

COUNTY OF SAN DIEGO
DEPARTMENT OF HUMAN RESOURCES
POLICY AND PROCEDURES MANUAL

SUBJECT: **EMPLOYEE PERFORMANCE APPRAISALS** POLICY NUMBER: **1003**

EFFECTIVE DATE: **June, 1996**

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REVISED DATE: **March 2016**

POLICY It is County Policy to provide for a regular review of employee performance through the use of performance appraisals.

OVERVIEW The following topics on performance appraisals are covered in this policy:

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DEFINITION OF TERMS

Performance The act of doing a job and/or accomplishing a job-related goal at a level that meets the supervisor's communicated standards.

Performance Appraisal The act of determining to what extent behavior and performance have met the performance standards.

Performance Standards Levels or models established for use as a rule or basis of comparison in measuring or judging work habits and quantity, quality, and timeliness of performance. Performance Standards set an acceptable level of accomplishment that is regarded as a measure of competency.

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Standard Performance	The rating for an employee who: <ul style="list-style-type: none">◆ Is fully competent in the performance of the job, and◆ Meets performance standards required for successful job performance. NOTE: Specially developed departmental performance appraisal forms that have been previously approved by the Director, may use other comparable rating category terminology for standard performance.
Supervisor	The person responsible for assigning, reviewing and evaluating the work of employees, which includes preparing employees' written performance appraisals.
Reviewer	The person responsible for reviewing and signing performance appraisals. This is typically the person to whom the supervisor reports.
Performance Appraisal cycle	The period of time for which performance is rated. For most employees, the appraisal cycle is one year, but it may be less for some designated classes. The Departmental Human Resources Officer should be consulted if clarification is needed.
Days	Calendar days

TYPES OF APPRAISALS

Two types of appraisals

The two types of required appraisals are described below:

Type of appraisal	Initiator	Schedule
Cyclical (Regular cycle)	Information in Human Resources Information Management System	<ul style="list-style-type: none">• Mid-probation• End of probation• Annually thereafter
Supplemental	Department appointing authority	As needed NOTE: See following table.

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Supplemental appraisals Supplemental appraisals are originated by the appointing authority under the following conditions:

WHEN the employee ...	AND ...	THEN the supervisor conducts an appraisal ...
Receives an overall rating below standard	It is requested by the employee	Midway through next appraisal cycle.
Terminates, transfers, promotes or demotes	Performance has changed significantly since last rating	Prior to termination, transfer, promotion or demotion.
Has significant performance changes	The supervisor desires to document these changes	For the period from the beginning of the cycle to the date of the report.
Has not received a performance appraisal for the regular cycle	The employee appeals to appointing authority	Within five days of the appeal.

NOTE: 1) Whenever a supplemental appraisal is conducted, the next rating period begins the day after the supplemental appraisal and ends at the end of the regular rating period. The end date of the regular rating period does not change.

2) When an employee returns to their former classification due to failure on probation, the performance report cycle will start over upon the effective date of the return to the former classification. The hours for the next step increase will resume from the hours that had been accrued from the former classification. Step hours accrued from the higher-level classification do not add to the current job.

PERFORMANCE APPRAISAL FORMS

Three types of forms The three types of forms used in performance appraisals are described below.

DHR Form 34: This is the standard form prescribed by the Director, Department of Human Resources. This standard performance appraisal form will be distributed to the appropriate department appointing authority at least 45 days before the end of the regular cycle.

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DHR Form 12: This form is used for Classified Management employees who are designated MA.

Forms Developed by Other Departments: Performance Appraisal forms, designed by the appointing authority of any department, require approval by the Director, Department of Human Resources prior to use.

All forms must provide for the following information:

Information on Other Department's Form	Guide: DHR Form 34, Section
<ul style="list-style-type: none"> ◆ Identification information ◆ Reason for the rating 	A
<ul style="list-style-type: none"> ◆ A definition of a rating of standard or an overall rating category comparable to standard, with definitions in at least one category above and one category below standard 	Back
<ul style="list-style-type: none"> ◆ Signature lines for employee, supervisor and reviewer ◆ Request for appeal ◆ Signature line for appeal officer ◆ Signature dates 	D

PERFORMANCE APPRAISAL PROCESS

This table describes the stages in the performance appraisal process:

Stage	What Happens
Time of Hire	Supervisor discusses and explains performance expectations and standards of performance with employee.
During Performance Appraisal Cycle	Supervisor observes, documents and provides feedback on performance and coaches employee.
Before the End of Performance Appraisal Cycle	Supervisor conducts performance appraisal following guidelines and procedures described in the following pages.

