

Compensation Board  
Overview of Career Development Programs  
for Constitutional Officers  
(for SJR 336 Committee)

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## Overview of Compensation Board Career Development Programs for Constitutional Officers

- A Career Development Program (CDP) for Constitutional Officers' offices may be defined as:
  - *An optional salary incentive program for elected Constitutional Officers that requires specific, measurable performance measures exceeding minimum requirements in the Code of Virginia, staff development and training, adherence to financial management standards, development of specific administrative policies, as well as specific training and education requirements for the Constitutional Officer.*
- Constitutional Officer CDP's are optional; no Constitutional Officer is required to participate.
- Compensation Board has been directed by the General Assembly to develop CDP's for :
  - Treasurers (April 7, 1999—Chapter 935)
  - Commissioners of the Revenue (June 25, 2004—Chapter 4)
  - Sheriffs (May 4, 2005—Chapter 951)
  - Clerks (May 4, 2005—Chapter 951)

and to submit the studies to the General Assembly.

- The General Assembly has approved funding for the CDP's for :
  - Treasurers (effective December 1, 2000)
  - Commissioners of the Revenue (effective December 1, 2004)
  - Sheriffs (effective December 1, 2005)
- Salary increases are not permanent, but require recertification every year as part of the Compensation Board's annual budget process.
- Officers who certify compliance with the programs are subject to audit by the Compensation Board.
- Salary increases for funded programs (Treasurers, Commissioners of the Revenue and Sheriffs) are up to 9.3% depending upon duties assigned to the officers.
- A "side-by-side" comparison of CDP's is provided as Appendix A.
- Paragraph J, Item 66, Chapter 951, 2005 Acts of Assembly directed the Compensation Board to develop minimum criteria for a Clerks' CDP and submit the criteria to the Chairmen of the Senate Finance and House Appropriations Committees by November 15, 2005.

- The General Assembly was very specific in its direction to the Compensation Board in what the plan was to include; the language in Item 66 required that the program "... include *initial and continuing education requirements for Clerks, the adoption of certain written administrative and human resource management policies, audit requirements, written customer service and accounting policies, and performance standards for each major duty of the office, and any other matters deemed relevant by the Compensation Board. Beginning July 1, 2006, the program shall require that the Clerk certify to the Compensation Board that the most recent audit by the Auditor of Public Accounts reported no findings of material weakness under direction of the Clerk during the Clerk's term of office or internal control shortcomings in the prior year's report during the Clerk's term of office that are repeated in the current audit report.*"
- Compensation Board asked for input from Clerks; over the summer, the draft was prepared in cooperation with a committee of Clerks and provided to all Clerks for comment on August 1<sup>st</sup> with responses due by August 17<sup>th</sup>.
- Compensation Board met August 24<sup>th</sup> and approved the Clerks' CDP. (Appendix B)
- Compensation Board has requested funding for the CDP; we estimate that 33 Clerks will meet the criteria in FY07 and 39 in FY08 at a cost of \$127,000 in FY07 and \$300,000 in FY08.

**Appendix A: COMPARISON OF CAREER DEVELOPMENT PROGRAMS (9/30/05)**

| Approved Treasurers' CDP   | Approved Commissioners of the Revenue CDP  | Approved Sheriffs' CB Certification   | Approved Sheriffs' CB Accreditation  | Approved Clerks' CDP   |
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| <p>I hereby certify that I have met or exceeded the following criteria:</p> <ul style="list-style-type: none"> <li>I have achieved Level II certification from the Weldon Cooper Center for Public Service at the University of Virginia.</li> </ul> <p>(Certification requires the officer to attend 6 classes totaling approximately 72 hours of instruction time. All classes are graded.)</p> <p>Certificate requires the officer to: Accumulate 100 points from a combination of A. Education and Experience; B. Service to the Association; C. Continuing Education.</p> <p>Six mandatory classes must be taken and a test passed in each class.</p> | <p>I hereby certify that I have met or exceeded the following criteria (<i>initial each item below</i>):</p> <ul style="list-style-type: none"> <li>I have achieved certification from the Weldon Cooper Center for Public Service at the University of Virginia.</li> </ul> <p>(Certification requires the officer to attend 6 classes totaling approximately 72 hours of instruction time. All classes are graded.)</p> <p>Certificate requires the officer to: Accumulate 100 points from a combination of A. Education and Experience; B. Service to the Association; C. Continuing Education.</p> <p>Classes include:<br/>Roles and Responsibilities of the Commissioner PLUS<br/>3 other CORE courses AND<br/>2 other ELECTIVE courses</p> | <p>I have completed 24 hours of VSI approved management, supervision or other training specifically related to the duties of the Sheriff in the past 12 months.</p> | <p>I have achieved accreditation from the Virginia Law Enforcement Professional Standards Commission on _____ (date) for a period of _____ years.</p> <p><b>OR</b></p> <p>I have achieved accreditation from the Commission on Accreditation for Law Enforcement Agencies on _____ (date) for a period of _____ years.</p> <p><b>OR</b></p> <p>I have achieved accreditation from the American Correctional Association on _____ (date) for a period of _____ years.</p> | <ul style="list-style-type: none"> <li>I have achieved the "Certified Virginia Circuit Court Executive" designation from the National Center of State Courts on _____ (date)</li> </ul>                      |
| <p>Lawful employment is a 12-hour class offered as one of the elective courses.</p>  | <p>Lawful employment is a 12-hour class offered as one of the elective courses.</p>  | <p>The Sheriff or member of his command staff must complete 8 hours of lawful employment each calendar year. (Effective November 1, 2006)</p>                       | <p>The Sheriff or member of his command staff must complete 8 hours of lawful employment each calendar year. (Effective November 1, 2006)</p>  | <p>Officer is required to take 12 hours of lawful employment training for certification.</p>   |
| <ul style="list-style-type: none"> <li>A defined number of employees based on a population chart must be enrolled and participating in the Certified Deputy Treasurer program administered by the Weldon Cooper Center for Public Service.</li> </ul> <p>Population size ranges from Less than 19,999 (1 Deputy) to More than 249,999 (7 Deputies)</p>   | <ul style="list-style-type: none"> <li>A defined number of employees based on a population chart must be enrolled and participating in the Master Deputy Commissioner of the Revenue program administered by the Weldon Cooper Center for Public Service.</li> </ul> <p>Population size ranges from Less than 19,999 (1 Deputy) to More than 249,999 (7 Deputies)</p>  | <p>I have adopted the Compensation Board's minimum criteria for the Master Deputy Program.</p> <p>(20% of all Grade 7/8 deputies)</p>                               | <p>I have adopted the Compensation Board's minimum criteria for the Master Deputy Program.</p> <p>(20% of all Grade 7/8 deputies)</p>  | <ul style="list-style-type: none"> <li>A defined number of employees based on a population chart must achieve a specific number of hours of instruction each year based upon locality population.</li> </ul> |
| <ul style="list-style-type: none"> <li>I have developed and implemented written policies consistent with state and federal law addressing leave and attendance, equal opportunity, sexual</li> </ul>   | <ul style="list-style-type: none"> <li>I certify that I have developed and implemented written policies consistent with state and federal law addressing leave and attendance, equal opportunity,</li> </ul>   | <p>Addressed in accreditation standards: PER.01.01, .02, .03, .04 &amp; .05; PER.02.01, .02 &amp; .03; PER.03.01 &amp; .02; PER.09.02</p>                           | <p>Addressed in accreditation standards: PER.01.01, .02, .03, .04 &amp; .05; PER.02.01, .02 &amp; .03; PER.03.01 &amp; .02; PER.09.02</p>  | <ul style="list-style-type: none"> <li>I have developed and implemented written policies consistent with state and federal law addressing leave and</li> </ul>   |

