



THE CITY OF NEW YORK
DEPARTMENT OF CORRECTION



DIRECTIVE

<input type="checkbox"/> NEW <input type="checkbox"/> INTERIM <input checked="" type="checkbox"/> REVISED			SUBJECT		
EFFECTIVE DATE 03/19/08		*TERMINATION DATE / /	MANAGEMENT PERFORMANCE APPRAISAL		
CLASSIFICATION # 2225R-B	SUPERSEDES 2225R-A	DATED 12/01/06	APPROVED FOR WEB POSTING <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	DISTRIBUTION A	PAGE 1 OF 2 PAGES
RECOMMENDED FOR APPROVAL BY REVIEW BOARD MEMBER <i>Carolyn Thomas</i> CAROLYN THOMAS, CHIEF OF DEPARTMENT SIGNATURE			AUTHORIZED BY THE COMMISSIONER <i>Martin F. Horn</i> MARTIN F. HORN SIGNATURE		

I. PURPOSE

To implement an objective annual performance appraisal system for uniformed managers.

II. POLICY

- A. Uniformed managers, from Warden to Bureau Chief shall be evaluated by their immediate supervisor once a year.
- B. The appraisal system will enable managers to establish goals on a regular basis and enhance their performance and/or progress.

III. PROCEDURE

- A. Once a year, starting with the first business day in the month of January, every uniformed manager shall be evaluated utilizing the Management Performance Appraisal System (see Appendix A). This evaluation process shall be completed for every manager no later than the last business day in February.
- B. Prior to the start of the evaluation period, the evaluator shall conduct an interview with the manager being evaluated. During the interview the manager being evaluated shall be informed of the process, measuring tools and expectations and shall sign an agreement acknowledging an understanding of the same.
- C. The evaluator shall obtain the specific job descriptions required from the Department's Personnel Division.
- D. Completed appraisals shall be forwarded to the Personnel Division and filed in the manager's personnel folder.

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IV. ATTACHMENT

Appendix A - Management Performance Appraisal, Form #2225

V. SUPERSEDES

Directive #2225R-A entitled, MANAGEMENT PERFORMANCE APPRAISAL, dated 12/01/06.



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GOAL:

To effectively evaluate managers of the New York City Department of Correction.

OBJECTIVES:

To accomplish the goal through:

- Making the manager aware of what the evaluation entails prior to being evaluated; in effect, developing an agreement between evaluators(s) and manager(s) being evaluated.
- Measuring what is intended to be measured, with clearly defined initiatives.
- Interim evaluation analyses, so those being evaluated have periodic indication of their progress, or lack of it so that performance adjustments might be made, if required.
- Development of an objective database upon which decisions regarding the evaluated manager can be made.

PROCESS:

The evaluator will establish and document elements of the management performance appraisal with the manager being evaluated. The outcome will be the agreement establishing the elements (performance criteria) included in the evaluation agreement. Consistent with the parameters of the individual job descriptions, the content of each agreement will be developed in accordance with the evaluation criteria outlined below:

- Financial (budget, overtime, etc.);
- Quality (conditions of the facility, e.g., cleanliness, service delivery, staff comportment, use of force);
- Operational (absence control, scheduling, personnel functions);
- Inmate Conditions (violence, grievances, negative activity, etc.);
- Compliance with departmental rules, regulations, policies, procedures, etc.;
- Compliance with courts orders, consent decrees, oversight standards, etc.;
- Productivity (savings, re-engineering, innovative practices, initiatives, etc.);
- Labor Relations (management/labor problems and resolution); and



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PROCESS (cont):

- Equal Employment Opportunity (Knowledge of department Policy and Resolution).

In order to appropriately establish the appraisal and review process, corresponding evaluation criteria, e.g., job description and performance indicators will be provided each evaluator for every manager being evaluated.

A rating system will be employed whereby a total number of points will determine the evaluated employee's overall performance level.

