

## OFFICE OF THE CORPORATION COUNSEL

## NOTICE OF FINAL RULEMAKING

Pursuant to the authority set forth in section 861 of the District of Columbia Government Comprehensive Merit Personnel Act of 1978, effective March 3, 1979, D.C. Law 2-139, as added by the Legal Service Establishment Amendment Act of 1998 ("Legal Service Act"), effective April 20, 1999, D.C. Law 12-260, D.C. Official Code § 1-608.61 (2001), the Interim Corporation Counsel hereby gives notice that final rulemaking action was taken to adopt the following rules.

These rules amend Chapter 36 of the District of Columbia Personnel Regulations, pertaining to the Legal Service. The amendments provide for participation by the Office of the Corporation Counsel ("OCC") in the D.C. Office of Personnel's Performance Management Program ("PMP"), on a trial basis, starting with the rating period, October 1, 2002-September 30, 2003. This participation is limited to supervisory attorneys in OCC, non-supervisory attorneys in OCC who report to either the Corporation Counsel or the Principal Deputy Corporation Counsel, and supervisory attorneys at offices of agency general counsel who are under the Corporation Counsel's direction and control. In addition, the amendments: correct erroneous references to "severance pay" in section 3615; modify the definition of "Senior Executive Attorney Service position" to make it consistent with the definition in the Legal Service Act; and clarify the Corporation Counsel's authority, in his or her discretion, to make any specific kind of training mandatory for supervisors during a rating period.

No comments were received and no changes were made to the rules under the notice of emergency and proposed rulemaking published at 50 DCR 1029 (January 31, 2003). Final rulemaking action was taken on April 18, 2003.

Chapter 36 of the D.C. Personnel Regulations is amended as follows:

The table of contents is amended as follows:

By striking the phrase "3603 Individual Accountability Plans" and substituting in its place the phrase "3603 Individual Accountability Plans (Line Attorneys) and Performance Plans (All Other Attorneys)".

By striking the phrase "3604 Evaluation of Performance – Generally" and substituting in its place the phrase "3604 Evaluation of Performance – Rating Periods, Eligibility for Evaluation, Criteria for Evaluation, and Rating Levels".

By striking the phrase "3615 Severance Pay" and substituting in its place the phrase "3615 Separation Pay".

Section 3603 (Individual Accountability Plans) is amended to read as follows:

**3603 INDIVIDUAL ACCOUNTABILITY PLANS (LINE ATTORNEYS) AND PERFORMANCE PLANS (ALL OTHER ATTORNEYS)**

- 3603.1 Each supervisor shall prepare annually, at least thirty (30) days prior to the end of the rating period, a draft Individual Accountability Plan for every line attorney under his or her supervision for the following rating period. This requirement may be satisfied by requiring the line attorney supervised to prepare a draft Individual Accountability Plan for the supervisor's approval.
- 3603.2 For the rating period 2000-2001, draft Individual Accountability Plans shall be prepared within 30 days of the effective date of these rules.
- 3603.3 Each supervisor shall review the Job Description for every line attorney under his or her supervision annually, at least thirty (30) days prior to the end of the rating period. The supervisor may recommend changes to Job Descriptions to the Corporation Counsel as appropriate. This requirement may be satisfied by requiring the line attorney supervised to review his or her Job Description and prepare recommended changes for the supervisor's approval.
- 3603.4 A supervisor is not required to prepare an Individual Accountability Plan or review a Job Description for any line attorney who the supervisor knows is scheduled within six (6) months after the beginning of the following rating period to leave, rotate or transfer from the legal office, or unit within the legal office, to which he or she is assigned.
- 3603.5 A supervisor shall provide each line attorney with a copy of his or her draft Individual Accountability Plan, along with a copy of his or her Job Description, upon completion by the supervisor.
- 3603.6 Each line attorney may provide written comments on the content of his or her draft Individual Accountability Plan and Job Description to the supervisor within fifteen (15) days of receiving them from his or her supervisor.
- 3603.7 A supervisor shall consider, but need not adopt, the comments made by a line attorney regarding a draft Individual Accountability Plan or Job Description.
- 3603.8 Each supervisor shall prepare a final Individual Accountability Plan and make final recommendations for changes to the Job Description for each line attorney under his or her supervision by the first day of the rating period. A copy of each shall be transmitted to the Corporation Counsel.
- 3603.9 An Individual Accountability Plan shall include, but need not be limited to:
- (a) Measurable goals and professional development expectations for the line attorney that parallel specific job duties and responsibilities, work behaviors, or projects within each of the categories listed in (b);