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| harassment, recruitment and selection and employee disciplinary procedures or adopted local government policies that meet the same standard.   | sexual harassment, recruitment and selection and employee disciplinary procedures or adopted local government policies that meet the same standard.   |  |  | attendance, equal opportunity, sexual harassment, recruitment and selection, employee disciplinary procedures and Freedom of Information or adopted local government policies that meet the same standard.  |
| <ul style="list-style-type: none"> <li>I have adopted the Compensation Board's minimum criteria for employee evaluation plans, delegation of classification authority, and Deputy Treasurer career development plans.</li> </ul>   | <ul style="list-style-type: none"> <li>I certify that I have adopted the Compensation Board's minimum criteria for employee evaluation plans, delegation of classification authority, and Deputy Commissioner of the Revenue Career Development Plans.</li> </ul>   | Addressed in accreditation standards:<br>ADM.08.01<br>PER.06.01 & .02  | Addressed in accreditation standards:<br>ADM.08.01<br>PER.06.01 & .02  | <ul style="list-style-type: none"> <li>I have written job descriptions for each employee and conduct annual performance evaluations with each employee.</li> </ul>  |
| <ul style="list-style-type: none"> <li>The audit report for year ending on _____ from the Auditor of Public Accounts, as well as an independent audit report for year ending on _____ from _____ (name of audit firm) reported no findings of material financial weakness under my direction and that no internal control shortcomings identified in the prior year management letter were repeated in the most recent audit. I have two consecutive audits, from the APA and an independent audit firm, with the same time period covered by all audits being completely within my term of office.</li> </ul> | N/A<br>(No Commissioners handle cash)   | The Sheriff must certify that the most recent audits by the APA and the local government auditor reported no findings of material financial weakness under the direction of the Sheriff and that no internal control weaknesses identified in the prior year management letter were repeated in the most recent audit. The Sheriff must have two consecutive audits from the APA and the local government auditor with the time period covered by the audits being completely within the Sheriff's term of office. | The Sheriff must certify that the most recent audits by the APA and the local government auditor reported no findings of material financial weakness under the direction of the Sheriff and that no internal control weaknesses identified in the prior year management letter were repeated in the most recent audit. The Sheriff must have two consecutive audits from the APA and the local government auditor with the time period covered by the audits being completely within the Sheriff's term of office. | <ul style="list-style-type: none"> <li>The audit report for year ending on _____ from the Auditor of Public Accounts (APA) did not contain any internal control matters that in the opinion of the APA could be reasonably expected to lead to the loss of assets or otherwise compromise fiscal accountability. I have two consecutive audits from the APA with both audits being completely within my term of office.</li> <li>I have by written statement adopted the financial policies and procedures published in the SCV Users Guide. If I have chosen not to adopt any policy or procedure in this document, I have a written alternative process which displays adequate internal controls and includes a staff training plan on the alternative process as well as methods to insure the process and training are updated as systems, statutes and alternative processes evolve.</li> </ul> |
| <ul style="list-style-type: none"> <li>I have a written Delinquent Collections policy; my collection rate for real estate taxes in tax year _____ was _____%; my collection rate for personal property taxes in tax year _____ was _____%. These percentages are measured 12 months after each tax year's due date that occurred during my term of office. I have calculated my collection rate using the Compensation Board's formula established in the amended Minimum Criteria for Treasurers' Career Development Programs.</li> </ul>   | <ul style="list-style-type: none"> <li>I certify that 100% of all written appeals of assessment for BPOL received by my office in the past twelve months were issued a Final Determination within 90 days from the date of receipt of all requested information from the Attorney General, Department of Taxation, and client.</li> <li>I certify that 100% of all written appeals of assessment of Tangible Personal Property and other Local Option Tax assessments received by my office in the past twelve months were issued a Final Determination within 90 days</li> </ul> | (Sheriffs with Jails)<br>_____<br><br>_____<br><br>I have achieved a finding of satisfactory or greater in the most recent LIDS audit conducted by the Compensation Board.<br><br>I have achieved a rating of 95% on the most recent triennial certification by the Department of Corrections.   | N/A  | <ul style="list-style-type: none"> <li>I have a written policy that all deeds are recorded and indexed within 15 days of receipt. I periodically audit, or cause to be audited, the receipt dates and recordation dates of instruments and maintain a written record of these audits and corrective action taken, if necessary.</li> <li>I am currently participating in the Integrated Revenue Management System (IHRMS).</li> <li>I have a written contingency and</li> </ul>   |

