 <p>CD-032100</p>	<h1>NEW MEXICO CORRECTIONS DEPARTMENT</h1> <p>"We commit to the safety and well-being of the people of New Mexico by doing the right thing, always." Courage Responsibility Ethics Dedication - CREDibly serving the public safety of New Mexico</p>	
	ISSUE DATE: 11/08/85	REVIEW/REVISED: 02/23/15
	EFFECTIVE DATE: 11/22/85	
TITLE: Employee Performance Evaluations		

AUTHORITY:

- A. State Personnel Board Rule 1.7.9.3 NMAC.
- B. NMSA 1978, Section 10-9-15, as amended.

REFERENCE:

- A. ACA Standard 2-CO-1C-21, *Standards for the Administration of Correctional Agencies*, Field Test Version, 1991.
- B. ACA Standards 4-4064, *Standards for Adult Correctional Institutions*, 4th Edition.
- C. ACA Standards 4-APPFS-3D-16 and 4-APPFS-3D-17, *Performance Based Standards for Adult Probation and Parole Field Services*, 4th Edition.
- D. ACA Standards 1-CTA-1C-08, *Standards for Correctional Training Academies*, 1993.

PURPOSE:

Establish guidelines for the proper evaluation of job performance for all Corrections Department employees.

APPLICABILITY:

All employees of the New Mexico Corrections Department.

FORMS:

- A. **SPO Employee Evaluation** Form (3 pages)
http://www.spo.state.nm.us/NMState_Documents/Training_docs/emp_eval.doc
- B. **SPO Manager Evaluation** Form (4 pages)
http://www.spo.state.nm.us/NMState_Documents/Training_docs/mgr_eval.doc

ATTACHMENTS:

None

DEFINITIONS:

- A. Anniversary Date: The date of appointment or reemployment and is changed as of the date of promotion, demotion, reduction or change to a different Technical Occupational Group, Technical Occupational Group Role or Manager Category in the same Pay Band or Pay Opportunity.
- B. Custody Employee: An employee holding a Correctional Officer Cadet, Correctional Officer 1, Correctional Officer Sergeant, Correctional Officer 2, Correctional Officer 3 or Correctional Officer 4 working title.
- C. Employee: A person who is in probationary, career, term, temporary, emergency or exempt status.
- D. Immediate Supervisor: An employee who customarily and regularly directs the work of two or more employees and has the authority in the interest of the employer to hire, promote, evaluate the performance of, or discipline other employees or to recommend such actions effectively and who exercises discretionary powers.
- E. Non-Custody Employee: All employees holding working titles other than custody.
- F. Employee/Manager Evaluation: The performance appraisal system produced by the State Personnel Office that is designed to measure work performance.
- H. Reviewer: An employee whose role is to assure supervisors' compliance with rules and policies and monitor the accuracy, equity, quality and integrity of the performance appraisal and development process. The Reviewer shall be equivalent to Deputy Warden or higher in the Adult Prisons Division, Region Manager or higher in the Probation and Parole Division, and Bureau Chief or higher in all other organizational units of the Department.

POLICY:

A written performance review of all employees shall be conducted at least annually, based on defined criteria, and shall be reviewed and discussed with the employee. [2-CO-1C-21] [4-4064] [4-APPFS-3D-16] [1-CTA-1C-08]

- A. The Corrections Department will distribute employee performance appraisals fairly and equitably based on an employee's actual performance.
 - 1. For purposes of this policy, the major employee groups are identified to be all employees classified as managers, correctional officers and non-correctional officer employees.

2. A performance evaluation shall be completed within 30 days prior to the employee's anniversary date and may be performed whenever a supervisor wishes to make an employee's performance a matter of record.
 3. Any final rating lower than an "achieves performance standards" rating must be justified by the supervisor and approved by the reviewer.
- B. Employees of the Corrections Department shall receive performance evaluations by their supervisors in accordance with the Department's schedule or as appropriate.
1. The performance of employees shall be presumed to be acceptable unless documented otherwise by supervisory employees.
 2. Performance evaluations are beneficial to both managers and employees.
 3. Job assignments and applicable skills shall be established for new employees within 90 days of hire.
 4. Job assignments and applicable skills shall be established within 15 days of completion of a performance appraisal.
 5. Supervision shall be a key job assignment on the employee evaluation for all employees in the Technical Occupational Groups who are designated as supervisors.
 6. A performance evaluation shall be completed on employees vacating a position unless it is a result of dismissal.
 7. An employee evaluation must be in effect for 90 days prior to an employee being evaluated.
 8. The performance of a career employee shall be appraised by the immediate supervisor within 30 days prior to the employee's anniversary date and reviewed semi-annually.
 9. The performance of a probationary employee will be evaluated within 30 days prior to the employee's anniversary date.
 10. The performance of a probationary employee or an employee newly promoted shall be reviewed at least twice during the first year. **[4-APPFS-3D-17]**

