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			<b>OPI:</b>	HRM	
			<b>REVIEW DATE:</b>	October 15, 2014	
			<b>Approving Authority</b>	Thomas Faust Director	
<b>SUBJECT:</b>	<b>SELECTION PROCESS FOR SUPERVISORY CORRECTIONAL OFFICER (LIEUTENANTS)</b>				
<b>NUMBER:</b>	<b>3110.4E</b>				
<b>Attachments:</b>	Attachments A				

**SUMMARY OF CHANGES:**

<b>Section</b>	<b>Change</b>
PP 3110.E	<i>Major Changes Were Made Throughout the Policy</i>
CN-12-007	<i>CN-12-007 "Selection Process for Supervisory Correctional Officer" has been rescinded.</i>

**APPROVED:**



**Thomas Faust, Director**

10-15-2013

**Date Signed**

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1. **PURPOSE AND SCOPE.** To establish procedures for evaluating and selecting candidates for the rank of Lieutenant.
2. **POLICY.** It is the policy of the District of Columbia Department of Corrections (DOC) to ensure that all qualified candidates for employment or promotion are afforded an equal opportunity to demonstrate their job knowledge and ability to perform at the supervisory grade levels. This will be accomplished by a competitive examination process, which will consist of multiple job-related components designed to assess knowledge, skills, and abilities.
3. **APPLICABILITY.** Procedures shall apply to individuals involved in the promotion process and candidates for Lieutenant Positions.
4. **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.
5. **PROGRAM OBJECTIVES.** The expected results of this program are:
  - a. Provide an effective and fair method of evaluating and selecting employees for promotion and candidates for employment
  - b. Provide selecting officials with a choice from among the best qualified candidates.
6. **AUTHORITY**
  - a. District Personnel Manual, Chapter 3, "Residency".
  - b. District Personnel Manual, Chapter 8, "Career Service".
  - c. District Personnel Manual, Chapter 16, "General Discipline and Grievances".

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- d. District Personnel Manual, Chapter 31A, "Records Management and Privacy of Records".
- e. District Personnel Manual, Chapter 38, "Management Supervisory Service".
- f. Collective Bargaining Agreement Between District of Columbia Department of Corrections and Fraternal Order of Police DOC Labor Committee (12/19/02-9/30/05).
- g. DC Code § 24-211.02, Powers; Promulgation of Rules.
- h. DC Comprehensive Merit Personnel Act.
- i. DC Omnibus Personnel Revitalization Act of 1998.
- j. DC Code 1-609.51, et. seq., Management Supervisory Service
- k. DC Code § 1-631.01 et. seq., Records Management and Privacy of Records

## 7. DIRECTIVES AFFECTED

### a. Directives Rescinded

- |            |  |
|------------|--|
| PS 3110.3D | Selection Process for Sergeants and Lieutenants (04/13/12) |
| CN-12-007  | Selection Process for Sergeants and Lieutenants (9/17/12)  |

### b. Directives Referenced

- 1) PS 2000.2 Retention and Disposal of Department Records
- 2) PP 3040.6 Personnel Security and Suitability Investigations
- 3) PP 6050.4 Mandatory Employee Drug and Alcohol Testing Program – MEDAT

## 8. STANDARDS REFERENCED. None

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## 9. GENERAL PROCEDURES

- a. The Director DOC or designee shall appoint appropriate staff to oversee development and implementation of the selection process.
- b. The staff will consist of senior managers in the DOC who have direct working knowledge of supervisory and management issues in correctional institutions.

10. Copies of the DCHR regulations describing the procedural aspects of the Merit Staffing/Promotion Plan shall be made available to all employees and a copy provided to the Collective Bargaining Unit.

11. **COMPETITIVE SELECTION.** The selection of employees in the Management Supervisory Service (MSS) shall be consistent with the DPM.

## 12. PROHIBITED PERSONNEL ACTIONS

- a. No employee shall interfere in the competitive process by influencing another employee to withdraw from competition for any position for the purpose of either improving or injuring the prospects of any applicant for appointment or selection.
- b. No DOC or DC Government official shall appoint, promote, advance or advocate for the selection of his/her relative or any other employee to a position over which he or she has control.
- c. No personnel authority shall appoint, promote, advance or advocate for the selection of any individual advocated by a DOC or DC Government official who is serving in or exercising jurisdiction or control over the agency and is a relative of the individual.

