



CITY AND COUNTY OF SAN FRANCISCO  
DEPARTMENT OF HUMAN RESOURCES

**2023**

**Performance Plan  
and  
Appraisal Report**

**I. EMPLOYEE IDENTIFICATION INFORMATION**

<b>1. LAST NAME, FIRST NAME, MIDDLE INITIAL</b>	<b>2. JOB CODE NUMBER AND TITLE</b>	<b>3. STATUS</b> <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)
<b>4. WORK LOCATION &amp; DIVISION</b>	<b>5. DEPARTMENT</b>  Office of Small Business	<b>6. REASON FOR REPORT</b> <input type="checkbox"/> Annual <input type="checkbox"/> Dept. Review Period <input type="checkbox"/> Probationary <input type="checkbox"/> Unscheduled
	<b>7. REVIEW PERIOD</b>	<b>8. PROBATION START AND END DATE</b>

## II. PERFORMANCE PLAN – JOB DESCRIPTION

### REVIEW OF DUTIES & RESPONSIBILITIES BASED ON JOB DESCRIPTION

FUNCTIONAL/WORKING TITLE	
1.	COMMENTS:
2.	COMMENTS:
3.	COMMENTS:
4.	COMMENTS:
5.	COMMENTS:
6.	COMMENTS:
7.	COMMENTS:
8.	COMMENTS:
9.	COMMENTS:
10.	COMMENTS:
11.	COMMENTS:

<p><b>12. Equity and Inclusiveness:</b> Fully comply with all Departmental and City rules and policies including: Discrimination, Harassment, Retaliation-Free Workplace Policy; equal employment opportunity; reasonable accommodation for individuals with disabilities; practices to ensure fairness, diversity, and inclusiveness; completion of required implicit bias awareness training.</p>	<p><b>COMMENTS:</b></p>
<p><b>13. Use of City and County Resources for Business Purposes Only:</b> All City equipment, devices, and materials (i.e., photocopiers, telephones, computers, vehicles, stationery, fax machines, email accounts, etc.) must be used only for conducting City business.</p>	<p><b>COMMENTS:</b></p>
<p><b>14. DSW Preparedness:</b> 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; participate in any drills or emergency exercises as notified; and carry out disaster-related work assignments as required; complete all required disaster-related trainings.</p>	<p><b>COMMENTS:</b></p>
<p><b>15. Customer Service:</b> As a representative of the City, be efficient, professional, accountable, and courteous in your interactions with the public, fellow employees, and external business partners. Respond to requests for assistance and/or requests for information in a timely manner as specified by your department.</p>	<p><b>COMMENTS:</b></p>
<p><b>16. Attendance:</b> Regular and prompt attendance is required for your job. All planned absences must be requested and approved in advance. For illness, emergencies or other unplanned and unforeseeable absences, notify your supervisor as soon as possible, but no later than the beginning of the work day on the first day of the absence.</p>	<p><b>COMMENTS:</b></p>
<p><b>17. Compliance with Rules, Policies and Procedures:</b> Fully comply with all Departmental rules, policies and procedures. Also comply with City rules and policies in the Employee Handbook including, but not limited to: Department’s Statement of Incompatible Activities; Policy Prohibiting Employee Violence in the Workplace; Policy Regarding the Treatment of Co-Workers and Members of the Public; Reporting and Responding to Workforce Violence; etc.</p>	<p><b>COMMENTS:</b></p>

### III. PERFORMANCE PLAN – DEPARTMENTAL GOALS AND EMPLOYEE OBJECTIVES

List key departmental goals and corresponding employee objectives, including at least one equity goal from the Racial Equity Action Plan.

