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DEPARTMENT OF PUBLIC SAFETY

**ADMINISTRATIVE PROCEDURES
MANUAL**

Origin: Personnel

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POLICY: PERFORMANCE APPRAISAL AND DEVELOPMENT POLICY	REVISION DATE Rev-2 6.10.02	1ST ISSUE Initial Issue	NO. OF PAGES 10

1.0 POLICY

The DPS shall implement a performance appraisal development plan to provide for a comprehensive system of compensating employees commensurate with performance and job competency, according to the Personnel Board Rules, SPO audit procedures, and applicable state law.

2.0 APPLICABILITY

This policy applies to all employees who are defined as classified employees under the State Personnel System.

3.0 REFERENCES

Personnel Board Rule *1.7.9 NMAC (Performance Appraisals)*.

4.0 DEFINITIONS

- 4.1 **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 (TOG), TOG Role, or Manager Category.
- 4.2 **BPB** - The Budget and Planning Bureau of the Department of Public Safety.
- 4.3 **Career Appointment** - The employment of a candidate in a position recognized by SPO as permanent.
- 4.4 **Career Status** - An employee in a career appointment attains career status beginning the day following the end of the probationary period.
- 4.5 **Classified Service** - All positions in the executive branch of state government that are not exempt by law.
- 4.6 **Department** - The Department of Public Safety.
- 4.7 **DPS** - Department of Public Safety.

- 4.8 **Focal Point Evaluation Period** - The period between October 1 and November 30 not to exceed 60 days during which DPS shall conduct annual performance appraisals of all its employees.
- 4.9 **PAD** - Performance Appraisal and Development Plan.
- 4.10 **PAD Form** - State Personnel Director approved Performance Appraisal and Development Plan Form.
- 4.11 **PMB** - Personnel Management Bureau of the Department of Public Safety.
- 4.12 **Probationer** - An employee in the classified service who has not completed the one-year probationary period.
- 4.13 **Secretary** - The Secretary of the Department of Public Safety.
- 4.14 **SPO** - The State Personnel Office.
- 4.15 **Term Status** - Employees in Term status who complete the one (1) year probationary period required by 1.7.2.8 NMAC shall have all of the rights and privileges of employees in career status except that term appointments may be expired with at least fourteen (14) calendar days written notice to the employee without right of appeal to the Board. For purposes of the procedure that follows, all employees in term status who have completed the one (1) year probationary period shall be treated the same as employees with Career Status.

5.0 PROCEDURE

5.1 General Guidelines

This procedure outlines how to conduct employee performance appraisals in accordance with Personnel Board Rules and Audit Guidelines. For specific directions on completing the PAD Form, consult the PAD User Manual.

- 5.1.1 Effective June 30, 2002, all existing PADS for FY02 will have been closed utilizing the four (4) point rating scale PAD form. Effective July 1, 2002, all newly created and opened PAD's shall utilize the five (5) point rating scale PAD form.
- 5.1.2 During FY03 (7/1/2002 – June 30, 2003), all employees shall be evaluated during a final focal point period of 60 days between October 1 and November 30, rather than on anniversary dates. Performance pay increase amounts shall be determined according to the FY 03 PAD Matrix that will depend on future State Personnel Board and Legislative action. These pay increases will be effective on a specific date to be determined during the following January.
- 5.1.3 The DPS Plan for implementing performance appraisals shall be submitted to the SPO Director and State Personnel Board annually for approval by October 31 of the prior fiscal year.

- 5.1.4 Managers and supervisors shall be held accountable for accurate and timely submittal of assigned employee PAD's, and interim and final appraisals.
- 5.1.5 The PMB shall be responsible for tracking the overall status of the DPS performance appraisal system and shall provide SPO with periodic reports as requested.

5.2 PAD Training

PAD training requirements are in accordance with Personnel Board Rule 1.7.9, Performance Appraisals.

- 5.2.1 Newly appointed supervisors shall be scheduled and receive PAD training offered through the SPO within 45 days of appointment. Attendance is mandatory for all newly appointed supervisors. This training shall be scheduled through the PMB.
- 5.2.2 The immediate supervisor will provide all new hires with the PAD form and shall provide a brief overview of the PAD process during orientation.
- 5.2.3 The PMB shall maintain a list of all managers/supervisors who have completed the PAD training. The list shall contain the name of the manager/supervisor, TOG or MC, TOOL number, date course completed, and instructor's name.

5.3 PAD Plan

- 5.3.1 The SPO approved PAD form shall be utilized to define job assign performance competencies for employee performance review.
- 5.3.2 Mandatory PAD Job Assignments/Competencies.
 - 5.3.2.1 All manager and supervisor PADs shall contain in one of the job assignments the responsibility of ensuring compliance with the department's Sexual and Racial Harassment and Retaliation Policy through the training, monitoring and performance evaluation of the employees they supervise.
 - 5.3.2.2 The PAD's of all employees shall contain as one of the competencies Cultural Understanding, especially as it pertains the successful application and fulfillment of the department's Sexual and Racial Harassment and Retaliation Policy.

5.4 PAD Plan Due Dates

New PAD's must be initiated in accordance with the SPB Performance Appraisal & Development User's Manual within 45 days of an employee's initial appointment, reassignment, promotion, demotion, reduction, or transfer.

5.5 PAD Interim Reviews

- 5.5.1 Probationary employees, newly appointed managers, supervisors and newly promoted employees shall be reviewed at least quarterly for the first year of appointment. Interim PAD reviews shall be conducted in accordance with the specific directions in the appropriate PAD User Manual.
- 5.5.2 Career employees shall be reviewed at least semi-annually. Quarterly reviews are recommended for employees who have a significant change to job assignments or who may be having job performance problems.