## 13. VACANCY ANNOUNCEMENT

- a. Each position vacancy that is to be filled through competitive procedures shall be advertised via a standard vacancy announcement.
- b. The agency will announce job vacancies for at least ten (10) business days.
- c. The Union shall be provided a copy of the vacancy announcements.
- d. The area of consideration for vacancies shall be determined by the Director at the time of recruitment.

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#### 14. APPLICATIONS

- a. All applications for vacant positions shall be submitted to the DC Department of Corrections.
- b. The DOC shall have the primary responsibility for screening applications.
- c. Established criteria shall be consistently and objectively applied to all applicants.
- d. Applicants who DOC determines meet the minimum qualifications for the position shall be eligible for the examination.
- e. An applicant who is a bona fide resident of the District of Columbia may claim a residency preference at the time of application. Proof of bona fide residency shall be submitted upon selection for the position.

#### 15. ELIGIBILITY FOR THE SELECTION EXAMINATION

- a. The minimum eligibility requirements for taking the selection examination are:
  - 1) Experience. At least one (1) year continuous experience at the next lower grade as of the date of the administration of the the examination, or equivalent experience as a lead worker or supervisor performing work involving the supervision of incarcerated individuals in a facility that operates on a twenty- four (24) hour, seven (7) day a week basis.
  - 2) Performance Evaluation. Must have received a satisfactory or higher performance evaluation for the most current rating period.
  - 3) Background Investigation. Must pass a background investigation in accordance with PS 3040.6, *Personal Security and Suitability Investigations*.
  - 4) Drug and Alcohol Testing. Must pass a mandatory drug test in accordance with PS 6050.4, *Mandatory Employee Drug and Alcohol Testing Program (MEDAT)*.
  - 5) No Disciplinary Actions. Must not have disciplinary action within the previous twelve (12) months of the closing date of the vacancy announcement.

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- b. All applicants who feel they meet this requirement may take the examination, subject to official determination of experience and/ or Time in Grade eligibility by DOC prior to or following the examination.
- c. Experience or Time in Grade requirements must be met by the closing date of the vacancy announcement
- d. Applicants who do not meet this eligibility requirement shall be withdrawn from certification prior to appointment in accordance with District Personnel Manual Chapter 8.
- e. DOC shall notify the applicant in writing regarding his/her eligibility.

#### 16. **REQUEST TO WAIVE OFFICIAL REPRIMAND**

- a. Candidates who received an official reprimand within the last one (1) year and has satisfied the time in grade and performance evaluation requirements may submit a written request for waiver to the Deputy Director for Management Support Services for consideration to take the examination.
- b. The written request shall include, but not limited to, the following information:
  - 1) The date, time and location of the incident;
  - 2) A brief detailed account of the incident;
  - 3) Original charges/Specific Cause;
  - 4) Whether the official reprimand was the initial proposed action. If not, provide the original proposed disciplinary action;
  - 5) Any appeals filed regarding the final decision;
  - 6) Reason for waiver; and
  - 7) Copies of documents relevant to the original charge(s)/specific causes.
- c. The written request for waiver shall be submitted within ten (10) days of the announcement of the examination.

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## 17. EXAMINATION ANNOUNCEMENT

- a. The posting of the Vacancy Announcements shall be read at roll call for seven (70 consecutive days and shall be posted on all official bulletin boards for the duration of the announcement period.
- b. Application procedures and eligibility requirements shall be covered in the Vacancy Announcement

18. **CONFIDENTIALITY.** All DOC employees involved in the examination process, including, but not limited to, testers, panel members and administrative staff, shall sign a Nondisclosure and Confidentiality Agreement (Attachment A) stating that examination materials and information shall not be discussed or disclosed to persons who are not authorized to have access to the information.

## 19. EXAMINATION/INTERVIEWS

- a. **Type of Examination.** The examination shall consist of written, oral, or performance examinations, or a combination thereof, or unassembled examining procedures which may include establishment of rating and ranking plans or selection panels, or both.

### b. Administering the Examination

- 1) DOC employees taking the examination shall not participate in administering the exam.

