

**DEPARTMENT OF EMPLOYMENT AND BENEFIT SERVICES  
PERFORMANCE APPRAISAL PROCESS  
SEIU LOCAL 535 WORKER CHAPTER -ELIGIBILITY CLASSIFICATIONS**

The following are guidelines and information that you should know about the Performance Appraisal process:

**Purpose:**

This Performance Appraisal Process is intended to be a positive process of dialogue and communication between worker and supervisor to provide a balanced picture of the areas in which an individual excels. It is intended to support the worker in serving clients, achieving departmental goals, and providing the worker an opportunity for growth. This process is not to be used as a disciplinary tool.

**Launch Date:**

The Performance Appraisal process begins December 1, 2002 with the distribution of forms to workers and supervisors. Performance Appraisal discussions between workers and supervisors are to occur between January 1st and March 31st of each year unless the worker has less than six months experience with the supervisor. If the worker transfers within the performance appraisal period, the former supervisor completes the performance appraisal with the worker prior to the effective date of the transfer. No worker shall have more than one performance appraisal per year (12 months).

All Performance Appraisals are to be completed by March 31st of each year. The first performance appraisal will not be placed in the worker's personnel file. Performance appraisals thereafter will be placed in the worker's personnel file.

**Confidentiality:**

Performance Appraisals are confidential, as are all personnel files. State law protects the confidentiality of personnel files. Access to Personnel files is limited to the employee, the employee's representative, the employee's current supervisor and manager, and an appointing authority within the County of Santa Clara system who is considering hiring the employee. Anyone who looks at a personnel file is required to sign and date it.

**Labor/Management Performance Appraisal Committee**

The Performance Appraisal system will continue to evolve based on experience and input in accordance with a designated Labor/Management Performance Appraisal Committee. Staff is encouraged to provide feedback to the Labor Management Performance Appraisal Committee. This process will include a yearly meeting, at the request of either party, prior to December 1 -- the date performance appraisal forms are to be distributed.

## Administration of the Performance Appraisal – Steps in the Process:

Note: Worker and supervisor must be together for at least six months before Performance Appraisal can take place. If the worker transfers within the performance appraisal period, the former supervisor completes the performance appraisal with the worker prior to the effective date of the transfer. No worker shall have more than one performance appraisal per year (12 months).

- All workers and supervisors will receive training together on the performance appraisal system, prior to implementation of the Performance Appraisal process.
- On December 1<sup>st</sup> of each year, the worker and supervisor will receive the performance appraisal form.
- Between January 1<sup>st</sup> and March 31<sup>st</sup> of each year, the supervisor and the worker will:
  - Each independently complete their respective sections of the performance appraisal form.
  - Arrange a Performance Appraisal conference time where the worker and the supervisor will have private, uninterrupted time.
  - Discuss their completed forms and jointly set professional development and operational goals.
- During the discussion, supervisor and worker will discuss their perceptions of performance in the various areas. Every subcategory does not need to be addressed. Based upon this conversation, mutually agreed upon goals will be written into the Performance Appraisal form. It is not necessary to have a goal in every category. Beginning with the January to March 2004 appraisal process, both copies of the appraisal are considered part of the process and will be placed in the personnel file. It is also expected that the employee and supervisor will keep copies of the appraisal in order to support the goals of the individual. The outcome of this conference is an appraisal which reflects both the supervisor's and the worker's appraisal.
- The appraisal is not intended to be a "blend" of the supervisor's and the worker's evaluation unless they agree on a particular area. Otherwise, both the supervisor's and worker's comments should be clearly identified on the final form.
- The worker may add additional comments on a separate page, if desired.

- There are to be **no surprises**. It is expected that supervisors and workers would have discussed the worker's performance during regular conference time scheduled over the course of the year. If the supervisor rates any area as "needs improvement", the supervisor should have had a discussion of the issue with the worker prior to the appraisal.