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PERFORMANCE APPRAISAL PROCESS – CONTINUED

Stage	What Happens
Performance-Based Step Advancement Determination	If overall rating is below standard, supervisor notifies Departmental Human Resources Officer concerning the withholding of step advancement. (See procedure, step 3, page 8)
Signatures on Performance Appraisal Form	Supervisor, employee and reviewer sign original form. The employee either signs acknowledging receipt of the rating or signs appealing to the appointing authority. NOTE: Employee may take up to 5 days to consider before signing. If employee needs time before signing, give copy to employee.
Appeal	If employee appeals, the appeal process is followed. (See page 9)
Appeal Officer Action	The assigned appeal officer follows the Appeal Officer Guidelines. (See page 12)

HOW TO RATE PERFORMANCE

Guidelines for rating performance Performance is rated at 1 of 5 levels in Section B and Section C on DHR Form 34 as compared to "standard performance". The guidelines for use of the five different performance levels are outlined in the table below.

OVERALL RATING	DEFINITION OF RATING	GUIDELINES
Outstanding	Exceptional, extraordinary, well above standard.	Use when job performance is exceptional or for major accomplishments.

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HOW TO RATE PERFORMANCE – CONTINUED

OVERALL RATING	DEFINITION OF RATING	GUIDELINES
Above standard	Better than performance expected of a fully competent employee.	Use when job performance consistently exceeds the stated standards.
Standard	Satisfactory and competent performance.	Use when all standards required for successful job performance are met. NOTE: May have some improvement needed in areas not critical to successful job performance.
Improvement needed	Less than what is expected.	Use when job performance does not meet the stated standards in one or more areas that are important to successful job performance. NOTE: Reach agreement with employee about what will be done to bring performance to the standard level.
Unsatisfactory	Unacceptable.	Use when job performance does not meet the stated standards and there are significant performance problems in one or more areas important to successful job performance. NOTE: Counsel employee on problem areas and reach agreement with employee about what will be done to bring performance to the standard level.

Departmental forms Specially developed departmental performance appraisal forms may use fewer than the five performance levels described above and may use other comparable rating category terminology. See Performance Appraisal Forms on page 3.

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HOW TO COMPLETE THE PERFORMANCE APPRAISAL FORM

General guidelines

When evaluating an employee's performance, the supervisor rates performance:

- Which occurred during the rating period,
- For the entire rating period, not just the last few months,
- Which is supported by documentation, and
- On those areas, which are regularly and directly observed.

When an employee is unavailable due to an extended leave of absence (FML, Military, Workers' Comp, educational, etc) during the rating period, supervisors should indicate on the appraisal form that employee has been on leave of absence (for confidentiality reasons do not indicate type of leave) since (date), sign and date and submit a copy to department personnel office. Upon employee's return, the supervisor must complete the original appraisal for the period of time worked during the evaluation period and communicate with the employee within thirty (30) days from the return to work date and file within an additional ten (10) days with the Department of Human Resources.

If extended absence is during probationary period, see Probationary Period Policy #104 to extend probationary period.

NOTE: If the supervisor anticipates that the overall rating will be unsatisfactory or improvement needed, he/she contacts the Departmental Human Resources Officer for consultation on the documentation required and the potential effect on the step advancement process.

In consultation with the reviewer, the supervisor takes the following steps:

Step	Action
1	Completes "SECTION A: IDENTIFYING INFORMATION," at top of form if a supplemental appraisal is originated by either the department or the employee.
2	Drafts: Complete <ul style="list-style-type: none">◆ "SECTION B: ITEMIZED CHECKLIST" and◆ "SECTION C: OVERALL RATING."
3	Meets with employee and discusses appraisal in private.
4	Considers input from employee.