(b) Appropriate performance standards, including but not limited to those from the following list, and the weight to be accorded to each:

- (1) Conduct of legal research and writing;
- (2) Oral preparation and presentation;
- (3) Efficiency, productivity, and work habits;
- (4) Professional conduct and effectiveness in working with others;
- (5) Office procedures; and
- (6) Litigation, transaction and/or counseling skills (as appropriate); and

(c) Training requirements to be provided in-house and non-in-house.

- 3603.10 Beginning with the rating period 2001-2002, a supervisor shall provide each line attorney with a copy of his or her final Individual Accountability Plan during the first week of the rating period.
- 3603.11 The supervisor of a line attorney who is newly-hired, rotated, or transferred into the unit between thirty (30) days prior to the end of a rating period and one hundred-twenty (120) days prior to the end of the following rating period, shall provide the line attorney with a final Individual Accountability Plan and Job Description within thirty (30) days after appointment, rotation or transfer. The supervisor of the line attorney may, at his or her option, provide the line attorney with an opportunity to comment on a draft Individual Accountability Plan and a draft Job Description.
- 3603.12 During the first week of a new rating period, each supervisor shall prepare and submit to the Training Director, in a format specified by the Training Director, a report summarizing any training requirements included in Individual Accountability Plans for line attorneys under his or her supervision. The report shall identify subject-matter areas where training is needed and include suggestions as to the types of programs and courses that could be used to meet those identified training needs.
- 3603.13 Performance Plans for supervisors and non-supervisory attorneys as described in sections 3606 and 3607 shall be prepared in accordance with sections 1406, 1407, 1408, and 1409 of Chapter 14 of the District of Columbia Personnel Regulations.

Section 3604 is amended to read as follows:

**3604 EVALUATION OF PERFORMANCE – RATING PERIODS, ELIGIBILITY FOR EVALUATION, CRITERIA FOR EVALUATION, AND RATING LEVELS**

- 3604.1 Beginning with the 2001-2002 rating period, and for each rating period thereafter, the rating period for line attorneys shall run from September 1<sup>st</sup> to August 31<sup>st</sup>. For the 2001-2002 rating period, the rating period for all other attorneys covered by these rules (supervisors and the non-supervisory attorneys described in sections 3606 and 3607), shall run from September 1, 2001 to September 30, 2002. Thereafter, the rating period for all attorneys covered by these rules except line attorneys shall run from October 1<sup>st</sup> to September 30<sup>th</sup>.
- 3604.2 Written evaluations of line attorneys shall be based on at least one hundred-twenty (120) days of experience supervising the line attorney evaluated.
- (a) Line attorneys who have been employed by the Office of the Corporation Counsel or a non-delegated subordinate agency for fewer than one hundred-twenty (120) days prior to the end of the rating period, shall not be evaluated.
- (b) If a line attorney has been employed by the Office of the Corporation Counsel or a non-delegated subordinate agency for at least one hundred-twenty (120) days prior to the end of the rating period, but the supervisor of the line attorney at the time of the evaluation lacks at least one hundred-twenty (120) days of direct experience supervising the line attorney, the supervisor shall evaluate the line attorney based on an advisory evaluation prepared by a former supervisor or any other person, who had at least one hundred-twenty (120) days of direct experience supervising the line attorney during the rating period within the agency. If no such advisory evaluation is available, the line attorney shall not be evaluated.
- 3604.3 Each evaluation shall assess the line attorney's achievement of the performance standards and specific goals set out in his or her Individual Accountability Plan during the rating period.
- 3604.4 Evaluations may, at the discretion of the supervisor, include input from citizens, customers, peers, and others with whom the line attorney had regular professional contact during the rating period.
- 3604.5 Beginning with the 2002-2003 rating period, the evaluation of performance of supervisors and the non-supervisory attorneys described in sections 3606 and 3607 shall be under the District government's Performance Management Program ("PMP"), in accordance with Chapter 14 of the District of Columbia Personnel Regulations.
- 3604.6 Written evaluations of supervisors and non-supervisory attorneys as described in sections 3606 and 3607 who have been reassigned to a position with different duties and responsibilities within ninety (90) days of the end of the rating period shall be rated not later than thirty (30) days from the effective date of the reassignment. If such an attorney is promoted or demoted during the ninety (90) days prior to the end of the rating period, he or she shall be rated not later than thirty (30) days from the effective date of the promotion or demotion. If such an attorney is reinstated or