#### Review/Appeal Process

- If there are unresolved areas of disagreement between the worker and supervisor, the worker needs to request a review by the SSPM/Manager in writing. After review by the SSPM/manager, and without prejudice to the contract, the worker may appeal unresolved areas of disagreement to the DEBS Director. The final arbiter in unresolved disputes will be the Agency Director or appointed her/his designee.
- All requests for review/appeal must be made in writing listing the areas of disagreement.
- The review and appeal processes should be completed within a reasonable period of time. Generally, it should take twenty working days for each step of the review/appeal processes, not to exceed a total of 60 working days.

#### DEFINITIONS:

1. **Basic Skills** - Knowledge, skills and abilities necessary to perform the job. These are examples of areas you may wish to address, but comments need not be limited to these areas:
  - Computer Skills
  - Problem solving
  - Knowledge of job
  - Reliable/dependable
  - Time and caseload management
2. **Interpersonal Skills/Communication** – Ability to relate to others. These are examples of areas you may wish to address, but comments need not be limited to these areas:
  - Ability to effectively interact with clients, the public, and coworkers with respect and courtesy.
  - Client service
  - Oral and listening skills

3. **Teamwork/Relationships** – A coordinated effort in which individual interests are subordinated to group unity and efficiency. These are examples of areas you may wish to address, but comments need not be limited to these areas:

- Ability to work within the policies and procedures of the Agency
- Project a positive professional image in representing the Agency
- Community relations

4. **Career Development and Goals** – The professional development of self/career.

**SANTA CLARA COUNTY  
SOCIAL SERVICES AGENCY  
LOCAL 535 WORKER CHAPTER PERFORMANCE APPRAISAL**

Date: \_\_\_\_\_

Employee: \_\_\_\_\_

Classification: \_\_\_\_\_

Supervisor: \_\_\_\_\_

**PURPOSE STATEMENT:**

The purpose of the performance appraisal is to foster a positive system, designed to provide employees and supervisors a process to openly discuss and positively focus on the achievements of individual and organization's goals and objectives, and to provide feedback on areas needing attention and improvement.

**PHILOSOPHY:**

The body of this form has been designed to be a collaborative, proactive effort, which incorporates the Agency mission statement & Department goals. It is to provide a balanced picture of the areas in which an individual excels and areas needing development. *This is not to be used as a disciplinary tool.*

There are to be **no surprises**. It is expected that supervisors and workers would have discussed the worker's performance during regular conference time scheduled over the course of the year.

**RATINGS:**

"Excellent," "good," and "needs improvement" are the rating categories.

**CAREER DEVELOPMENT AND GOALS**

It is not mandatory to complete this section of the Performance Appraisal form. It is available for workers who want coaching, mentoring, and support in career development and related goals for his/her personal professional development.

**BASIC SKILLS** – Knowledge, skills and abilities necessary to perform the job. These are examples of areas you may wish to address, but comments need not be limited to these areas:

- Computer skills
- Problem solving
- Knowledge of job
- Reliable/dependable
- Time and caseload management

Self-appraisal Summary and Goals

Mutually Agreed Upon Goals

Appraiser's Summary

**INTERPERSONAL SKILLS/COMMUNICATION** – Ability to relate to others.

These are examples of areas you may wish to address, but comments need not be limited to these areas:

- Ability to effectively interact with clients, the public, and coworkers with respect and courtesy.
- Client service
- Oral and listening skills

Self-appraisal Summary and Goals

Mutually Agreed Upon Goals

Appraiser's Summary

**TEAMWORK/RELATIONSHIPS** – A coordinated effort in which individual interests are subordinated to group unity and efficiency. These are examples of areas you may wish to address, but comments need not be limited to these areas:

- Ability to work within the policies and procedures of the Agency
- Project a positive professional image in representing the Agency
- Community relations

Self-appraisal Summary and Goals

Mutually Agreed Upon Goals

Appraiser's Summary

(Not Mandatory)

**CAREER DEVELOPMENT/GOALS** – The professional development of self/career. It is not mandatory to complete this section of the Performance Appraisal form. It is available for workers who want coaching, mentoring, and support in career development and related goals for his/her personal professional development.



The signatures below signify only that this appraisal has been discussed by the employee and the manager.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date

I request a meeting to review this appraisal with the SSPM/Manager.

**Reasons for disagreement need to be provided to Supervisor in writing.**

Employee's Name: \_\_\_\_\_

Date: \_\_\_\_\_