Evaluation Criteria for Governor's Management Scorecard (2005-2006)

Objectives		Results		
Human Resources Management		**Below Expectations**	**Progress Toward Expectations**	**Meets Expectations**
HR 1	**WORKFORCE PLANNING:** Implements effective workforce plans utilizing accurate and timely workforce data. *Data source: Agency Workforce Plan, Commonwealth Workforce Plan*	Workforce plan is not on file with DHRM or is otherwise out of compliance with policy.	Plan is periodically monitored to identify occupations at high risk. Action steps have been identified to reduce risks and meet agency staffing needs.	Agency plan is complete and reflects current and future occupational needs, risks and necessary action steps. Implementation of action plans is under way.
HR 2	**EMPLOYEE ATTRACTION & RETENTION:** Attracts and retains qualified workforce by strategically using existing human resource management flexibilities, pay practices, and benefits. *Data source: Hiring Report, Pay Practices Report, Applicant Flow Report, Turnover Report, Employee Surveys*	Positions in active recruitment generally remain vacant more than 75 days after approval to fill is granted. Agency does not monitor or analyze turnover, conduct exit interviews or utilize recruiting and retention tools.	Positions in active recruitment generally remain vacant 60 to 75 days after approval to fill is granted. Agency occasionally monitors or analyzes turnover, conducts exit interviews or utilizes recruiting and retention tools.	Positions in active recruitment generally remain vacant less than 60 days after approval to fill is granted. Agency regularly monitors or analyzes turnover, conducts exit interviews or utilizes recruiting and retention tools.
HR 3	**FAIRNESS & DIVERSITY:** Applies management policies and practices fairly and consistently. Champions equal employment opportunity and inclusion by prohibiting discrimination. Utilizes EEO compliance statistics to address deficiencies. *Data source: EEO Assessment Report, Employee Dispute Resolution Report*	Actions are not taken to address inconsistent application of policy or EEO issues. Employee allegations are usually upheld in employee grievances and EEO cases.	Actions are being implemented to address inconsistent application of policy and EEO issues. Employee allegations are occasionally upheld in employee grievances and EEO cases.	Workforce is diverse. Policies are consistently applied and there are rarely EEO issues. Agency positions are consistently upheld in employee grievances and EEO cases. Employee complaints are rarely upheld.

HR 4	**EMPLOYEE PERFORMANCE MANAGEMENT:** Differentiates among levels of performance. Excellence is rewarded, and mediocre or poor performance carries consequences. *Data source: Employee Performance Evaluation Report, Agency Salary Administration Report*	Performance is not managed. Employee performance evaluations have not been completed and appropriately documented. Recognition program is not used.	Performance is managed inconsistently. Most employee performance evaluations have been completed and appropriately documented. Recognition program is used infrequently.	Performance is managed on an ongoing basis. Employee performance evaluations have been completed and appropriately documented. Employee performance evaluation program is appropriately administered. Recognition program is used regularly and effectively.
HR 5	**TRAINING & DEVELOPMENT:** Invests in the training of the workforce to ensure that employees have the appropriate skill sets. Develops employees to meet the current and future needs of the organization. *Data source: Training Report, Employee Training Evaluations*	Employees have generally not been trained and generally do not have the necessary skills to do the job.	Some employees have received appropriate training and have the necessary skills to do the job.	All employees have received appropriate training and have the necessary skills to do the job.
HR 6	**SAFE WORK ENVIRONMENT:** Provides a safe work environment minimizing potential hazards. *Data source: OSHA 300A Report, Agency OSHA Programs, Workers' Compensation Reports*	Workplace hazards are not addressed. Workforce receives no safety training. Safety programs are not in place.	Addresses workplace hazards as they occur. Workforce receives minimal safety training. Safety programs are out-of-date.	Potential hazards have been identified and corrected. Loss data is analyzed. Safety training is provided. Safety programs are up-to-date.
Government Procurement		**Below Expectations**	**Progress Toward Expectations**	**Meets Expectations**
GP 1	**eVA USAGE:** Conducts procurements using advanced technology by: 1) completing all applicable agency purchases through the eVA portal, 2) posting notices of business opportunities on the	1) Less than 75% of agency procurements are processed through eVA. 2) Less than 75% of agency purchases are with registered eVA vendors and	1) At least 75%, but less than 95% of agency procurements are processed through eVA. 2) At least 75%, but less than 95% of agency purchases are made	1) At least 95% of agency procurements are made through eVA. 2) At least 95% of agency purchases are made with registered vendors and suppliers.