11. Should an overall rating of “does not achieve performance standards” be given, all documentation should be attached to the evaluation. A development action plan is required when a supervisor determines an employee’s performance is below “achieves performance standards”.

All custody supervisory staff evaluations will have a supervisory job assignment, as indicated on the Custody Supervisory Evaluation, incorporated as part of the annual performance appraisal. Supervisors who fail to comply with the above shall be subject to disciplinary action.


- C. All supervisors and managers shall successfully complete a State Personnel Director-approved course of study on employee performance appraisal within 90 days of assuming supervisory duties or appointment as a manager.
 1. The New Mexico Corrections Training Academy will be responsible for developing and coordinating the initial training required.
 2. Each supervisor and manager will be responsible for becoming familiar with this policy.
- D. The Central Office Human Resources Bureau staff will audit each division as necessary to ensure all employees have evaluations on file.



Gregg Marcantel, Secretary of Corrections
New Mexico Corrections Department

02/23/15

Date

 <p>CD-032101</p>	<p>NEW MEXICO CORRECTIONS DEPARTMENT</p> <p>"We commit to the safety and well-being of the people of New Mexico by doing the right thing, always." Courage Responsibility Ethics Dedication - CREDibly serving the public safety of New Mexico</p>	
	<p>ISSUE DATE: 11/08/85</p> <p>EFFECTIVE DATE: 11/22/85</p>	<p>REVIEW/REVISED: 02/23/15</p>
	<p>TITLE: Employee Performance Evaluations</p>	

AUTHORITY:

Policy *CD-032100*

PROCEDURES: [2-CO-1C-21] [4-4064] [4-APPFS-3D-16] [1-CTA-1C-08]

A. Initiating Job Assignments:

1. It is the responsibility of the supervisor and reviewer to develop appropriate job assignments.
2. The supervisor shall establish the job assignments and submit them to the Reviewer for approval.
3. Once approved by the Reviewer, the supervisor will meet with the employee, discuss the job assignments, goals, and initial and date the form. The reviewer must approve any goals having financial impact.

B. Reviews:

1. When an employee is to have a semi-annual review each year, human resources administrator will forward the employee evaluation to the supervisor indicating a review is due. [4-APPFS-3D-17]
2. A probationer or newly promoted employee is required to have two (2) interim reviews during the first year of employment or during the first year to the newly promoted position. Human resources will forward the employee evaluation to the supervisor indicating a review is due.
3. The supervisor will meet with the employee and discuss performance. The supervisor shall rate the employee on page #1 of the evaluation.

4. The supervisor will meet with employee to discuss final ratings on page #1 of the evaluation.

C. Evaluations:

1. Full performance evaluations shall be conducted for career employees within the period of time that is 30 days prior to the employee's anniversary date.
2. Full performance appraisals shall be conducted for probationary employees within the period of time that is 30 days prior to becoming a career employee.
3. If performance is rated "Does not achieve performance standards" during any of the interim reviews, documentation must include a detailed development plan for corrective action and potential consequences of a "Does not achieve performance standards" rating for the year.
4. A bargaining unit employee may not be rated as "Does not achieve performance standards" if the employee has not been given reasonable opportunity to correct performance deficiencies and if they have not been placed on a development action plan for a period of 180 days (6 months).
5. Human resources will forward evaluations to the immediate supervisor at least two weeks prior to the period of time the supervisor is scheduled to complete appraisals and/or reviews.
6. The supervisor will enter a final appraisal rating. Written justification shall be submitted to the reviewer for any employee receiving an overall rating lower than "Achieves Performance Standards". The supervisor will forward the appraisal to the Reviewer for review and approval, **prior to any discussion of the final rating with the employee.**
7. The Reviewer will return the appraisal to the supervisor. The supervisor will meet with the employee for final discussion and to obtain signatures on the form.
8. If an employee refuses or is unavailable to sign an appraisal, the immediate supervisor will note refusal or unavailability and initial this entry.
9. Employee rebuttal statements must be submitted within 15 days of the employee/supervisor appraisal discussion. Rebuttal statements will be attached to the appraisal and become a permanent record along with the appraisal.

