ELECTRONIC-DISTRICT PERSONNEL MANUAL
TRANSMITTAL SHEET
NUMBER 205

The attached pages replace the rules in Part I of Chapter 14 of the *Electronic-District Personnel Manual* (*E-DPM*), Performance Management. These rules are being replaced because of final rulemaking published in the *D.C. Register* (*DCR*) on July 13, 2012 (59 DCR 008396). The rules amend section 1400 to add the Educational Service employees in the Office of the State Superintendent of Education. For the convenience of *E-DPM* readers, the entire chapter is being provided in this transmittal.

MAKE THE FOLLOWING CHANGES TO PART I OF CHAPTER 14 OF THE *E-DPM*, PERFORMANCE MANAGEMENT

E-DPM Transmittal	
This E-DPM Transmittal contains pages 14-I-i, and 14-I-1 through 14-I-15	The attached pages replace **Transmittal No. 195**, dated September 1, 2009 (pages 14-I-i, and 14-I-1 through 14-I-15)

August 27, 2012
Date

Shawn Y. Stokes
Director

Attachment

PART I
D.C. PERSONNEL REGULATIONS
CHAPTER 14
PERFORMANCE MANAGEMENT
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CHAPTER 14

PERFORMANCE MANAGEMENT

1400 APPLICABILITY

1400.1 The provisions of this chapter apply to all of the following:

(a) Employees in the Career Service under the authority of sections 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 (2006 Repl. & 2011 Supp.));

(b) Employees in the Educational Service in the Office of the State Superintendent of Education under the authority of section 801a of the CMPA (D.C. Official Code § 1-608.01a (2006 Repl. & 2011 Supp.));

(c) Uniformed members of the Metropolitan Police Department at the ranks of Lieutenant, Captain, Inspector, Commander, and Assistant Chief; and uniformed members of the Fire and Emergency Medical Services Department in the positions of Deputy Fire Chief, Battalion Fire Chief, Assistant Fire Chief (Operations), and Assistant Fire Chief (Services);

(d) Employees in the Excepted Service appointed under the authority of section 903 of the CMPA (D.C. Official Code § 1-609.03 (2006 Repl. & 2011 Supp.));

(e) Employees in the Excepted Service appointed as Capital City Fellows, as specified in section 1419 of this chapter;

(f) Employees in the Management Supervisory Service appointed under the authority of sections 951 through 958 of the CMPA (D.C. Official Code §§ 1-609.51 through 1-609.58 (2006 Repl.)), except for the provisions of section 1414 of this chapter; and

(g) Employees in the Legal Service appointed under the authority of sections 851 through 863 of the CMPA (D.C. Official Code §§ 1-608.51 through 1-608.62 (2006 Repl. & 2011 Supp.)) as supervisory attorneys in the Office of the Attorney General for the District of Columbia, non-supervisory attorneys who report directly to either the Attorney General for the District of Columbia or the Principal Deputy Attorney General, subordinate agency General Counsel, and other subordinate agency supervisory attorneys in the Legal Service.

1401 EXCLUSIONS

1401.1 The provisions of this chapter shall not apply to the following employees:

(a) Uniformed members of the MPD at the ranks of Officer, Master Patrol Officer, Detective, Investigator, and Sergeant, who continue to be covered under the performance evaluation system in effect as of the effective date of these regulations;

(b) Uniformed members of the FEMSD in positions other than those listed in 1400.1 (a)(3) of this chapter; and

(c) Unionized employees in the Legal Service.

1402 PURPOSE

1402.1 The purpose of this chapter is to set forth the rules for the District government's performance management program.

1402.2 Performance management integrates the processes District government agencies use to do all of the following:

(a) Communicate and clarify organizational and individual work goals to all employees;

(b) Identify individual and, where applicable, team responsibilities and accountability for accomplishing work unit, agency, and organizational goals;

(c) Identify and address developmental needs for individuals and, where applicable, teams;

(d) Provide feedback to employees about performance expectations and work accountability;

(e) Assess and improve individual, team, and organizational performance;

(f) Use appropriate measures of performance as the basis for recognizing and rewarding accomplishments; and

(g) Use the results of the annual performance evaluation as a basis for appropriate human resources' actions, including training, promotion, demotion, administrative action, or other types of human resources' actions.

