



# State Records Center and Archives

## New Mexico Commission of Public Records

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**SERIES:** Human Resources (SRCA 400)

**NUMBER:** SRCA-413

**TITLE:** Performance Appraisal

**PURPOSE:** To establish a guideline for conducting an effective and timely appraisal of an employee's performance and the development of their knowledge, skill, and abilities required in accomplishing the agency's mission and to ensure compliance with 1.7.9 NMAC, Performance Appraisals, effective March 31, 2004 (as amended).

**SCOPE:** This policy applies to all SRCA supervisors.

**DEFINITIONS:**

**"EE"** means Employee Evaluation.

**"ME"** means Manager Evaluation.

**"Performance Appraisal Forms"** means the State Personnel Office (SPO) Employee Evaluation and Manager Evaluation forms.

**"Rater"** means immediate supervisor.

**"Reviewer"** means immediate supervisor.

**"SRCA"** means the New Mexico Commission of Public Records - State Records Center and Archives.

**A. GENERAL PROVISIONS:** The SRCA is committed to the effective communication and equitable documentation of each employee's performance and development. Therefore, the performance and development process of an employee should be an ongoing dialogue between the supervisor and the employee. Classified SRCA 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. A copy of the completed evaluation, interim review evaluations, and final evaluations shall be given to the employee and the original sent to the human resources manager. The Human Resource Manager shall audit each division as necessary to ensure all employees have an active evaluation.

If a "does not achieve performance standards" will 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". Should an "exemplary" rating be given, it must be approved by the reviewer and the state records administrator prior to being given to the employee.

All provisions of this policy shall be modified/amended or superseded by any SPB Rules.

**B. MANAGER AND SUPERVISOR TRAINING:** All managers and supervisors must successfully complete a SPO approved course of study on employee performance appraisal within 90-days of appointment as a supervisor.

**C. INITIATING THE MANAGER OR EMPLOYEE EVALUATION:** A manager or employee evaluation shall be initiated within 90 calendar days of appointment, reassignment, promotion, demotion, reduction, transfer and/or the employee's appraisal date and shall become a part of each employee's employment history. The initial meeting between a supervisor and employee should focus on performance expectations and goals that should be achieved over the appraisal period. These goals and objectives should originate from the SRCA's strategic plan. An employee's plan may be revised at any time during the performance cycle to reflect the changing needs of the position. Any changes, however, must be made only after informing the employee.

Additional input and participation from employee's peers, customers, subordinates, or other appropriate personnel may be used for the appraisal process when appropriate. The employee should be informed at the beginning of the appraisal cycle that such input will be requested.

**D. EVALUATION STRUCTURE:** Supervisors shall consult with employees on the selection of competencies and shall deem which are appropriate for the position and the development of the employee; the final decision with respect to the competencies selected shall be the supervisor's, subject to the conditions listed below.

A minimum of three, in addition to the mandatory Overall Accomplishment of Results, shall be selected from the list of competencies listed in the performance appraisal issued by SPO. These competencies are: Customer Service, Productivity, Quality, Communication Skills, Adaptability/Flexibility, Job Knowledge, Work Environment/Safety and Attendance.

Ratings of "Does Not Achieve" shall require monthly reviews. The supervisor shall develop a work improvement plan for the employee that is attainable and outlines steps needed to achieve an acceptable rating.

The recommendation of "Exemplary" must be reviewed and approved by the state records administrator prior to introducing the rating to the employee.

**D. PROBATIONARY EMPLOYEES:** Probationary employees' performance and development must be reviewed through at least two interim reviews and a final review prior to the completion of the employee's probationary period. This is required to ensure the employee's successful continuation into the career status.

**E. CAREER EMPLOYEES:** Career employees' performance and development must be reviewed semi-annually and a final review completed by the employee's anniversary date.

**F. CORRECTIVE ACTION PLANS:** A corrective action plan may be put in place to address an employee's performance problem. A corrective action plan is not disciplinary action. However, anytime a rating of *Does Not Achieve Performance Standards* is used a corrective action plan must be put in place. A corrective action plan should include a description of performance deficiencies, a detailed plan on how the employee needs to correct those deficiencies such as training or coaching, timelines for the corrective action (which must be at least 30 days), and the potential consequences for an unacceptable rating at the end of the corrective action plan time period. A copy of the plan and any supporting documentation shall be sent for review to the human resources manager prior to being given to the employee. Once the plan is

discussed with the employee, a copy signed by the supervisor, reviewer, and employee is forwarded to the human resources manager for inclusion in the employee's personnel file.

**G. REBUTTAL:** Employees may submit a rebuttal to a performance appraisal, which shall become a part of the performance appraisal.

**H. REVIEWERS:** The reviewer shall carefully review and sign-off each EE or ME prior to being shared with the employee.

**I. COMPLIANCE:** Managers and supervisors who fail to comply with this policy, as per the SPB Rule, may be subject to disciplinary action including dismissal.

[2.3.20.007, 5/14/99; 3/11/02; renumbered and amended 3/7/2014]

**APPROVED:**

**EFFECTIVE DATE:**

  
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**John Hyrum Martinez**  
**State Records Administrator**

March 7, 2014