- D. A copy of the completed evaluation shall be given to the employee.
- E. All current and new employees will receive a copy of this policy and will be required to acknowledge receipt in writing.



Gregg Marcantel, Secretary of Corrections
New Mexico Corrections Department

02/23/15

Date



New Mexico State Personnel Board

State Personnel Office

Employee Evaluation



Rev. 3/8/07

EMPLOYEE INFORMATION

Employee Name:	Working Title:	Position Number:
Supervisor Name:	Anniversary Date:	Employee ID:

PRIMARY JOB ASSIGNMENTS

Describe the key job assignments and performance standards that will be evaluated using the performance rating areas below:

PERFORMANCE RATING AREAS

Rating Scale:	Exemplary-4	Solid Sustained-3	Achieves Performance Standard(PS)-2	Does Not Achieve Performance Standard(PS)-1
Results Focus (Achieves key job assignments and performance standards; understands agency and unit vision and direction; contributes to team work goals) Comments:	1 st Interim Review Select Rating	2 nd Interim Review Select Rating	Final Review Select Rating	
Agency Determined Comments:	Select Rating	Select Rating	Select Rating	
Agency Determined Comments:	Select Rating	Select Rating	Select Rating	
Agency Determined Comments:	Select Rating	Select Rating	Select Rating	
Supervisor Determined Comments:	Select Rating	Select Rating	Select Rating	
Supervisor Determined Comments:	Select Rating	Select Rating	Select Rating	

RATING KEY

Exemplary Employee performs at a level that result in significant accomplishments that may not have been otherwise achieved.	Solid Sustained Employee demonstrates good solid performance in managing work expectations; exhibits sustained support of organizational goals.	Achieves Performance Standards Employee meets performance standards. (This rating can apply to a probationary employee if employee is developing new skills and gaining new knowledge, leading toward performing Job Responsibilities.)	Does Not Achieve Performance Standards Employee's performance needs improvement and/or is inconsistent. (Employee Development Plan required.)
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OVERALL FINAL RATING

Select Rating

Supervisor's Comments:

EMPLOYEE'S GOALS (Optional)

SIGNATURES

Initial Evaluation Discussion: Reviewer's Initials and Date _____ Rater's Initials _____ Employee's Initials _____

1st Interim Review: Reviewer's Initials and Date _____ Rater's Initials _____ Employee's Initials _____

2nd Interim Review: Reviewer's Initials and Date _____ Rater's Initials _____ Employee's Initials _____

Final Appraisal: Reviewer's Signature _____ Date _____

Rater's Signature _____ Date _____

Employee's Signature _____ Date _____

Your signature indicates neither agreement nor disagreement with the evaluation, but it does indicate that you have read the evaluation and that it has been discussed with you. If you wish, you may comment in the space below, or provide a document for attachment.

EMPLOYEE'S COMMENTS



Employee Evaluation Performance Rating Descriptions

Performance Rating Area	Description
Customer Service	Works effectively with internal and external customers to achieve desired work results and maintain positive relationships.
Productivity/Dependability	Completes assigned work in a timely manner and meets established attendance requirements.
Interpersonal Skills	Establishes and maintains effective work relationships. Demonstrates good communication and listening skills.
Quality	Achieves consistency, thoroughness, and accuracy on assigned work and projects.
Job Knowledge	Demonstrates the knowledge and skills needed for job assignments.
Adaptability/Flexibility	Adapts to change and is open to different and new ways of doing things.
Work Environment/Safety	Promotes a respectful workplace and complies with general conditions of employment, security and workplace safety standards.
Use of Equipment/Materials	Uses equipment and materials safely, for their intended purpose, and consistent with applicable policies and procedures.