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5	Makes appropriate changes to draft, finalizes appraisal, and signs. NOTE: Appraisal must be issued to the employee within 30 days from the close of the rating period.
6	Gives to employee for signature. Employee either signs acknowledging receipt or appeals to appointing authority (see Appeal Process on pg. 9). Employee may take up to 5 days to consider before signing. If employee needs time before signing, give copy to employee. NOTE: If the employee refuses to sign the performance appraisal, such refusal does not constitute an automatic appeal. Rater indicates "employee refused to sign" on signature line.
7	Gives original form to reviewer for signature
8	Makes copies for employee and department and sends original to Department of Human Resources within 10 days of issuance to employee.

HOW TO HANDLE BELOW STANDARD PERFORMANCE RATINGS

Procedure The supervisor follows the steps below when it is anticipated that an employee's performance will be rated as overall below standard.

STEP	ACTION
1	Contacts the Departmental Human Resources Officer for consultation on the necessary documentation and process before meeting with the employee.
2	Follows the regular procedures for completing the performance appraisal form (see above). NOTE: This should include discussing areas that need improvement with the employee and agreeing to what will be done to bring performance to the standard level. This may also include counseling the employee on the problem areas.
3	Upon delivery of the below standard performance appraisal rating to the employee, the supervisor notifies the Departmental Human Resources Officer to initiate the payroll procedures for withholding the step advancement, if applicable.
4	If the employee appeals the below standard rating, the supervisor notifies the Departmental Human Resources Officer and follows the regular appeal process procedures, which include steps to follow in the event the rating is changed to standard or higher as a result of the appeal process. (See the Appeal Process section of this policy on pages 9-10).

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5	<p>a) If the employee requests a supplemental appraisal midway through the employee's next appraisal cycle and the appraisal remains below standard, the supervisor continues to provide counseling on the problem areas and monitors performance throughout the remainder of the rating period.</p> <p>b) If the employee requests a supplemental appraisal midway through the employee's next appraisal cycle and the appraisal is signed by the supervisor and reviewer as overall standard or above, the supervisor notifies the Departmental Human Resources Officer so the necessary step advancement paperwork can be prepared, if applicable.</p> <p>NOTE: If the step has already been withheld, the effective date for the step advancement will be the first day of the first pay period following the end date of the appraisal cycle for the supplemental appraisal. The step anniversary date will be changed in accordance with this new effective date. If the step has not yet been withheld, the step will advance at the regular time.</p>
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APPEAL PROCESS

Copy of appraisal	If the employee appeals the performance appraisal, a copy of the disputed appraisal and supporting documentation is given to the employee within five (5) days of the receipt of the appeal. Note: If the appeal is from a below standard rating, see "Procedure" pg. 8, Step 4.
Appeal Officer	The appointing authority appoints an unbiased appeal officer within 7 days of receipt of the appeal. At the employee's request a selection may be made by the employee from a list of three unbiased appeal officers provided by the appointing authority.
Role of Appeal Officer	The role of the appeal officer is one of an unbiased investigator attempting to determine the factual base of the employee's performance appraisal report. The appeal officer, if not the appointing authority, is an "extension of the appointing authority."
Meeting with parties	The appeal officer initially meets with the parties within 30 days from the date of being appointed and follows the Appeal Officer Guidelines (See p. 12).
Appeal Officer's findings	After the investigation is completed by the Appeal Officer, the following table demonstrates the appropriate action:

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When the Appeal Officer is...	Then...
The appointing authority,	He/she issues to the employee a written, final decision and copy of the final performance appraisal within 5 days after concluding meeting(s) with employee and other concerned parties.
Other than the appointing authority,	He/she submits a written report with findings and recommendation to the appointing authority within 5 days after concluding meeting(s) with the employee and other concerned parties.

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Appointing Authority's actions The appointing authority considers the appeal officer's findings and recommendations within 5 days of its submittal. The appointing authority may modify the appeal officer's findings or recommendations.

Report not modified by Appointing Authority If the appointing authority does not modify the appeal officer's recommendations within 5 days, the employee is given:
1) The appeal officer's report,
2) The appointing authority's written final decision, and
3) A copy of the final performance appraisal.

