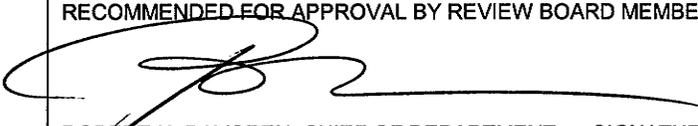
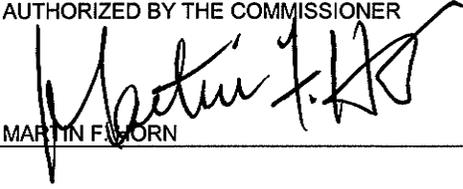




THE CITY OF NEW YORK  
DEPARTMENT OF CORRECTION



## DIRECTIVE

<input checked="" type="checkbox"/> NEW <input type="checkbox"/> * INTERIM <input type="checkbox"/> REVISED			SUBJECT		
EFFECTIVE DATE <b>05/17/05</b>		* TERMINATION DATE / /		<b>DEPUTY WARDEN PERFORMANCE APPRAISAL</b>	
CLASSIFICATION # <b>2229</b>	SUPERSEDES	DATED	APPROVED FOR WEB POSTING <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	DISTRIBUTION <b>A</b>	PAGE 1 OF 3 PAGES
RECOMMENDED FOR APPROVAL BY REVIEW BOARD MEMBER			AUTHORIZED BY THE COMMISSIONER		
 ROBERT N. DAVOREN, CHIEF OF DEPARTMENT    SIGNATURE			 MARTIN F. HORN    SIGNATURE		

### I. PURPOSE

To implement an objective, bi-annual performance appraisal system for Deputy Wardens\* which will be factored into the level selection process and for transfers, temporary details, special assignments.

\* As used in this Directive, all references to Deputy Warden also apply to the rank of Deputy Warden-in-Command.

### II. POLICY

A. Deputy Wardens shall be evaluated by their respective Wardens\*\* twice each year in June and December.

\*\* In units and divisions with a modified command structure, with no Warden assigned, the responsibilities normally handled by the Warden will be assumed by the Commanding Officer or appropriate manager.

B. The appraisal system will enable Deputy Wardens to discuss goals with the Wardens on a regular basis and to enhance their performance and/or progress.

### III. PROCEDURES

A. Twice a year in June and December, each Deputy Warden shall be evaluated utilizing the Performance Evaluation – Warden Level II (form #2229, attached).

B. Prior to the start of the evaluation period each Warden shall conduct an interview with the Deputy Warden being evaluated. During the interview the Deputy Warden being evaluated shall be informed of the process and performance expectations, and shall sign an acknowledgement indicating an understanding of same (form 2229, top section). If any respective Warden has been assigned to the command for less than 3 months, he/she shall not evaluate the Deputy Warden. If a Deputy Warden has not been assigned to the present facility for at least 3 months, the

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### III. PROCEDURES (cont)

- previous Warden assigned to the Deputy Warden's prior command shall complete the evaluation.
- C. Completed appraisals shall be signed by the Deputy Warden and the respective Warden as well as the Assistant/Bureau Chief as appropriate, as reviewer. The forms will then be forwarded to the Personnel Division and filed in the Deputy Warden's personnel folder. A copy shall be retained by the Warden and a copy shall be sent to the appropriate Assistant/Bureau Chief.
- D. The evaluating Warden will discuss all of the elements of the Performance Evaluation - Warden Level II (form #2229) with the Deputy Warden being evaluated. Evaluations will be prepared and completed by each Warden. The rating is final as approved by the Warden. If the Deputy Warden is dissatisfied with his/her evaluation after review by the Warden, he/she may appeal to the appropriate Assistant/Bureau Chief.
- E. The rating of each evaluation will be developed in accordance with the criteria outlined below:

DEPUTY WARDEN PERFORMANCE APPRAISAL: RATINGS AND DEFINITIONS		
PTS	RATING	EXPLANATION
0	Unsatisfactory	Fails to meet job requirements, expectations and minimum standards.
1	Marginal	Demonstrates efforts in achieving job requirements and expectations and is making progress, but does not meet minimum standards.
2	Good – Meets Expectations	Meets all job requirements and all expectations which were established.
3	Very Good – Exceeds Some Expectations	Frequently exceeds expectations and demonstrates ability to surpass stated standards.
4	Outstanding – Exceeds All Expectations	Consistently and clearly exceeds all job requirements and established goals. Contributes significantly to meeting departmental goals and objectives.

Note: Deputy Wardens cannot receive an overall rating of "Outstanding" if found guilty in any disciplinary proceeding during the past 6 month evaluation period.

#### F. FORM 2229 – PERFORMANCE EVALUATION - WARDEN LEVEL II INSTRUCTIONS

1. Provide the employee to be interviewed with a copy of the evaluation before the evaluation period begins and ensure that the member reviews it and signs the top section.

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### III. PROCEDURES (cont)

2. There are six main areas for which the employee will be rated: A. Leadership Performance, B. Duties and Responsibilities, C. Effort and Perseverance, D. Appearance, E. Communication, and F. Attendance. Each main area will include specific criteria to be rated. In addition to scoring attendance (form #2229, section F.) rating Wardens may also include relevant information in the comments section regarding an employee's MMR record.
3. Add the points for each criteria in the six areas. Divide the total points by the total number of the criteria, i.e. 20. Check the appropriate overall rating. Refer to section III. E. "Deputy Warden Performance Appraisal Ratings and Definitions", for definitions of ratings associated with point totals.

