



USOR ► DWS



# TRANSITION PLAN

FOR THE MOVE OF THE  
UTAH STATE OFFICE OF REHABILITATION TO THE  
DEPARTMENT OF WORKFORCE SERVICES

HB 325 GENERAL SESSION 2016

June 1, 2016

PLEASE SEND COMMENTS TO:  
[usortransition@utah.gov](mailto:usortransition@utah.gov)



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The transition of funds used to support USOR programs from USOE to DWS is described in the plan. While it is not expected that the funding amounts and service delivery of USOR programs will be impacted by the transition, grant transfers and necessary state plan amendments will be made to properly transition the funds to DWS. In addition, the plan includes appendices showing the federal and state programs currently offered by USOR and strategies to improve employer services.

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Efforts to ensure support from Human Resources as well as discussions of employee benefits, retirement and job titles are addressed in the plan. To facilitate collaboration and build relationships beyond the transition, Human Resources will create employee outreach strategies and approaches to educate staff on USOR and DWS services and each other’s distinct roles.

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# INTRODUCTION

## TRANSITION SUMMARY

The Utah State Office of Rehabilitation (USOR) will transition to the Department of Workforce Services (DWS) effective October 1, 2016.

USOR assists individuals with disabilities in achieving meaningful employment and increasing their independence through vocational rehabilitation. It also supports a variety of services for the blind and visually impaired as well as the deaf and hard of hearing.

With the transition, USOR services will be overseen by DWS, which has similar goals in helping individuals of all circumstances overcome barriers. DWS manages several divisions with distinct purposes that support specialized services for individuals and families. In addition to supporting gainful employment and providing eligibility services, DWS helps parents with childcare needs, provides funding for low-income housing, assists refugees resettling in Utah, manages labor market data and offers career counseling for veterans.

As USOR transitions to DWS, it will move over as its own division. DWS recognizes that USOR clients need individual, specialized care and that USOR's unique service delivery model contributes to its success. Therefore, there is no intent to change it at this time. Throughout the transition and beyond, DWS and USOR will work together to ensure customers and clients on both sides will continue to receive high-quality service.

Key components to a smooth transition include a focus on communication, programs and clients, employees, budget and finance, facilities and technical support.

## BACKGROUND

In 2015, the Office of the Legislative Auditor General (OLAG) audited USOR's budget and governance practices. This audit found that the Utah State Office of Education (USOE) did not give USOR the administrative support it needed. As a result, USOR mismanaged its budget, leading to a \$4.9 million deficit in 2014; a need for a \$6.3 million state supplemental appropriation in 2015; a \$5 to \$6 million penalty owed to the federal government; and reduced future spending abilities.

Based on these findings, OLAG recommended moving USOR from USOE to DWS. Following the 2015 audit, the Education Legislative Committee, the State Board of Education and the Social Services Appropriations Subcommittee voted in favor of moving USOR to DWS.

The major reason why DWS was the favored landing spot for USOR was because 71 percent of USOR customers also received services from DWS. In addition, DWS has excellent leadership and outstanding administrative support staff that have the ability and bandwidth to provide the support USOR needs. Furthermore, DWS has experience of successfully integrating outside divisions.

Following the audit and the legislative recommendations, Representative Norman Thurston sponsored [House Bill 325](#) during the 2016 Utah General Session, which effectively moves the entirety of USOR to DWS. The bill passed both houses, was signed by Governor Gary R. Herbert and will be effective October 1, 2016.



## TRANSITION PLAN REQUIREMENTS

Prior to the October effective date, the bill mandates that both agencies create a transition plan that outlines, for the public, how the transition will take place. This transition plan must be completed and posted publicly by June 1, 2016. The bill delineates specific elements that both agencies must address in the transition plan.

### Required Transition Plan Elements

- Describe the tasks that need to be completed before the move on October 1, 2016, including a description of:
  - Which employees, by job title and classification, will transition with USOR to DWS and the expected transition dates
  - Office space and infrastructure requirements related to the transition
  - Any work site location changes for transitioning employees
  - The transition of service delivery sites
  - Amendments needed to existing contracts
  - The provision of directions and information to USOR clients regarding where and during what hours services will be provided
  - Procedures for the transfer and reconciliation of USOR budgeting and funding as the office transitions to DWS
  - The transition of technology services to USOR
- The tasks that need to be completed during the year after the move on October 1, 2016
- How the transition to DWS will be funded, including details of:
  - How expenses associated with the transition will be managed
  - How funding for services provided by USOR will be managed between the State Board of Education and DWS to ensure services will be provided by USOR without interruption
  - How federal funds will be used by or transferred between the State Board of Education and DWS to ensure services will be provided without interruption.

## TRANSITION COMMITTEE

DWS and USOR are committed to work together to ensure a successful transition with little to no disruption of services. A USOR Transition Committee was created with key members from DWS and USOR to develop the transition plan, which lists the major milestone tasks. The transition itself will take the work of hundreds of tasks from various workgroups in both DWS and USOR in order to be completed smoothly.

The USOR Transition Committee will update the transition plan every two weeks until the transition is completed on October 1, 2016. The committee will also ensure that the transition tasks will be completed by the deadline.

## PUBLIC INPUT SESSIONS

Five public input sessions were held across the state to allow concerned citizens to participate in a listening and feedback session. Jon Pierpont, executive director of DWS, and Darin Brush, executive director of USOR, led the discussions.

Those who attended the public input sessions included community partners, advocates, contractors, school district representatives and members from the independent living, deaf and hard of hearing, and blind and visually impaired communities. After a presentation by the executive directors, a public



comment period allowed for all comments, questions and feedback to be shared and documented with the USOR Transition Committee for consideration.

