



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

Program Statement

OPI:	HRM
Number:	3210.2B
Date:	February 3, 2011
Supersedes:	3210.1A (5/30/01)
Subject:	Performance Evaluations

1. **PURPOSE AND SCOPE.** To present procedures for conducting annual performance evaluations for employees under the District Personnel Manual Chapter 14. This directive provides procedures for conducting probationary, midyear and annual performance review ratings for all eligible employees of the District of Columbia Department of Corrections (DCDC).
2. **NOTICE OF NON-DISCRIMINATION.**
 - a. In accordance with the D.C. Human Rights Act of 1977, as amended, D.C. Official Code §2.1401.01 et seq., (Act) the District of Columbia does not discriminate on the basis of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, matriculation, political affiliation, genetic information, disability, source of income, status as a victim of an intra-family offense, or place of residence or business. Sexual harassment is a form of sex discrimination that is also prohibited by the Act. Discrimination in violation of the Act will not be tolerated. Violators will be subject to disciplinary action.
 - b. DOC prohibits discrimination against inmates based on an inmate's race, religion, national origin, gender, sexual orientation, disability or any other type of prohibited discrimination when making administrative decisions and in providing access to programs.
3. **PROGRAM OBJECTIVES.** Create and set forth work expectations in relation to the strategic goals of a work unit, an agency and, where applicable, the District government as a whole;
 - a. Hold supervisors and employees accountable for performance, which shall include a direct relationship between the performance evaluation received pursuant to this program statement and the receipt of any periodic salary increase (including salary increases on both step and merit based salary plans);

- b. Objectively evaluate employees' work performance based on criteria that have been made known to the employees prior to the performance evaluation;
- c. Improve employee performance through developmental plan continuous employee skill development;
- d. Recognize employees' accomplishments and identify employee's deficiencies so that appropriate rewards or assistance can be provided; and
- e. Tie employee performance to work unit, agency and where applicable, District government –wide outcomes.

4. DIRECTIVES AFFECTED

- a. D.O. 3210.1 Probationary Year Evaluation – Non-Correctional
- b. D.O. 3210.2 Performance Evaluation Program/Performance Evaluation
- c. PS 3210. 2 Performance Evaluations

5. AUTHORITY

- a. DC Code § 24-211.02, Powers; Promulgation of Rules [Formerly 24-211]
- b. District of Columbia Personnel Manual (DPM) Regulations Chapter 8 “Career Service”
- c. District of Columbia Personnel Manual (DPM) Regulations chapter 9 “Excepted Service”
- d. District of Columbia Personnel Manual (DPM) Regulations Chapter 14 “Performance Evaluations”
- e. District of Columbia Personnel Manual (DPM) regulations Chapter 38 “Management Supervisory Service”
- f. District of Columbia Performance Management Program – Managers/Supervisors Reference Manual. (February, 2000)
- g. District of Columbia Code 1-601.1 through 1-636.03 D.C. Comprehensive Merit Personnel Act.
- h. D.C. Omnibus Personnel Revitalization Act of 1998.

6. STANDARDS REFERENCED

None

7. **DEFINITIONS.** For the purposes of the program statement, the following definitions shall apply:
- a. **Annual performance Evaluation.** A process for determining how well an individual employee has performed the performance expectations established in the performance plan for the review period.
 - b. **Competency.** A type of performance expectation that consists of the critical knowledge, abilities, skills and personal characteristics necessary for satisfactory performance. They are linked to the specific duties performed in a particular work unit but focus strongly on the individual employee.
 - c. **Electronic Signature.** A technologically neutral term indicating various methods of signing an electronic message that (a) identifies and authenticates a particular person as a source of the electronic message; and (b) indicates such person's approval of the information contained in the electronic message. Examples of electronic signature include: Personal Information Numbers or "PINs," user identifications and passwords, digital signatures, and hardware and biometric tokens.
 - d. **Individual Development Plan (IDP).** A development tool that identifies training and learning activities that will help an employee enhance the knowledge, skills, and abilities needed to perform work duties and prepare the employee for future career advancement.
 - e. **Mid-year Progress Discussion.** A formal meeting between a supervisor and employee to discuss the employee's performance and development at the midpoint of the review period.
 - f. **Performance Expectations.** S.M.A.R.T. goals and competencies that describe what and how work is to be performed. Performance expectations are established by the supervisor and employee at the beginning of a review period.
 - g. **Performance Improvement Plan (PIP).** A performance management tool designed to offer the employee an opportunity to demonstrate improvement in his or her performance.
 - h. **Performance Management.** The systematic process by which an agency involves its employees, as individuals and members of a group, to ensure the accomplishment of agency mission and goals.
 - i. **Performance Management Period.** The length of time covering the performance planning and evaluation process. It goes from the beginning to the end of the fiscal year.
 - j. **Performance Plan.** The formalized process of identifying and communicating the organizational, work unit, and individual goals expected of the employee. The

Performance Plan consists of the following; Competencies, S.M.A.R.T. Goals, and an Individual Development plan.

