City and County of San Francisco
Department of Human Resources

San Francisco
Fire Commission

October 23, 2014

The Performance Planning and Appraisal Process in the City
INTRODUCTION

Workforce Development Division

• Training and Consulting to Departments
• Workforce & Succession Planning
• Recruitment
• Internship and Apprenticeship Programs
AGENDA

1. Overview of the Performance Planning and Appraisal Cycle

2. The Performance Plan & Appraisal Best Practices

3. Process for Department Heads
OVERVIEW

Fundamental Values
- Partnership
- Communication
- Performance Agreement
OVERVIEW
Performance Planning and Appraisal Cycle

- Performance Agreement (Performance Plan)
- Performance Appraisal
- Mid-Point Review
- Pre-Appraisal Meeting
PERFORMANCE PLAN

Best Practices

• Performance Agreement
  • Make performance expectations explicit
  • Partnership - Gain agreement on expectations and performance
  • Communicate performance information
PERFORMANCE PLAN

Best Practices

• Setting Performance Objectives
  • S – Specific
  • M – Measurable
  • A – Achievable
  • R – Relevant
  • T – Time Framed
PERFORMANCE APPRAISAL
Performance Planning and Appraisal Cycle

- Performance Agreement
- (Performance Plan)
- Mid-Point Review
- Pre-Appraisal Meeting
- Performance Appraisal
PERFORMANCE APPRAISAL

Best Practices

- Think collaboration and partnership
- No surprises
- Use form to document performance
- Do use the form to document performance improvement actions
- Do not use the form for disciplinary actions
Process for Department Heads

Department Head Performance Plan and Appraisal Form

2014-15

Department Head
(reporting to Commission)

Performance Plan and Appraisal Report

Department Head Identification Information

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I. Performance Plan – Leadership/Management Skills

1. Performance Planning and Appraisal:
   Perform annual performance appraisals and develop goals and work plans with employees.
   
   Measure: % complete.

   Comments:

2. Planning and Budgeting:
   Set strategy, establish/co-ordinate financial plan in place, all connected to organizational strategy and targets. Justify resources and anticipate requirements.
   
   Measure: Budget, Workers Comp Cost.

   Comments:

3. Department Operational Leadership:
   Set measurable goals. Assign specific resources to ensure results are achieved. Monitor to ensure performance goals/measures are met. Ensure quality management – continuous improvements in the department, creation of new efficiencies and increased effectiveness.
   
   Measure: Overtime, Employee Availability, Department Performance Goals.

   Comments:

4. Directing, Motivating and Developing Staff:
   Develop and maintain effective work teams. Establish goals, provide feedback and coaching and develop reporting managers to manage and effectively facilitate leadership development opportunities such as team assignments, special projects, and other learning experiences. Motivate, inspire, guide and direct others in order to further their development.
   
   Measure: Peer review.

   Comments:

5. Customer/Client Relations:
   Be responsive and constructive in all dealings with customers, strategic partners, suppliers, and agencies.

   Comments:

6. Conflict Management:
   Mediate and resolve conflicts between subordinates and peers inside/outside organization. Mediate conflicts between subordinates. Use a collaborative approach.

   Comments:

City & County of San Francisco
Department of Human Resources – Workforce Development Division
PROCESS FOR DEPARTMENT HEADS

Department Head Performance Plan and Appraisal Form

12. Recovery and Resilience

Develop a plan for Continuity of Operations (COOP) for your department to provide recovery and resilience in the event of a disaster.

13. Leadership Development

Participate in your own leadership development, and promote that of your subordinate managers, by attending and requiring attendance at various leadership development programs, including the MFA/City program.

14. Civic Innovation

Develop and implement new and revised policies, processes, and/or services that make government more efficient, responsive, and effective.

15. Employee Wellness

Support and encourage wellness activities and a culture of wellness throughout the department.

7. Communication:

Communicate Department’s mission, strategy, goals and other essential information to the Department, Balance time and open communication with employees, authority. Communication and understanding of others’ interests, needs and concerns.

8. Professional Development:

Account for own professional development, including self-management, self-development and self-improvement. Possess integrity and cope with pressure and adversity. Be an agent of time management.

9. Teamwork:

Build and maintain an environment that contributes to more effective teamwork between direct reports and within reporting managers’ work units. Promote collaboration by working jointly with colleagues and staff, seeking mutually acceptable outcomes.

