courier Services Request Form
- DISB Scanning Request Form
- DISB Administrative Services Form

Information Contact:

Terry Moore, Administrative Services Supervisor

(202) 442-8793

5. Imprest Fund

The Imprest Fund is used for petty cash reimbursement for local taxicab fares, miscellaneous business expenses and mileage and for emergency purchases of office supplies. Procedures for Imprest Fund reimbursement follow:

Local Taxicab Fares: Receipts must be submitted with an Imprest Fund Reimbursement Form.

Mileage reimbursements: Must be submitted with an Imprest Fund Reimbursement Form including Speedometer read or Map Quest or Yahoo driving directions. Such reimbursements with a value less than \$50.00 will be reimbursed from the Imprest Fund in cash. (Reimbursement requests for over \$50.00 should be submitted by memorandum and a government-issued check will be processed for the staff member.)

Office supplies: Those supplies that are not in stock should normally be purchased as explained in the "Procurement of Supplies and Services" above. In emergencies, purchases of \$50.00 or less will be reimbursed from the Imprest Fund in cash. The receipt(s) should be submitted with an Imprest Fund Reimbursement Form. (Reimbursements of over \$50.00 should also be submitted as described above in the "Procurement of Supplies and Services" section and will be made by government-issued check.)

DISB Imprest Fund Reimbursement Form



Information Contact:

Imprest Procedures, Lashawn VanHorn, Accounts Payable Supervisor (202) 442-6934

6. Metro Fare Cards

Metro cards will be issued to Bureau Directors based on division need for usage by personnel with pre-approval by the Bureau Director / Associate Commissioner. The Support Services Specialist shall maintain a log sheet as required for staff members who are issued fare cards for government and accounting purposes. DISB staff that need fare cards for business use should contact the Administrative Services Division.

Information Contact:

Fare cards: Gerald Tolson, Support Services Specialist (202) 442-8793

U. ASSIGNED PROPERTY

All DISB property in the custody of staff members must be adequately protected. When moveable equipment such as laptops is provided for work outside DISB's offices, such assigned property should be secured when the staff member is away from his or her worksite and not left unattended. Office equipment and assigned property is provided for official Departmental business use only and cannot be loaned to any person, nor can it be used for personal or recreational activity or in connection with any political campaign. Failure to exercise reasonable judgment in the use and care of the property may result in the staff member being held liable for misuse, for damage to the property or for its loss and can result in disciplinary action, including termination. Assigned property that has been lost, destroyed or damaged must be reported immediately to the staff member's supervisor. Requests for assigned property should be initiated via the staff member's manager or supervisor. If Agency assigned property is lost or stolen, the employee must contact the Office of Administrative Support within 24 hours. Within 72 hours of the loss, as appropriate, the employee must document the loss in a written memorandum submitted through his/her chain of command to the Administrative Services Program Supervisor. The memorandum must explain the circumstances of the loss in a complete and concise manner. The Administrative Services Program Supervisor will review each instance on a case-by-case basis to determine whether the loss of the phone was a result of gross negligence or reckless conduct on the part of the employee. This determination is based solely on the information contained in the memorandum and the procedures expressed in this policy statement. If gross negligence or reckless conduct can be determined, the employee will be required to reimburse the Agency the cost. The reimbursement cost is dependent on the cost of a comparable model used by the Agency. A 25% deduction will be allowed against the replacement cost, based on the age of the property at the time of loss.

If the employee is determined responsible for the loss or theft of the assigned equipment, the Administrative Services Program Supervisor will notify the employee via a written memorandum, with copies to the employee's respective supervisor and/or Deputy Commissioner. Employees may appeal any charges assessed to them for replacement by submitting a written appeal to the Chief of Policy and Administration within five workdays of receipt of notification.



CONFERENCE FACILITIES

V. MEETING ROOMS

When possible and appropriate, staff members are encouraged to hold meetings in their offices; however, the Commissioner's Large and Small Conference Rooms, which can accommodate larger or more formal meetings, may be used based on availability and the meeting's priority. To reserve the large conference room and the 6th Floor Library, provide the information below by email to disb/adminsupport@dc.gov to reserve the 7th floor small conference room contact Alicia Wade.