- k. **Performance Rating.** The value assigned to each performance expectation and the employee's overall performance based on a supervisor's or, in the absence of the supervisor the reviewer's assessment of an employee's performance during the review period.
- l. **Probationary Employee.** A Career Service employee occupying a position subject to the completion of a probationary period, to include employees in term appointments.
- m. **Rating Official.** The final rating authority in the annual performance evaluation process, who is either the employee's supervisor, or, in the absence of the supervisor the reviewer.
- n. **Request for Review.** The process in which an employee requests a formal review of the overall performance rating received during the review period.
- o. **Reviewer.** A supervisor, agency head, or agency head designee responsible for reviewing and approving the annual performance evaluation completed by a rating official.
- p. **Self-evaluation.** The process in which the employee provides a self assessment of the employee's performance based on the established performance expectations during the review period.
- q. **S.M.A.R.T. Goals.** A type of performance expectation that consists of goals that are Specific, Measurable, Attainable, Realistic, and Time-Related.
- r. **Supervisor.** An individual having the authority, in the interest of the employer, to hire, transfer , suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees, or responsibility to direct them, or to adjust employee grievances, or effectively to direct them, or to adjust employee grievances, or effectively to recommend such action, if in connection with the foregoing the exercise of such authority is not of a merely routine or clerical nature, but requires the use of independent judgment. For the purposes of this policy, "supervisor" also means "manager."

8. APPLICABILITY

- a. Employees in the Career Service under the authority of section 801 of the District of Columbia government comprehensive Merit Personnel Act of 1978 (CMPA), effective March 3, 1979 (D.C. Law 2-139; D.C. Official Code §1-608.01 et seq.), including probationary employees, as specified in section 1416 in Chapter 14;
- b. Employees in the Excepted Service appointed under the authority of section 903 of the CMPA (D.C. Official Code §609.01 et seq.);

- c. Employees in the Management Supervisory Service (MSS) appointed under the authority of sections 951 through 958 of the CMPA (D.C. Official Code §§ 1-609.51 through 1-609.58), except for the provisions of section 1414 of chapter 14.

9. Overall Ratings – Chapter 14

- a. An overall performance rating shall be a culmination of the ratings assigned to each performance expectation. The overall performance rating indicates the level of an employee's actual performance of assigned competencies and S.M.A.R.T. Goals during the performance management period.
- b. The overall performance rating shall be derived from the score on competencies for fifty percent (50%); and S.M.A.R.T. Goals for fifty percent (50%).
- c. The rating levels for the performance management program shall be as follows:
 - 1) Level 5, Role Model – Performance serves as a benchmark for other employees in the workplace. Regarded by colleagues as a person with great depth and breadth of knowledge in area of expertise, ideas and is willing to share it with others. Contributions, initiatives, and productivity reflect the highest degree of performance.
 - 2) Level 4, Highly Effective Performer - Performance consistently exceeds expectations in most areas and meets expectations in all other areas. Consistently adds value to the work of the agency. Demonstrates willingness to offer sound recommendations for improvement and is involved in the implementation of them.
 - 3) Level 3, Valued Performer – Performance expectations consistently meet and may occasionally exceed expectations, and therefore meets the minimum requirements of the position. Contributions are essential to ensuring that agency goals are met.
 - 4) Level 2, Marginal Performer - Performance of most expectations needs improvement. Adequate performance of the expectations for the position requires further development of skills. Potential to improve is evident and demonstrates a willingness to improve skills.
 - 5) Level 1, Inadequate Performer – Performance of expectations is consistently inadequate, and therefore fails to meet the minimum requirements of the position. Potential to improve is not evident.