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|  | <p>from the date of receipt of all requested information.</p> <ul style="list-style-type: none"> <li>— I certify that I have established and implemented, and that I maintain, a professional, uniform and equitable assessment policy in accordance with the guidelines provided in the COR CDP.</li> <li>— I certify that I have established and implemented, and that I maintain, an objective and systematic process of discovering, accumulating and evaluating financial records and other evidence in order to determine conformity of ad valorem and excise tax filings with the applicable state and local tax laws.</li> <li>— I certify that I have a written Confidentiality Policy, and that I have established a process for investigating employee breaches of confidentiality.</li> <li>— I certify that I meet the minimum criteria for COR CDP as established herein. I certify that I provide the following additional services: <ul style="list-style-type: none"> <li>— I certify that 100% of all written appeals of assessment for Real Estate received by my office in the past twelve months were issued a Final Determination within 90 days from the date of receipt of the appeal.</li> <li>— I certify that I have accomplished the following with respect to the processing of State Income Tax returns: <ul style="list-style-type: none"> <li>○ Maintain access to the Department of Taxation State Tax Accounting &amp; Reporting System (STARS).</li> <li>○ Process State Income</li> </ul> </li> </ul> </li> </ul> | <p>_____</p> <p>I have achieved a compliance rating of 100% on the annual unannounced inspection conducted by the Department of Corrections.</p> |  | <p>preparedness plan for fire, bomb threats and the like to insure the continuity of operations of the Clerk's office.</p> <ul style="list-style-type: none"> <li>• If requested by the Chief Judge, I use a Juror Exit Questionnaire and review the results with the Chief Judge.</li> <li>• I have a written policy on time-to-pay agreements for fines and costs. I periodically audit, or caused to be audited, selected agreements to insure conformance with this policy. I document the results of these audits and corrective actions taken, if any. <ul style="list-style-type: none"> <li>○ I maintain the following updated manuals, in electronic or written format: <ul style="list-style-type: none"> <li>A. Civil Procedure</li> <li>B. Criminal Procedure</li> <li>C. Probate and Administration Procedure</li> <li>D. Deed Recordation</li> <li>E. Miscellaneous Procedures and automated financial and case management systems</li> <li>F. Compensation Board Technology Trust Fund Manual</li> </ul> </li> </ul> </li> <li>• I issue appropriate notices to parties and strike cases from the docket in accord with the court order. Upon request of the Court, I also issue automated case management reports to assist the Court in its case-delay reduction</li> </ul> |
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|   | <ul style="list-style-type: none"> <li>○ Tax Returns and Estimated Income Tax payments as required per Department of Taxation Procedures Pamphlet.</li> <li>○ Met the Disclosure, Security and Confidentiality requirements as imposed by the Department of Taxation.</li> </ul> |   |  | <ul style="list-style-type: none"> <li>• efforts.</li> <li>• As Records Manager pursuant to §17.1-213, I approve the destruction of all court records. I conduct an annual review of my records retention and document the results of this review and corrective actions taken, if any.</li> <li>• Unless otherwise provided by §17.1-619(B) Code of Virginia, all funding for this office, regardless of source, is approved prior to expenditure by my governing body pursuant to the provisions of §§15.2-520, 15.2-827, 15.2-2506 and 15.2-2507, Code of Virginia.</li> </ul> |
| <ul style="list-style-type: none"> <li>• I have a written Customer Service Policy.</li> </ul> | <ul style="list-style-type: none"> <li>• I certify that I have a written Customer Service Policy</li> </ul>  | Addressed in Accreditation Standards: ADM.20.01, .02 & .03  | Addressed in Accreditation Standards: ADM.20.01, .02 & .03 | <ul style="list-style-type: none"> <li>• I have a written Customer Service Policy.</li> </ul>   |
| <ul style="list-style-type: none"> <li>• I have a written Investment Policy</li> </ul>        | N/A  | N/A   | N/A  | <ul style="list-style-type: none"> <li>• I submit all monthly reimbursement requests to the Compensation Board by the seventh (7<sup>th</sup>) business day of each month unless otherwise directed by the Compensation Board.</li> </ul>   |
| N/A   | <ul style="list-style-type: none"> <li>— I certify adherence to, and practice of, the Code of Ethics and Standards of Professional Conduct of the IAAO.</li> </ul>   | N/A   | N/A  | <ul style="list-style-type: none"> <li>• I transmit all original DC-40 vouchers to the Supreme Court of Virginia within five business days of receipt of the approved vouchers from the Court. I annually audit, or caused to be audited vouchers to determine compliance with the policy and I document the results of these audits and corrective actions taken, if any.</li> </ul>   |
| N/A   | <ul style="list-style-type: none"> <li>— I certify that I have implemented a written procedure for handling Freedom of Information requests.</li> </ul>  | Addressed in Accreditation Standards: ADM.22.03   | Addressed in Accreditation Standards: ADM.22.03            | Addressed in Administration Policies.   |
| N/A   | <ul style="list-style-type: none"> <li>— I certify that I have implemented a process of discovering and applying uniform practices for the filing, abatement and appeals of all Local Option Taxes that are assessed by my locality.</li> </ul>                                  | N/A   | N/A  | <ul style="list-style-type: none"> <li>• I transmit sentencing orders to the Virginia Department of Corrections within 25 days of entry of the orders.</li> </ul>   |
| N/A   | <ul style="list-style-type: none"> <li>— I certify that my personal property book was presented to the Treasurer of my locality listing all accounts that were established by September 1 of this year or within 90 days from the date</li> </ul>                                | <p>(Sheriffs with Law Enforcement)</p> <ul style="list-style-type: none"> <li>• I have developed, implemented and documented the following Virginia Law Enforcement Accreditation Standards:</li> </ul> | N/A  | <ul style="list-style-type: none"> <li>• I establish in a case management system properly filed initial pleadings in civil cases within five (5) business days.</li> </ul>  |