1. Requesting Staff Member's Name
2. Requesting Bureau or Office
3. Date of Meeting
4. Time of Meeting (to and from)
5. Purpose of Meeting and Type of Guests Expected
6. Number of attendees

W. CONSUMER EDUCATION RESOURCES

Various publications that describe DISB and its consumer protection efforts may be obtained through the Office of Communication and Public Affairs. Use the Publications Request Form to obtain such handouts and other meeting support materials. A list of the available materials may be obtained from the Office of Communication and Public Affairs.

[Publications Request Form](#)

Information Contact:

7 th floor Large Meeting Room Reservations: Reception	(202) 727-8000
7 th floor Small Meeting Room Reservations: Alicia Wade, Executive Assistant	(202) 442-7760
6th Floor Conference Room/Library: Reception	(202) 727-8000
Consumer Education Material: Tanya Bryant, Public Affairs Specialist	(202) 442-7761

X. TRAVEL AND RELATED EXPENSE REIMBURSEMENT

The Department will reimburse employees for the cost of transportation, meals, lodging and certain incidental expenses associated with DISB business; however, prior authorization is required.

1. Authorization

Approval for travel must be obtained **at least 60 days** before departure. A Staff member must submit a completed Request for Training and Travel Form for DISB approval from their manager and Deputy Commissioner and a decision and clearance memorandum. The decision and clearance memo should include the following:

1. Name of Event/Meeting/Seminar, etc.
2. Date(s)
3. Location
4. The reason why participation/attendance is necessary/important



The Request for Training Form must include the pertinent travel information and an estimate of the costs involved. DISB staff members normally make their own hotel reservations. The form may be prepared by the staff member or by the Administrative Services Division upon provision of the required information. Travel arrangements may be made by the staff member or, if preferred, by DISB. A travel advance against costs to be incurred is normally provided. Cost Reimbursement for Out-of-Town Travel: To be reimbursed for authorized travel expenditures, after the completion of travel, the staff member must submit a completed Travel Reconciliation Form.

2. Travel Reconciliation Report Form

Together with receipts for actual travel and lodging expenses over \$10.00, DISB will reimburse hotel expenses at actual cost up to the General Services Administration (GSA) per diem rates. Prior approval is required for reimbursement in excess of the GSA per diem rates. [Hotel Per Diem Waiver](#) A per diem based on the GSA rate is provided in lieu of reimbursement for actual meal costs. See: [GSA Per Diem Rates](#).

Staff members who use personal automobiles for travel to conduct DISB business must consult the Vehicle Accountability Policy (VAP) Vehicle Accountability Policy prior to making travel arrangements. VAP is available on the N Drive.

3. Cost Reimbursement for Local Travel

Taxi, Metro and parking costs for travel on DISB business in the District of Columbia are reimbursable through the Imprest Fund (See Procurement—Imprest Fund above). Such travel does not require prior authorization. Taxi and parking receipts are required for reimbursement.

SECTION IV – WORKING FOR DISB

A. WORK PLACE VALUES

All DISB employees are required to maintain a work environment characterized by ethical behavior. Ethical conduct is particularly important to a successful regulatory organization. Professional conduct reflecting the highest standards of honesty and integrity is expected at all times. Regulatory work also involves knowing the legality of a matter as determined by law and regulation and having the professional skill and seasoning to look at actions being taken from a reasonable, responsible, fair, objective and consistent point of view following the spirit as well as the letter of the law.

GUIDELINE: SOME EXAMPLES OF POSITIVE WORKPLACE VALUES

- Taking responsibility for personal oversights and errors.
- Recognizing and giving credit to another colleague for his or her ideas or suggestions.
- Not suppressing information about illegal behavior, abusive behavior and on-the- job accidents.
- Reporting health and safety hazards.
- Making full disclosure when asked about a situation you have full knowledge of.
- Being accurate and honest—do not misstate or exaggerate the facts of a situation.