### b. Interviews

- 1) Non-job related and/or questions of a discriminatory nature are prohibited.
- 2) An applicant may be asked follow up questions in response to answers, applicant statements and questions, or to clarify information on the application.

## 21. LIEUTENANTS EXAMINATION AND SCORING

- a. The examination shall be scored numerically with a maximum value of one hundred (100) points per Component.
  - 1) The examination shall consist of an oral interview before a Merit Selection Panel. The candidate may receive a maximum score of up to one hundred (100) points.

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- 2) The score from Component I and II shall be added. This score will be divided by two (2), which shall result in the candidate's Composite Score which will determine the candidate's ranking position or order. The Composite Score must total a minimum of seventy (70) points in order to be ranked or placed on a register.

## 22. SELECTION PROCESS

### a. Selection Register Order

- 1) A Selection Register shall be prepared listing the scores of each candidate who successfully completes all components of the competitive process.
- 2) Candidates determined to be eligible for the position shall be placed on the Selection Register in descending rank order beginning with the candidate who attains the highest score, including any points mandated by law or regulation.
- 3) In the event two (2) or more candidates obtain the same score, the following factors shall be weighed in descending order:
  - a) **Residency Preference** - The candidate with residency preference shall be listed ahead of the non-residency preference candidate.
  - b) **Veteran's Preference** - shall be the deciding factor if there is still a tie.
  - c) **Total Government Service** - shall be the final deciding factor to determine Selection Register order.

### b. Life of the Selection Register

- 1) A register shall remain in existence until exhausted, except when an earlier termination date is authorized by the DOC.
- 2) DOC reserves the right to cease selections at any time during the life of the Selection Register due to lack of funds, operational needs or any other reason determined by the Director.

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- 3) If a register is closed prior to selection of all candidates, the remaining eligible employees may be transferred to a successive register established for the same job category provided the same selection procedures have been used or as otherwise authorized by DOC.
- 4) The entire register of eligible candidates may be certified when there are more vacancies than candidates or when DOC determines that other circumstances warrant such certification.

### 23. RECORDS RETENTION

- a. Pre-selection records shall be retained for a minimum period of five (5) years in accordance with PS 2000.2, Retention and Disposal of Department Records.
- b. In addition, any selection record relating to a grievance or appeal submitted by an applicant shall be retained for three (3) years.
- c. If the grievance or appeal is not adjudicated within that period, the records shall be maintained until it is resolved.
- d. DOC shall maintain all original test materials in accordance with the agency's retention policy.

Attachment – Non-disclosure and Confidentiality Agreement

**DOC/PP3110.4E/10/15/2013**



District of Columbia Government  
D.C. Department of Corrections

**MERIT PROMOTION/STAFFING PANEL  
RANKING PANEL MEMBER (RPM) PROFILE AND PLEDGE OF CONFIDENTIALITY**

POSITION TITLE/SERIES/GRADE: \_\_\_\_\_

AGENCY/ANNOUNCEMENT NO: \_\_\_\_\_

NAME OF RPM MEMBER: \_\_\_\_\_

POSITION TITLE/SERIES/GRADE: \_\_\_\_\_

DIVISION/OFFICE: \_\_\_\_\_

OFFICE TELEPHONE: \_\_\_\_\_

**FOR QUALIFICATIONS AS RPM: (Check One)**

- Present or former incumbent of position
- Present incumbent of similar position at same grade level
- Present Supervisor or Position
- Other recognized authority (explain): \_\_\_\_\_

RELEVANT EDUCATION/TRAINING (Describe type and amount): \_\_\_\_\_

RELEVANT EXPERIENCE (Describe): \_\_\_\_\_

I, \_\_\_\_\_ as a panel member have been notified of and understand that any information to which I am privy during the course of this assessment process, and which is covered by Chapter 31A of the D.C. Personnel Regulations, *Records Management and Privacy of Records*, which provides that information must not be disclosed to any party outside of this panel except as provided in those regulations.

\_\_\_\_\_  
Signature of Panel Member

\_\_\_\_\_  
Date

Qualifications Certified as Correct:



PP 3110.3  
PP 3110.4  
Attachment

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(Name of HR Representative)

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Date