Departmental Goal #1:	
Employee Objectives	
1.	REVIEW OF PERFORMANCE:
2.	REVIEW OF PERFORMANCE:

Departmental Goal #2:	
Employee Objectives	
1.	REVIEW OF PERFORMANCE:
2.	REVIEW OF PERFORMANCE:

Departmental Goal #3:	
Employee Objectives	
1.	REVIEW OF PERFORMANCE:
2.	REVIEW OF PERFORMANCE:

## IV. Learning & Development Plan

<p><b>REQUIRED TRAININGS</b></p> <p>List department and City training requirements</p>	<p><b>PROFESSIONAL DEVELOPMENT OPPORTUNITIES</b></p> <p>List planned opportunities that support employee's career development goals</p>
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## V. APPRAISAL REPORT SUMMARY

### A. OVERALL PERFORMANCE RATING

The appraisal report on overall performance should include a consideration of all items in the Job Description, Departmental policies and procedures, and the Performance Plan's Key Objectives for the review period. Circle the appropriate number on the continuum.

Did Not Meet Expectations	Met Expectations	Exceeded Expectations
<ul style="list-style-type: none"> <li>Falls below standards in one or more of the major areas (Demonstrates satisfactory performance in <b>most</b> areas)</li> <li><b>Consistently</b> fails to meet expectations regarding job responsibilities and work assignments</li> <li>There is a clear dissatisfaction with the employee's job performance</li> </ul>	<ul style="list-style-type: none"> <li>Steady, consistent, dependable performer</li> <li>Carries out duties in a fully responsible manner</li> <li><b>Meets and occasionally exceeds</b> expectations regarding job responsibilities and completion of work assignments</li> <li>Even though present performance is acceptable there <b>may</b> be areas in which the person <b>should</b> improve</li> </ul>	<ul style="list-style-type: none"> <li>Is making an <b>exceptional</b> significant contribution</li> <li><b>Constantly</b> accepts responsibilities beyond those assigned</li> <li><b>Continuously</b> exceeds expectations regarding completion of work assignments</li> </ul>
1	2	3

## B. COMMENTS REGARDING OVERALL PERFORMANCE

## C. EMPLOYEE GUIDELINES -- PERFORMANCE PLAN AND APPRAISAL REPORT

1. Employee should review the employee organization's Memorandum of Understanding with the City and County of San Francisco for information that may add to or modify the following list of guidelines.
2. Employee has the right to read the Performance Plan and Appraisal Report.
3. Employee has the right to receive a copy of the Performance Plan and Appraisal Report.
4. Employee has the right to discuss the report with the Reporting Supervisor or Manager.
5. Employee has the right to attach a rebuttal to the Performance Appraisal Plan and Report. The rebuttal must be presented within 30 working days of the report date. The rebuttal should only address the items presented in the report.
6. Employee may request a conference, if requested, with the Reviewer (Reporter's supervisor or manager).

## VI. SIGNATURE PAGE

### PERFORMANCE PLAN

#### A. Performance Plan/Key Objectives Sign-Off

1. REVIEWER SIGNATURE	2. REVIEW DATE	
3. SUPERVISOR SIGNATURE	4. EMPLOYEE SIGNATURE	5. MEETING DATE

#### B. Mid-Period Performance Review Meeting

1. SUPERVISOR SIGNATURE	2. EMPLOYEE SIGNATURE	3. MEETING DATE
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### PERFORMANCE APPRAISAL REPORT

#### C. Reviewer's Certification

1. NAME, WORK LOCATION	2. JOB CODE NUMBER AND TITLE
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3. I CERTIFY THAT I HAVE REVIEWED THIS REPORT. (Signature)	4. DATE
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#### D. Reporting Supervisor/Manager

1. NAME, WORK ADDRESS	2. JOB CODE NUMBER AND TITLE
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3. DATE OF CONFERENCE WITH EMPLOYEE	4. SIGNATURE	5. DATE
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## E. Employee's Statement

<p>1. <input type="checkbox"/> I AGREE WITH THIS REPORT.</p> <p><input type="checkbox"/> I DO NOT AGREE WITH THIS REPORT: SECT. _____ NO. _____</p> <p><input type="checkbox"/> I HAVE ATTACHED A REBUTTAL.</p> <p><input type="checkbox"/> I HAVE ATTACHED A REBUTTAL AND REQUEST A CONFERENCE WITH THE REVIEWER.</p>	<p>2. CONFERENCE DATE</p> <hr/> <p>3. SIGNATURE CERTIFIES I HAVE READ THE REPORT</p> <p><input type="checkbox"/> DECLINED TO SIGN. DATE:</p>
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## VII. EXPLANATIONS OF SECTIONS

**I. EMPLOYEE IDENTIFICATION INFORMATION** – Basic information about the employee, the employee’s status, and the review period.