B. CONFIDENTIALITY

It is the responsibility of all DISB staff members to safeguard sensitive information. The nature of financial service regulation depends upon protecting and maintaining proprietary company and consumer information. DISB managers bear the responsibility for the orientation and training of their colleagues to ensure enforcement of confidentiality. Sensitive information includes those relating to financial service



products, processes, know-how, individuals, social security numbers, healthcare summaries and diagnosis, marketing data, accounting, pricing or salary information, business plans and strategies, negotiations and discoveries and legal proceedings. All such information must be appropriately marked or verbally identified to each staff member receiving it by the staff member providing the information.

GUIDELINE: ON TRANSFERRING CONFIDENTIAL INFORMATION

When confidential information is transferred from one staff member to another, the transferor must do all of the following:

1. Determine that the transfer is necessary and in the interest of regular DISB business;
2. Determine that the transferee has a need to know the information;
3. Ensure that all cover sheets or markings that identify the information as proprietary, or classified, are conspicuous;
4. Give the information directly to the transferee and verbally identify the proprietary or classified information as such.

C. OFFICE ENVIRONMENT

The Department asks its employees to understand their jobs, to take pride in their work, to exercise care, good judgment and common sense in carrying out their duties, to respect DISB policies, and to maintain positive relations with DISB colleagues and the public the Department serves.

1. Non Smoking Office

The Department maintains a smoke-free work environment. Smoking is prohibited in all DISB facilities, offices and common areas.

2. Drugs and Alcohol

To insure a safe workplace for all staff members, the use of alcoholic beverages and the illegal use, possession and sale of drugs and drug paraphernalia while on Department property is prohibited. DISB staff must not report for duty, at the Department or off site, under the influence of any intoxicant or drug that will affect their ability, alertness, coordination and response in any way, or affect colleagues or clients. Any violation will be investigated and evidence of such use or possession can be the basis for dismissal.

3. Dress

Each DISB staff member is expected to present a positive, dignified and professional image of the Department and himself or herself by being well groomed and by dressing in a professional manner. The following examples are provided as general guidance. Please refer to the [DISB Dress Code](#) for more details.

GUIDELINE: ON APPROPRIATE OFFICE ATTIRE

- | | |
|--------------------------------|-------------------------|
| - Suits and Sport coats | - Blazer-style jackets |
| - Dress and Band collar shirts | - Dress pants or slacks |
| - Pressed khakis | - Blouses |
| - Turtlenecks | - Sweaters |
| - Dresses | - Skirts |
| - Short suit sets | - Pant suits |
| - Dress shoes | |



4. Office Courtesy

Staff members are asked to avoid behavior that may be discourteous and disruptive to colleagues. This is particularly important because DISB uses open-plan offices and personal work space and privacy may be easily violated. The areas to be particularly conscious of include the following:

GUIDELINE: ON RESPECT FOR OTHERS WORKING AROUND YOU

5. Noise

Speak quietly in general and on the telephone. Do not shout or use profanity. Avoid using a speakerphone in an open office work area. Request a headset if you need your hands free. Turn your personal cell phone ringer down or set it to vibrate and turn it off when you leave your desk and during meetings. Use headphones if you like to listen to the radio while you work.

6. Privacy and Confidentiality

At all times be courteous and sensitive to the privacy of others. Be aware of people's personal space and use this understanding to approach them respectfully. Be wary of speaking about issues of confidentiality. If you are speaking on the phone about a confidential or sensitive issue, move to an enclosed space to make or take the call. Should you accidentally overhear a conversation that you know was intended to remain private between the people having the conversation, do not repeat it to others. Observing the etiquette of common courtesy, avoid conflicts and strengthens professional relationships.

7. Presence

Avoid walking around the office "just visiting" others. Be sensitive to annoying habits such as humming, finger or pencil tapping, mumbling and interrupting others before they are finished speaking. Do not bring strong smelling foods to your desk as the odor may be offensive to some people. Attend to personal appearance and grooming in private.

8. Workplace

An unkempt area is immediately apparent in an office and has a negative impact on colleagues and visitors. Be considerate of others by observing the guidelines for the use of, office equipment, common work areas, break areas and restrooms.

