



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

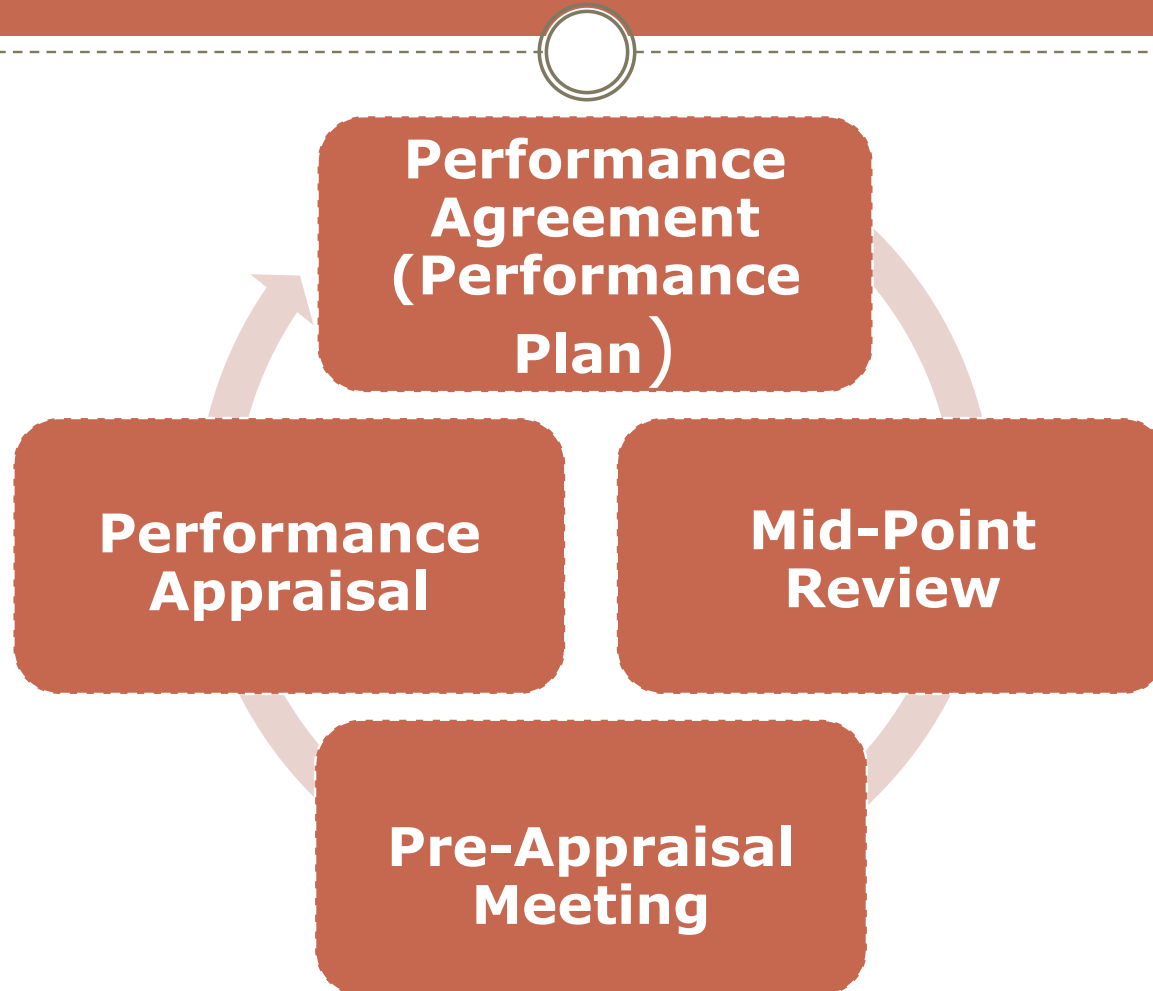


Fundamental Values

- **Partnership**
- **Communication**
- **Performance Agreement**

OVERVIEW

Performance Planning and Appraisal Cycle



OVERVIEW



CITY AND COUNTY OF SAN FRANCISCO
DEPARTMENT OF HUMAN RESOURCES

2014 Performance Plan and Appraisal Report

I. EMPLOYEE IDENTIFICATION INFORMATION

1. LAST NAME, FIRST NAME, MIDDLE INITIAL	2. JOB CODE NUMBER AND TITLE	3. STATUS <input type="checkbox"/> Permanent (PCS) <input type="checkbox"/> Provisional (TPV) <input type="checkbox"/> Permanent Exempt (PEX) <input type="checkbox"/> Temporary Exempt (TEX) <input type="checkbox"/> Temporary Civil Service (TCS) <input type="checkbox"/> Limited Tenure (Restricted Use) (TLT) <input type="checkbox"/> Non Civil Service (Restricted Use) (NCS)
4. WORK LOCATION & DIVISION	5. DEPARTMENT	6. REASON FOR REPORT <input type="checkbox"/> Annual <input type="checkbox"/> Dept. Review Period <input type="checkbox"/> Probationary <input type="checkbox"/> Unscheduled
	7. REVIEW PERIOD	8. PROBATION START AND END DATE

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



CITY AND COUNTY OF SAN FRANCISCO
DEPARTMENT OF HUMAN RESOURCES

2014-15

DEPARTMENT HEAD
(reporting to Commission)