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|                | <p>the rate of tax on personal property was determined. (Note: If the Department of Taxation extended the time of delivery for such books, please attach correspondence providing verification for the extension.)</p>   | <table border="0"> <tr> <td>Administration</td> <td>Operational</td> </tr> <tr> <td>ADM.11.01</td> <td>OPR.03.06</td> </tr> <tr> <td>ADM.20.02</td> <td>OPR.04.01</td> </tr> <tr> <td>ADM.21.01</td> <td>OPR.04.02</td> </tr> <tr> <td>ADM.23.02</td> <td>OPR.04.03</td> </tr> <tr> <td>ADM.24.01</td> <td>OPR.04.04</td> </tr> <tr> <td>ADM.24.02</td> <td></td> </tr> <tr> <td>ADM.24.03</td> <td></td> </tr> <tr> <td>ADM.24.04</td> <td></td> </tr> <tr> <td>ADM.24.05</td> <td></td> </tr> <tr> <td>ADM.24.08</td> <td></td> </tr> <tr> <td>ADM.24.09</td> <td></td> </tr> <tr> <td>ADM.24.10</td> <td></td> </tr> </table> | Administration  | Operational  | ADM.11.01 | OPR.03.06 | ADM.20.02 | OPR.04.01 | ADM.21.01 | OPR.04.02 | ADM.23.02 | OPR.04.03 | ADM.24.01 | OPR.04.04 | ADM.24.02 |  | ADM.24.03 |  | ADM.24.04 |  | ADM.24.05 |  | ADM.24.08 |  | ADM.24.09 |  | ADM.24.10 |  |  | <ul style="list-style-type: none"> <li>• I transmit Sentencing Guideline Forms to the Virginia Criminal Sentencing Commission within four (4) business days from the receipt of all documents fully executed by the Court.</li> <li>• I update sentencing disposition information in CAIS not later than 25 calendar days following sentencing.</li> <li>• I assess fines and costs in FMS within 12 calendar days following sentencing.</li> <li>• I record and index all certificates of satisfaction on average within 25 business days after receipt in proper form in the office.</li> <li>• I complete documentation and take oaths for marriage licenses from the parties within 2 hours of the request.</li> <li>• I transmit all completed applications for Concealed Handgun permits to local law enforcement within five business days of receipt of the completed application, in proper form, in the office.</li> <li>• I successfully electronically transmit court ordered fines and fees collection data to the collection agent chosen by the Commonwealth's Attorney of my locality in accordance with law.</li> <li>• I have written policies and procedures in place in my office to ensure compliance with <u>Code of Virginia</u> §19.2-305.1 regarding the handling of restitution.</li> <li>• I provide secure remote access to my land records to each local government officer who requests such access effective July 1, 2006.</li> <li>• I provide remote access to the Virginia Courts Case Information.</li> </ul> |
| Administration | Operational  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.11.01      | OPR.03.06  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.20.02      | OPR.04.01  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.21.01      | OPR.04.02  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.23.02      | OPR.04.03  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.01      | OPR.04.04  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.02      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.03      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.04      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.05      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.08      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.09      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| ADM.24.10      |  |  |   |  |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |
| N/A            | <p>— I certify that I have implemented the minimum <b>basic</b> technological methods and procedures required to perform the duties of the Commissioner of the Revenue. I further certify that I have a written plan in place to outline implementation of the <b>optional</b> criteria.</p> | <p>— This office has a website providing, at a minimum, services provided, hours of operation and contact information (effective July 1, 2006).</p> <p>— This office has a VCIN terminal and LiveScan fingerprint capability or a plan to do so (effective July 1, 2006).</p>  | <p>— This office has a website providing, at a minimum, services provided, hours of operation and contact information (effective July 1, 2006).</p> <p>— This office has a VCIN terminal and LiveScan fingerprint capability or a plan to do so (effective July 1, 2006).</p> | <ul style="list-style-type: none"> <li>• I provide secure remote access to land records (effective July 1, 2006).</li> </ul> |           |           |           |           |           |           |           |           |           |           |           |  |           |  |           |  |           |  |           |  |           |  |           |  |  |  |