9. Commercial or Political Solicitation and Distribution of Materials

While on duty and on DISB premises, staff members may not solicit membership by colleagues in a political party or group, a church or a religious sect; nor may they distribute any books, pamphlets, tracts, flyers, handouts or any printed material directly, by e-mail or by fax, which promote such groups or their beliefs.

10. Office Gift Giving

Under the District Personnel Regulations, a staff member shall not: (a) solicit a contribution from another employee for a gift to a manager or supervisor, (2) make a gift to a manager or supervisor, or (3) accept a gift from a colleague receiving less pay. This does not preclude the presentation or acceptance of a voluntary gift of nominal value or of a cash donation in nominal amount given on "a special, infrequent occasion such as marriage, illness or retirement." ("Nominal" means an individual voluntary gift of no more than \$10.00). Gifts for a holiday such as Christmas do not fall under the "special occasion" exception. Hence, this rule prohibits a staff member from accepting a holiday gift from his or her subordinate or from a colleague who receives less pay.

For more information on government ethics, please read DC Government Ethics Guidelines located on the: [N Drive: DC Government Ethics Guidelines](#)

Information Contact:



DISB Ethics Officer: Dena Reed
District Ethics Counselor: David Hyden

(202) 442-7551
(202) 724-5386

D. INAPPROPRIATE BEHAVIOR

The following guidelines list examples of inappropriate behavior for which corrective counseling, performance improvement, or other disciplinary action may be required. They include violations that have some effect on the continuity, efficiency of work, safety, and harmony within the Department and major violations including deliberate or willful infraction of DISB policy rules and may preclude continued employment.

GUIDELINE: EXAMPLES OF INAPPROPRIATE BEHAVIOR

- Excessive tardiness;
- Excessive absenteeism and failure to observe working hours;
- Failure to notify the Department of intended absence;
- Unsatisfactory job performance;
- Interfering with another staff member's job performance;
- Performing unauthorized personal work on company time;
- Unauthorized use of DISB equipment for personal business;
- Any act endangering the safety or lives of others;
- Defacing DISB property;
- Stealing, destroying or damaging DISB property or equipment;
- Fighting on DISB premises;
- Bringing firearms or weapons onto the DISB premises;
- Intentional disclosure of confidential Department information to unauthorized persons;
- Willfully disregarding DISB policies or procedures;
- Willfully falsifying any DISB records;
- Willfully destroying files or DISB records;
- Conviction for, or confession to, fraud embezzlement or theft against the Department;
- Conviction of a felony or a crime involving moral turpitude;
- Any intentional act that damages the reputation of the Department; and
- Sexual harassment in any form toward employees of the Department.

E. RELATIONS WITH THE PUBLIC

The District of Columbia government is committed to ensuring that every employee provides high-quality service to both internal and external customers. Therefore, all DISB staff members are expected: (1) to have basic knowledge of the District government; (2) to have basic understanding of the primary functions of the Department; and (3) to be able to adequately and appropriately refer customers to information sources; and (4) know how to meet and greet DISB customers.

GUIDELINE: ON GOOD PUBLIC RELATIONS

- Acknowledge the person by making and maintaining eye contact;
- Assume personal responsibility for each interaction;
- Use friendly gestures and facial expressions to welcome and receive customers;
- Speak to a person courteously;
- Ask appropriate follow up questions to verify understanding;
- Listen carefully and take notes if needed;
- Either help the person or direct them to someone who can help;
- Keep them informed of the progress on their issue as needed;



- Once their needs are met, ask if they require further assistance or have additional questions; and
- Thank them for visiting you and the Department.

F. PRESS RELATIONS

The DISB Public Information Officer (PIO) serves as the primary point of contact for all media inquiries. This office also edits the content of all DISB press releases. The PIO uses the Associated Press (AP) standard for writing and editing press releases. Public statements on issues which concern DISB policies and activities or which may generally affect the Agency's public image or relationship with other agencies or the business community must be cleared in accordance with the Press Release Policy established by the Commissioner. No communications with the press unless approved by the Commissioner. In communicating with the press, staff is cautioned to refrain from issuing legal opinions that may reflect adversely on the agency, compromise law enforcement efforts, or lead to improper disclosure.