	eVA website, and 3) making purchases from vendors and suppliers who are registered in eVA. *Data source: DGS and DOA Management Reports*	suppliers.	with registered vendors and suppliers.	
GP 2	**VIRGINA PARTNERS IN PROCUREMENT CONTRACT USAGE:** Purchases are made from VaPP contracts when such a contract is available and no alternative quality, reasonably priced SWAM vendor or supplier is available. *Data source: DGS Management Reports*	Less than 75% of eligible VaPP purchase dollars are from VaPP contracts.	At least 75%, but less than 85% of eligible VaPP purchase dollars are from VaPP contracts.	At least 85% of eligible VaPP purchase dollars are from VaPP contracts.
GP 3	**SMALL, WOMEN, & MINORITY SUPPLIERS:** Demonstrates commitment to using Small, Women, and Minority (SWAM) suppliers by (1) meeting SWAM purchasing goals identified in agency's SWAM Plan (2) promoting the use of SWAM subcontractors in state construction and major multi-faceted contracts (3) utilizing the available tools and methods approved for enhancing SWAM business participation (4) providing supplier diversity training to employees and (5) timely submission of both the annual agency SWAM Plan and SWAM Quarterly Expenditure Report. *Data source: DMBE SWAM Quarterly Reports*	No actions to increase SWAM contracts; no outreach to SWAM vendors or potential SWAM vendors.	SWAM plan enacted, some progress toward increasing SWAM contracts, some outreach to SWAM vendors or potential SWAM vendors.	SWAM plan active with sufficient progress toward increasing SWAM contracts, adequate outreach to SWAM vendors or potential SWAM vendors.

Financial Management		Below Expectations	Progress Toward Expectations	Meets Expectations
FM 1	**BUDGET PLAN:** Establishes financial plan with spending targets. Ensures expenditures are made in accordance with the Appropriation Act and any other requirements that the Governor may add. Data Source: CARS and PROBUD.	Agency fails to establish or review a financial plan for the fiscal year or expenditures exceed targets and agency does not meet requirements established by the Governor.	Agency establishes and reviews a financial plan for the fiscal year and achieves one of the following expenditures meet target or agency meets requirements established by the Governor.	Agency establishes and reviews a financial plan for the fiscal year and expenditures do not exceed the total target and the agency also meets other requirements established by Governor.
FM 2	**INTERNAL CONTROLS:** Complies with all state laws and regulations, ensures that agency internal control framework and procedures safeguard against the loss or inefficient use of Commonwealth assets, and records financial transactions properly in CARS. *Data Source: Report on Audit for the Year Ended (APA Report)*	More than three audit findings, management letter comments, and/or material internal control weaknesses reported in the most recent APA audit report.	One to three APA audit findings, management letter comments, and/or material internal control weaknesses reported in the most recent APA audit report.	No APA audit findings, management letter comments or material internal control weaknesses reported in the most recent APA audit report.
FM 3	**APA AUDITS:** Ensures that material weaknesses, audit points, and management letter comments from APA audits are adequately and promptly addressed and not recurring. *Data Source: Comptroller's Quarterly Report*	Two or more recurring findings or 1 material weakness.	Untimely corrective action plan or one recurring finding.	No findings or recurring findings, timely corrective action plans.
FM 4	**PROMPT PAY:** Ensures compliance with the minimal acceptable management standard of 95 percent compliance with the prompt pay act. *Data Source: Comptroller's Quarterly Report*	Below 95% compliance in last two quarters.	Below 95% compliance during the most recent quarter.	95% or higher compliance during the quarter.
FM	**DISBURSEMENT**	APA management	"Satisfactory" rating	No APA

5	**POLICIES:** Adheres to statewide disbursement policies governing the legal and proper disbursement of state funds, including but not limited to state travel policies. *Data Source: Comptroller's Quarterly Report*	letter comment regarding compliance with state funds disbursement policies and/or "minimal" or "unacceptable" rating in Comptroller's disbursements review.	in Comptroller's disbursements review.	management letter comments regarding compliance with state funds disbursement policies and "good" or "exceptional" rating in Comptroller's disbursements review.
Technology		**Below Expectations**	**Progress Toward Expectations**	**Meets Expectations**
T1	**IT PLANNING:** Integrates information technology into business operations effectively by implementing a successful Agency IT Strategic Plan tied to the business issues of the agency. Use of information technology continuously leads to efficiencies in business operations. *Data source: Agency IT Strategic Plan (Agency IT Investment Portfolio)*	No Agency Information Technology Strategic Plan in place.	Agency Information Technology Strategic Plan in place, but not updated to reflect planned changes in IT investments.	Agency Information Technology Strategic Plan in place, and continuously updated to reflect planned changes in IT investments.
T2	**IT PROJECT MANAGEMENT:** Manages and reviews agency-based information technology projects to ensure that projects are on schedule, within budget, and meeting business-oriented performance measures. Takes prompt corrective action to address project cost, schedule and performance baseline breaches. *Data source: Major IT Projects Dashboard*	Did not complete major IT project Dashboard evaluations as scheduled.	Major IT project Dashboard evaluations are completed, with status indicators reflecting continuous project problems that are not being addressed through the agency and Secretariat oversight process.	Major IT project evaluations and performance measurements are completed, with status indicators demonstrating corrective actions in place or no continuing problems.
T3	**POLICY ADHERENCE:** Adheres to statewide	Action not taken to address any audit or	A corrective action work plan exists to	Audits or IV&V reports document no