10. Responsibilities

- a. Except as otherwise provided in Chapter 14, each supervisor shall complete a Performance Plan outlining what is expected of each covered employee, as follows:
 - 1) Within thirty (30) days of the beginning of each performance management period;
 - 2) Within thirty (30) days of the date an employee is promoted, appointed, transferred, reassigned, or demoted to a new position or a position with significantly different duties and responsibilities;
 - 3) Within thirty (30) days of the date an employee is officially detailed when the detail is for a period of more than ninety (90) days;
 - 4) An employee who has been reassigned to a position with different duties and responsibilities within ninety (90) days of the end of the performance management period shall receive a Performance Plan for the following fiscal year within thirty (30) days of commencing the duties of the position to which reassigned; or
 - 5) An employee who has been promoted or demoted during the ninety (90) days prior to the end of the performance management period shall receive a Performance Plan for the following fiscal year within thirty (30) days of commencing the duties of the new position.
- b. Only the Director, D.C. Department of Human Resources (or designee), or independent personnel authority, as applicable, may approve an agency's request for an extension of the annual Performance Plan submittal period.
- c. A Performance Plan shall include all of the following:
 - 1) Competencies:
 - 2) S.M.A.R.T. (Specific, Measurable, Attainable, Realistic, Time-Related) Goals; and
 - 3) An Individual Development Plan.
 - 4) Modifications to the Performance Plan can only be made up to June 30th (ninety (90) calendar days before the end of the performance management period).

11. Annual Performance Evaluation

- a. An Annual Performance Evaluation shall be issued to each eligible employee within three months of the end of the performance management period, the exact date of which will be established by the appropriate personnel authority.
- b. The Annual Performance Evaluation shall be based on the employee's Performance Plan for that performance management period.
- c. Each employee entitled to be rated shall be rated, based on his or her position of record, by his or her immediate supervisor or the reviewer, in the absence of the supervisor. In the absence of both the immediate supervisor and the reviewer, the agency head shall designate a higher-level official to complete the Performance Evaluation. In the absence of an electronic official performance evaluation, the employee's performance shall be deemed to be at the "Valued Performer" level.
- d. A supervisor leaving his or her position at any time within the last ninety (90) calendar days of the performance management period shall conduct a Performance Evaluation for each employee covered by this chapter prior to his or her departure.
- e. An employee serving on detail for more than (90) days at the end of the performance management period shall be rated by the employee's immediate supervisor of the position to which detailed, with input from the supervisor of the employee's position of record.
- f. In instances when employees perform shift work or have multiple supervisors during the year, input or completion of the employee's performance evaluation shall be provided by the appropriate supervisor(s).
- g. When an employee is evaluated on performance in his or her position of record in accordance with Chapter 14, Section 1412.3, appropriate consideration shall be given to work performed outside the position of record.
- h. Except when the agency head is the rating official, a Performance Evaluation issued by a rating official shall be subject to the review and approval of a reviewer prior to the supervisor's year-end discussion with an employee.
- i. The annual Performance Evaluation for an employee who is on approved extended leave at the end of the performance management period (during the period in which performance evaluations are finalized) shall be postpone until the employee returns to his or her official position of record.
- j. A signature on the annual Performance Evaluation is considered official when submitted electronically using an electronic system used to facilitate the performance planning and evaluation process outlined in Chapter 14.

12. COMPETENCIES

- a. Competencies are a type of performance expectation that consists of the critical knowledge, abilities, skills, and personal characteristics necessary for satisfactory performance in a particular position. Competencies are linked to the specific duties performed in a particular work unit, but focus strongly on each employee individually.
- b. There are five (5) core competencies for all employees covered by this section:
 - 1) Accountability;
 - 2) Communication;
 - 3) Customer Service;
 - 4) Goal attainment; and
 - 5) Job Knowledge.
- c. There are three (3) additional core competencies applicable to supervisors;
 - 1) Leadership;
 - 2) Management of Others; and
 - 3) Operational and Strategic Planning.
- d. The supervisor may choose up to three (3) additional competencies, or develop an additional three (3) competencies in collaboration with the employee. The recommended additional competencies include, but are not limited to the following:
 - 1) Flexibility/adaptability;
 - 2) Initiative;
 - 3) Innovation;
 - 4) Mechanical Ability;
 - 5) Negotiation;
 - 6) Problem Solving;
 - 7) Productivity;
 - 8) Teamwork;
 - 9) Technical Ability; and
 - 10) Use of Technology;

13. S.M.A.R.T. GOALS

- a. S.M.A.R.T. goals are a type of performance expectation that consists of goals that are “Specific, Measurable, Attainable, Realistic, and Time-Related.” A Performance Plan shall include at least three (3) and not more than five (5) S.M.A.R.T. Goals.

14. INDIVIDUAL DEVELOPMENT PLAN

- a. At the beginning of the performance management period, a supervisor, or the reviewer in the absence of the supervisor, shall prepare an Individual Development Plan for an employee, identifying areas for growth and development. The Individual Performance Plan shall include at least one (1) and no more than three (3) objectives.
- b. Each Individual Development Plan shall include a timeframe for the accomplishment of each objective.