Information Contact:

Press Relations: Kate Hartig, Public Information Officer

(202) 442-7820

G. FREEDOM OF INFORMATION ACT (FOIA) REQUESTS

The District of Columbia Freedom of Information Act (FOIA) provides that any person has the right to request access to public records. All public bodies of the District government are required to disclose public records, except for those records, or portions of records, that are protected from disclosure by the exemptions enumerated in the DC Official Code. Statutory exemptions authorize the withholding of certain public records. When the public body does withhold records or portions of records, it must specify which exemption of the FOIA permits the withholding. FOIA does not require agencies to do research, to analyze data, to answer written questions, or to create records in order to respond to a request. FOIA inquiries should be forwarded to the DISB FOIA Officer who is the principal contact point within DISB for advice and policy guidance on matters pertaining to the administration of the FOIA. FOIA requests may be oral or in writing. If the request is written, the envelope shall prominently be marked "FOIA Request." The FOIA Officer may request that an oral request be reduced to writing if the requested records are not customarily made available by the Department.

Information Contact:

DISB FOIA Requests: Claudine Alula, FOIA Officer

(202) 442-7808

H. STANDARDS OF CONDUCT AND CONFLICTS OF INTEREST

Avoidance of misconduct and conflicts of interest on the part of DISB staff is indispensable to the achievement of the Department's regulatory mission. Standards of conduct and requirements for reporting outside employment and financial interests by DISB staff are necessary to assure the fair, impartial and objective performance of officially assigned duties and responsibilities. A DISB staff member must promptly and directly report any information concerning conduct that he or she knows, or should reasonably know, involves corrupt or other criminal activity, or conflicts of interest. Listed below are some of the circumstances that may constitute improper conduct or conflicts of interest.

See the District Personnel Manual at Chapter 18, Part 1 District Personnel Manual Chapter 18, Part 2

GUIDELINE: ON STANDARDS OF CONDUCT AND AVOIDING CONFLICTS OF INTEREST

In General: All DISB staff must avoid actions that may result in or create the appearance of the following:



- Using public office for private gain;
- Giving preferential treatment to any person;
- Impeding government efficiency or economy;
- Losing complete independence or impartiality;
- Making a government decision outside official channels; or
- Affecting adversely the confidence of the public in the integrity of government.

1. Outside Employment and Business Activity

A DISB staff member may not engage in any outside employment, private business activity or other activity, directly or indirectly, which is not compatible with the full and proper discharge of his or her duties and responsibilities including, but are not limited to, the following:

- Engaging in any outside employment, or other interest that may interfere with the employee's ability to perform his or her job, or which may impair the efficient operation of the Department and the District of Columbia government;
- Using government time or resources for other than official business or government approved or sponsored activities,
- Ordering, directing or requesting subordinates to perform during regular working hours any personal services not related to official D.C. government functions and activities;
- Maintaining financial or economic interest in or serving (with or without compensation) as an officer or director of an outside entity if there is any likelihood that such entity might be involved in an official DISB regulatory process or action or be subject to a decision taken or recommended by the staff member.
- Engaging in any outside employment, private business activity or interests that permit a staff member or others to capitalize on his or her official title or position;
- Divulging any official government information to any unauthorized person or in advance of the time prescribed for its authorized issuance, or otherwise making use of or permitting others to make use of DISB information not available to the general public;
- Serving in a representative capacity for any outside entity involving any matter before the Department or the District of Columbia; or
- Engaging in any outside employment, private business activity or other interests that is in violation of federal or District law.

2. Outside Financial Interests

No DISB staff member or any member of his or her immediate household may:

- Knowingly acquire any stocks, bonds, commodities, real estate or other property, whether held individually or in concert with others, the possession of which could unduly influence or give the appearance of unduly influencing the staff member in the conduct of his or her official duties and responsibilities.
- Acquire an interest in or operate any business or commercial enterprise that is in any way related to the staff member's official duties, which might be involved in an official action taken or recommended by the staff member or which is related to matters over which the staff member could wield any influence, official or otherwise.