restored to duty during the ninety (90) days prior to the end of the rating period, he or she shall be rated at the end of the next rating period. If such an attorney transfers to an agency under the Mayor's personnel authority from another personnel authority or is newly appointed during the ninety (90) days prior to the end of the rating period, he or she shall be rated at the end of the next rating period.

- 3604.7 Any supervisor or non-supervisory attorney as described in sections 3606 and 3607 who is reinstated, restored, newly appointed, or transferred shall automatically be considered as having been assigned a rating of "meets expectations," which shall remain the official rating of record until such time as replaced by another official rating.
- 3604.8 For line attorneys during all rating periods, and for all other attorneys through the 2001-2002 rating period, each written evaluation shall assign an overall rating to the attorney of "substantially exceeds expectations", "meets expectations", "needs improvement", or "fails expectations". For all attorneys covered by these rules other than line attorneys, starting with the 2002-2003 rating period each written evaluation shall assign an overall rating to the attorney of "significantly exceeds expectations," "exceeds expectations," "meets expectations," "needs improvement," or "does not meet expectations."

A new subsection 3605.15 is added to section 3605 (Evaluation of Performance – Office of the Corporation Counsel Line Attorneys) to read as follows:

- 3605.15 Any supervisor who fails to meet any deadline as described in this section shall be subject to disciplinary action in accordance with section 3614.

Section 3606 (Evaluation of Performance – Office of the Corporation Counsel Supervisors) is amended to read as follows:

**3606 EVALUATION OF PERFORMANCE – OFFICE OF THE CORPORATION COUNSEL SUPERVISORS**

- 3606.1 For the rating period 2001-2002, each supervisor at or below the level of Principal Deputy shall prepare a written evaluation for every supervisor reporting directly to him or her annually, within thirty (30) days after the end of the rating period. Beginning with the 2002-2003 rating period, each supervisor below the level of Principal Deputy shall prepare a written evaluation for every supervisor reporting directly to him or her annually, within ten (10) days after the end of the rating period. Written evaluations shall be prepared using a form that is approved by the Corporation Counsel.
- 3606.2 Each Special Counsel to the Principal Deputy, and each Senior Counsel to the Principal Deputy shall be evaluated in accordance with the procedures of this section.

- 3606.3 The supervisor shall review evaluations with supervisors evaluated within five (5) days of completion. As a result of this meeting, the evaluation may be changed by mutual agreement. Both the supervisor evaluated and his or her immediate supervisor shall sign the evaluation to confirm that it has been reviewed.
- 3606.4 If no mutual agreement to change the evaluation of a supervisor is reached, the supervisor evaluated may prepare a statement of written objections within five (5) days of the meeting and forward the evaluation and written objections to the Principal Deputy with a copy to every supervisor in the chain of command up to the Principal Deputy.
- 3606.5 If the attorney evaluated is a Deputy, Senior Deputy, Special Counsel to the Principal Deputy, or Senior Counsel to the Principal Deputy, the Principal Deputy shall immediately forward the evaluation and the written objections to the Corporation Counsel for appeal.
- 3606.6 In reviewing written objections of a supervisor the Principal Deputy may consult with the supervisor evaluated and the supervisor who prepared the evaluation. The Principal Deputy shall complete his or her review within five (5) days of the receipt of the objections, and shall direct the supervisor who prepared the evaluation to make any changes based on that review.
- 3606.7 The supervisor evaluated or the supervisor who prepared the evaluation may submit a written appeal from the decision of the Principal Deputy to the Corporation Counsel within five (5) days of receipt of the Principal Deputy's decision.
- 3606.8 The Corporation Counsel may consult with the supervisor evaluated, the supervisor who prepared the evaluation, the Deputy, the Senior Deputy, and the Principal Deputy before making a decision regarding the evaluation of a supervisor. The decision of the Corporation Counsel shall be in writing and circulated among the supervisors in the chain of command for the supervisor evaluated within five (5) days of receipt of the appeal.
- 3606.9 The supervisor who prepared the evaluation shall revise the evaluation as necessary in accordance with the Corporation Counsel's decision.
- 3606.10 The decision of the Corporation Counsel shall be final, and shall not be subject to further appeal.
- 3606.11 Each supervisor shall perform at least one interim evaluation of every supervisor under his or her supervision annually, in the ninth month of the rating period. An interim evaluation shall consist of an informal meeting to discuss the attorney's performance under his or her Performance Plan. At his or her discretion, a supervisor may provide a written interim evaluation. Any written interim evaluation shall be provided to the attorney evaluated, but shall not be included in the attorney's official personnel file.