Those who were unable to attend the public input sessions were given the option to submit feedback and comments to [usortransition@utah.gov](mailto:usortransition@utah.gov). Also, a video presentation featuring the same PowerPoint and information shared in the public input sessions was posted online for those who couldn't attend in person. The public comment period was open through May 25, 2016.

The remainder of this document outlines the transition plan and transition timeline ([see attachment B](#)) as mandated in HB 325.



# COMMUNICATION

## COMMUNICATION OVERVIEW

With many changes underway for the Department of Workforce Services (DWS) and Utah State Office of Rehabilitation (USOR), communication is vital during the transition process. Overarching communication started with the creation of [jobs.utah.gov/usortransition](http://jobs.utah.gov/usortransition) that serves as the one-stop resource page with the latest information posted about the transition.

To encourage open conversations, Jon Pierpont and Darin Brush answered questions about the transition in a live online broadcast on March 30. A video of this along with a FAQ sheet was posted on the transition webpage. A draft of the transition plan was made public on May 2 and was shared with stakeholders in public input sessions in Ogden, Provo, St. George, Price and Taylorsville. The communication team documented all feedback submitted at the sessions and online, which was reviewed by the USOR Transition Committee.

Further tasks have been identified to maintain communication internally with DWS and USOR employees and externally with stakeholders, including community partners and legislators.

## GOAL

To keep DWS and USOR audiences informed throughout the transition process with open and transparent communication.

## TRANSITION TASKS

### Communication Methods

DWS will use a variety of methods to communicate to external and internal audiences, including the public webpage on [jobs.utah.gov](http://jobs.utah.gov), the DWS and USOR intranets, public input sessions and monthly email updates to stakeholders. Feedback will be requested through the public input sessions and through the webpage. Comments and feedback may also be submitted online by emailing [usortransition@utah.gov](mailto:usortransition@utah.gov).

### Audiences

- Internal: DWS and USOR Employees
- External: stakeholders, community partners, media, legislature, Governor's Office

### Strategies

- Inform audiences regularly with updates on the transition process
- Provide opportunities for audiences to submit feedback on the transition plan
- Address concerns or rumors by promptly providing responses
- Create or update communication pieces for internal divisions as needed

### USOR/DWS Websites

The USOR website is currently in a redesign phase that was planned prior to the transition. USOR plans to launch the new website between June 15, 2016, and August 1, 2016. DWS tentatively plans to redesign



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its website in two years and, at that time, will incorporate all DWS divisions, including USOR, into the overall design. The goal of the redesign is to bolster the user experience and effectively communicate information of all of the DWS division services. In the meantime, the DWS website will link to USOR's separate website.

*Responsible Parties: DWS Communication Director and Public Information Officer  
and Communication Committee with DWS and USOR members*



## COMMUNICATION

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
Manage updates on <a href="http://jobs.utah.gov/usor/transition">http://jobs.utah.gov/usor/transition</a>	Ongoing	In Progress	
Form communication committee with USOR and DWS	March 30, 2016	Completed	
Develop internal employee communication plan	April 27, 2016	Completed	Includes ongoing communication via email, regular throughput rounds with staff and management, consistent messaging for open dialogue and asking questions.
Create USOR stakeholder contact list	April 2016	Completed	
Send monthly email updates (include employees)	June 1, 2016	Completed	April – Public Input Session fliers May – Draft transition plan; feedback June – Transition plan; video wrapup
Compile a FAQ Sheet and post on transition webpage	April 6, 2016	Completed	Update regularly as more questions come up
Create flier for public input sessions	April 8, 2016	Completed	
Create <a href="mailto:usortransition@utah.gov">usortransition@utah.gov</a> for public to submit feedback	April 14, 2016	Completed	
Post public input sessions on Utah Public Network Website	April 15, 2016	Completed	
Create session agenda, comment cards and PowerPoint	April 27, 2016	Completed	Agenda by April 15 for Braille, the rest due by April 27
Develop master timeline of the transition plan	May 1, 2016	Completed	
Post transition plan on <a href="http://jobs.utah.gov/usortransition">jobs.utah.gov/usortransition</a>	May 2, 2016	Completed	



### COMMUNICATION (cont.)

#### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
Invite media correspondents to public input sessions (as required by Open and Public Meetings Act)	May 3, 2016	Completed	Target key media in select markets
Create communication template for potential location changes—as needed	June 30, 2016	In Progress	
Meet with Legislative bill sponsor and committee chairs to provide in-person updates	Ongoing	In Progress	Email update of draft plan sent to Becky Edwards, Lyle Hillyard Edward Redd, , Dean Sanpei, Brian Shiozawa and Steve Eliason.  Jon Pierpont and Kathy Bounous met with Norm Thurston in April.
Add USOR accessibility to the intranet	October 1, 2016	In Progress	
Update onboarding documents, annual training and other Human Resources needs	October 1, 2016	In Progress	
Transition USOR Hotline from USOE to USOR/DWS that takes complaints of fraud, waste and abuse	October 1, 2016	In Progress	Assignment of ongoing responsibility. Determine new contact info. Internal and external communication of new contact info.
Complete DWS/USOR office visits to meet with DWS and USOR staff	October 1, 2016	In Progress	65 office visits throughout the state



# PROGRAMS & CLIENTS

## PROGRAMS & CLIENTS OVERVIEW

The successful transition of programs from Utah State Office of Rehabilitation (USOR) and the Utah State Office of Education (USOE) to Department of Workforce Services (DWS) is critical to ensure program services remain unchanged and continue to operate without disruption of services to clients.