Report modified by Appointing Authority If the appointing authority modifies the appeal officer's findings and recommendations within 5 days, the employee is given:
1) The appeal officer's report and
2) A written notice of the appointing authority's intended decision.

Employee's response If the appointing authority issues an intended decision after modifying the appeal officer's recommendation, the employee may respond in writing to the issues related to the decision within five days from receipt of that decision.

Final decision The appointing authority's final decision and a copy of the final performance appraisal will be issued to the employee within 10 days from the employee's receipt of the intended decision.

Final decision not appeal-able The appointing authority's decision is not appealable to the Civil Service Commission.

Modifying time limits The time limits in the appeal process may be modified by mutual agreement of the parties.

Modified appraisal requires new form If the performance appraisal has been modified as a result of the appeal process, a new appraisal form should be prepared to reflect the modification(s).

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APPEAL PROCESS: PERFORMANCE-BASED STEP ADVANCEMENT PROVISIONS

Rating changed from below standard to standard or higher rating If the overall rating is changed from below standard to a standard or higher rating as a result of the appeal process, the supervisor notifies the Departmental Human Resources Officer so, if applicable, step advancement paperwork can be prepared.

Rating changed from below standard to standard or higher rating If the step has already been withheld, the necessary paperwork will be prepared to adjust the advancement of the step to make it effective on the regular step anniversary date, to include any necessary pay adjustment for the time period since the step anniversary date.

APPEAL OFFICER GUIDELINES

Participants at appeal The appeal officer determines if the parties should meet in the same place at the same time, meet separately, or a combination of the two to discuss the disputed issues.

Information needed by the appeal officer The appeal officer needs to know:

- ◆ Which areas of performance are being disputed by the employee.
- ◆ The performance standards.
- ◆ When and how the performance standards were communicated to the employee.
- ◆ Supervisor's basis for performance rating in the disputed area(s).
- ◆ Employee's basis for requesting changes in the rating in the area(s) of dispute.

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Procedure The appeal officer follows these steps to conduct an appeal:

Step	Action
1	Will the employee and supervisor meet separately with the appeal officer? If <u>yes</u> , go to step 2. If <u>no</u> , go to step 4.
2	Meet with supervisor and obtain necessary information.
3	Meet with employee and obtain necessary information. NOTE: Employee may represent self or be represented by a representative of her/his choice at any and all steps in the appeal process.
4	Is a joint meeting with employee <u>and</u> supervisor needed? If <u>yes</u> , go to step 5. If <u>no</u> , go to step 6.
5	Meet with employee and supervisor and obtain necessary information.
6	Prepare written report.
7	Submit written report of findings and recommendations to the appointing authority. <u>Timeline:</u> Submit written report within 5 days of concluding meetings with the parties.

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CIVIL SERVICE RULE 5.1.7: INVESTIGATION AND SEALING OF APPRAISALS

If a violation is found If the Commission finds a violation, the Commission may order all copies of the appraisal and attached documents to be sealed, and the Commission also may order that a new appraisal be prepared.

NOTE: When the Commission directs that the appraisal be sealed, the Director, Department of Human Resources removes the appraisal and attached documents from the employee's personnel file, seals it in a separate envelope, and files it in a confidential file apart from the employee's personnel file. The appointing authority shall do the same with department's record of appraisal.

If the step advancement has been withheld as a result of a below standard performance appraisal rating and the Performance-Based Step Advancement provision, and the performance appraisal has been sealed by Commission order, the necessary paperwork will be prepared to adjust the advancement of the step to make it effective on the regular step anniversary date, to include any necessary pay adjustment for the time period since the step anniversary date.

Department-generated requests In cases of department-generated requests, the Commission will only seal appraisals with the mutual agreement of the department and employee.

FURTHER INFORMATION

For further information please contact the Labor Relations Division at (619) 531-5160.

REFERENCES

Civil Service Rule 5, Employee Performance Appraisals
Compensation Ordinance 1.4.2(b)(2) Served in Class Defined

APPROVED BY:

Original document approved and signed by Susan Brazeau on 03/18/16.

Susan Brazeau, Director
Department of Human Resources