1402.3 The performance management program implemented by this chapter shall accomplish all of the following:

(a) 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;

(b) Hold supervisors and employees accountable for performance, which shall include a direct relationship between the performance evaluation received pursuant to this chapter and the receipt of any periodic salary increases (including salary increases on both step and merit-based salary plans);

(c) Objectively evaluate employees' work performance based on criteria that have been made known to the employees prior to the performance evaluation;

(d) Improve employee performance through developmental plan and continuous employee skill development;

(e) Recognize employees' accomplishments and identify employees' deficiencies so that appropriate rewards or assistance can be provided; and

(f) Tie employee performance to work unit, agency, and where applicable, District government-wide outcomes.

1403 PERFORMANCE MANAGEMENT PERIOD

1403.1 Except as provided in section 1417 of this chapter, 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).

1404 PERFORMANCE RATINGS

1404.1 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.

1404.2 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%).

1404.3 The rating levels for the performance management program shall be as follows:

(a) 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.

(b) 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.

(c) 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.

(d) 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.

(e) 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.

1405 PERFORMANCE PLANS

1405.1 A Performance Plan shall set forth the performance expectations and development objectives that each covered employee is expected to accomplish during the performance management period.

1405.2 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.

1405.3 Except as otherwise provided in this chapter, each supervisor shall complete a Performance Plan outlining what is expected of each covered employee, as follows:

(a) Within thirty (30) days of the beginning of each performance management period;

(b) 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;

(c) 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;

(d) 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

(e) 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.

1405.4 A Performance Plan shall include all of the following:

(a) Competencies;

(b) S.M.A.R.T (*Specific, Measurable, Attainable, Realistic, Time-Related*) Goals; and

(c) An Individual Development Plan.

1405.5 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).

1406 COMPETENCIES

1406.1 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.

1406.2 At the beginning of each performance management period, a supervisor or a reviewer, in the absence of the supervisor, shall discuss with the employee how each competency relates to the employee's job. At the end of the performance management period, the supervisor or a reviewer, in the absence of the supervisor, shall evaluate each competency based on the employee's performance during the period.

1406.3 There are five (5) core competencies for all employees covered by this chapter:

(a) Accountability;

(b) Communication;

(c) Customer Service;

(d) Goal Attainment; and

(e) Job Knowledge.

1406.4 There are three (3) additional core competencies applicable to supervisors:

(a) Leadership;

(b) Management of Others; and

(c) Operational and Strategic Planning.

1406.5 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:

(a) Flexibility/Adaptability;

(b) Initiative;

(c) Innovation;

(d) Mechanical Ability;

(e) Negotiation;

(f) Problem Solving;

(g) Productivity;

(h) Teamwork;

(i) Technical Ability; and

(j) Use of Technology;

1407 S.M.A.R.T GOALS

1407.1 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.

1407.2 The use of S.M.A.R.T Goals may augment the use of performance standards for agencies to document performance objectives for employees. Wherever possible, and as applicable, agencies should incorporate the text normally found in performance standards in the employee's S.M.A.R.T Goals.

1407.3 S.M.A.R.T Goals set in the Performance Plan shall be weighted, with the sum of all goal weightings equal to one hundred percent (100%).

1407.4 S.M.A.R.T Goals set in the performance plan shall include a timeframe for the accomplishment of each goal.

1407.5 At the beginning of each performance management period, a supervisor or the reviewer, in the absence of the supervisor, shall discuss with the employee how each S.M.A.R.T Goal relates to the employee's job. At the end of a performance management period, the supervisor or the reviewer, in the absence of the supervisor, shall evaluate each S.M.A.R.T Goal based on the employee's performance during the period.

1408 INDIVIDUAL DEVELOPMENT PLAN

1408.1 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 Development Plan shall be prepared in collaboration with the employee. The Individual Performance Plan shall include at least one (1) and no more than three (3) objectives.

1408.2 Each Individual Development Plan is for developmental purposes only, and shall not be part of the evaluation at the end of the performance management period.

