

**GENERAL ADMINISTRATION  
EMPLOYEE**

**044 EMPLOYMENT AND SEPARATION**

**044.5 Manager and Employee Evaluation Policy**

**044.5.1 Purpose**

The purpose of this policy is to define a process by which Human Services Department (HSD) employees are assessed on their performance and ensures compliance with 1.7.9 NMAC, Performance Appraisals, effective July 7, 2001 (as amended).

**044.5.2 Definitions**

- A. "EE" means Employee Evaluation.
- B. "ME" means Manager Evaluation.
- C. "Performance Appraisal Forms" means the State Personnel Office (SPO) Employee Evaluation and Manager Evaluation forms.
- D. "Rater" means immediate supervisor.
- E. "Reviewer" means supervisor's supervisor.

**044.5.3 Policy**

- A. Classified HSD employees who are in probationary, career or term status will be evaluated on a form approved by the State Personnel Office (SPO) and according to the rules set by the State Personnel Board (SPB) and this policy. All provisions of this policy shall be modified/amended or superseded by any SPB Rules changes.
- B. HSD will use the rating system set forth by SPO.
- C. This policy requires that an employee performance evaluation document be initiated by the supervisor upon appointment, reassignment, promotion, demotion, reduction, transfer and/or the employee's anniversary date.

**044.5.4 Manager Performance Evaluation Training**

Managers and supervisors must successfully complete an HSD Office of Human Resources (OHR) course of study on employee performance management. Only those supervisors and managers who have completed the approved course of study may

conduct the department's evaluation of subordinates. Newly appointed supervisors and managers must have successfully completed an HSD OHR course of study on employee performance management within 30 days of appointment as a supervisor or manager or as soon as available.

#### **044.5.5 Frequency of Evaluations and Interim Reviews**

- A. The performance and development of a career employee must be evaluated at least semi-annually and annually by the immediate supervisor. The final annual performance evaluation must be received by OHR by the employee's anniversary date. The reviewer should preview and agree to the rater's comments and ratings prior to a formal performance evaluation conference between the rater and employee where ratings are presented.
- B. The performance and development of a probationary employee shall be reviewed through at least two interim reviews and a final annual evaluation prior to the completion of the employee's probationary period.
- C. The performance and development of promoted employees shall be reviewed through at least two interim reviews and a final annual evaluation prior to the completion of a one-year period.
- D. The performance and development of newly appointed managers and supervisors shall be reviewed through at least two interim reviews and a final annual evaluation prior to the completion of a one-year period.
- E. An interim evaluation may be performed whenever a supervisor wishes to make an employee's performance a matter of record or whenever deemed appropriate. Upon change of immediate supervisor, the former supervisor is required to complete an interim review on the existing ME/EE (not a close-out) and the existing ME/EE continues to stay in effect for the entire review period. The new supervisor continues to appraise the employee on the existing ME/EE. The new supervisor must always contact OHR/Employees Relations Section as soon as possible upon change of supervisor when there are personnel actions that were initiated by the first supervisor.

#### **044.5.6 Employee Rebuttal**

Employees may submit a rebuttal to performance evaluations, which shall become a part of the performance record. The rebuttal is a matter of record only and does not initiate action to change the evaluation rating. Employees may use the HSD complaint process to challenge the supervisor's rating when the employee believes that policy and/or proper procedures have not been followed, resulting in an inaccurate rating. The employee should be prepared to provide documentation to substantiate any rating change.

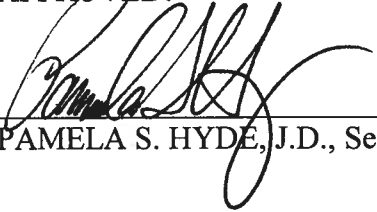
**044.5.7 Monitoring and Compliance**

- A. It is the responsibility of the reviewer to ensure that all supervisors and managers successfully complete training on employee performance management within 30 days of appointment as a supervisor or as soon as available.
- B. Reviewers shall review each evaluation form prior to opening, interim review, and close-out to monitor for quality, equity, and compliance with this policy and SPB Rules. The reviewer's signature on the performance evaluation signifies compliance.
- C. Managers and supervisors who fail to comply with the provisions of this policy and the State Personnel Board Rules may be subject to disciplinary action up to and including dismissal.

**044.5.8 References**

State Personnel Board Rule 1.7.9.8


APPROVED:



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