### IV. REFERENCE

Directive #2226, DEPUTY WARDEN ASSIGNMENT LEVEL PROCEDURE, dated 3/31/04 (as amended).

### V. ATTACHMENT

Form #2229, PERFORMANCE EVALUATION – WARDEN LEVEL II.



**CORRECTION DEPARTMENT  
CITY OF NEW YORK**

Form: #2229



**PERFORMANCE EVALUATION - WARDEN LEVEL II**

Eff.: 05/17/05  
Ref.: Dir. #2229

The evaluation includes the various criteria on which I will be evaluated; I was made aware of the conditions of this evaluation prior to this evaluation. By affixing my signature, I attest to the fact I have had an opportunity to review the prospective evaluation and am cognizant of what is expected of me.

Signature of Employee Being Evaluated \_\_\_\_\_ Date: \_\_\_\_\_

Commanding Officer Signature \_\_\_\_\_ Date: \_\_\_\_\_

Employee: \_\_\_\_\_ Date of Rating: \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_ Rating Period: \_\_\_\_\_ To: \_\_\_\_\_

Date of Appointment to Present Rank \_\_\_\_\_ Facility Assigned: \_\_\_\_\_ Promotion: \_\_\_\_\_ Other: \_\_\_\_\_

**A. LEADERSHIP PERFORMANCE**

	O(4)	VG(3)	G(2)	M(1)	U(0)
1. Constructively Addresses Performance Problems with Subordinates.					
2. Motivates High Levels of Individual Performance and Quality Service.					
3. Builds and Cultivates Rapport with Staff at All Levels within DOC.					
4. Assists Subordinates in Developing New Skills.					

**B. DUTIES AND RESPONSIBILITIES**

	O(4)	VG(3)	G(2)	M(1)	U(0)
1. Demonstrates Expertise in the Fundamental Aspects of Duties.					
2. Consistently Adheres to Set Work Schedule and COB's.					
3. Explores and Suggests New Approaches and Methods for Completing Assigned Tasks.					
4. Effectively Reviews Facts and Data to Arrive at Solutions.					
5. Manages Staff and Budget Most Efficiently to Achieve the Most Productive Outcome.					
6. Demonstrates Expertise in the Knowledge of Departmental Procedures, Rules, Court Decisions and Compliance Mandates					

**C. EFFORT AND PERSEVERANCE**

	O(4)	VG(3)	G(2)	M(1)	U(0)
1. Demonstrates Ability to Adjust in Order to Accommodate Changes in Departmental Direction and Superior's Management Style.					
2. Cultivates a Collaborative Team Concept to Achieve Goals and Objectives.					
3. Demonstrates Tenacity to Achieve Goals.					
4. Sets Priorities, and Utilizes Available Resources to Maximize Efficiency.					

**D. APPEARANCE**

	O(4)	VG(3)	G(2)	M(1)	U(0)
1. Projects Positive Bearing to Supervisors and Subordinates					
2. Projects Control and Assuredness During Emergencies and During Performance of Routine Duties					

**E. COMMUNICATION**

	O(4)	VG(3)	G(2)	M(1)	U(0)
1. Demonstrates the Ability to Succinctly Express Ideas and Information. Readily Disseminates Vital Work Related Information.					
2. Uses Clear and Concise Language in the Formulation of Institutional Orders, Memo's, and in Investigatory Reports Which is Easily Understood for Implementation and Compliance.					
3. Demonstrates the Ability to Deliver Formal and Informal Presentations to Both Subordinate Staff and Superiors.					

**F. ATTENDANCE - Retroactive to 3 Years Prior to This Evaluation**

1. Perfect Attendance - Outstanding During 3 Year Period	4 POINTS	<input type="checkbox"/> OUTSTANDING
2. Good Attendance - Total Absences Short of Category During 3 Year Period	2 POINTS	<input type="checkbox"/> GOOD
3. Unsatisfactory - Category Placement During 3 Year Period	NO POINTS	<input type="checkbox"/> UNSATISFACTORY

The Employee's Overall Rating for A, B, C, D, E and F is:  
 OUTSTANDING  VERY GOOD  GOOD  MARGINAL  UNSATISFACTORY

TOTAL POINTS \_\_\_\_\_  
DIVIDED BY 20 CRITERIA = \_\_\_\_\_

Comments:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Performance Evaluation Performed By: Name: \_\_\_\_\_ Title: \_\_\_\_\_ Shield/I.D. #: \_\_\_\_\_ Date: \_\_\_\_\_

Evaluation Reviewed By: Name: \_\_\_\_\_ Title: \_\_\_\_\_ Shield/I.D. #: \_\_\_\_\_ Date: \_\_\_\_\_

APPEAL: I disagree with the overall evaluation rating and wish to appeal my rating to the Assistant Chief. (ATTACH APPEAL)

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

APPEAL REVIEW:

\_\_\_\_\_  
 Bureau or Assistant Chief Signature as Appropriate  Affirm Rating  Revised Rating to: \_\_\_\_\_

REDUCED COPY  
 ORIGINAL IS 8 1/2 X 14 (LEGAL SIZE)