15. MID-YEAR PROGRESS DISCUSSION

- a. Each employee entitled to an annual performance evaluation under section 1411 of Chapter 14 may participate in a mid-year progress discussion no less than three (3) months prior to the end of the performance management period. When used, the mid-year progress discussion is initiated by the employee’s immediate supervisor or the reviewer, in the absence of the immediate supervisor; and serves as a mechanism for providing feedback to an employee and identifying areas that need improvement.

16. PERFORMANCE IMPROVEMENT PLAN (PIP)

- a. The provisions of this section shall apply to all employees described in Chapter 14, section 1400.1 except for Career Service probationary employees.
- b. A Performance Improvement Plan (PIP) is a performance management tool designed to offer the employee placed on it an opportunity to demonstrate improvement in his or her performance.
- c. The purpose of a Performance Improvement Plan is to offer the employee placed on it an opportunity to demonstrate improvement. A Performance Improvement Plan issued to an employee shall last for a period of thirty (30) to ninety (90) days, and shall:
 - 1) Identify the specific performance areas in which the employee is deficient; and
 - 2) Provide concrete, measurable action steps the employee needs to take to improve in those areas.

17. ELIGIBILITY TO RECEIVE AN ANNUAL PERFORMANCE EVALUATION

- a. In order to be eligible to receive an annual performance evaluation, a Performance Plan shall be in place for at least ninety (90) calendar days prior to conducting an annual performance evaluation based on that performance plan at the end of the performance management period.
- b. An employee who has been reassigned, promoted or demoted during the ninety (90) days prior to the end of the performance management period shall receive a performance evaluation for that period.
- c. The performance evaluation pursuant to sections 1411.2 of Chapter 14 shall be issued by the employee's previous supervisor as specified in Chapter 14.
- d. An employee who was reinstated or restored to duty during the ninety (90) days prior to the end of the performance management period shall be rated at the end of the next performance management period.
- e. An employee who transfers to an agency under the Mayor's personnel authority from an independent personnel authority, or who is newly appointed during the ninety (90) days prior to the end of the performance management period, shall be rated at the end of the next performance management period.
- f. An employee reinstated, restored, newly appointed, or transferred shall automatically be considered as having been assigned a rating of Valued Performer, which shall remain the official rating of record until such time as replaced by another official rating.

18. PERFORMANCE EVALUATIONS FOR PROBATIONARY EMPLOYEES.

- a. An employee serving a probationary period shall be subject to the performance management program established by Chapter 14. A Performance plan shall be provided to each probationary employee, on which the probationer shall be evaluated.
- b. An acceptable performance rating during a probationary period in and of itself does not constitute passing of the probationary period or automatic movement to a permanent status.
- c. Neither the mid year progress discussion nor the annual performance evaluation, received by the probationary employee can be appealed.

19. PERFORMANCE MANAGEMENT PERIOD

- a. Except as provide in section 1417 of Chapter 14, the performance management period for all covered employees shall be from the beginning of each fiscal year (October 1st) to the end of the fiscal year (September 30th).

20. SELF-EVALUATION

- a. At his or her discretion, each employee eligible to receive an evaluation may submit a self-evaluation to his or her supervisor as input into the performance evaluation process.

21. SALARY INCREASES

- a. An annual overall performance rating of Valued Performer or higher shall constitute performance at an acceptable level of competence for purposes of eligibility for a periodic step increase or a merit based salary increase (for employees paid from open range salary schedules), as applicable, under Chapter 11.
- b. Each time an employee fails to receive a rating of Valued Performer or higher shall result in the due date for the next scheduled periodic step increase or merit-based salary increase being delayed for an additional year.

22. EMPLOYEE REQUEST FOR REVIEW

- a. This section shall apply to all employees described in Section 7 and in 1400.1 of Chapter 14, except for Career Service probationary employees.
- b. Employees' requests for review of performance ratings shall be handled at the hiring agency level. Subordinate agencies must establish an internal Reconsideration and Resolution committee (RRC) to formally review overall performance ratings of Inadequate Performer (Level 1) and Marginal Performer (Level 2). Agencies will conduct a "paper review" of overall ratings of Valued Performer (Level 3), and Highly Effective Performer (Level 4).
- c. The D.C. Department of Human Resources (DCHR) will serve in an impartial advisory capacity in the administration and disposition of performance rating review cases in subordinate agencies.
- d. 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 subordinate agency head (or designee).
- e. 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 appropriate personnel authority.
- f. Pursuant to section 603 (a) of the CMPA (D.C. Official Code § 1-606.03 (a)), 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.
- g. Upon receipt of a request for review, the subordinate agency head (or designee) shall take either of the following actions:
 - 1) Dismiss the employee's request for review on technical grounds (i.e., procedural or regulatory violation) and sustain the performance rating; or

- 2) Accept the employee's request for review, and refer the request to the agency's RRC for review and disposition.


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