MANAGEMENT EVALUATION RATING CRITERIA		
Pts	Rating	Explanation
1	Inadequate	fails to meet job requirements, expectations and minimum standards.
2	Marginal	Demonstrates sincere efforts in achieving job requirements and expectations and is making progress. Does not meet minimum standards.
3	Satisfactory	Shows significant progress toward satisfactorily meeting job requirements and expectations, or meets all job requirements and all expectations, which were established as a basis for the evaluation.
4	Good	Frequently exceeds expectations and demonstrates ability to surpass stated standards.
5	Exceptional	Consistently and clearly exceeds all job requirements and established goals. Contributes significantly to meeting departmental goals and objectives.



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INSTRUCTIONS:

1. Provide the employee to be interviewed with a copy of the terms of the agreement (Pages 3 through 6 of appraisal) at least two weeks prior to the evaluation date.
2. There are nine areas in which the employee will be rated: Budget, Quality of Facility Conditions, Operational, Inmate Conditions, Compliance Issues, Productivity, Labor Relations and Equal Employment Opportunity (EEO). In each area, except EEO, rate the employee on performance, using the following rating criteria:

RATING: 1 = Inadequate 2 = Marginal 3 = Satisfactory 4 = Good 5 = Exceptional
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For EEO, use the following criteria:

<input type="checkbox"/> Not Applicable	<input type="checkbox"/> Meets Requirement	<input type="checkbox"/> Does Not Meet Requirement
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3. Some areas will have only one item. In this instance, place the total score in the space provided next to the area heading. There are other areas that have more than one item. In these instances you will average all the items (the total score divided by the number of items) and place the averaged score in the space provided next to the area heading.
4. Pages 5 & 6 provide a summary of categories and scoring directions similar to what was just stated. There are footnotes regarding the development of a performance improvement schedule if the evaluated employee does not meet minimum requirements. This is not unlike an extended probation where improvement must be shown in specific areas. The rater will develop the performance improvement schedule.
5. On page 9, place the averaged scores in each area where designated, and check off appropriate rating. Average each of the areas, except EEO, which is not evaluated with points, (last set of boxes in table on Page 9), by adding up the points and dividing them by the number of areas. Check the appropriate overall rating. (You can use this score for the overall rating as well).

For your convenience, parts of these instructions are included in the appraisal.



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Name of Evaluated Employee: _____

Shield/I.D. Number: _____

Rank/Position/Title: _____

Assignment: _____

Anniversary Date: _____

Date of Management Performance Appraisal Interview: _____

Name of Person Conducting Interview: _____

Rank/Title: _____

MANAGEMENT PERFORMANCE APPRAISAL AGREEMENT

The agreement (Attachment A) includes the various criteria on which I will be evaluated. These represent the benchmarks for which I will be judged, consistent with the parameters of my job description and the goal expectations outlined within Attachment A. Whatever I accomplish, or fail to accomplish during the evaluation period can and will be used in my evaluation process. I understand it is incumbent upon me to provide proof, documentation, etc., for any accomplishment I profess to have achieved. I was made aware of the conditions of this agreement prior to this evaluation.

By affixing my signature, I attest to the fact I have had an opportunity to review the goal expectations and am cognizant of what is expected of me.

Signature of Employee being Evaluated

Date



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ATTACHMENT A: MANAGEMENT EVALUATION CRITERIA

RATING 1 = Inadequate 2 = Marginal 3 = Satisfactory 4 = Good 5 = Exceptional

Financial (Overtime Control): [Average of all Overtime Control Points=]

Employee demonstrates ability to control discretionary overtime Expenditures.....Pts _____

Employee demonstrates ability to contribute to the control of nondiscretionary overtime, e.g., through the use of innovative practices, re-engineering, staff reorganization, shift reduction, etc.....Pts _____

Financial (Budget): [Total Budget Points=]

Employee demonstrates fiscal responsibility in ensuring appropriate purchases, disbursement of funds and accountability.....Pts _____

Quality: (Facility Conditions): [Average Total Quality Points=]