	information technology policies and standards for the management of all agency IT investments. *Data source: APA Audits / VITA Audits / IV&V Reports*	IV&V findings.	address audit or IV&V findings but is incomplete or behind schedule.	deficiencies; or, a corrective action work plan has been implemented and is on schedule.
Performance Management		**Below Expectations**	**Progress Toward Expectations**	**Meets Expectations**
PM 1	**COMMUNICATES AGENCY PLAN:** Develops and documents agency priorities in agency strategic plan, and communicates in at least two ways within thirty days of development to all managers and staff. *Data source: Strategic Plan*	No strategic plan, no quantifiable objectives documented.	Strategic plan with quantifiable objectives documented, but not communicated to all managers and staff in at least two ways within thirty days of development.	Strategic plan with quantifiable objectives documented and communicated in at least two ways within thirty days of development to all managers and staff.
PM 2	**COMMUNICATES AGENCY MANAGEMENT PERFORMANCE:** Agency implements a plan to publicly communicate its management performance to employees and stakeholders regarding: Human Resource Management, Financial Management, Procurement, Performance Management & Resource Stewardship. Agency communicates accurate & timely Management Performance Reports to the Department of Planning & Budget, state oversight entities, the Office of the Secretary and the Office of the Governor. *Data source: DPB On-line Performance*	No public communication of agency management performance. Management reports are consistently not prepared, are not timely or are not submitted to appropriate officials.	Some public communication of agency management performance. Management reports are under development or are often complete, timely and/or submitted to appropriate officials.	Communication of agency management performance covers all management categories and meets due dates established for reports to DPB, state oversight entities, the Secretary or the Governor. Management reports are consistently accurate, timely and are submitted to appropriate officials.

	Report.			
PM 3	**CONTINUITY OF OPERATIONS:** Possess, annually update and exercise Continuity of Operations (COOP) plans; annually certifies to the Governor that the agency has a COOP plan in place. *Data Source: Annual certification summary*	Lack of an identifiable agency-wide COOP planning process and written COOP plan.	An identified & instituted COOP planning process within the agency but no written plan.	An identified COOP planning process, a written COOP plan, a documented annual update cycle with an annual COOP training and exercise effort.
Environmental & Historic Resource Stewardship		**Below Expectations**	**Progress Toward Expectations**	**Meets Expectations**
RS 1	**RESOURCE STEWARDSHIP:** State agencies lead by example in demonstrating stewardship of environmental and historic resources. *Data Source: DCR reports on Erosion and Sediment Control Inspections, Storm water Management Plans, and nutrient management plans; Agency and DEQ reports relating to VPDES inspections, effluent limitations and reporting requirements, and compliance with the Environmental Impact Review (EIR) process* **NOTE:** Participation in DEQ's Environmental Enterprise (E2) program would qualify an agency for "Meets Expectations."	Environmental compliance problems appear frequently. The Environmental Impact Review process is not routinely followed or is initiated too late for meaningful consideration and resolution. Self-inspections and reporting do not occur in accordance with state and federal provisions. Does not practice waste reduction and recycling, energy conservation, water conservation, and the use of green building concepts, and does not support the use of mass transit, car-pooling and telecommuting.	Environmental compliance is not achieved consistently but progress is being readily demonstrated. The Environmental Impact Review process is followed. Responds to inspection reports, complaints and issues of non-compliance within the prescribed timetable but the agency's compliance record remains inconsistent. Has begun waste reduction and recycling, energy conservation, water conservation, and the use of green building concepts, and has begun supporting the use of mass transit, car pooling and telecommuting.	Meets or exceeds environmental compliance on a consistent basis. Natural and historic resource issues are fully integrated into agency operations. The Environmental Impact Review process is followed. Actions to protect resources in agency operations and capital outlay projects are well documented. The agency successfully practices waste reduction and recycling, energy conservation, water conservation, and the use of green building concepts, and fully supports the use of mass transit, carpooling and telecommuting.