**II. PERFORMANCE PLAN: JOB DESCRIPTION** – A list of the duties and responsibilities based on the job description. Comments may include clarification of job description items, address mid-year progress, and appraise the performance of the duties and responsibilities. If appropriate, the job description may be a source of Key Objectives for the review period.

**III. PERFORMANCE PLAN: DEPARTMENTAL GOALS AND EMPLOYEE OBJECTIVES** – A list of key departmental goals and corresponding employee objectives, including at least one equity goal from the Racial Equity Action Plan. Best practice is for the supervisor and employee to discuss and develop the objectives collaboratively. List the most important objectives employee will focus on that aligns with the departmental goals. Add additional boxes for goals and objectives as needed. Discuss employee’s performance at least once mid-year and at the end of the fiscal year. Add comments appraising the employee’s performance on stated objectives. If appropriate, note any supervision responsibilities (including acting assignments) under employee objectives, and comment on duration of supervisory assignment and classification level of who they supervised.

**IV. LEARNING & DEVELOPMENT PLAN** – A list of planned training(s) employee will participate in over the review period, including required City trainings (eg. Implicit Bias, Harassment Prevention, Ethics). See list of required City trainings available at <https://sfdhr.org/workplace-online-training>. For second box, discuss employee’s career goals and collaboratively identify opportunities that support employee’s goal attainment. List planned professional development opportunities that support employee’s career development goals (eg. [trainings and webinars](#), conferences, [City University](#), educational classes, [tuition reimbursement program](#), cross-training opportunities, job shadowing, mentoring opportunities, etc.)

## V. APPRAISAL REPORT SUMMARY

**A. Overall Performance Rating** – Reporting Supervisor’s/Manager’s rating of the employee’s overall performance over the appraisal review period.

**B. Comments Regarding Overall Performance** ↓ Narrative explanation of the rating of overall performance during the appraisal report review period.

- |  |                                      |  |
|--|--------------------------------------|--|
| ◆ Demonstration of Dept values           | ◆ Attendance And Punctuality         | ◆ Effectiveness Of Working With Others |
| ◆ Overall Performance of Job Description | ◆ Quantity Of Work Performed         | ◆ Use Of Materials And Equipment       |
| ◆ Results of Performance Objectives      | ◆ Quality Of Work Performed          | ◆ Safety                               |
| ◆ Knowledge Of Job                       | ◆ Adaptability To The Work Situation | ◆ Performance Plans                    |
| ◆ Employee’s Strengths                   |                                      |  |
| ◆ Achievements                           |                                      |  |

In addition to the areas above, the following areas may be addressed for supervisors/managers:

- |                                  |                                 |                   |
|----------------------------------|---------------------------------|-------------------|
| ◆ Communication                  | ◆ Planning                      | ◆ Decision Making |
| ◆ Directing and Motivating Staff | ◆ Training and Developing Staff |                   |

**C. Employee Guidelines** – Guidelines for employees regarding the Performance Plan and Appraisal Report.

## VI. SIGNATURE PAGE

- A. Performance Plan/Key Objectives Sign-Off** – Signatures of the supervisor and the employee, the date they met to finalize the plan, the signature of the reviewer, and the date of the review.
- B. Mid-Period Performance Review Meeting**– Signatures of the supervisor and the employee and the date they met to review progress on the plan.
- C. Reviewer’s Certification** – Information regarding the reviewer of the report. This is the person who directly supervises the reporting supervisor/manager.
- D. Reporting Supervisor/Manager** --Information regarding the reporting supervisor/manager of the report. This is the person who directly supervises the employee’s performance.
- E. Employee’s Statement** – Employee’s opportunity to respond to the PPA Report using a checklist, signature and date. Signing the report only certifies that the employee has read it. It does not indicate, unless marked, that the employee agrees with the report.

- VII. EXPLANATION OF SECTIONS** – Basic information about what should be included in each section of the Performance Plan and Appraisal Report.