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| <p>I agree to provide such documentation as necessary to substantiate this certification upon request of the Compensation Board, my governing body or any individual or organization covered under the Virginia Freedom of Information Act. I understand that I will have seven business days to respond to Compensation Board requests, and that failure to respond within the time limit will result in my application for certification being denied for that year. I have provided a copy of this certification to my governing body.</p> <p>_____<br/>Signature of Treasurer      _____<br/>Date</p> | <p>I agree to provide such documentation as necessary to substantiate this certification upon request of the Compensation Board, my governing body, the CORVa Certification Oversight Committee or any individual or organization covered under the Virginia Freedom of Information Act. I have provided a copy of this certification to my governing body.</p> <p>_____<br/>Signature of Commissioner of the Revenue</p> <p>_____<br/>Date</p> | <p>I agree to provide such documentation as necessary to substantiate this certification upon request of the Compensation Board, my governing body or any individual or organization covered under the Virginia Freedom of Information Act. I understand that I will have seven business days to respond to Compensation Board requests, and that failure to respond within the time limit will result in my application for certification being denied for that year. I have provided a copy of this certification to my governing body.</p> <p>_____<br/>Signature of Sheriff      _____<br/>Date</p> | <p>I agree to provide such documentation as necessary to substantiate this certification upon request of the Compensation Board, my governing body or any individual or organization covered under the Virginia Freedom of Information Act. I understand that I will have seven business days to respond to Compensation Board requests, and that failure to respond within the time limit will result in my application for certification being denied for that year. I have provided a copy of this certification to my governing body.</p> <p>_____<br/>Signature of Sheriff      _____<br/>Date</p> | <p>I agree to provide such documentation as necessary to substantiate this certification upon request of the Compensation Board, my governing body or any individual or organization covered under the Virginia Freedom of Information Act. I understand that I will have ten (10) business days to respond to Compensation Board requests, and that failure to respond within the time limit will result in my application for certification being denied for that year. I have provided a copy of this certification to my governing body.</p> <p>_____<br/>Signature of Clerk      _____<br/>Date</p> |
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Compensation Board  
Minimum Criteria for Clerks of Circuit Court  
Career Development Programs

Adopted by the  
Compensation Board  
August 24, 2005

August 25, 2005

The Honorable Mark Warner  
Governor of Virginia  
State Capitol  
Richmond, VA 23219

Senator John H. Chichester, Chairman  
Senate Finance Committee  
General Assembly Building, 10<sup>th</sup> floor  
910 Capitol Street  
Richmond, Virginia 23219

Delegate Vincent F. Callahan, Jr., Chairman  
House Appropriations Committee  
General Assembly Building  
910 Capitol Street  
Richmond, Virginia 23219

Dear Gentlemen:

Enclosed, per the provisions of paragraph J, Item 66, Chapter 951, 2005 Acts of Assembly, is the Compensation Board's minimum criteria for the Clerks' Career Development Program.

I will be pleased to provide any additional information or answer any questions you may have on this program.

Sincerely,

Frank Drew  
Chairman

Bruce W. Haynes  
Executive Secretary

Enclosure

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## Executive Summary

The 2005 General Assembly directed the Compensation Board to develop a career development plan (CDP) for Clerks. A committee comprised of Compensation Board staff, representatives from the Auditor of Public Accounts and Supreme Court, and elected Clerks was formed to develop the criteria for participation in the plan. The adopted plan sets the following criteria for participation in the career development program: the Clerk must achieve and maintain the "Certified Virginia Circuit Court Executive" designation from the National Center of State Courts; a minimum number of training hours based upon office size must be achieved by the Clerk's employees each year; the Clerk must certify the adoption of certain administrative policies; the locality's most recent audit report must contain no findings of material financial weakness under the direction of the Clerk (effective July 1, 2006); the Clerk must have a written performance standards for each major duty of the office which exceed minimum requirements found in the Code of Virginia; and the Clerk must have a written Customer Service Policy.

If the General Assembly wishes to make the CDP available to all Clerks of the Circuit Court, the estimated salary and fringe benefits costs necessary to provide a 9.3% salary increase is \$908,044 (GF) each year. (The estimate is for 117 Clerks as the Code allows the cities of Richmond, Roanoke, and Newport News to retain all Clerks' fees and pay all Clerks' expenses.)

It is assumed that approximately 28% of Clerks will be eligible to participate the first year and 33% the second year at the estimated salary and fringe benefits cost of \$254,252 in FY07 and \$299,655 in FY08.

## Study Participants

Honorable W. R. Carter, Jr., Clerk, Suffolk Circuit Court  
Paige G. Curtis, Senior Fiscal Technician, Compensation Board  
Honorable John B. Davis, Clerk, Augusta Circuit Court  
Honorable Bevill M. Dean, Clerk, Richmond City Circuit Court  
Honorable Barbara G. Decatur, Clerk, Stafford Circuit Court  
Paul F. Delosh, Director of Technical Assistance, Supreme Court of Virginia  
Robyn M. de Socio, Assistant Executive Secretary, Compensation Board  
John G. "Chip" Dicks, Esq., Clerks' Legislative Liaison  
Honorable John T. Frey, Clerk, Fairfax Circuit Court  
Honorable Paul C. Garrett, Clerk, Charlottesville Circuit Court  
Bruce W. Haynes, Executive Secretary, Compensation Board  
Richard A. Lampman, Audit and Reporting Supervisor, Compensation Board  
Honorable R. Glennwood Lookabill, Clerk, Pulaski Circuit Court  
Honorable Paul M. Metzger, Clerk, Spotsylvania Circuit Court  
Honorable Faye W. Mitchell, Clerk, Chesapeake Circuit Court  
Honorable Sharron S. Mitchell, Clerk, Fredericksburg Circuit Court  
Honorable Cynthia P. Morrison, Clerk, Portsmouth Circuit Court  
Honorable Ashby R. Pritchett, Clerk, Martinsville Circuit Court  
Honorable George E. Schaefer, Clerk, Norfolk Circuit Court  
James M. Shepard, Audit Director, Auditor of Public Accounts  
Honorable Yvonne G. Smith, Clerk, Henrico Circuit Court  
Honorable Linda S. Timmons, Clerk, Orange Circuit Court  
Honorable Judy L. Worthington, Clerk, Chesterfield Circuit Court