10. Flexibility:

Make effective decisions and achieve desired results in the midst of major changes in responsibilities, work processes, timelines, performance expectations, organizational culture or work environment. Understand the need to change personal, interpersonal, and professional behavior quickly based on evolving circumstances.

11. Disaster Preparedness:

Take all necessary steps to prepare yourself for an emergency. In your capacity as a Disaster Service Worker, provide updated personal information to your department so that you can be contacted in the event of an emergency. Respond to and respond promptly to instructions by your department in the event of a disaster. Cooperate with the Human Resources/Disaster Service Worker and complete all training and readiness exercises as required.

12. Community Engagement:

Promote and foster community involvement and excellence. Identify key community partners and engage in community outreach efforts.
II. PERFORMANCE PLAN
DEPARTMENT OPERATIONAL GOALS

In this section, identify key department operational goals you plan to accomplish or achieve within the plan year:

1. REVIEW OF PERFORMANCE:
2. REVIEW OF PERFORMANCE:
3. REVIEW OF PERFORMANCE:
4. REVIEW OF PERFORMANCE:
5. REVIEW OF PERFORMANCE:
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7. REVIEW OF PERFORMANCE:
8. REVIEW OF PERFORMANCE:
9. REVIEW OF PERFORMANCE:
10. REVIEW OF PERFORMANCE:

B. GUIDELINES - DEPARTMENT HEAD PERFORMANCE PLAN AND APPRAISAL REPORT
1. Department Head shall assist in the development of the Department Head Performance Plan and Appraisal Report.
2. Department Head shall sign off on the Department Head Performance Plan and Appraisal Report.
3. Department Head shall report on the performance measures at the end of the year for the Department Head Performance Plan and Appraisal Report.
4. Department Head shall receive a copy of the Department Head Performance Plan and Appraisal Report.
# PROCESS FOR DEPARTMENT HEADS

## Department Head Performance Plan and Appraisal Form

### IV. SIGNATURE PAGE

**PERFORMANCE PLAN**

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<th>A. Performance Plan/Goals Sign-Off</th>
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<th>B. Mid-Period Performance Review Meeting</th>
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<td>1. Reviewer Signature</td>
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### PERFORMANCE APPRAISAL REPORT

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<td>1. Reviewer Signature</td>
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<th>D. Department Head’s Statement</th>
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<td>(x) Agree with this report</td>
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### EXPLANATIONS OF SECTIONS

I. **PERFORMANCE PLAN: LEADERSHIP/MANAGEMENT SKILLS** — A list of the leadership and management skills identified for Department Heads. Comments may include clarification of leadership management skills, address mid-year progress, and approve the performance-based measures, if available.

II. **PERFORMANCE PLAN: DEPARTMENT OPERATIONAL GOALS** — The Department’s Operational Goals typically reflect the work that the core missions of the Department is accomplishing that can be tracked. The 3-5 goals may include both short-term and long-term performance measures are developed to track progress towards the goals. It is helpful to use the SMART model (Specific, Measurable, Achievable, Relevant, Time-bound). Relevant to department’s mission and strategic objectives; and 1-3 Year Financial (Deadline).

III. **APPRAISAL REPORT SUMMARY**

A. Comments Regarding Overall Performance — Narrative explanation of overall performance during the appraisal report’s period, with emphasis on Leadership, Management, Collaboration/Partnership, and Department’s Operational Goals. Must comment on identified areas of growth and development.

B. Guidelines — Guidelines for Department Heads regarding the Department Head Performance Plan and Appraisal Report.

IV. **SIGNATURE**

A. Performance Plan/Goals Sign-Off — Reviewer and Department Head’s signatures regarding the Performance Plan/Goals.

B. Mid-Period Performance Review Meeting — Reviewer and Department Head’s signatures regarding the Mid-Year Review.

C. Reviewer — Reviewer’s signature regarding the Performance Appraisal Report.

D. Department Head’s Statement — Department Head’s statement and signature regarding the Performance Appraisal Report.
PROCESS FOR DEPARTMENT HEADS

Schedule

- **September 2014** –
  - Memo from HR Director Micki Callahan
- **October 31, 2014** –
  - Department Head Self-Evaluation for FY13-14 and Plan for FY14-15
- **November-December 2014** –
  - Department Heads meetings with the Mayor
SUMMARY

• Annual Cycle
• Plan and Appraisal
• Partnership, Communication and Performance Agreement
QUESTIONS?

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- (415) 557-4912