



County of Henrico, Virginia

INTEROFFICE MEMORANDUM

TO: Agency Heads & Key Officials

SUBJECT: Performance Appraisal

FROM: Director of Human Resources

DATE: March 16, 2009

As you know, it is almost time to start the annual performance appraisal process. This is an important process that gives managers a tool they can use to evaluate the past performance of their employees while setting goals for the future. This year the process will be a little different for a number of reasons:

1. This will be the first time we will rate the performance of all employees based on Henrico County's nine competencies. These competencies were distributed to supervisors last year and should already have been shared with all employees. The competencies and their behavioral anchors can be found on the Department of Human Resources' web site at www.co.henrico.va.us/hr/rec/competency_definitions.pdf and www.co.henrico.va.us/hr/rec/competency_anchors.pdf. I have also attached copies to this memo.
2. This year we will also be transitioning to the electronic performance appraisal module that is a part of HRMS/STEP. This new electronic performance appraisal will be ready within the next few weeks and training will follow soon thereafter.
3. I am sure you are already aware of the reality of the current economic situation. Many localities have had to make difficult decisions, including furloughs and even layoffs. While Henrico County is faced with a very tight budget and decreasing revenues, we remain committed to our employees and the County Manager has not recommended any staffing reductions. However, at this point, the County Manager has not recommended funding in the FY 09-10 budget for any merit increase or wage adjustment effective the beginning of the fiscal year.
4. In an effort to ensure there is ample time for training on both the new competencies and the new performance appraisal system, we have decided to delay the due date for the performance appraisals for this year. **The performance appraisals will be due to the Department of Human Resources no later than August 28, 2009.** This delay should give you plenty of time to receive training and complete the appraisals in a timely manner. While the due date for the performance appraisals has been extended, the annual rating period will remain the same – July 2008-June 2009.

Remember, if you have new employees who are due a probationary evaluation before the end of the fiscal year, you must still use the hard copy performance appraisal forms and rate the employee on the dimensions appropriate to their job category. These forms are attached and also can be found on the Department of Human Resources' web site at www.co.henrico.va.us/hr/forms/p-11a.pdf and www.co.henrico.va.us/hr/forms/p-11b.pdf. There may be a few employees whose performance would dictate an evaluation prior to August 28, 2009. If this is the case, performance appraisal forms have been created with the new competencies, are also attached, and can be found on the Department of Human Resources' web site at www.co.henrico.va.us/hr/forms/p-11a_comp.pdf and www.co.henrico.va.us/hr/forms/p-11b_comp.pdf. If you have any questions or concerns, please do not hesitate to contact me at 501-4204, (cau@co.henrico.va.us); Paula Reid at 501-2702, (rei21@co.henrico.va.us); or Kathy Roach at 501-4271, (roa@co.henrico.va.us).

George H. Cauble, Jr., SPHR

Attachments



HENRICO COUNTY COMPETENCY DEFINITIONS

1. **Communication:** Developing and maintaining positive relationships
2. **Results Driven:** Understanding and attaining organizational goals and objectives
3. **Serving Customers:** Anticipating and fulfilling the needs of internal and external customers
4. **Leading and Influencing:** Motivating, persuading, and supporting others to accomplish team and organizational goals
5. **Technological Literacy:** Ability to use, understand, and manage technology appropriate for job function
6. **Understanding the Business of Henrico County:** Recognizing and aligning actions with Henrico County's purpose and mission
7. **Personal Accountability:** Planning, organizing, and managing your own time and work. Behaving in an ethical, honest, and trustworthy manner
8. **Managing and Transferring Knowledge:** Effectively sharing ideas, knowledge, or experience with others in order to meet organizational goals
9. **Functional Expertise:** Knowledge and skills necessary to perform a particular type or level of work activity



Henrico County Competency Behavioral Anchors

1. **COMMUNICATION:** Developing and maintaining positive relationships

All Employees

- Communicates verbally in clear, succinct and understandable ways
- Communicates in writing in clear, succinct and understandable ways
- Adjusts style to fit the audience or the situation
- Treats others with respect; takes actions that demonstrate consideration for the feelings and needs of others
- Listens attentively to the ideas and concerns of others
- Is sensitive to impact on others
- Builds consensus for approaches to issues and problems
- Encourages expression of different points of view and negotiates to find common ground

Supervisors (Team Leaders)