- 3606.12 Any supervisor who fails to meet any deadline as described in this section shall be subject to disciplinary action in accordance with section 3614.

Section 3607 (Evaluation of Performance – Office of the Corporation Counsel Principal Deputy, Special Deputy, Special Counsel, and Senior Counsel) is amended as follows:

**3607 EVALUATION OF PERFORMANCE – OFFICE OF THE CORPORATION COUNSEL PRINCIPAL DEPUTY, SPECIAL DEPUTY, SPECIAL COUNSEL, AND SENIOR COUNSEL**

- 3607.1 For the rating period 2001-2002, the Corporation Counsel shall prepare a written evaluation of the Principal Deputy Corporation Counsel, each Special Deputy Corporation Counsel, each Special Counsel to the Corporation Counsel, each Senior Counsel to the Corporation Counsel, and any other attorney who reports directly to the Corporation Counsel annually, within thirty (30) days after the end of the rating period. Beginning with the 2002-2003 rating period, the Corporation Counsel shall prepare a written evaluation of the Principal Deputy Corporation Counsel, each Special Deputy Corporation Counsel, each Special Counsel to the Corporation Counsel, each Senior Counsel to the Corporation Counsel, and any other attorney who reports directly to the Corporation Counsel annually, within twenty (20) days after the end of the rating period. Written evaluations shall be prepared using a form that is approved by the Corporation Counsel.
- 3607.2 The Corporation Counsel shall review evaluations with attorneys evaluated within five (5) days of completion. As a result of this meeting, the evaluation may be changed by mutual agreement and made final within five (5) days. Both the attorney evaluated and the Corporation Counsel shall sign the evaluation to confirm that it has been reviewed.
- 3607.3 The Corporation Counsel shall perform at least one interim evaluation of every attorney who reports directly to the Corporation Counsel annually, in the ninth month of the rating period. An interim evaluation shall consist of an informal meeting to discuss the attorney's performance under his or her Performance Plan. At his or her discretion, the Corporation Counsel may provide a written interim evaluation. Any written interim evaluation shall be provided to the attorney evaluated, but shall not be included in the attorney's official personnel file.

Subsection 3612.1 of section 3612 (Mandatory Management Training) is amended to read as follows:

- 3612.1 Subject to the availability of in-house or other training that is provided by and paid for by the employing agency, supervisors in the Legal Service who are employed in the Office of the Corporation Counsel and the non-delegated subordinate agencies shall complete at least twelve (12) hours of management training during each rating period. In addition to this requirement, the Corporation Counsel may, in his or her

discretion, make any additional training mandatory for a supervisor, if it is provided by and paid for by the employing agency.