5.6 Focal Point Appraisal Period

Each year the State Personnel Board sets target distributions for PAD ratings and these shall be the DPS target distributions. The DPS will utilize the five-tier appraisal rating system that includes: Greatly Exceeds Expectations, Exceeds Expectations, Meets Expectations, Needs Improvement, and Unacceptable. All Focal Point Period final appraisals shall be conducted in accordance with the specific directions in the appropriate PAD manual.

- 5.6.1 The FY03 final Focal Point Appraisal Period for the DPS shall be a period of sixty (60) days between October 1st and November 30th. In all subsequent fiscal years the Focal Point Appraisal Period shall be a sixty (60) day period between July 1st and November 30th as set forth in the DPS PAD Plan for that year as required by Personnel Board Rule *1.7.9.10.B NMAC*. All final performance appraisals must be completed during this period and a copy submitted to the PMB. Each year, the PMB shall notify all employees of the specific dates and tasks.

5.6.2 Final Appraisal Approval Track

- 5.6.2.1 Unacceptable/Need Improvement – The supervisor shall submit copy of the appraisal, a new PAD that incorporates a corrective action plan including a schedule of interim reviews, with dates and a DPS Work Order through the reviewer to the appropriate Division Director, and the Secretary with a final copy to the PMB.
- 5.6.2.2 Meets Expectations – The supervisor shall submit a copy of the appraisal and DPS Work Order through the reviewer to the appropriate Division Director, the Budget and Planning Bureau, and the Administrative Services Director, with a final copy to the PMB.
- 5.6.2.3 Exceeds Expectations/Greatly Exceeds Expectations – The supervisor shall submit a copy of the appraisal, a written justification, and a DPS Work Order to the appropriate Division Director, the Budget and Planning Bureau, the Administrative Services Director, and the Secretary, with a final copy to the PMB.

5.6.3 Career Status Employees

- 5.6.3.1 DPS career employees whose anniversary dates have not changed are eligible for an evaluation during the Focal Point Evaluation period.
- 5.6.3.2 DPS career employees who have received a new anniversary date are eligible for an evaluation during the Focal Point Evaluation Period if the new anniversary date has been held for 90 days by the date of the performance raise distribution. If the supervisor feels that the tenure under the new anniversary date has been too short to adequately evaluate performance, the supervisor shall consider the employee's performance in the previous job going back a total of twelve (12) months.
- 5.6.3.3 Career employees, who transferred from another state agency with no pay increase or change of anniversary date, shall be eligible for a final evaluation during the Focal Point Appraisal Period if they provide the most recent final evaluation from their last employer. Career employees who transferred laterally and received a supervisory pay change shall remain eligible.

5.6.4 Probationary Employees

- 5.6.4.1 DPS probationary employees shall have successfully completed their probationary period by the date of the subsequent performance raise distribution in order to be included in the Focal Point Evaluation.
- 5.6.4.2 DPS probationary employees whose probationary period ends before the Focal Point Appraisal Period shall have a final appraisal completed prior to the end of the probationary period allowing sufficient time for a decision as to whether the employee shall be retained. Probationary employees who are retained shall have an additional final appraisal completed during the subsequent Focal Point Evaluation Period. The supervisor may consider the employee's performance of the previous twelve (12) months when completing the subsequent Focal Point Evaluation.

5.6.5 Focal Point Appraisal Increase Amounts

Focal Point Appraisal increase amounts shall be in accordance with the fiscal year performance matrix. Distribution of the performance raises resulting from focal point evaluations shall occur on a date to be determined each year by the legislature and the Personnel Board.

5.7 Review of Department Compliance with Personnel Board PAD Rules and Guidelines.

The Secretary and the Division Directors shall serve as a committee to review, at least annually, the overall results of the Focal Point Period appraisal process with the intent of ensuring that ratings and related raises are distributed fairly, within budget, and within the guidelines. The committee shall compare DPS' distributions to the SPB targets established by the Personnel Board. The PMB and BPB shall provide the committee with the necessary data. The committee's review shall include, but not be limited to the following items.

- 5.7.1 The distribution of ratings across work units.
- 5.7.2 The distribution of ratings of classified managers/supervisors compared to other classified employees.
- 5.7.3 The distribution of ratings by EEO categories and other protected group categories.
- 5.7.4 A comparison of Department ratings distribution with Personnel Board rating distribution targets.
- 5.7.5 A comparison, of actual performance pay, expenditures with budgeted amounts for performance pay.
- 5.7.6 Any necessary recommendations.

5.8 Dissemination of Additional Related Information.

Because each annual salary matrix relies on Personnel Board action and legislation, amounts of money available for performance pay increases and implementation vary from year to year. In addition to disseminating this Policy, DPS will provide all employees with details of the fiscal year performance pay plan including the dates of the Focal Point Evaluation Period, the salary matrix, and the date of the distribution of performance raises. Both the DPS PAD Plan and annual salary matrix and Focal Point Evaluation Period information shall include an acknowledgement of receipt form. Division directors shall ensure that all employees complete the acknowledgement of receipt forms and that they are returned to the PMB where they shall be maintained in each employee's personnel file.

6.0 DPS PROCEDURES RELATED TO PERFORMANCE APPRAISAL & DEVELOPMENT

- 6.1.1 PRS: 26 Classified Employee Compensation
- 6.1.2 ADM: 34 Sexual and Racial Harassment and Retaliation Policy
- 6.1.3 ADM: 36 Sexual and Racial Harassment and Retaliation Complaint Investigation and Resolution Procedure

7.0 ATTACHMENTS

- 7.1 DPS Work Order
- 7.2 FY02 Performance Pay Matrix
- 7.3 New PAD Form

8.0 APPROVALS

Approved by: Thomas Long
DPS Cabinet Secretary

Date: 7/5/02