3. Acting as an Agent

A DISB staff member who is called upon to act for, or on behalf of, the District government in a matter relating to, or involving a non-governmental entity in which, the employee, or a member of the employee's immediate family has a financial interest, shall make this fact known to his or her immediate supervisor, in writing, at the earliest possible moment. The Commissioner will subsequently determine whether the staff member must divest himself or herself of such interest, or merely disqualify himself or herself from taking part in any official decision or action involving the matter.



4. Party to a Contract

A DISB staff member cannot be a party to a contract with the Department, or the District government and must not knowingly cause or allow a business concern or other organization owned or substantially owned or controlled by the staff member to be a party to such a contract, unless a written determination has been made by the Commissioner that there is a compelling reason for contracting with the staff member, such as when the government's needs cannot otherwise be met.

5. Receiving Gifts

A District of Columbia government employee cannot accept a gift, gratuity, favor, loan or an invitation to an event or party or anything of value from a "prohibited source," which includes a person or organization who:

- Has, or is seeking to obtain, contractual or other business or financial relations with the D.C. government;
- Conducts operations or activities that are subject to regulation by the D.C. government; or
- Has an interest that may be favorably affected by the performance or non-performance of the Employee's official responsibilities

The regulations provide that an employee may accept "food and refreshments of nominal value on infrequent occasions." Attendance at a holiday party sponsored by an entity or organization other than the District government is permitted only if the staff member's supervisor or manager approves it in advance. [DC Government Ethics Guidelines.](#)

Information Contact:

DISB Ethics Officer: Dena Reed
DC Government Ethics Counselor: David Hyden

(202) 442-7751
(202) 724-5386

I. STATUTORY PROTECTIONS

Several areas of interpersonal conduct: discrimination including sexual harassment and workplace violence, where proper behavior is essential to sound working relations among staff members and between staff members, their supervisors and managers, are addressed by District and federal laws. The Department expects all staff members to observe the letter of the law in these areas. Violations will be met with severe adverse personnel actions including the possibility of dismissal and prosecution.

Staff members who believe they have been or are being subject to discrimination, sexual harassment or workplace violence have the right to file a complaint with the Department, which sets out the nature of the improper treatment and seeks redress. To obtain confidential guidance about how to file a complaint and to obtain the necessary forms, contact the DISB EEO Counselor. Such complaints are taken seriously. They are investigated by the Department and if appropriate by other offices of the District government. If confirmed, appropriate corrective action will be taken. Please note: This process is not intended to address non-discriminatory employment issues and petty workplace annoyances.

J. NON-DISCRIMINATION

The Department's Equal Employment Opportunity (EEO) program prohibits discrimination in the workplace, based on race, color, sex, national origin, religion, age, marital status, personal appearance, sexual orientation, familial status, family responsibilities, matriculation, political affiliation, physical handicap, source of income, place of residence or business, genetic information, "identity and expression." Any individual who believes that he or she has been adversely affected by discrimination



based on one of more categories set out above, has a right to file a complaint within 180 day of occurrence (one year in the case of sexual harassment), which initiates a scheduled complaint analysis and review process. For more details, please refer to:

[Personnel Regulations](#)

K. POLITICAL ACTIVITY

All D.C. government employees are subject to the federal Hatch Act and DC Act, which strictly limits the kinds of political activities we are allowed to engage in. The consequences of violating the Hatch Act are severe, and may include termination of employment. The following summary can provide useful basic guidance. The bottom line, as can be seen below, is no political activity on duty. [Federal Hatch Act](#)

GUIDELINE: ON HATCH ACT COMPLIANCE

You may not do the following:

- Engage in political activity while on duty. You may do so when you are off duty.
- Engage in political activity while in any government office. You may do so if you are not on government property.
- Engage in political activity while wearing an official uniform. You may do so if you are not in uniform and not on duty.
- Engage in political activity while using a government vehicle. You may do so in a nongovernmental vehicle.
- Coerce, explicitly or implicitly, any subordinate employee to engage in political activity while on duty.
- Knowingly, solicit, accept or receive a political contribution from any person for a District regulated election.
- File as a candidate for election, to a partisan public office in a District regulated election. You may be a candidate in a nonpartisan election.
- Wear political buttons on duty. You may do so when you are off duty.
- Use your official authority or influence to interfere with an election or collect political contributions.
- Support or discourage the political activity of any person who has business before a government agency.