Section 3615 is amended to read as follows:

**3615 SEPARATION PAY**

- 3615.1 An attorney in a Senior Executive Attorney Service position who is involuntarily discharged shall be paid separation pay upon separation for non-disciplinary reasons based on length of service as a series 905 attorney in the District government as follows:
- (a) 4 weeks of separation pay for persons with 1-5 years of service;
  - (b) 8 weeks of separation pay for persons with 6-14 years of service; or
  - (c) 12 weeks of separation pay for persons with more than 15 years of service.
- 3615.2 The number of weeks of separation pay authorized pursuant to this section shall not exceed the number of weeks between the individual's separation and the individual's appointment to another position in the District government. An individual who receives separation pay pursuant to this section, and who is subsequently appointed to any position in the District government during the period of weeks represented by that payment, shall be required to repay the amount of separation pay attributable to the period covered by such appointment. The pro-rated amount to be repaid shall be based on the entire amount of the separation pay, including all required deductions for taxes, and shall be paid to the agency that made the separation pay.
- 3615.3 Separation pay shall be provided at the time of separation as a lump sum, one-time payment, subject only to the withholdings of federal, District of Columbia, and State income taxes, and social security taxes, if applicable.
- 3615.4 When a determination is made that a Senior Executive Attorney in the Office of the Corporation Counsel or a non-delegated subordinate agency is not entitled to receive separation pay because the employee's separation is for disciplinary reasons, the Corporation Counsel shall provide the employee with a written notice within thirty (30) days of termination containing all of the following:
- (a) Notification that the employee is not entitled to separation pay;
  - (b) The reasons for the determination that the employee is not entitled to separation pay; and
  - (c) A statement that the decision shall be final in five (5) days from the date of the notice unless the employee responds to it, in writing, within five (5) days of receiving the notice.

- 3615.5 If the employee submits a response as provided in section 3615.4(c), the Corporation Counsel shall issue a final administrative decision to the employee. If the final administrative decision grants severance pay, this decision shall not reverse the employee's termination.

Section 3616 is amended to read as follows:

**3616 REDUCTIONS IN FORCE**

- 3616.1 In the case of line attorneys, reductions in force shall be governed by the provisions of Chapter 24 of the Personnel Regulations, except that:
- (a) The end date of the performance rating period shall be as described in this Chapter for line attorneys;
  - (b) A performance rating of "outstanding" as referred to in Chapter 24 is equivalent to a rating of "substantially exceeds expectations" under these rules;
  - (c) A performance rating of "unsatisfactory" as referred to in Chapter 24 is equivalent to a rating of "fails expectations" under these rules;
  - (d) References to Chapter 16 in Chapter 24 shall be read as a reference to section 3614 of these rules; and
  - (e) Section 2431 of the Personnel Regulations shall be inapplicable to this subsection.
- 3616.2 In the case of supervisors and the non-supervisory attorneys described in sections 3606 and 3607 who do not occupy a Senior Executive Attorney Service position, reductions in force shall be governed by the provisions of Chapter 24 of the Personnel Regulations, except that:
- (a) The end date of the performance rating period shall be as described in this Chapter for all covered attorneys except line attorneys;
  - (b) A performance rating of "outstanding" as referred to in Chapter 24 is equivalent to a rating of "significantly exceeds expectations" under these rules;
  - (c) A performance rating of "unsatisfactory" as referred to in Chapter 24 is equivalent to a rating of "does not meet expectations" under these rules;
  - (d) References to Chapter 16 in Chapter 24 shall be read as a reference to section 3614 of these rules; and
  - (e) Section 2431 of the Personnel Regulations shall be inapplicable to this subsection.

Section 3699 (Definitions) is amended as follows:

Add a definition for "Competencies" to read as follows:

**Competencies** – Behaviors demonstrated on the job as follows: Customer Service; Flexibility/Adaptability; Initiative; Teamwork; Job Knowledge; Professionalism; Resource Usage; Dependability; Communications; Integrity and Trust; Managing People (supervisors only); Leadership (supervisors only); Strategic Planning (supervisors only); Operations Planning and Evaluating (supervisors only); and Conflict Management (supervisors only). These behaviors shall have the meaning established by the Corporation Counsel and the Director, Office of Personnel.

Add a definition for "Does not meet expectations" to read as follows:

**Does not meet expectations (Level 1)** – Performance consistently does not meet expectations. One (1) point is awarded to each competency and S.M.A.R.T. goal rated as "does not meet expectations." The overall rating of "does not meet expectations" results from application of the formula, Overall Performance Rating = (Sum of all Competency Ratings/Number of Competencies x .4) + (Sum of all S.M.A.R.T. Goal Ratings/Number of S.M.A.R.T. Goals x .6), where the total figure derived on the right side of this formula equals "1", either exactly or after being rounded down to the nearest whole number.