USOR manages multiple federal and state-funded programs ([see USOR Annual Report](#)). Federally funded programs include the Vocational Rehabilitation Program (VR), the Business Enterprise Program for individuals who are blind, the Disability Determination Services (DDS) Program, the Utah Independent Living Programs (IL) and the federally funded ASPIRE grant project.

State-funded services include a Vision Screening Program and multiple programs for individuals who are deaf or hard of hearing ([see Attachment A for a list of USOR programs and program descriptions](#)).

With the transition, USOR services will be overseen by DWS, which has similar goals in helping individuals of all circumstances overcome barriers. DWS manages several divisions with distinct purposes and supports specialized services for those individuals. In addition to supporting gainful employment and providing eligibility services, DWS helps parents with childcare needs, provides funding for low-income housing, assists refugees resettling in Utah, manages labor market data, and offers career counseling for veterans.

As USOR transitions to DWS, it will move over as its own division. DWS recognizes that USOR clients need individual, specialized care and that USOR's unique service delivery model contributes to its success. Throughout the transition and beyond, DWS and USOR will work together to ensure clients on both sides will continue to receive the utmost quality of services.

## GOAL

To protect existing programs and access to services as USOR currently provides them, and to ensure the types of services provided through USOR programs will not change at this time, or anytime, unless it will improve the customer experience, strengthen program outcomes or increase efficiency.

## TRANSITION TASKS

USOR and DWS have identified the following immediate needs for transferring federally funded programs:

- Collect necessary input, feedback and approval from stakeholders
- Obtain approval from federal oversight agencies
- Complete accounting functions related to federal fund transfers

*Responsible Parties: DWS Workforce Development Program Manager and USOR Deputy Director*



## PROGRAMS & CLIENTS

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
<b>Transfer VR Program Federal funding from USOR to DWS</b>			
<ul style="list-style-type: none"> <li>Draft changes to Unified State Plan (USP)</li> </ul>	June 15, 2016	In Progress	Includes getting approval from Rehabilitation Services Administration (RSA), Department of Labor (DOL) and completion of grant transfer forms.
<ul style="list-style-type: none"> <li>Submit draft amendment to RSA and DOL for feedback</li> </ul>	June 6, 2016	In Progress	
<ul style="list-style-type: none"> <li>Present draft amendment to Board of Education</li> </ul>	June 10, 2016	In Progress	
<ul style="list-style-type: none"> <li>Present amendment draft to State Rehabilitation Council</li> </ul>	June 29, 2016	In Progress	
<ul style="list-style-type: none"> <li>Present amendment to State Workforce Development Board</li> </ul>	July 14, 2016	In Progress	
<ul style="list-style-type: none"> <li>Hold public meetings to receive feedback on USP amendment</li> </ul>	July 2016	In Progress	
<ul style="list-style-type: none"> <li>Submit amendment to RSA and DOL for approval</li> </ul>	July 30, 2016	In Progress	
<ul style="list-style-type: none"> <li>Complete VR Grant Transfer Forms</li> </ul>	September 15, 2016	In Progress	
<ul style="list-style-type: none"> <li>Obtain RSA and DOL approval</li> </ul>	October 1, 2016	In Progress	
<b>Transfer IL Program federal funds from USOE to DWS</b>			
<ul style="list-style-type: none"> <li>Obtain approval per State IL Plan for reassignment of designated state entity and submit new State IL Plan</li> </ul>	July 1, 2016	In Progress	
<ul style="list-style-type: none"> <li>New State IL Plan approval</li> </ul>	September 30, 2016	In Progress	
<ul style="list-style-type: none"> <li>Complete any necessary grant transfer accounting forms</li> </ul>	September 15, 2016	In Progress	
<ul style="list-style-type: none"> <li>Secure approval for transfer of funding contracts for IL Centers</li> </ul>	October 1, 2016	In Progress	



## PROGRAMS & CLIENTS (cont.)

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
<b>Transfer federal funding for the ASPIRE Project from USOE to DWS</b> <ul style="list-style-type: none"> <li>• Coordinate any required written approvals from the Federal Office of Education</li> <li>• Complete any necessary grant transfer accounting forms</li> <li>• Secure approval for transfer of funding contracts for other states who are part of ASPIRE</li> </ul>	<p>June 30, 2016</p> <p>October 1, 2016</p> <p>October 1, 2016</p>	<p>In Progress</p> <p>In Progress</p> <p>In Progress</p>	
<b>Transfer federal funding for the DDS program</b> <ul style="list-style-type: none"> <li>• Coordinate any required written approvals from the Social Security Administration</li> <li>• Complete any necessary grant transfer accounting forms</li> </ul>	<p>July 31, 2016</p> <p>October 1, 2016</p>	<p>In Progress</p> <p>In Progress</p>	



# EMPLOYEES

## EMPLOYEES OVERVIEW

The Department of Workforce Services (DWS) keenly understands the concerns and questions that exist among staff at the Utah State Office of Rehabilitation (USOR). In order to address those concerns and questions with staff, DWS is implementing a proactive outreach strategy to make all employee impacts transparent. DWS and USOR leadership are working closely together to minimize changes that could detract from a positive employee experience.

## GOAL

To establish a positive employee culture that can thrive through transition and beyond in order to maintain and continue attracting high-quality talent to meet the needs of USOR clients.

## TRANSITION TASKS

The following summary outlines details about the planning, outreach strategies and approaches for helping employees manage the transition.