- Promotes cooperation, trust, and open exchange of ideas
- Establishes processes for open communication
- Addresses and effectively mediates conflict among employees
- Models superior verbal communication skills
- Models superior written communication skills
- Models treating others with respect, demonstrating consideration for the feelings and needs of others
- Models excellent listening skills
- Models consensus-building
- Models encouraging expression of different points of view and negotiating to find common ground

Henrico County Competency Behavioral Anchors

2. **RESULTS DRIVEN:** Understanding and attaining organizational goals and objectives

All Employees

- Makes timely decisions based on the best information available
- Considers alternatives and selects ones that are cost effective
- Applies innovative ideas
- Looks for opportunities to make improvements and sets increasingly higher production and quality standards
- Commits appropriate resources when supporting a course of action
- Works effectively with team members toward a common goal

Supervisors (Team Leaders)

- Encourages innovation among employees
- Gives guidance to process improvement efforts
- Creates a work culture that rewards positive results
- Communicates a clear vision of team goals and objectives
- Focuses the team's efforts on both the process and desired outcomes
- Models timely decision making using the best information available
- Models innovation
- Models working effectively with team members toward a common goal

Henrico County Competency Behavioral Anchors

3. SERVING CUSTOMERS: Anticipating and fulfilling the needs of internal and external customers

All Employees

Demonstrates understanding of customer needs – both internal and external
Genuinely listens to and considers customer concerns, complaints and ideas
Delivers services accurately and on time
Establishes and maintains effective contacts with customers
Suggests ways to improve processes to fulfill customer needs
Anticipates needs of customers

Supervisors (Team Leaders)

Gives employees the freedom and authority to meet customer expectations in a timely manner
Obtains data to measure customer satisfaction
Adapts department processes and procedures to ensure greater customer satisfaction based on customer feedback
Models listening to and considering customer concerns, complaints and ideas
Models establishing and maintaining effective contacts with customers
Models anticipating needs of customers

Henrico County Competency Behavioral Anchors

4. **LEADING & INFLUENCING:** Motivating, persuading, and supporting others to accomplish team and organizational goals

All Employees

- Provides honest, helpful feedback
- Influences others in a positive way
- Acknowledges and shows appreciation for the individual differences and talents of team members
- Assists co-workers when they are having difficulty
- Considers costs, benefits, and risks when making and implementing decisions
- Shows appreciation for individual and team accomplishments
- Communicates the County's and individual department's vision
- Demonstrates short term actions with an eye to the long term big picture.
- Builds a network of positive relationships throughout the organization

Supervisors (Team Leaders)

- Supports employee development through work assignments, training opportunities and coaching feedback sessions
- Strengthens employees' confidence in their abilities, while holding them accountable for results
- Constructs teams when appropriate
- Assesses performance against objective standards
- Helps employees see program strengths and weaknesses in terms of progressing toward the County's vision
- Delegates to employees to give them room to stretch and grow
- Clearly states expectations for what is to be done, why, and with concerns for priorities, deadlines and quality
- Confronts inappropriate behavior
- Rewards employees who demonstrate integrity in the face of adversity
- Models providing honest, helpful feedback
- Models influencing others in a positive way
- Models acknowledging and showing appreciation for the individual differences and talents of team members
- Models assisting co-workers when they are having difficulty

Henrico County Competency Behavioral Anchors

5. TECHNOLOGICAL LITERACY: Ability to use, understand, and manage technology appropriate for job function

All Employees

Seeks opportunities for development of technology skills.
Utilizes technology in cost effective ways.
Learns and applies new technology and finds practical applications which enhance productivity
Uses the technology required for his or her job

Supervisors (Team Leaders)

Encourages the use of technology among employees
Actively seeks and provides opportunities for employees to develop technology skills
Models seeking opportunities for developing technology skills
Models using technology in cost effective ways
Models learning and applying new technology and finding practical applications which enhance productivity
Models using the technology required for his or her job

Henrico County Competency Behavioral Anchors

6. UNDERSTANDING THE BUSINESS OF HENRICO COUNTY:

Recognizing and aligning actions with Henrico County's purpose and mission

All Employees

Understands the County's and his/her department's services and priorities.
Appreciates the political dynamics that exist inside and outside the organization.

Understands how his or her job impacts overall County or department results.