Add a definition for "Exceeds expectations" to read as follows:

**Exceeds expectations (Level 4)** – Performance consistently exceeds expectations in some areas and meets expectations in all others. Four (4) points are awarded to each competency and S.M.A.R.T. goal rated as "exceeds expectations." The overall rating of "exceeds expectations" results from application of the formula, Overall Performance Rating = (Sum of all Competency Ratings/Number of Competencies x .4) + (Sum of all S.M.A.R.T. Goal Ratings/Number of S.M.A.R.T. Goals x .6), where the total figure derived on the right side of this formula equals "4", either exactly or after being rounded up or down to the nearest whole number.

Strike the definition of "Meets expectations" in its entirety.

Add a definition for "Meets expectations (line attorney only)" to read as follows:

**Meets expectations (line attorney only)** – The attorney, as measured against expectations of attorneys in the same grade, produces work that meets the standards in a performance category without the need for on-going supervision. The attorney frequently produces very good work of high quality; and applies skills/concepts correctly. An attorney may receive an overall rating of "meets expectations" only when he/she has been rated as meeting expectations in 80% of the weighted performance categories.

Add a definition for "Meets expectations (non-line attorney only)" to read as follows:

**Meets expectations (non-line attorney only) (Level 3)** – Performance consistently meets key expectations and may occasionally exceed expectations. Three (3) points are awarded to each competency and S.M.A.R.T. goal rated as "meets expectations." The overall rating of "meets

expectations" results from application of the formula, Overall Performance Rating = (Sum of all Competency Ratings/Number of Competencies x .4) + (Sum of all S.M.A.R.T. Goal Ratings/Number of S.M.A.R.T. Goals x .6), where the total figure derived on the right side of this formula equals "3", either exactly or after being rounded up or down to the nearest whole number.

Strike the definition of "Needs improvement" in its entirety.

Add a definition for "Needs improvement (line attorney only)" to read as follows:

**Needs improvement (line attorney only)** – The attorney, as measured against expectations of attorneys in the same grade, shows a basic working knowledge of skills/concepts in a majority of performance categories, but requires more supervision and follow-up than is expected of an attorney of that grade, produces satisfactory work, and usually applies skills/concepts correctly.

Add a definition for "Needs improvement (non-line attorney only)" to read as follows:

**Needs improvement (non-line attorney only) (Level 2)** – Performance meets some expectations but requires further development in one or more areas. Two (2) points are awarded to each competency and S.M.A.R.T. goal rated as "needs improvement." The overall rating of "needs improvement" results from application of the formula, Overall Performance Rating = (Sum of all Competency Ratings/Number of Competencies x .4) + (Sum of all S.M.A.R.T. Goal Ratings/Number of S.M.A.R.T. Goals x .6), where the total figure derived on the right side of this formula equals "2", either exactly or after being rounded up or down to the nearest whole number.

Add a definition for "Performance Management Program (PMP)" to read as follows:

**Performance Management Program (PMP)** – The systematic process by which an agency involves its employees, as individuals and members of a group, in improving performance in the accomplishment of agency mission and goals, as set out in Chapter 14 of the District of Columbia Personnel Regulations.

Amend the definition of "Rating Period" to read as follows:

**Rating period** – September 1<sup>st</sup> to August 31<sup>st</sup> for line attorneys and October 1<sup>st</sup> to September 30<sup>th</sup> for all other attorneys covered by these rules, except that September 1, 2001 to September 30, 2002 shall be the 2001-2002 rating period for all attorneys covered by these rules except line attorneys.