## EMPLOYEE CULTURE & ONBOARDING

### Communication of Positive Work/Life Balance

DWS wants USOR employees to experience a smooth transition with a positive work/life balance and an understanding of how they fit and contribute in the department's overall service delivery to Utahns. To this end, DWS is working closely with the Department of Human Resource Management (DHRM) and has already held a live broadcast session with Executive Directors Jon Pierpont and Darin Brush to address questions and concerns submitted by employees.

### In-Person Visits and Other Resources

DWS and the department's human resources field office (HR) are also arranging visits at DWS and USOR offices throughout the state to speak with employees face to face about this transition. DWS and HR are using a wide variety of resources to communicate transition information to staff, including online video broadcasts accessed on YouTube, the DWS intranet and in-person visits. USOR staff can currently use their state login to access the DWS agency intranet.

### Training

HR is working with DWS to develop a training schedule to educate USOR staff on internal processes and practices such as tuition reimbursement, exercise-release time and other work-environment topics. Additionally, DWS is developing a plan to integrate USOR staff into its annual training cycle required of all department employees. Training topics include operating state vehicles, professional development, information disclosure, security awareness, unlawful harassment and abusive conduct, and fair labor standards act.



## ORGANIZATIONAL STRUCTURE

Throughout the legislative process associated with moving USOR to DWS, it was made clear there are to be no immediate changes to USOR's organizational structure. DWS supports this direction, which has been communicated by both executive directors, Jon Pierpont and Darin Brush. USOR will transition to DWS as its own division. A list of USOR employees is available [here](#), which includes the employees' names, titles, full-time or part-time status, and career service status (schedule code). Employees who are highlighted in the list may move to a new work location or some other type of impact. These impacts are explained below.

### Information Technology Support

State agencies do not maintain their own internal Information Technology (IT) resources ([Title 63F of Utah Code](#)); this oversight is provided by the state's Department of Technology Services (DTS). After reviewing the responsibilities of USOR's small group of existing IT staff, DWS and DTS have determined that some of those staff will transition to DTS and provide continued support to DWS/USOR. The remaining staff will transition to DWS. If any portion of a non-DTS employee's job responsibilities include services normally provided by DTS, the departments will evaluate to determine how those responsibilities and services will be transferred to DTS. DWS, USOR, DTS and HR staff will continue to evaluate how best to manage this effort during and after the transition. The details about specific IT employees are highlighted in the [USOR employee transition list](#).

Employees transitioning to DTS will receive the option to move from career-service employees (Schedule B) to at-will employees (Schedule AT) and receive an 8.25% increase in salary, consistent with past practices established when DTS consolidated into one department in 2006. Employees may reject that option and instead choose to remain career-service.

### Relocation

In an effort to maximize budgetary resources, USOR management and some support staff have been asked to relocate to the DWS Administration Office (140 East 300 South, Salt Lake City) and the Judy Ann Buffmire Building (1595 West 500 South, Salt Lake City) on July 1, 2016. These moves will impact approximately 25 staff. These employees are being relocated to align with functions delivered by USOR and currently overseen by DWS (e.g., finance, facilities, program support and HR). Details on specific employees relocating can be found in the [USOR employee transition list](#) and are highlighted.

### Human Resource Support

DHRM has an out-stationed Human Resources analyst assigned to support USOR. This person will relocate to the DWS Administration Office and work alongside the other HR staff that support DWS. This analyst will continue to provide support to USOR employees.

### Budgetary Impacts to Staffing

As was communicated throughout the 2016 legislative session, USOR had implemented strategies to align business practices with available funding. This included plans to reduce their staff by a total of 14 FTE positions. USOR and DWS leadership have been working together to find alternative positions in USOR or other DWS divisions to preserve employment for these staff. At this time, the majority of those staff received successful resolution; evaluation and exploration will continue to find satisfactory internal employment opportunities for the remaining staff.



## COMPENSATION & CLASSIFICATION

### Actual Salary Rates and Compensation Practices

Employees of USOR as well as employees at DWS have expressed concerns about compensation and/or classification in connection with the transition. There are no plans to change the actual salary rates of any USOR employee transitioning to DWS, nor are there plans to change compensation practices in any division at DWS.

### Job Title Changes

Legislation mandates a change in job title for some management positions at USOR. DWS currently plans to make the following changes:

- Executive Director, USOR to Division Director, DWS
- Deputy Director, USOR to Assistant Director, DWS
- Various director-level job titles currently in USOR will also change to Assistant Director, DWS

These job title changes do not result in any actual salary rate changes. The new job titles align with the other DWS Divisions' leadership job titles. Aside from those mandated changes, DWS does not anticipate any other immediate compensation or classification changes in connection with this transition.

## HUMAN RESOURCE PROCESSES

HR understands the unnecessary confusion that can sometimes be caused when services transition from one source to another. The office wants to minimize that confusion wherever possible and will continue to gather information about how services are delivered today at the HR Field Office for Education. The purpose of gathering information is to continue providing services as delivered today wherever possible. HR will consider changes only when necessary for improving the customer experience, strengthening program outcomes or increasing efficiency.

## BENEFITS

### Standard State Employee Benefits

A large majority of employment benefits enjoyed by USOR employees are standard state employee benefits. Several employees have expressed concern about a change in those benefits resulting from the move from one agency to another. However, there will be no change to the standard state employee benefits package, and no piece of those benefits will be negatively impacted (for example, 20 years of service at USOR equates to 20 years of service at DWS in terms of standard retirement benefits).