1408.3 Each Individual Development Plan may include but is not limited to the following objectives:

(a) Specific objectives designed to improve the knowledge, skills, and abilities of the employee;

(b) Specific objectives for areas of ongoing professional development; or

(c) Objectives that address areas in which the employee received a review of "Marginal Performer" or below during the preceding review year.

1408.4 Each Individual Development Plan shall include a timeframe for the accomplishment of each objective.

1409 MID-YEAR PROGRESS DISCUSSION

1409.1 Each employee entitled to an annual performance evaluation under section 1411 of this chapter 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.

1409.2 The mid-year progress discussion shall be mandatory in the case of probationary employees. The mid-year progress discussion shall not impinge on a recommendation to terminate the probationary employee during his or her probationary period.

1409.3 An annual performance evaluation shall not be based solely on a mid-year progress discussion. An employee's performance during the entire review period must be used to determine how well the employee performed each performance expectation and the overall performance rating.

1410 PERFORMANCE IMPROVEMENT PLAN

1410.1 The provisions of this section shall apply to all employees described in 1400.1 of this chapter, except for Career Service probationary employees and Senior Executive Attorney Service attorneys' in the Office of the Attorney General.

1410.2 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.

1410.3 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:

(a) Identify the specific performance areas in which the employee is deficient; and

(b) Provide concrete, measurable action steps the employee needs to take to improve in those areas.

1410.4 A supervisor or, in the absence of that individual, the reviewer, shall complete a PIP when employee performance has been observed by the supervisor as being deficient. The last date on which a PIP may be issued is June 30 of each year.

1410.5 Within ten (10) calendar days of the end of the PIP period, the employee's immediate supervisor or, in the absence of that individual, the reviewer, shall make a determination as to whether the employee has met the requirements of the PIP. If the determination is that the employee has met the requirements of the Performance

Improvement Plan, the employee's immediate supervisor, or in the absence of that individual, the reviewer, shall so inform the employee, in writing. If the determination is that the employee failed to meet the requirements of the Performance Improvement Plan, the employee's immediate supervisor or in the absence of that individual, the reviewer, as appropriate, shall issue a written decision to the employee to:

(a) Extend the Performance Improvement Plan for an additional thirty (30) and not to exceed ninety days total, to further observe the employee's performance;
(b) Reassign, reduce in grade, or remove the employee.

1410.6 Failure on the part of the supervisor, or, in the absence of that individual, the reviewer, to issue a written decision within the specified time period will result in the employee's performance having met the PIP requirements.

1410.7 Any reduction in grade or termination action as specified in section 1410.5 (b) of this section taken against a Career Service employee shall be taken pursuant to Chapter 16 of these regulations.

1410.8 Any reduction in grade or termination action as specified in section 1410.5.(b) of this section taken against a Legal Service employee as described in section 1400.1 (e) of this chapter who is not "at-will" shall be taken pursuant to Chapter 36 of these regulations.

1410.9 The Chief of Police may elect not to use a Performance Improvement Plan for officials above the rank of Captain

1411 ELIGIBILITY TO RECEIVE AN ANNUAL PERFORMANCE EVALUATION

1411.1 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.

1411.2 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.

1411.3 The performance evaluation pursuant to sections 1411.2 of this section shall be issued by the employee's previous supervisor as specified in those sections.

1411.4 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.

1411.5 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.

1411.6 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.

1412 ANNUAL PERFORMANCE EVALUATION

1412.1 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.

1412.2 The annual Performance Evaluation shall be based on the employee's Performance Plan for that performance management period.

1412.3 Except as provided in section 1412.5 of this section, each employee entitled to be rated under section 1411 of this chapter 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.

1412.4 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.

1412.5 An employee serving on detail for more than ninety (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.

1412.6 An agency may use multi-source feedback as an evaluation tool consistent with procedures and guidelines established by the appropriate personnel authority.

1412.7 In instances where 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).

1412.8 When an employee is evaluated on performance in his or her position of record in accordance with section 1412.3 of this section, appropriate consideration shall be given to work performed outside the position of record.