Amend the definition of "Senior Executive Attorney Service position" to read as follows:

**Senior Executive Attorney Service position** – (A) Any attorney position that is classified above DS-15, or an equivalent position, and in which the employee: (i) directs the work of an organizational unit; (ii) is held accountable for the success of one or more specific programs or projects; (iii) monitors progress toward organizational goals and periodically evaluates and

makes appropriate adjustments to these goals; (iv) supervises the work of employees other than personal assistants; (v) performs important legal policy-making or policy-determining functions; or (vi) provides significant leadership in legal counseling or in the trial of cases; or (B) Any attorney who is a Principal Deputy Corporation Counsel, Senior Deputy Corporation Counsel, Deputy Corporation Counsel, Special Deputy Corporation Counsel, Senior Counsel to the Corporation Counsel, Special Counsel to the Corporation Counsel, any other attorney in the Office of the Corporation Counsel who routinely reports directly to the Corporation Counsel; or (C) Any attorney who is a General Counsel employed by a subordinate agency.

Add a definition of "Significantly exceeds expectations" to read as follows:

**Significantly exceeds expectations (Level 5)** – Performance consistently and significantly exceeds expectations. Five (5) points are awarded to each competency and S.M.A.R.T. goal rated as "significantly exceeds expectations." The overall rating of "significantly exceeds expectations" results from application of the formula, Overall Performance Rating = (Sum of all Competency Ratings/Number of Competencies x .4) + (Sum of all S.M.A.R.T. Goal Ratings/Number of S.M.A.R.T. Goals x .6), where the total figure derived on the right side of this formula equals "5", either exactly or after being rounded up to the nearest whole number.

Add a definition for "S.M.A.R.T. goals" to read as follows:

**S.M.A.R.T. goals** – Specific, measurable, attainable, realistic, and time-related goals that are established annually for a supervisory or other non-line attorney either by the Corporation Counsel or by another high-level supervisor.

## DISTRICT OF COLUMBIA DEPARTMENT OF HEALTH

NOTICE OF FINAL RULEMAKING

The Director of the Department of Health, pursuant to the authority set forth in An Act to enable the District of Columbia to receive federal financial assistance under Title XIX of the Social Security Act for a Medical Assistance Program, and for other purposes, approved December 27, 1967 (81 Stat. 744; D.C. Official Code § 1-307.02), Reorganization Plan No. 4 of 1996, and Mayor's Order 97-42, dated February 18, 1997, hereby gives notice of the adoption of the following amendment to Chapter 9 of Title 29 of the DCMR. The Director took final action to adopt these rules on April 9, 2003. The purpose of the rules is to establish uniform records and reporting requirements for all NET providers to support the billing of transportation services to the Medicaid Program. A Notice of Proposed Rulemaking was published in the D.C. Register on January 31, 2003, at 50 DCR 1004.

These rules are pursuant to 42 U.S.C. 1396a(a)(37), Medicaid Transportation Services Manual and the Medicaid Claim Form. Title XIX of the Social Security Act, Section 1902, requires utilization review activities of all Medicaid services provided. The utilization review activities are accomplished through auditing to ensure services are appropriate to need, of optimum quality and quantity, and rendered in the most cost effective mode. DC Medicaid providers are subject to utilization review monitoring. This ensures the efficient and cost-effective administration of the District of Columbia Medicaid Program.

No comments have been received during the 30-day period of review and no changes have been made except typographical and grammatical errors. These final rules will be effective upon publication of this Notice of Final Rulemaking in the D.C. Register.

**Section 995 (Reimbursement Rates for Transportation Services) of Chapter 9 (Medicaid Program) of Title 29 Public Welfare (May 1987) of the District of Columbia Municipal Regulations is amended by designating the existing subsections 995.1 through 995.4 as subsections 995.4 through 995.7 and adding a three new subsections to read as follows:**

- 995.1 Each Non-Emergency Transportation Provider shall maintain records that fully disclose the nature and extent of the services rendered.
- 995.2 Each Non-Emergency Transportation Provider is required to use a "Daily Transportation Log" (DTL) approved by the Medical Assistance Administration attached to record all non-emergency transportation services rendered to D. C. Medicaid recipients. For convenience of transportation providers, a copy of the approved Daily Transportation Log is published as Attachment 1. DTL forms are available at the Medicaid Assistance Administration, Office of Program Operations or the form may be copied.

995.3 Each Non-Emergency Transportation Providers shall maintain the DTL for a period of six (6) years or until all audits are completed, whichever is longer.