## Authority

Paragraph J, Item 66, Chapter 951  
2005 Acts of Assembly

"J.1. The Compensation Board shall develop minimum criteria for a career development program for Clerks of Circuit Courts. The criteria for the program shall include initial and continuing education requirements for Clerks, the adoption of certain written administrative and human resource management policies, audit requirements, written customer service and accounting policies, and performance standards for each major duty of the office, and any other matters deemed relevant by the Compensation Board. Beginning July 1, 2006, the program shall require that the Clerk certify to the Compensation Board that the most recent audit by the Auditor of Public Accounts reported no findings of material weakness under direction of the Clerk during the Clerk's term of office or internal control shortcomings in the prior year's report during the Clerk's term of office that are repeated in the current audit report.

2. The program shall require any Clerk of the Circuit Court who desires to participate in it to certify to the Compensation Board that the career development plan in effect in his office meets the minimum criteria for such plans as set by the Compensation Board, and that his office also has a Deputy Circuit Court Clerks' Career Development plan that meets the minimum criteria established by the Compensation Board for such plans.

3. The Compensation Board shall submit the Career Development Program for Clerks of Circuit Courts to the Governor and the Chairmen of the House Appropriations and Senate Finance Committees no later than November 15, 2005.

4. Notwithstanding the provisions of § 17.1-279 C, Code of Virginia, the Compensation Board may allocate funds from the technology trust fund for consulting services provided by the National Center for State Courts to assist in the development of a Career Development Program for Circuit Court Clerks.

## Compensation Board Minimum Criteria for Clerks' Career Development Programs

### Clerk

Clerk shall mean, for the purposes of this study, any elected Circuit Court Clerk of a city or county in the Commonwealth of Virginia.

#### 1. Training and Development

The Clerk must achieve and maintain the designation of "Certified Virginia Circuit Court Executive" from the National Center for State Courts. The National Center for State Courts' coursework leading to this designation, and any subsequent revisions thereto shall be submitted for approval to the Compensation Board. Designation as a "Certified Virginia Circuit Court Executive" shall require, at a minimum, 160 accredited contact hours\* of instruction in specific duties and responsibilities of a Virginia Circuit Court Clerk. Accreditation shall be provided by the National Center for State Courts. A minimum of 12 of the 160 hours must be in employment law.

After the "Certified Virginia Circuit Court Executive" designation is earned, the Clerk must attend or provide a minimum of 16 accredited contact hours\* of instruction in the specific duties and responsibilities of a Virginia Circuit Court Clerk in the 12 months preceding annual recertification.

\*The accrediting agency shall determine the method of instruction; nothing herein is intended to prevent distance learning, web-based classes, or the equivalent.

#### 2. Staff Development and Training

The Clerk shall annually certify to the Compensation Board that the minimum number of contact hours\* in his/her office shown below have been achieved in the specific duties and responsibilities of an employee of the Circuit Court Clerk in the 12 months preceding the Clerk's initial certification for Career Development status and all subsequent recertifications. Accreditation of courses shall be as prescribed by a subcommittee of circuit court clerks from the Career Development Committee.

\*The accrediting agency shall determine the method of instruction; nothing herein is intended to prevent distance learning, web-based classes, or the equivalent.

| <u>Locality Population**</u> | <u>Required Minimum Number of Annual Contact Hours</u> |
|------------------------------|--|
| Less than 19,999             | 16   |
| 20,000 – 39,999              | 32   |
| 40,000 – 69,999              | 48   |
| 70,000 – 99,999              | 64   |
| 100,000 – 174,999            | 80   |
| 175,000 – 249,999            | 96   |
| 250,000 and over             | 112  |

\*\*Population shall be determined by using the most recent U.S. Census data or population estimate provided by the Weldon Cooper Center for Public Service.

**Employee shall mean for the purpose of this plan, any full-time position in a Clerk's office.**

### **3. Administrative Policies**

The Clerk must develop and implement written policies consistent with applicable state and federal law addressing the following topics:

- leave and attendance
- equal opportunity
- sexual harassment
- recruitment and selection
- employee disciplinary procedures (excluding grievance procedures, if Clerk has opted out)
- freedom of information

In lieu of developing and implementing the above policies, the Clerk may by written statement adopt the local governing body's policies on these matters.

### **4. Human Resource Management**

The Clerk must have job descriptions for each employee and certify that performance evaluations have been completed and reviewed annually with each employee.

### **5. Deputy Career Development**

The Clerk has adopted the Compensation Board's minimum Criteria for Deputy Clerk career development plans.

### **6. Financial Management**

Effective July 1, 2006, the Clerk must certify to the Compensation Board that:

- the most recent audit of the Clerk's office completed by the Auditor of Public Accounts did not contain any internal control matters that, in the opinion of the APA, could be reasonably expected to lead to the loss of revenues or assets, or otherwise compromise fiscal accountability. The Clerk must have two consecutive audits from the APA with both audits being completely within the Clerk's term of office.