### Decision on USOR Retirement Benefits

The State of Utah has a history of offering strong retirement benefits, which includes the Utah Retirement Systems (URS) standard package available to all benefits-eligible employees in the executive branch of Utah state government. USOR has additional retirement benefits not currently offered by any other executive branch agency, which includes a bonus retirement stipend and health/dental insurance



coverage. These additional benefits present a challenge because there are no funds dedicated to cover the costs.

After a thorough budget and financial review by the USOR Transition Committee, DWS has decided to continue the additional retirement benefits for employees that retire on or before December 31, 2017. After that date, USOR employees will continue to be eligible for the same generous URS retirement benefits package standard to executive branch employees.

### **Compensatory and Excess Leave**

[DHRM Rule R477-7-1](#) governing conditions of leave for state employees states the following regarding employee transfers: "(7) An employee transferring from one agency to another is entitled to transfer all accrued annual, sick, and converted sick leave to the new agency."

Because a transferring employee is not entitled to transfer accrued excess or compensatory leave balances, any excess leave balance remaining will be paid out to employees transferring to DWS. Compensatory leave balances will be automatically paid out for Fair Labor Standards Act (FLSA) non-exempt employees and eliminated for FLSA exempt employees that transfer to DWS on October 1, 2016. The following pay period, DHRM payroll staff will restore compensatory leave balances to those FLSA exempt employees whose balances were eliminated as a result of the transfer.

DWS and DHRM made additional arrangements to help FLSA exempt USOR employees avoid losing compensatory time balances with this transition. DWS employees have an annual deadline to use any comp balances by pay period #20 (mid-October) or lose that leave balance. USOR employees' annual deadline is pay period #26 (the last part of December). DWS requested and received a DHRM rule exception, which will allow USOR employees to keep their comp balances as newly transferred DWS employees until pay period #26 before the balance is deleted. In calendar year 2017, the deadline to use or lose compensatory balances will change to pay period #26 for all DWS employees.

*Responsible Parties: DHRM Managers for USOR and DWS*



## EMPLOYEES

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
<b>Employee Culture and Onboarding:</b> <ul style="list-style-type: none"> <li>Visit USOR and DWS offices statewide with representation from USOR and DWS Executive Management, DWS Communications and DWS HR</li> <li>Deliver training to USOR staff about culture and work environment</li> <li>Integrate USOR staff into the DWS annual training cycle</li> </ul>	<p>October 1, 2016</p> <p>October 1, 2016</p> <p>July 1, 2017</p>	<p>In Progress</p> <p>In Progress</p> <p>In Progress</p>	
<b>Organizational Structure:</b> <ul style="list-style-type: none"> <li>List the employees, by job title and classification, who will transition to USOR under DWS</li> <li>Identify retention positions for staff at USOR whose positions are being eliminated</li> </ul>	<p>June 1, 2016</p> <p>September 30, 2016</p>	<p>Completed</p> <p>In Progress</p>	<p>Data will be refreshed from HR system reports biweekly.</p> <p>A list of employees with job titles and schedule code classifications is available <a href="#">here</a>.</p> <p>Several retention positions have already been identified, HR is working with DWS and USOR on those that remain.</p>
<b>Compensation and Classification:</b> <ul style="list-style-type: none"> <li>Complete a job title change for the Executive Director, USOR and Deputy Director, USOR to Division Director, DWS, and Assistant Director, DWS</li> <li>Educate USOR and DWS staff on compensation practices</li> </ul>	<p>September 30, 2016</p> <p>September 30, 2016</p>	<p>In Progress</p> <p>In Progress</p>	



## EMPLOYEES (cont.)

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
<b>Human Resource Support:</b>			
<ul style="list-style-type: none"> <li>Determine existing capacity and needed resources in HR to support USOR through transition and beyond</li> </ul>	July 1, 2016	Completed	Human Resource Analyst Lisa Smith, currently assigned to USOR, will transition to the DWS HR Field Office.
<ul style="list-style-type: none"> <li>Relocation of HR staff from USOR Field Office to DWS Field Office</li> </ul>	July 1, 2016	In Progress	Education to HR and USOR staff could include recruitment and hiring, HR transactions, discipline, performance management, performance improvement, ADA accommodations, FMLA, and other employee relations and personnel functions.
<ul style="list-style-type: none"> <li>Determine and educate HR and USOR staff as applicable on processes</li> </ul>	September 30, 2016	In Progress	
<b>Benefits:</b>			
<ul style="list-style-type: none"> <li>Determine feasibility of extra USOR retirement benefits continuance</li> </ul>	June 1, 2016	Completed	For more information, read "Decision on USOR retirement benefits" section on pg. 15-16.
<ul style="list-style-type: none"> <li>Communicate decision re: extra USOR retirement benefits continuance to USOR staff</li> </ul>	July 1, 2016	Completed	
<ul style="list-style-type: none"> <li>Educate USOR staff on standard state employee benefits package</li> </ul>	September 30, 2016	In Progress	



## BUDGET & FINANCE

### BUDGET & FINANCE OVERVIEW

The Department of Workforce Services (DWS) supports the plan undertaken by the Utah State Office of Rehabilitation (USOR), as communicated to the Legislature during the 2016 General Session, to aggressively correct the budget and oversight shortcomings that led to the problems in its Vocational Rehabilitation (VR) program. USOR's plan includes four primary activities:

- Develop and utilize a comprehensive budget and accounting management system, including the critical task of developing and testing the caseload and cost modeling system
- Build an integrated management information system that tracks performance across all activities
- Create a centralized compliance and quality-assurance structure to ensure regulatory compliance, organizational consistency and continuous improvement
- Configure the agency internally to support its key business functions

As part of these efforts, USOR will, over the next two years, adjust down to a right-sized base budget. To do so, USOR has adopted three guiding principles for VR as it develops its State Fiscal Year (SFY) 2017 budget:

- Avoid increasing the state maintenance of effort (MOE) obligation without ongoing appropriations
- Gradually eliminate dependence on one-time federal VR reallocation funding
- Avoid incurring future MOE penalties. The current pending MOE penalty is approximately \$5.3 million and will be deducted from future VR federal funding, not from state funding

The work of reforming USOR continues. The transition to DWS may delay some efforts because of the extraordinary work required to move USOR. Nonetheless, USOR management remains galvanized on the goal of making USOR one of the best managed agencies in state government.