**Performance Plan
and
Appraisal Report**

DEPARTMENT HEAD IDENTIFICATION INFORMATION

1. LAST NAME, FIRST NAME, MIDDLE INITIAL	2. JOB CODE NUMBER AND TITLE	3. STATUS: Permanent Exempt (PEX)
4. WORK LOCATION & DIVISION	5. DEPARTMENT	6. REASON FOR REPORT <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Unscheduled
	7. REVIEW PERIOD July 1, 2014-June 30, 2015	

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DEPARTMENT HEAD PERFORMANCE PLAN AND APPRAISAL REPORT

I. PERFORMANCE PLAN – LEADERSHIP/MANAGEMENT SKILLS

1- Performance Planning and Appraisals: Perform annual performance appraisals and develop goals and work plans with employees. Measure: % complete.	COMMENTS:
2- Planning and Budgeting: Set targets, establish metrics, set financial plans in place, all connected to organizational strategy and tactics. Justify resources and anticipate requirements. Measure: Budget, Workers Comp Cost.	COMMENTS:
3- Department Operational Leadership: Set mission and goals. Allocate 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 trust and confidence with managers, clients, subordinates, peers or project manager. Model relationship-building for direct reports. Coach and develop reporting managers to manage more effectively. Provide 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 Resolution: Resolve conflicts between subordinates and peers inside/outside organization. Mediate conflicts between subordinates. Use a collaborative	COMMENTS:

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(interest-based) approach to identifying and resolving conflicts.	
7 - Communication: Communicate Department's mission, strategy, goals and other essential information to the Department. Balance honest and open communication with respect for authority. Communicate an understanding of others' interests, needs and concerns.	COMMENTS:
8 - Professional Development: Account for own professional development, including self-management, self-development and self-insight. Possess integrity and cope with pressure and adversity. Be proficient in time management.	COMMENTS:
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.	COMMENTS:
10 - Flexibility: Make effective decisions and achieve desired results in the midst of major changes in responsibilities, work processes, timeframes, performance expectations, organizational culture or work environment. Understand the need to change personal, interpersonal and professional behavior quickly based on evolving circumstances.	COMMENTS:
11 - Disaster Preparedness: Take all necessary steps to prepare yourself for an emergency, in your capacity as a Disaster Service Worker; provide updated personal contact information to your department so that you can be contacted in the event of an emergency; report in and respond promptly to instructions by the City and/or your department in the event of an emergency; complete the Department of Human Resources Disaster Service Worker and required National Incident Management System training; complete Red Cross Personal Preparedness Training; and carry out disaster-related work assignments as required.	COMMENTS:

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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.	COMMENTS:
13 - Leadership Development Participate in your own leadership development, and promote that of your subordinate managers, by attending and requiring attendance in appropriate leadership development programs, including the MEA/City program.	COMMENTS:
14 - Civic Innovation Establish and implement new and revised policies, processes, and/or services that make government more efficient, responsive and effective.	COMMENTS:
15 - Employee Wellness Encourages and promotes wellness activities and a culture of wellness throughout the department.	COMMENTS:

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PROCESS FOR DEPARTMENT HEADS

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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:
6.	REVIEW OF PERFORMANCE:
7.	REVIEW OF PERFORMANCE:
8.	REVIEW OF PERFORMANCE:
9.	REVIEW OF PERFORMANCE:
10.	REVIEW OF PERFORMANCE:

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III. APPRAISAL REPORT SUMMARY

A. COMMENTS REGARDING OVERALL PERFORMANCE

The appraisal report on overall performance should include a consideration of all items in the Leadership/Management Skills and the Department Operational Goals for the review period.

Accomplishments during the Review Period:

Areas of Growth/Development:

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 measurables 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.

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IV. SIGNATURE PAGE

PERFORMANCE PLAN

A. Performance Plan/Goals Sign-Off

1. REVIEWER SIGNATURE	2. DEPARTMENT HEAD SIGNATURE	3. MEETING DATE
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B. Mid-Period Performance Review Meeting

1. REVIEWER SIGNATURE	2. DEPARTMENT HEAD SIGNATURE	3. MEETING DATE
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PERFORMANCE APPRAISAL REPORT

C. Reviewer

1. REVIEWER SIGNATURE	2. DATE
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D. Department Head's Statement

<input type="checkbox"/> I AGREE WITH THIS REPORT. <input type="checkbox"/> I DO NOT AGREE WITH THIS REPORT. SECT. ____ NO. ____	2. DEPARTMENT HEAD SIGNATURE <input type="checkbox"/> DECLINED TO SIGN. DATE: _____
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EXPLANATIONS OF SECTIONS

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

II. PERFORMANCE PLAN: DEPARTMENT OPERATIONAL GOALS — The Department's Operational Goals typically reflect the work that is the core mission of the Department and is something that can be accomplished in specific, well-defined and measurable terms that is achievable within a specific time frame. Performance measures are developed to track progress towards the goals. It is helpful to use the SMART model: S-Specific (unambiguous, clearly defined); M-Measurable (evidence data to demonstrate the objective was completed), A-Achievable (realistic and within your control/authority), R-Relevant (to department's mission and strategic objectives) and T-Time Framed (deadline).

III. APPRAISAL REPORT SUMMARY

A. Comments Regarding Overall Performance — Narrative explanation of overall performance during the appraisal report review period, with emphasis on Leadership, Management, Collaboration/Relationships and meeting of Department's Operational Goals. Also 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 and 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.

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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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