### **7. Financial Management**

- The Clerk by written statement adopts the financial policies and procedures published in the SCV Users Guide. However, if the Clerk chooses to deviate from the SCV Financial System's User Guide's policies and procedures, the clerk shall maintain documentation of his alternative process which displays adequate internal controls and a staff training plan on the alternative procedures as well as methods to keep the process and staff training updated as systems, statues and alternative processes evolve.

### **8. Customer Service**

The Clerk must have a written Customer Service Policy that addresses customer expectations and the Clerk's method of meeting those expectations.

## 9. Performance Standards

The Clerk has adopted and published performance standards, which meet or exceed Code of Virginia requirements (if applicable) for the following major duties of the office:

- A. **The Clerk has all deeds and deeds of trust recorded and indexed within 15 days of receipt.**
- B. The Clerk is currently participating in the Integrated Revenue Management System (IRMS)
- C. The Clerk maintains a written contingency and preparedness plan for fire, bomb, loss of power, etc. In lieu of developing such a plan, the Clerk may, by written statement, adopt the policies established by the Sheriff's Department, Police Department, local government or Chief Judge.
- D. If requested by the Court, the Clerk uses a Juror Exit questionnaire and reviews the results with the Chief Judge.
- E. The Clerk maintains a written policy on time-to-pay agreements for fines and costs.
- F. The Clerk maintains, in electronic or written format, up-to-date Circuit Court Clerks' manuals for the following: Civil Procedure, Criminal Procedure, Probate & Administration Procedure, Deed Recordation, Miscellaneous Procedures and automated financial and case management systems and the Technology Trust Fund manual.
- G. The Clerk, pursuant to Va. Code Section 8.01-335, issues appropriate notices to parties and strikes cases from the docket in accord with the Court's order. Upon request of the Court, the Clerk also issues automated case management reports to assist the Court in its case-delay reduction efforts.
- H. The Clerk, as Records Manager and pursuant to Va. Code Section 17.1-213, approves destruction of all court records.
- I. Unless otherwise provided by court order or by §17.1-619 (B), Code of Virginia, prior to any funds being expended by the Clerk for any purpose, the funds are appropriated by the local governing body in accordance with the provisions of Sections 15.2-520, 15.2-827, 15.2-2506 and 15.2-2507, Code of Virginia.
- J. Compensation Board requests for reimbursement are submitted by the seventh (7<sup>th</sup>) business day of the beginning of each month, unless otherwise directed by the Compensation Board.
- K. The Clerk transmits to the Supreme Court of Virginia all original DC-40 vouchers within five (5) business days of receipt of the approved vouchers from the Court.
- L. The Clerk transmits sentencing orders to the Virginia Department of Corrections within 25 days of entry of the orders.
- M. The Clerk shall establish in a case management system properly filed initial pleadings in civil cases within five (5) business days.
- N. The Clerk transmits Sentencing Guideline Forms to the Virginia Criminal Sentencing Commission within four (4) business days from the receipt of all documents fully and properly executed by the Court.
- O. The Clerk insures the accurate and timely reporting of sentencing disposition information by updating each charge on the clerk's automated criminal case processing system or the SCV CAIS Hearing Disposition Screen no later than 25 calendar days following sentencing.
- P. The Clerk insures the accurate and timely assessment of fines and costs by assessing costs in FMS within 12 calendar days following sentencing.
- Q. The Clerk has a written policy that all certificates of satisfaction received in proper form are recorded and indexed on average within 25 business days after receipt.

- R. The Clerk completes documentation and takes oaths from the parties involved within 2 hours of the request for a marriage license.
- S. The Clerk transmits properly completed applications for Concealed Handgun Permits to local law enforcement within 5 business days of receipt of the properly completed application.
- T. The Clerk certifies that his financial management system successfully transmits court ordered fines and fees collection data to the collection agent chosen by the Commonwealth's Attorney of his locality in accordance with law.
- U. The Clerk certifies that he has written policies and procedures in place in his office to ensure compliance with Code of Virginia §19.2-305.1 regarding the handling of restitution.
- V. The Clerk certifies that secure remote access to land records is provided to each local government officer who requests such access effective July 1, 2006.
- W. The Clerk provides remote access to Virginia Courts Case Information.

**10. Remote Access to Land Records**

The Clerk shall provide secure remote access to land records (effective July 1, 2006).

**CB Form CDP-30C**  
**Certification of Career Development for Clerks**

\_\_\_\_\_ Clerk

\_\_\_\_\_ Locality

I hereby certify that I have met or exceeded the following criteria:

2. I have achieved the "Certified Virginia Circuit Court Executive" designation from the National Center of State Courts on \_\_\_\_\_ (date)
3. As a separate attachment to this document and made a part of by reference, I have shown the total contact hours of instruction received by employees of this office and the date of accreditation of this training by the Career Development Program Committee consisting of Virginia Circuit Court Clerks.
4. I have developed and implemented written policies consistent with state and federal law addressing leave and attendance, equal opportunity, sexual harassment, recruitment and selection, employee disciplinary procedures and Freedom of Information or otherwise adopted, by written statement. local government policies that meet the same standard.
5. I have written job descriptions for each full-time employee and conduct annual performance evaluations with each full-time employee.
6. I have adopted the Compensation Board's minimum criteria for Deputy Clerk career development plans.
7. The audit report for year ending on \_\_\_\_\_ from the Auditor of Public Accounts (APA) did not contain any internal control matters that, in the opinion of the APA, could be reasonably expected to lead to the loss of assets or otherwise compromise fiscal accountability. I have two consecutive audits from the APA with both audits being completed within my term of office.
8. I have by written statement adopted the financial policies and procedures published in the SCV Users Guide. If I have chosen not to adopt any policy or procedure in this document, I have a written alternative process which displays adequate internal controls and includes a staff training plan on the alternative process as well as methods to insure the process and training are updated as systems, statutes and alternative processes evolve.
9. I have a written Customer Service Policy.
10. I have adopted and published the following performance standards which meet or exceed Code of Virginia requirements:
  - A. I have a written policy that all deeds are recorded and indexed within 15 days of receipt. I periodically audit, or cause to be audited, the receipt dates and recordation dates of instruments, maintain a written record of these audits and corrective action taken, if necessary.
  - B. I am currently participating in the Integrated Revenue Management System (IHRMS).
  - C. I have a written contingency and preparedness plan for fire, bomb threats and the like to insure the continuity of operations of the Clerk's Office or I have adopted by written statement the policies of the Sheriff's Department, Police Department, local government or Chief Judge.
  - D. If requested by the Chief Judge, I use a Juror Exit Questionnaire and review the results with the Chief Judge.
  - E. I have a written policy on time-to-pay agreements for fines and costs. I periodically audit, or caused to be audited, selected agreements to insure

conformance with this policy. I document the results of these audits and corrective actions taken, if any.

- F. I maintain the following updated manuals, in electronic or written format:
  - i. Civil Procedure
  - ii. Criminal Procedure
  - iii. Probate and Administration Procedure
  - iv. Deed Recordation
  - v. Miscellaneous Procedures and automated financial and case management systems
  - vi. Compensation Board Technology Trust Fund Manual
- G. I issue appropriate notices to parties and strike cases from the docket in accord with the Court's order. Upon request of the Court, I also issue automated case management reports to assist the Court in its case-delay reduction efforts.
- H. As Records Manager pursuant to §17.1-213, I approve the destruction of all court records. I conduct an annual review of my records retention and document the results of this review and corrective actions taken, if any.
- I. Unless otherwise provided by court order or by §17.1-619(B) Code of Virginia, all funding for this office, regardless of source, is approved prior to expenditure by my governing body pursuant to the provisions of §§15.2-520, 15.2-827, 15.2-2506 and 15.2-2507, Code of Virginia.
- J. I submit all monthly reimbursement requests to the Compensation Board by the seventh (7<sup>th</sup>) business day of each month unless otherwise directed by the Compensation Board.
- K. I transmit all original DC-40 vouchers to the Supreme Court of Virginia within five business days of receipt of the approved vouchers from the Court. I annually audit, or caused to be audited vouchers to determine compliance with the policy and I document the results of these audits and corrective actions taken, if any.

I have a written policy adopting the following performance standards for each major duty of my office as described below. If the standard is not met, I am to be provided with a written explanation from the responsible employee or supervisor stating why the standard was not met. I periodically audit, or cause to be audited, adherence to these standards not less than monthly and maintain a record of these reviews and corrective actions taken, if any:

- L. I transmit sentencing orders to the Virginia Department of Corrections within 25 days of entry of the orders.
- M. I establish in a case management system properly filed initial pleadings in civil cases within five (5) business days.
- N. I transmit Sentencing Guideline Forms to the Virginia Criminal Sentencing Commission within four (4) business days from the receipt of all documents fully and properly executed by the Court.
- O. I update sentencing disposition information in my automated criminal case processing system or the SCV CAIS Hearing Disposition Screen no later than 25 calendar days following sentencing.
- P. I assess fines and costs in FMS within 12 calendar days following sentencing.
- Q. I record and index all certificates of satisfaction received in proper form on average within 25 business days after receipt.
- R. I complete documentation and take oaths for marriage licenses from the parties within 2 hours of the request.
- S. I transmit all properly completed applications for Concealed Handgun Permits to local law enforcement within five business days of receipt of the application.

- T. I successfully electronically transmit court ordered fines and fees collection data to the collection agent chosen by the Commonwealth's Attorney of my locality in accordance with law.
- U. I have written policies and procedures in place in my office to ensure compliance with Code of Virginia §19.2-305.1 regarding the handling of restitution.
- V. I provide secure remote access to my land records to each local government officer who requests such access effective July 1, 2006.
- W. I provide remote access to the Virginia Courts Case Information.

10. I provide secure remote access to land records (effective July 1, 2006).

I understand that I must submit this certification as part of my annual budget request to the Compensation Board by February 1 of each year in order to be considered for a 9.3% pay raise effective the following July 1<sup>st</sup>.

I agree to provide such documentation as necessary to substantiate this certification upon request of the Compensation Board, my governing body or any individual or organization covered under the Virginia Freedom of Information Act. I understand that I will have ten (10) business days to respond to Compensation Board requests, and that failure to respond within the time limit will result in my application for certification being denied for that year. I have provided a copy of this certification to my governing body.

\_\_\_\_\_  
Signature of Clerk

\_\_\_\_\_  
Date

## Audit Procedure

All Clerks who submit a request for certification shall be subject to audit. The Compensation Board staff will randomly select the Clerks to be audited no later than March 1 of each year, and direct that all relevant materials subject to audit be provided to the Compensation Board within ten (10) business days from notification. The Compensation Board has asked the Clerks' Career Development Committee to form an Audit subcommittee to review the materials, and make such recommendations to the Compensation Board, as it deems appropriate not later than five (5) business days prior to the March Board meeting each year. The Compensation Board will address any recommendations the Audit subcommittee wishes to make regarding the approval of certification of any Clerk at its March meeting. The Compensation Board has also requested that the Career Development Committee make any recommendations for amendments to the Career Development Plan to the Compensation Board by September 15 of each year.