### GOAL

To integrate budget, accounting operations and grants management for USOR into DWS to ensure continuity of fiscal services.

### TRANSITION TASKS

The Utah State Office of Education (USOE) currently provides day-to-day operational accounting and fiscal grant management services on behalf of USOR. To ensure the successful transition of these services from USOE to DWS, we will evaluate staffing needs, identify and transition essential accounting functions, establish budgets, transfer grants authority, transition grants management functions, integrate USOR into the DWS cost-allocation plan and reassign contractual agreements, among other key tasks.

DWS anticipates entering into a memorandum of understanding with USOE to address transition and integration responsibilities and costs. Expenses associated with the transition will be managed in the same manner as other expenses incurred by DWS and USOR to ensure the expenses are necessary and reasonable and are incurred in accordance with applicable laws, rules, codes, orders and regulations.

*Responsible Parties: USOR and DWS Finance Directors*



## BUDGET & FINANCE

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
<b>Determine organizational structure</b> <ul style="list-style-type: none"> <li>Finalize organizational structure</li> <li>Identify transitioning employees and work site locations</li> </ul>	July 15, 2016  June 1, 2016	In Progress  Completed	The organizational chart has been drafted and is contingent upon workload requirements. Workload assessments are being conducted and adjustments to the structure will be made accordingly. A proposed list of transitioning personnel has been developed and space requirements (offices and cubicles) have been identified at proposed work site locations. A finalized org chart will be available by July 15, 2016.
<b>Transition operational accounting services from USOE to DWS</b> <ul style="list-style-type: none"> <li>Develop payment processing procedures</li> <li>Develop cash receipting/accounts receivable processing procedures</li> <li>Train staff on new procedures and systems</li> </ul>	July 1, 2016  October 1, 2016  July 1, 2016 and October 1, 2016	In Progress  In Progress  In Progress	Transaction processing to convert client payments, invoices and travel reimbursements from BASE to FINET is in development as well as allowances for processing old year payments during the wrap-up period. Transition training will be provided to USOR staff for payment entry into FINET.  BASE is the expenditure and budget tracking system at USOE. FINET is the accounting system for the State of Utah.
<b>Establish budgets at DWS for USOR</b> <ul style="list-style-type: none"> <li>Develop financial coding</li> <li>Establish the FY 2017 DWS-USOR budget in the state accounting system (FINET)</li> <li>Incorporate USOR into the submission of FY 2018 budget documents for DWS to GOMB</li> </ul>	July 1, 2016  October 1, 2016  October 1, 2016	In Progress  In Progress  On Hold	A new Chart of Accounts is being developed for USOR.  GOMB—Governor's Office of Management & Budget



### BUDGET & FINANCE (cont.)

#### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
<b>Grants Management</b> <ul style="list-style-type: none"> <li>Reassign USOR federal grants to Workforce Services</li> <li>Obtain access to federal systems to draw USOR funds</li> <li>Create federal grant reports</li> </ul>	October 1, 2016 October 1, 2016 November 14, 2016	In Progress In Progress On Hold	Discussions are under way regarding USOR grantees. USOR is in discussion with federal partners.
<b>Incorporate USOR into the DWS Cost Allocation Plan (CAP)</b> <ul style="list-style-type: none"> <li>Determine appropriate allocation methodologies</li> <li>Modify and submit CAP to the federal cognizant agency</li> <li>Modify cost allocation spreadsheet to align with CAP</li> </ul>	July 1, 2016 September 30, 2016 November 15, 2016	In Progress On Hold On Hold	Cost allocation training has been conducted with USOR financial staff.
<b>Ensure continuity of procurement activities</b> <ul style="list-style-type: none"> <li>Identify and transition/reassign contacts, grants, and other agreements</li> <li>Develop memorandum of understanding with USOE to address transition and integration requirements</li> <li>Develop purchasing process and procedures</li> </ul>	October 1, 2016 October 1, 2016 October 1, 2016	In Progress In Progress In Progress	Collaboration has been initiated to identify USOR contracts, grants, and other agreements. A total of 126 agreements have been identified at this point. A transition process is being discussed to reassign USOR contracts, grants, and agreements to DWS effective October 1, 2016.
<b>Asset Management</b> <ul style="list-style-type: none"> <li>Transfer USOR's capital assets from USOE to DWS</li> <li>Inventory DTS devices</li> </ul>	October 1, 2016 October 1, 2016	In Progress In Progress	



# FACILITIES

## FACILITIES OVERVIEW

The Department of Workforce Services (DWS) has 40 locations, 22 of which are leased. Utah State Office of Rehabilitation (USOR) has 32 locations, 23 of which are leased. DWS is currently co-located with USOR staff in the following locations: Provo, Ogden, Price and Blanding. These current co-locations have separate DWS and USOR offices within the same building and occur via separate and distinct lease arrangements with building owners.