Identifies fully the resources that will be required to reach a result

In diagnosing problems, considers the interrelationships of departments and functions

Recognizes the ripple effects that can occur from any given change or decision

Practices teamwork across functions

Demonstrates understanding of how functions, groups, and units interact to form a whole

Supervisors (Team Leaders)

Ensures that everyone understands each other's roles and responsibilities and how they relate to the County or department's results

Aligns team goals with those of the organization

Keeps work unit procedures up-to-date and relevant

Makes good decisions on how employees and dollars are committed

Establishes operating objectives and allocates resources appropriately

Models consideration of the interrelationships of departments and functions

Models teamwork across functions

Models understanding of how functions, groups, and units interact to form a whole

Models appreciation of the political dynamics that exist inside and outside the organization

Models recognition of the ripple effects that can occur from any given change or decision

Models an understanding of the County's and his/her department's services and priorities

Henrico County Competency Behavioral Anchors

7. PERSONAL ACCOUNTABILITY: Planning, organizing, and managing your own time and work. Behaving in an ethical, honest, and trustworthy manner

All Employees

- Accepts accountability for own actions.
- Asks for help, when needed
- Meets deadlines and standards for quality and quantity of work.
- Uses time and resources wisely; organizes and prioritizes work
- Takes responsibility for the results of decisions made.
- Acts ethically in all situations and models it accordingly
- Builds trust by keeping word, commitments, and promises
- Is truthful and honest.
- Keeps confidences and maintains confidentiality of information.
- Makes fair decisions based on facts and sound values.
- Gives priority to development and continuous learning
- Has identified strengths, weaknesses and individual learning style.
- Turns mistakes into learning experiences.
- Accepts, supports, and helps implement change
- Makes decisions under conditions of uncertainty
- Provides honest, helpful feedback

Supervisors (Team Leaders)

- Encourages others to ask questions about processes and assumptions
- Holds others accountable for their decisions and actions
- Encourages a work culture of information and knowledge sharing
- Collaborates with team members before making important decisions
- Models accepting accountability for own actions
- Models meeting deadlines and standards for quality and quantity of work
- Models using time and resources wisely; organizing and prioritizing work
- Models taking responsibility for the results of decisions made
- Models acting ethically in all situations
- Models building trust by keeping word, commitments, and promises
- Models being truthful and honest
- Models keeping confidences and maintains confidentiality of information
- Models making fair decisions based on facts and sound values
- Models giving priority to development and continuous learning
- Models turning mistakes into learning experiences
- Models accepting, supporting, and helping implement change
- Models making decisions under conditions of uncertainty
- Models providing honest, helpful feedback

Henrico County Competency Behavioral Anchors

- 8. MANAGING AND TRANSFERRING KNOWLEDGE:** Effectively sharing ideas, knowledge, or experience with others in order to meet organizational goals

All Employees

Consistently develops and implements plans for transferring functional knowledge to others as a means to meet the County's succession management goals

On a daily basis, looks for opportunities to share knowledge with others

Supervisors (Team Leaders)

Models developing and implementing plans for transferring functional knowledge to others as a means to meet the County's succession management goals

Models on a daily basis, looking for opportunities to share knowledge with others

Offers developmental opportunities to employees with consideration for the County's succession management initiative and its goals

Henrico County Competency Behavioral Anchors

9. FUNCTIONAL EXPERTISE: Knowledge and skills necessary to perform a particular type or level of work activity

All Employees

Keeps up-to-date on information in his/her professional specialty.
Makes decisions based on up-to-date information in his/her professional specialty.

Note. This Henrico County competency also refers to the position-specific knowledge, skills, and abilities required to perform the duties of each employee's job.



Employee Performance Appraisal Rating

Name _____ Social Security # - -
 Department/Location _____
 Position # _____ Position Title _____ Grade/Step _____
 Effective date _____ Evaluation Type Annual/Merit Eligible for Merit Increase Yes

This Annual/Merit performance appraisal is based on the following dimensions.

<u>Dimension #</u>	<u>Description</u>
997	Leadership (supervisors only)
998	Customer Service (required)
999	Observation of Work Schedule (required)

Maximum number of dimensions for each position is 10.

The standards/criteria for this position have been reviewed with the employee and serve as the basis for this evaluation. The employee's performance, goals and supporting comments have been outlined on the attached **Narrative** form to this **Employee Performance Appraisal Rating** form. I have also met and discussed this evaluation with the employee.

Based on this evaluation, the overall performance is rated (check one):

- Outstanding
 More than acceptable
 Acceptable
 Needs Improvement
 Extend payperiods
 Unacceptable
 Unacceptable
 Extend payperiods

Signature of the Rater Date

Signature of the Reviewer (optional) Date

My supervisor has discussed this Annual/Merit evaluation with me including the standards upon which the evaluation was based and how well I am performing the duties of my job. I understand that my signature does not necessarily indicate agreement with the evaluation and that, if I choose, I may make comments on Page 2 of this form.