1412.9 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.

1412.10 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 postponed until the employee returns to his or her official position of record.

1412.11 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 this chapter.

1412.12 The personnel authority may approve an agency's request for an extension of the annual Performance Evaluation submittal period, consistent with 1412.1 of this section.

1413 SELF-EVALUATION

1413.1 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.

1414 SALARY INCREASES

1414.1 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 of these regulations.

1414.2 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.

1415 EMPLOYEE REQUEST FOR REVIEW

1415.1 The provisions of this section shall apply to all employees described in 1400.1 of this chapter, except for Career Service probationary employees.

1415.2 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).

1415.3 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.

1415.4 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).

1415.5 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.

1415.6 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.

1415.7 Upon receipt of a request for review, the subordinate agency head (or designee) shall take either of the following actions:

(a) Dismiss the employee's request for review on technical grounds (i.e., procedural or regulatory violation) and sustain the performance rating; or

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

1415.8 Independent personnel authorities may establish a review process for their employees.

1415.9 The provisions of section 1415.6 of this section shall not apply to any performance rating that results in the removal of a Legal Service employee as described in section 1400.1 (e) of this chapter. The right of appeal of such an employee shall be governed by Chapter 36 of these regulations.

1415.10 Rating appeal rights of Metropolitan Police Department employees shall be in accordance with procedures established by the agency.

1416 PROBATIONARY EMPLOYEES

1416.1 An employee serving a probationary period shall be subject to the performance management program established by this chapter. A Performance Plan shall be provided to each probationary employee, on which the probationer shall be evaluated.

1416.2 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.

1416.3 Neither the mid-year progress discussion nor the annual performance evaluation received by the probationary employee is appealable.

1417 CAPITAL CITY FELLOWS

1417.1 A Performance Plan as described in section 1404 of this chapter shall be completed for each Capital City Fellow, not later than thirty (30) calendar days after the beginning of each six-month (6-month) placement. Each Performance Plan shall outline what is expected from the Capital City Fellow.

1417.2 The goals for each six-month (6-month) placement shall be weighted, with the sum of all goal weightings equal to one hundred percent (100%) for each rating. Goals shall be set as follows:

(a) Twenty five (25%) of the overall goals assigned to program-related activities and participation, to be set by the Director, D.C. Department of Human Resources (or designee); and

(b) Seventy five percent (75%) of the overall goals assigned to on-site performance, to be set by each agency supervisor to whom the Capital City Fellow is assigned.

1417.3 The performance of each Capital City Fellow shall be evaluated at the end of each six-month (6-month) placement as specified in this section, for a total of four (4) individual performance ratings during the two-year (2-year) program.

1417.4 Each Capital City Fellow may, at his or her discretion, submit a self-evaluation as input into the annual performance evaluation process.

1417.5 A rating of *Valued Performer* or higher shall constitute performance at an acceptable level of competence for purposes of salary adjustment.

1417.6 The provisions in section 1416 of this chapter shall apply to Capital City Fellows.

1417.7 Capital City Fellows' annual performance evaluations are not appealable.

1499 DEFINITIONS

When used in this chapter, the following terms shall have the meaning ascribed:

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.
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.

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.

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.

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.

Multi-source feedback – a tool used to assess employee performance that involves several sources (i.e., peers, employees, supervisors, customers) that have reliable information of an employee services or work products. This is commonly known as *"360 degree feedback."*

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.

Performance improvement plan (PIP) – A performance management tool designed to offer the employee an opportunity to demonstrate improvement in his or her performance.

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.

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.

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.

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.

Probationary employee – a Career Service employee occupying a position subject to the completion of a probationary period, to include employees in term appointments.

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.

Request for review – the process in which an employee requests a formal review of the overall performance rating received during the review period.

Reviewer – a supervisor, agency head, or agency head designee responsible for reviewing and approving the annual performance evaluation completed by a rating official.

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.

S.M.A.R.T. goals – a type of performance expectation that consists of goals that are *Specific*, *Measurable*, *Attainable*, *Realistic*, and *Time-Related.*

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 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".