Opportunities will be explored to unify leases as they come up for renewal as part of a comprehensive facility review that will occur after October 1, 2016, for all locations other than those identified as an immediate facility need based on upcoming lease expiration dates.

As DWS evaluates opportunities for relocation or combining lease agreements, factors such as budget and space will be considered. DWS also understands the need for privacy and confidentiality for client interactions as well as supporting the professional work by USOR and DWS staff alike. As office leases expire in the future, DWS will do its best to accommodate space for employees while maintaining the quality of services for clients.

## GOAL

To create a facilities transition plan identifying immediate and long-term facility needs based on a cost/benefit analysis of existing DWS and USOR facilities by cost, geographic location, customer utilization, condition, and current and future business requirements.

## TRANSITION TASKS

Immediate facility needs have been identified:

- Relocate 25 staff from the Utah State Office of Education (USOE) Building to DWS Administration North and the Judy Ann Buffmire Building
- One-year lease extensions for a DWS facility and USOR facility located in St. George
- Submit a Request for Proposal (RFP) to consolidate the USOR Bountiful and Layton location into one facility
- Relocate file storage to alternate location as Ogden storage site lease expires June 30, 2016

Based on the information available at this time, there are no plans to change office hours for DWS and USOR locations after October 1, 2016.

*Responsible Parties: DWS Facilities Director and USOR Facilities Coordinator*



## FACILITIES

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
Post RFP to public to consolidate Layton and Bountiful locations into one facility	April 18, 2016	Completed	The USOR Bountiful and Layton leases expire December 2016. Department of Facilities and Construction Management (DFCM) posted a RFP on April 18, 2016, seeking one location to replace Bountiful and Layton locations. The RFP will close to the public on June 1, 2016.
Relocate 11 USOR staff from the USOE location to the Buffmire Building	June 30, 2016	In Progress	Create a relocation project plan for each site which includes tasks identified for staff, communications, floor plans, furniture, technology, etc.
Relocate 14 USOR staff from the USOE location to DWS Admin North	June 30, 2016	In Progress	Create a relocation project plan for each site, which includes tasks identified for staff, communications, floor plans, furniture, technology, etc.
Relocate file storage to alternate location as the Ogden storage space lease expires	June 30, 2016	Pending	
Review submitted proposals for Layton/Bountiful consolidation	August 11, 2016	In Progress	The next phase of the process is for DFCM and the business to review the submitted proposals, which can take up to six weeks from June 1, 2016, depending on the amount of proposals received.
One-year lease extension for the St. George employment center	November 30, 2016	In Progress	A one-year lease extension has been requested for the St. George employment center in order to allow time to review space needs and determine if the DWS and USOR building can be consolidated into one location.
One-year lease extension for the USOR Southern Utah St. George location	November 30, 2016	In Progress	A one-year lease extension has been requested for the DRS Southern Utah St. George location in order to allow time to review space needs and determine if the DWS and USOR building can be consolidated into one location.



# TECHNICAL SUPPORT

## TECHNICAL SUPPORT OVERVIEW

The Department of Technology Services (DTS) has established four pillars that represent the main areas of focus for the department in order to support partner agencies with world-class technology and excellent customer service.

- **Innovative Technology**—Provide the best technology available to partner agencies at a competitive rate to help them achieve their goals and serve the residents of the state
- **Exceptional Customer Service**—Enable our customers to meet their business objectives by providing exceptional customer service
- **Employee Success**—Provide an environment that allows for professional growth and individual fulfillment
- **Information Security**—Protect the information assets of the state and provide a safe digital environment

## GOAL

To transition the use of DTS information technology services to the Utah State Office of Rehabilitation (USOR).

## TRANSITION TASKS

DTS is a service organization that provides technical product support for executive branch agencies. During the transition, the following areas will be addressed:

### Human Resources

A small group of current USOR employees has been identified as technical resources that will be moved to DTS on October 1, 2016.

### Financial

Starting October 1, 2016, procurement and purchase of all technology hardware, software, maintenance contracts and technical contractors will follow DTS standards, which includes entering purchase requests using ServiceNow. All new contracts with technology components will be processed through DTS by October 1, 2016.

All existing USOR contracts and MOUs will be evaluated to determine which IT contracts will become DTS contracts immediately or at the next amendment or renewal. Not all DTS rates will be applicable on October 1, 2016, as some charges will be administered through special billing agreements.



## **Desktop**

All new computers and any computers used in a DTS-supported location will use DTS standards for desktop (including acquisition standards), security, hosting, networking and application development. Although USOR will maintain ownership of purchased technical equipment, all computers will become part of the DTS asset-tracking systems and have asset tags applied.

## **Security and Hosting**

All hardware devices and software will comply with current state and federal regulatory requirements. All servers will be evaluated and a plan developed to relocate, consolidate or eliminate.

## **Network and Telecommunication**

USOR is currently under contract with UEN to provide network and phone service to USOR offices. DTS will determine when to transition the service provider, depending on the contract terms.

## **Application Support**

All application software will be reviewed and assessed before October 1, 2016. Systems will be supported and prioritized within the current DWS prioritization structure.