**Daily Transportation Log**

Provider Number \_\_\_\_\_ Name of Company \_\_\_\_\_ DAY \_\_\_\_\_ (M/D/Y) \_\_\_\_\_ Location of Company \_\_\_\_\_ Telephone Number \_\_\_\_\_

Driver/Assistant Name	Vehicle Tag	Recipient Name	Recipient Number	Pick Up Location	Time	Mileage	Destination	Time	Mileage	Check Service
1		PRINT								AMB WHC STR
2		PRINT								AMB WHC STR
3		PRINT								AMB WHC STR
4		PRINT								AMB WHC STR
5		PRINT								AMB WHC STR
6		PRINT								AMB WHC STR
7		PRINT								AMB WHC STR
8		PRINT								AMB WHC STR
9		PRINT								AMB WHC STR
10		PRINT								AMB WHC STR
<p>By signing this form, I certify that all entries are true and acknowledge that any false entries may be prosecuted pursuant to District of Columbia and/or Federal laws.</p> <p align="center">Driver's Signature/Date _____ Owner's Signature/Date _____</p>										

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**INSTRUCTIONS FOR COMPLETING  
DAILY TRANSPORTATION LOG**

**Day:** Enter the current day of the week  
(Sun. Mon. Tue. Wed. Thurs. Fri. Sat.)  
(ONLY ONE DAY, NOT MULTIPLE DAYS)

**(M/D/Y):** Enter the current month, day, year  
(e.g. 1/30/03)

**Driver/Assistant Name:** Enter name of Driver and Assistant

**Vehicle Tag Number:** Enter vehicle license tag number

**Recipient Name:** Enter full name of recipient

**Recipient Number:** Enter recipient's 8-digit Medicaid identification number

**Pick-up Location:** Enter address where recipient was picked-up

**Time:** Enter the time the recipient was picked-up

**Mileage<sup>1</sup>:** Enter the mileage on the Odometer when the recipient was  
picked-up

**Destination:** Enter address where recipient was dropped-off

**Time:** Enter the time the recipient was dropped-off

**Mileage:** Enter the mileage on the Odometer when the recipient was  
dropped-off

**Check Service:** Put an "X" next to the type of service that was provided

<sup>1</sup> Mileage must be recorded only when travel is outside the Beltway.

The Daily Transportation Log shall be retained for 6 years in accordance with regulations that govern the District of Columbia Medicaid Program.

## DISTRICT OF COLUMBIA TAXICAB COMMISSION

NOTICE OF FINAL RULEMAKING

The District of Columbia Taxicab Commission ("Commission"), pursuant to D.C. Official Code §§ 2-505(a), 50-307(b)(1)(E), 50-308(b)), hereby gives notice of its final rulemaking action taken March 4, 2003, to amend § 823.2 of Chapter 8 of Title 31 of the District of Columbia Municipal Regulations ("DCMR"). The final rulemaking will no longer require that an operator's name appear on the taxi driver's daily manifest ("manifest"), however, operators will still be required to list their identification card number. The notice of proposed rulemaking was published in the *DC Register* on December 20, 2002, at 49 DCR 11455. The proposed rulemaking also amended § 823.1, however, the Commission decided not to adopt the amendment which required operators to log only interstate trips on their manifest. Instead, operators will still be required to log all trips on their manifest. A public hearing was held on January 8, 2003, and comments were received by the Commission and taken into consideration. The Commission decided that only the language in §823.2 should be adopted as final due to the fact that there is no substantial change to the proposed rulemaking. This rule will become effective on the date this notice is published in the DC Register.

Title 31 DCMR, Section 823, MANIFEST RECORD, Subsection 823.2 is amended to read as follows:

**823            MANIFEST RECORD**

823.2            The manifest shall be the same form as Appendix 8-3 and should contain, but not be limited to, the following:

- (a) The date, operator's identification card number, taxicab company, vehicle number, and license plate number;
- (b) The interstate mileage at the beginning and ending of an interstate trip;
- (c) The time and place of origin and time and place of destination of each trip;
- (d) The number of passengers and fare charged for each trip; and
- (e) The time and interstate mileage at the end of the workday.