D.C. Register Updates for Chapter 14 of the D.C. Personnel Regulations, Performance Management

The following *D.C. Register* citations identify when a given section(s) of Chapter 14, Performance Management, of Title 6 of the District of Columbia Municipal Regulations, was amended. Following the publication in the *D.C. Register* of subsequent final rulemaking notices, this Addendum will be updated accordingly.

For the convenience of Electronic-DPM (E-DPM) readers, the Addendum identifies amendments on a section-by-section basis, as well as the page in the DPM Transmittal impacted by the amendment(s), and provides brief comments on the amendment(s) accomplished.

***D.C. Register* Date**	**Section(s)**	**Change(s) Reflected on Page(s)**	**Comments**
28 DCR 4961 (11/20/81)	Entire chapter	Entire Chapter	The rules implemented Title XIV, Performance Evaluation, of the Comprehensive Merit Personnel Act of 1979.
47 DCR 5560 (7/7/00)	Entire chapter	Entire chapter replaced. (DPM Transmittal No. 60)	The rules implemented the performance management program that was authorized by the Omnibus Personnel Reform Amendment Act of 1988.
48 DCR 301 (1/12/01)	Entire chapter	Entire chapter replaced. (DPM Transmittal No. 69)	The rules implemented the performance management program that was authorized by the Omnibus Personnel Reform Amendment Act of 1988. These rules amend Chapter 14, Performance Management, published at 47 DCR 5560 (July 7, 2000).
49 DCR 1862 (3/1/02)	Section(s) 1400, 1401, and 1411	Entire chapter replaced (DPM Transmittal No. 83)	The rules amended the chapter to add certain uniformed members of the Metropolitan Police Department to those covered by the chapter
50 DCR 2851 (4/11/03)	Entire chapter	Entire chapter replaced (DPM Transmittal No. 95)	The rules amended the chapter to: (1) add certain Legal Service employees and individuals appointed to the Excepted Service as Capital City Fellows to those covered by the chapter; (2) add a provision stating that the chapter is applicable to non-unionized Career Service employees not already covered in agencies under the personnel authority of the Mayor as their coverage is approved by the Director of Personnel on an agency by agency basis; (3) add new sections stating the components of a performance plan, define competencies, provide for an optional mid-year evaluation, and specify the provisions to evaluate the performance of Capital City Fellows; (4) provide clarification of the provisions on performance improvement plans; and (5) modify other portions of the chapter.
52 DCR 1302 (2/11/05)	Section(s) 1400, 1414, 1415, and	Entire chapter replaced.	The rules amended the chapter to: (1) expressly exclude at-will employees,

			performance improvement plan requirement in section 1414, (2) add language requiring that supervisors inform employees of any deficiencies in their performance, in a timely manner, throughout the rating period as a means of providing employees sufficient time to improve the deficiencies; (3) specify that employees covered under the chapter may request reviews of any performance rating, and clarify the language concerning appeals of final agency decisions affecting performance ratings which result in removals; and (4) make other non-substantive changes throughout the chapter.
Issued to correct an omission	Section(s) 1400	Page(s) 14-I-1 and 14-I-2 (DPM Transmittal No.137)	The pages are being replaced because sections 1400.2 and 1400.3 of the chapter were inadvertently omitted from Transmittal No. 126.
56 DCR 006164 (8/7/09)	Entire chapter	Entire chapter replaced. (DPM Transmittal No. 194)	The rules amended the chapter in its entirety.
56 DCR 006693 Errata Notice (8/28/09)	Entire chapter	Entire chapter replaced (DPM Transmittal No. 195)	While final rules were published in the *D.C. Register* on August 7, 2009 (56 DCR 006164); the incorrect version of the rulemaking was mistakenly submitted for publication. Accordingly, a corrected version of the final rules was re-published. The version published as an Errata Notice is the same exact version as the proposed rules published on June 26, 2009 (56 *DCR* 005068). The rules amended the chapter in its entirety.
59 DCR 008396 (7/13/12)	Section 1400	Entire chapter replaced. (DPM Transmittal No. 205)	The rules amended section 1400 to add the employees within the Educational Service in the Office of the State Superintendent of Education.