You may do the following:

- Be a candidate for public office in nonpartisan elections.
- Register and vote as you choose.
- Assist in voter registration drives when off duty.
- Express opinions about candidates and issues when off duty.
- Contribute money to political organizations and candidates when off duty.
- Attend and be active at political rallies and meetings when off duty.
- Join and be an active member of a political party or club when off duty.
- Sign nominating petitions when off duty.
- Campaign for or against referendum questions, constitutional amendments and municipal ordinances when off duty.
- Campaign for or against candidates in partisan elections when off duty.
- Make campaign speeches for candidates in partisan elections when off duty.
- Distribute campaign literature in partisan elections when you are off duty.
- Hold office in political clubs or parties



Information Contact:

Hatch Act Issues: Dena Reed, DISB Ethics Officer
U.S. Office of Special Counsel (OSC) Hotline

(202) 442-7751
(202) 653-7143

L. DISB VEHICLE OPERATORS ACCOUNTABILITY POLICY

The purpose of this policy is to manage the use of vehicles that are driven for authorized government business. The policy ensures the safe operation of government vehicles; compliance with laws and regulations that govern the operation of vehicles while conducting authorized government business provides accountability for tickets and notices of infractions received as a result of operating the vehicle and the required operator qualifications and training. For more details, please refer to the **DISB Vehicle Operators Accountability Policy**.



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Ten Principles of Ethical Conduct

District of Columbia government employees are subject to many specific ethics standards from multiple sources. This brief document provides a useful summary of those restrictions, identifying ten principles that can explain nearly all of those ethics standards.

1. Public office is a public trust. A government employee is given access to governmental power and resources for one purpose: so that he/she may use them to serve the government and the broader public interest. If he/she uses the government's power and resources for a private (rather than public) purpose, she violates the public's trust and undermines the public's confidence in its government.
2. Avoid financial conflicts of interest. A government employee shall not participate in government action that could affect his/her own financial interests or that of another person or organization with which he/she is affiliated.
3. Avoid representational conflicts of interest. A government employee shall not represent a non-government party in a matter before the District government or that involves the District government.
4. Avoid gifts and payments from interested parties. A government employee shall not solicit or accept anything of value from those who are regulated by or are doing business with the government.
5. Avoid outside payment for government work. A government employee shall not solicit or accept anything of value for doing his/her government work.
6. Act impartially. A government employee must act impartially and avoid giving preferential treatment to anyone.
7. Safeguard government resources. A government employee shall not use government letterhead, personnel, equipment, supplies, or other resources for a non-government purpose, nor engage in personal or private activities during times when he or she is required to perform work for the government.
8. Safeguard confidential non-public information. A current or former government employee shall not reveal or use for a non-government purpose confidential nonpublic information.
9. Disclose waste or illegal conduct by government officials to the appropriate authorities. Government employees are often in the best position to detect waste or illegal conduct by other government officials. In order to ensure that such malfeasance is properly addressed, employees must notify the appropriate authorities.
10. Abide by revolving door restrictions. The government has put in place certain rules restricting former government officials' ability to represent non-government parties. These restrictions are aimed in part at preventing former officials from exploiting their knowledge of particular matters or of their former agency.



**Acknowledgement of Receipt for Employee Handbook
(Employee Copy – Keep with handbook)**

I acknowledge that I have received a copy of the Employee Handbook. I understand that I am responsible for reading the information contained in the Handbook.

I understand that the handbook is intended to provide me with a general overview of the agency's policies and procedures. I acknowledge that nothing in this handbook is to be interpreted as a contract, expressed or implied, or an inducement for employment, nor does it guarantee my employment for any period.

I acknowledge that the company may revise, suspend, revoke, terminate, change or remove, prospectively or retroactively, any of the policies or procedures outlined in this handbook or elsewhere, in whole or in part, with or without notice at any time, at the agency's sole discretion.

(Signature of Employee)

(Date)

(DISB Representative)