New Mexico State Personnel Board
State Personnel Office
Manager Evaluation



Rev. 3/6/07

EMPLOYEE INFORMATION

Employee Name:	Working Title:	Position Number:
Supervisor Name:	Anniversary Date:	Employee ID:

PRIMARY JOB PURPOSE

In a brief statement, please describe how this job contributes to the agency:

GOALS/ASSIGNMENTS

List two to four major goals/assignments for the upcoming performance appraisal period (including Performance and Accountability initiatives and agency-level strategic planning efforts):

Goal/Assignment 1:

Goal/Assignment 2:

Goal/Assignment 3:

Goal/Assignment 4:

DEVELOPMENT PLAN

List one to three management/supervisory development opportunities that will be addressed during the performance appraisal period:

Development Area 1:

Development Area 2:

Development Area 3:

PERFORMANCE RATING AREAS

Rating Scale: Exemplary-4 Solid Sustained-3 Achieves Results-2 Does Not Achieve Results-1

	1 st Interim Review	2 nd Interim Review	Final Review
<p>Results Focus (Achieves results based on established goals; sets and communicates the vision and direction; develops challenging, achievable, relevant and measurable individual and work team goals; overcomes obstacles and is accountable for final results.)</p> <p>Comments:</p>	Select Rating	Select Rating	Select Rating
<p>Participative Leadership (Interacts effectively and maintains positive relationships with peers, employees, and customers; builds teamwork; motivates and inspires others; cooperates with persons outside of the agency; uses positive reinforcement; treats people with respect.)</p> <p>Comments:</p>	Select Rating	Select Rating	Select Rating
<p>Communication (Listens well; effectively communicates with individuals throughout the organization; gives clear and complete instructions; makes clear and well-organized presentations; writes clearly and concisely.)</p> <p>Comments:</p>	Select Rating	Select Rating	Select Rating
<p>Problem Solving and Decision Making (Understands factors and develops sound, practical and workable solutions, recognizing when decision is necessary; asks for input; makes decisions and provides information and feedback in a timely manner; accepts responsibility; facilitates problem resolution; will makes necessary and immediate decisions given available information.)</p> <p>Comments:</p>	Select Rating	Select Rating	Select Rating
<p>Development of Employees (Trains, guides, and assists employees appraises and reviews performance of supervised employees in a timely, fair, and appropriate manner; motivates employees to perform effectively; recognizes and encourages employees to establish and meet goals; maintains appropriate standards of performance resolves personnel-related problems and issues in a timely and effective manner.)</p> <p>Comments:</p>	Select Rating	Select Rating	Select Rating
<p>Add'l Rating Areas (select one)</p> <p>Comments:</p>	Select Rating	Select Rating	Select Rating

OVERALL FINAL RATING

Select Rating

Supervisor's Comments:

SIGNATURES

Initial Evaluation Discussion: Reviewer's Initials and Date _____ Rater's Initials _____ Employee's Initials _____

1st Interim Review: Reviewer's Initials and Date _____ Rater's Initials _____ Employee's Initials _____

2nd Interim Review: Reviewer's Initials and Date _____ Rater's Initials _____ Employee's Initials _____

Final Appraisal: Reviewer's Signature _____ Date _____

Rater's Signature _____ Date _____

Employee's Signature _____ Date _____

Your signature indicates neither agreement nor disagreement with the evaluation, but it does indicate that you have read the evaluation and that it has been discussed with you. If you wish, you may comment in the space below, or provide a document for attachment.

EMPLOYEE'S COMMENTS



Manager Evaluation Additional Performance Rating Descriptions

Performance Rating Area	Description
Customer Focus	Fosters and models a commitment to customer service; demonstrates a commitment to quality public service through statements and actions; measures customer satisfaction where appropriate; demonstrates the ability to create external partnerships.
Work Environment/Safety	Promotes a respectful workplace and complies with general conditions of employment, EEO, security and workplace safety policies.
Organizational Knowledge	Understands the programs and services provided by the agency; understands the resources needed to achieve program and service requirements; understands the impact that changes in assigned program and service impact the entire organization.
Planning and Organizing	Sets short- and long-term objectives and priorities; develops plan to meet established deadlines; anticipates problems and adapts to changes by using resources effectively; delegates work and conducts follow-up to ensure work is completed.
Fiscal Management	Operates within established budget by monitoring expenditures and balances, forecasting future budgetary needs and contingency planning; adheres to statewide and agency-specific budget/finance policies.
Quality of Work	Maintains accuracy, thoroughness and efficiency of work that achieves standards of quality.