*Responsible Parties: DTS Management and USOR Information Technology/Tech Support Unit*



## TECHNICAL SUPPORT

### Task List, Timeline and Status Report

TASK	DEADLINE	STATUS	ADDITIONAL DETAILS
Provide technical assistance during the relocation of 14 USOR / USOE staff to DWS Admin North	June 30, 2016	In Progress	Provide access to needed DWS and USOR files and applications.  Review USOR equipment to assure it can be plugged into DWS ports, printers, wireless, etc.  Provide VPN access if needed.
Gather all asset information to be entered in the DTS asset tracking system	September 1, 2016	In Progress	Identify all USOR computers.  Scan and put inventory tags on all computers.
Risk assessment	September 1, 2016	In Progress	Complete a risk assessment on ASPIRE, AWARE, Q90, etc.
Security assessment (524)	September 1, 2016	In Progress	Complete a security assessment on AWARE and ASPIRE. Identify any other applications that would require an assessment.
Review and document all websites and applications. Review any contracts with 3rd party or other vendors	September 1, 2016	In Progress	
Review all current USOR offices locations to evaluate technology infrastructure	June 30, 2017	In Progress	



USOR ► DWS



## CONCLUSION

The Department of Workforce Services and the Utah State Office of Rehabilitation are committed to work together to ensure a successful transition with little to no disruption of services. This transition plan will be updated every two weeks until the transition is completed on October 1, 2016.

Any questions regarding the transition, or feedback concerning any information contained in this plan, may be submitted online at [usortransition@utah.gov](mailto:usortransition@utah.gov).



## ATTACHMENT A

### UTAH STATE OFFICE OF REHABILITATION (USOR) SUMMARY OF PROGRAMS

**The Vocational Rehabilitation (VR) program** provides rehabilitation counseling and related services to individuals whose disability is a substantial impediment to employment. The VR program is designed to assist these individuals to achieve employment outcomes. Services are available according to individuals' needs, abilities and choices. The program serves individuals with all types of disabilities including physical, psychological and intellectual disabilities.

**The Independent Living (IL) program** provides services to individuals with disabilities who need opportunities to maintain or increase their independence. Services are provided through a cooperative effort of the Utah State Office of Rehabilitation, the Utah Statewide Independent Living Council and nonprofit Centers for Independent Living. A variety of services are provided to assist individuals to maintain or increase their independence and community integration.

**Utah Work Incentives and Benefits Planning Services (UWIPS)** is a program that provides specialized counseling to beneficiaries of the Supplemental Security Income (SSI) and Social Security Disability Insurance (SSDI) programs, with information regarding work incentives available through the Social Security Administration to enable individuals to make informed choices about returning to employment.

**Choose to Work (CTW)** is a cooperative service provided through a partnership between the State Office of Rehabilitation and the Department of Workforce Services. Choose to Work provides individualized specialty job development and job placement for individuals with more significant disabilities.

**Business Relations (BR)** is a program that provides information and supports businesses hiring and retaining individuals with disabilities in their organizations. This includes making business-to-business connections through local and national partnerships between employers, community resources and government entities. These networks establish contacts designed to coordinate services and support for the purpose of meeting the needs both of employers and their potential employees with disabilities.

**The Utah Center for Assistive Technology (UCAT)** is a program that provides information and technical services to individuals with disabilities who need assistance to pursue, attain and maintain employment. UCAT services are available to people with disabilities, parents and other family caregivers, rehabilitation counselors, independent living specialists, special educators, occupational therapists, physical therapists, allied medical professionals, and others who are concerned with and advocate for people with disabilities. UCAT offers free evaluations to anyone within the state of Utah.

**The Disability Determination Program** makes accurate and timely decisions on whether applicants meet the requirements for Social Security Benefits. This program is entirely federally funded through the Social Security Administration.

**The Achieving Success by Promoting Readiness for Education and Employment (ASPIRE) Program** is a five-year, \$32.5 million grant award project targeting youth with disabilities ages 14 to 16 who receive Supplemental Security Income (SSI) and their families. The goal of this research study is to compare



youth and families who access current services with youth who receive enhanced services. Expected outcomes include increased education and household income for the families and reduced dependency on public benefits.

**Specific Programs for the Deaf and Hard of Hearing:** The USOR's Services for the Deaf and Hard of Hearing Division (DSDHH) has three programs specifically for individuals who are deaf or hard of hearing:

- (1) Consumer & Community Services: This program provides services to individuals and groups including case management services, mental health consultations and counseling, information and referral services, communication assessments, employment services, an assistive technology demonstration and loan program, advocacy training, and statewide hard of hearing adjustment training.
- (2) Community Center programs: Services include the provision of lifelong learning classes and workshops, family social/recreational activities, walk-in use of videophones and computers, and cultural richness events.
- (3) Utah Interpreter Program: This program provides the state certification program for American Sign Language (ASL) interpreting plus interpreter training and mentoring programs. This program also provides interpreting services for the USOR.

**Specific Programs for the Blind and Visually Impaired:** The USOR's Division of Services for the Blind and Visually Impaired (DSDHH) has five programs specifically for individuals who are blind or visually impaired:

- (1) Training and Adjustment Services (TAS): This program includes a complete center-based orientation and training program for individuals who are blind.
- (2) Low Vision Services (LVS) Program: This program assists individuals with visual impairments by providing devices, resources and services to help them learn to use their remaining vision effectively.
- (3) Business Enterprise Program (BEP): This program provides an opportunity to train and license blind and visually impaired individuals to operate their own businesses, including food service and vending routes in government facilities.
- (4) Deaf-Blind (DB) Program: This program provides services for blind and visually impaired individuals who also have a hearing loss.
- (5) Vision Screening Program: This program provides vision screening for Utah children to detect, prior to a child entering school, either poor vision or other risk factors that could interfere with normal visual development.



# ATTACHMENT B

## TRANSITION TIMELINE