Signature of the Employee Date

Based upon this **Employee Performance Appraisal** form and the attached **Narrative** form, the merit increase, if appropriate, is

- Approved
 Disapproved—Extend payperiods
 Disapproved

Signature of the Agency Head/Designee Date

Instructions to rater:

1. Upon receipt of the pre-printed *Rating* form (P-11a), verify that all preprinted information is accurate.
2. If changes are needed, please make those changes directly on the form and submit them to your departmental contact so the changes can be made and a new form can be generated.
3. Pull the most recent copy of the *Dimensions and Standards/Criteria* form (P-12) from your departmental file(s) and review the standards/criteria before preparing the *Employee Performance Appraisal*. These standards/criteria are based on the job duties of the position and what the employee is supposed to do to perform his/her job satisfactorily.

These standards/criteria should be reviewed regularly and updated when changes occur to the employee's job duties. They also serve as a formal agreement between you and the employee on what the next evaluation will be based. A copy of these standards/criteria should be maintained in your department.

4. Once you have an accurate form, complete both sections of the *Employee Performance Appraisal*—the *Rating* form (P-11 a) and the *Narrative* form (P-11b).

Performance: This is the rater's best effort to tell the employee how well he/she is meeting the standards/criteria that you and the employee have previously reviewed and agreed upon.

Goals/objectives: These are designed to help the employee know how he/she can improve any deficiencies outlined in the Performance Section of this form or how current skills can be enhanced. (*Optional*)

5. Set up a time to meet with the employee to discuss the evaluation.
6. Give the employee both parts of the evaluation and discuss the evaluation and comments with him/her. You may also wish to include individual goals and objectives for the next evaluation period. Explain that he/she may make comments in the section provided below.
7. Make sure that the employee understands thoroughly the dimensions and standards/criteria upon which the next evaluation will be based. If there are changes needed in the standards/criteria or in the dimensions, you should update the information and forward to your departmental personnel contact. You may wish to use the *Dimensions and Standards/Criteria* form (P-12) to record these. Once updated this information is to be kept in your departmental file for safekeeping and review at the next evaluation date.
8. Following the evaluation, forward both forms to the agency head (or designee) for signature **no earlier than March 1 and no later than May 31** for annual/merit performance appraisals. A copy of the signed forms may be kept in the departmental file.
9. Should you have any questions about *annual/merit, probationary, or special* performance appraisals, you should call your departmental personnel contact or the County's Personnel Department for assistance.

Employee comments: (*optional*)

Signature of the Employee

Date



Employee Performance Appraisal Narrative

Name _____ Social Security # - - -
 Department/Location _____ Effective date _____

Instructions: This evaluation is based on the standards/criteria (what the employee is supposed to do to perform the job satisfactorily) which have previously been discussed and agreed upon by the employee and supervisor. Describe below how well the employee is meeting those standards/criteria (performance); and what goal(s) the employee should work toward to improve performance or to enhance his/her skills. Meet with and discuss this evaluation with the employee, giving the employee an opportunity to write comments directly on Page 2 of the **Employee Performance Appraisal Rating** form, if so desired. Attach this **Narrative form** to the **Employee Performance Appraisal Rating** form and submit both for signature of and approval by your agency head, or designee.

DIMENSION #:	DESCRIPTION:
Performance:	
Goal:	
DIMENSION #:	DESCRIPTION:
Performance:	
Goal:	
DIMENSION #:	DESCRIPTION:
Performance:	
Goal:	
DIMENSION #:	DESCRIPTION:
Performance:	
Goal:	
DIMENSION #:	DESCRIPTION:
Performance:	
Goal:	



Employee Performance Appraisal Rating

Name _____ Social Security # _____ - - -
 Department/Location _____
 Position # _____ Position Title _____ Grade/Step _____
 Effective date _____ Evaluation Type Annual/Merit _____ Eligible for Merit Increase Yes

This Annual/Merit performance appraisal is based on the following dimensions.

Competencies:

1. Communication
2. Results Driven
3. Serving Customers
4. Leading and Influencing
5. Technological Literacy
6. Understanding the Business of Henrico County
7. Personal Accountability
8. Managing and Transferring Knowledge
9. Functional Expertise

The standards/criteria for this position have been reviewed with the employee and serve as the basis for this evaluation. The employee's performance, goals and supporting comments have been outlined on the attached **Narrative** form to this **Employee Performance Appraisal Rating** form. I have also met and discussed this evaluation with the employee.