Employee maintains a clean and orderly facility.....Pts _____

Employee demonstrates the ability to provide appropriate service delivery to inmate population.....Pts _____

Employee demonstrates the ability to control use of force.....Pts _____

Operational: [Average Total Operational Points=]

Employee has demonstrated good faith efforts toward absence control at the facility level.....Pts _____



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RATING 1 = Inadequate 2 = Marginal 3 = Satisfactory 4 = Good 5 = Exceptional

Employee has demonstrated ability to maintain appropriate utilization of available personnel, e.g., scheduling, shift reduction, post consolidation, etc.....Pts _____

Inmate Conditions: [Average Inmate Conditions Total Points= _____]

Employee has either reduced or contained

- a) Inmate on Inmate Violence.....Pts _____
- b) Inmate grievance.....Pts _____
- c) Negative inmate activity, e.g., insurrection, riot, blockade.....Pts _____

Employee has either improved or maintained service delivery to inmates and provided a safe and secure environment.....Pts _____

Compliance Issues: [Average Compliance Issues Total Points= _____]

Employee is in general compliance with applicable departmental rules, regulations, policies and procedures.....Pts _____

Employee is in compliance with all applicable court orders, mandates consent decrees, oversight standards and audits.....Pts _____

Productivity: [Total Productivity Points= _____]

Employee has developed and implemented productivity savings through re-engineering, innovative practices and other initiatives.....Pts _____

Labor Relations: [Total Labor Relations Points= _____]

Employee has demonstrated skill, knowledge and ability in resolving labor problems at the facility level.....Pts _____

Equal Employment Opportunity:

Employee demonstrates his/her knowledge of EEO policy as reflected by referrals of any complaints through appropriate channels.

Not Applicable

Meets Requirement

Does Not Meet Requirement



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SCORE:

MANAGEMENT EVALUATION RATING CRITERIA			
Point Range		Rating	Explanation
From	To		
1.0	1.99	Inadequate	Fails to meet job requirements, expectations and minimum standards. ¹
2.0	2.99	Marginal	Demonstrates sincere efforts in achieving job requirements and expectations and is making progress. Does not meet minimum standards. ²
3.0	3.99	Satisfactory	Shows significant progress toward satisfactorily meeting job requirements and expectations, or meets all job requirements and all expectations, which were established as a basis for the evaluation.
4.0	4.99	Good	Frequently exceeds expectations and demonstrates ability to surpass stated standards.
≥5		Exceptional	Consistently and clearly exceeds all job requirements and established goals. Contributes significantly to meeting departmental goals and objectives.

AREA SCORE: Compare the averaged or total points in each (e.g., Financial, Quality, Operational, etc.) with the management evaluation rating criteria [Supra]. Check off the appropriate rating in the box provided on the following page.

TOTAL SCORE: Add all average scores from Attachment A in order to arrive at total average score and compare them with the management evaluation rating criteria. Check off appropriate rating in the box provided on the following page.

¹If performance level falls within this range, employee must be placed on a formal performance improvement schedule.

²If performance level falls within this range, employee may (upon rater's recommendation) be placed on a formal performance improvement schedule.



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MANAGEMENT EVALUATION		
Area	Pts	Rating
Overtime		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Financial		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Quality		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Operational		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Inmate Conditions		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Compliance Issues		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Productivity		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Labor Relations		() Inadequate () Marginal () Satisfactory () Good () Exceptional
Average of Areas		() Inadequate () Marginal () Satisfactory () Good () Exceptional

Equal Employment Opportunity	Not Applicable <input type="checkbox"/>	Meets Requirement <input type="checkbox"/>	Does Not Meet Requirement <input type="checkbox"/>
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OVERALL RATING:

[] INADEQUATE [] MARGINAL [] SATISFACTORY [] GOOD [] EXCEPTIONAL

I have reviewed and received a copy of this Management Performance Appraisal

Signature of Employee being Evaluated

Date