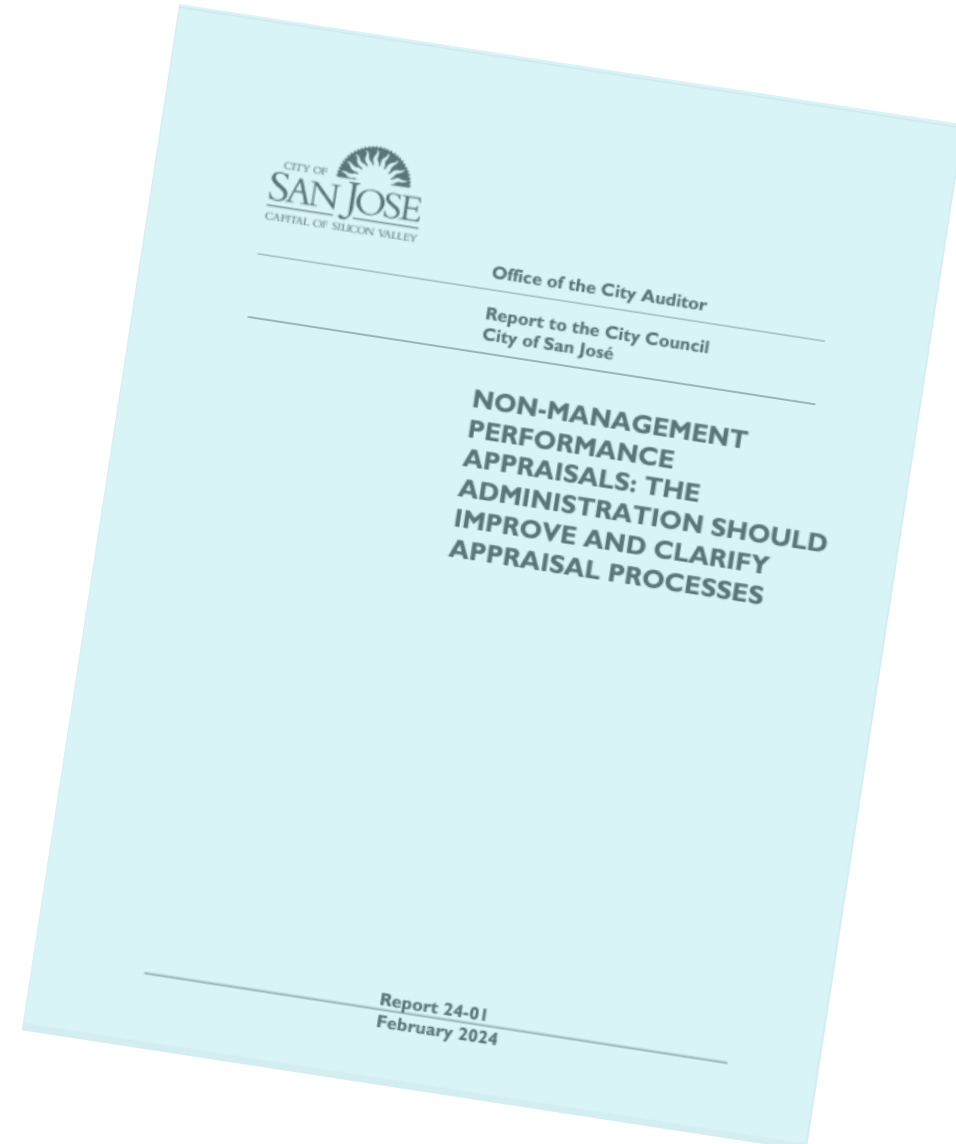


# Non-Management Performance Appraisals: The Administration Should Improve and Clarify Appraisal Processes

A Report from the City Auditor  
Issued February 2024

<http://www.sanjoseca.gov/auditor>



## Background

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- Roughly 4,300 non-management employees as of June 30, 2023.
- The City Policy Manual provides guidelines for annual and probationary appraisals.
- “% of Non-Management Employee Performance Appraisals Completed On Schedule” is a key performance indicator for the Strategic Support City Service Area.

*An appraisal being **on schedule** refers to whether it is conducted within 30 days of the end of the appraisal period*



## **Finding 1: Nearly Three Quarters of Non-Management Employees Had a Current Appraisal on File; However, Timeliness Can be Improved**

- As of June 30, 2023, 74% of non-management employees had an appraisal in the prior year or had one currently due.
- 28% of appraisals were completed more than 30 days after the end of the appraisal period; 11% were more than 90 days.
- There have been instances where staff have gone extended periods without an appraisal.
- Automation can help simplify and streamline the appraisal process.

### **Recommendations:**

To improve the non-management appraisal process, the Administration should:

- Establish a process to notify and follow up with departments on outstanding appraisals
- Clarify expectations around providing and tracking appraisals for part-time staff
- Implement automated workflows to streamline the process
- Provide additional training to supervisors who complete the appraisals

## **Finding 2: The Administration Should Review Its Current Performance Measure Around Non-Management Performance Appraisals**

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- The report used for calculating performance did not accurately calculate whether an appraisal was “on schedule”.
- Appraisals were considered on schedule even if they were conducted more than 30 days past the end of the appraisal period.
- The report also did not accurately identify overdue appraisals. This was corrected during the audit.

### **Recommendations:**

To more accurately report performance, the Administration should:

- Adjust its reporting tool to more accurately assess whether appraisals were on schedule
- Document the methodology moving forward

# Conclusion

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This report has eight recommendations to improve the non-management performance appraisal process and reporting.

We would like to thank the Human Resources Department, the City Manager's Office, the Office of Employee Relations, and the City Attorney's Office for their time and insights during the audit process.

The audit report is available at [www.sanjoseca.gov/auditor](http://www.sanjoseca.gov/auditor)

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