Based on this evaluation, the overall performance is rated (check one):

- Outstanding
 More than acceptable
 Acceptable
 Needs Improvement
 Extend payperiods
 Unacceptable
 Unacceptable
 Extend payperiods

Signature of the Rater Date

Signature of the Reviewer (optional) Date

My supervisor has discussed this Annual/Merit evaluation with me including the standards upon which the evaluation was based and how well I am performing the duties of my job. I understand that my signature does not necessarily indicate agreement with the evaluation and that, if I choose, I may make comments on Page 2 of this form.

Signature of the Employee Date

Based upon this **Employee Performance Appraisal** form and the attached **Narrative** form, the merit increase, if appropriate, is

- Approved
 Disapproved—Extend payperiods
 Disapproved

Signature of the Agency Head/Designee Date

Instructions to rater:

1. Upon receipt of the pre-printed *Rating* form (P-11a), verify that all preprinted information is accurate.
2. If changes are needed, please make those changes directly on the form and submit them to your departmental contact so the changes can be made and a new form can be generated.
3. Pull the most recent copy of the *Dimensions and Standards/Criteria* form (P-12) from your departmental file(s) and review the standards/criteria before preparing the *Employee Performance Appraisal*. These standards/criteria are based on the job duties of the position and what the employee is supposed to do to perform his/her job satisfactorily.

These standards/criteria should be reviewed regularly and updated when changes occur to the employee's job duties. They also serve as a formal agreement between you and the employee on what the next evaluation will be based. A copy of these standards/criteria should be maintained in your department.

4. Once you have an accurate form, complete both sections of the *Employee Performance Appraisal*—the *Rating* form (P-11a) and the *Narrative* form (P-11b).

Performance: This is the rater's best effort to tell the employee how well he/she is meeting the standards/criteria that you and the employee have previously reviewed and agreed upon.

Goals/objectives: These are designed to help the employee know how he/she can improve any deficiencies outlined in the Performance Section of this form or how current skills can be enhanced. (*Optional*)

5. Set up a time to meet with the employee to discuss the evaluation.
6. Give the employee both parts of the evaluation and discuss the evaluation and comments with him/her. You may also wish to include individual goals and objectives for the next evaluation period. Explain that he/she may make comments in the section provided below.
7. Make sure that the employee understands thoroughly the dimensions and standards/criteria upon which the next evaluation will be based. If there are changes needed in the standards/criteria or in the dimensions, you should update the information and forward to your departmental personnel contact. You may wish to use the *Dimensions and Standards/Criteria* form (P-12) to record these. Once updated this information is to be kept in your departmental file for safekeeping and review at the next evaluation date.
8. Following the evaluation, forward both forms to the agency head (or designee) for signature **no earlier than March 1 and no later than May 31** for annual/merit performance appraisals. A copy of the signed forms may be kept in the departmental file.
9. Should you have any questions about *annual/merit*, *probationary*, or *special* performance appraisals, you should call your departmental personnel contact or the County's Personnel Department for assistance.

Employee comments: (*optional*)

Signature of the Employee

Date



Employee Performance Appraisal Narrative

Name

Social Security # - - -

Department/Location

Effective date

Instructions: This evaluation is based on the standards/criteria (what the employee is supposed to do to perform the job satisfactorily) which have previously been discussed and agreed upon by the employee and supervisor. Describe below how well the employee is meeting those standards/criteria (performance); and what goal(s) the employee should work toward to improve performance or to enhance his/her skills. Meet with and discuss this evaluation with the employee, giving the employee an opportunity to write comments directly on Page 2 of the *Employee Performance Appraisal Rating* form, if so desired. Attach this *Narrative form* to the *Employee Performance Appraisal Rating* form and submit both for signature of and approval by your agency head, or designee.

Competency: Communication

Performance:

Goal:

Competency: Results Driven

Performance:

Goal:

Competency: Serving Customers

Performance:

Goal:

Competency: Leading & Influencing

Performance:

Goal:

Competency: Technological Literacy

Performance:

Goal:

Competency: Understanding the Business of Henrico County

Performance:

Goal:

Competency: Personal Accountability

Performance:

Goal:

Competency: Managing and Transferring Knowledge

Performance:

Goal:

Competency: Functional Expertise

Performance:

Goal:

You may attach additional sheets if needed.

Overall comments of the rater: *(optional)*

This evaluation has been discussed with me. I understand that I may add any comments to Page 2 of the **Employee Performance Appraisal Rating** form.

I would like to receive a signed copy of this evaluation: Yes No

Signature of the Employee Date

Signature of the Rater Date