



THE CITY OF NEW YORK  
DEPARTMENT OF CORRECTION



# DIRECTIVE

<input checked="" type="checkbox"/> NEW <input type="checkbox"/> INTERIM <input type="checkbox"/> REVISED			SUBJECT  <b>ASSISTANT DEPUTY WARDEN PERFORMANCE APPRAISAL</b>		
EFFECTIVE DATE <b>10/01/04</b>		*TERMINATION DATE / /			
CLASSIFICATION # <b>2228</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 Assistant Deputy Wardens.

## II. POLICY

- A. Assistant Deputy Wardens shall be evaluated by their respective Deputy Wardens twice each year, in April and October.
- B. The appraisal system will enable Assistant Deputy Wardens to discuss goals with the Deputy Wardens on a regular basis and to enhance their performance and/or progress.

## III. PROCEDURES

- A. Twice a year in April and October, each Assistant Deputy Warden shall be evaluated utilizing the Assistant Deputy Warden Performance Appraisal System (see Form A).
- B. Prior to the start of the evaluation period, each Deputy Warden shall conduct an interview with the Assistant Deputy Warden being evaluated. During the interview, the Assistant Deputy Warden being evaluated shall be informed of the process, and performance expectations and shall sign an acknowledgement indicating an understanding of same (see Form A, top box). If any respective Deputy Warden has been assigned to the command for less than 3 months, he/she shall not evaluate the Assistant Deputy Warden. If an Assistant Deputy Warden has not been assigned to the present facility for at least 3 months, the previous Deputy Wardens assigned to the Assistant Deputy Warden's prior command shall complete the evaluation.



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### III. PROCEDURES (cont.)

- C. Completed appraisals shall be signed by the Assistant Deputy Warden and the respective Deputy Wardens as well as the Warden/Commanding Officer, as reviewer. They will then be forwarded to the Personnel Division and filed in the Assistant Deputy Wardens' personnel folder. A copy shall be retained by the Warden/Commanding Officer and a copy shall be sent to the appropriate Assistant Chief.
- D. The evaluating Deputy Wardens will discuss all of the elements of the Assistant Deputy Warden performance appraisal with the Assistant Deputy Warden being evaluated. Evaluations will be prepared and completed by each of the Deputy Wardens or by the Commanding Officer at commands without multiple Deputy Wardens. The rating is final as approved by the Warden. If the Assistant Deputy Warden is dissatisfied with his/her evaluation after review by the Warden, he/she may appeal to the appropriate Assistant Chief.
- E. The rating of each evaluation will be developed in accord with the criteria outlined below:

ASSISTANT 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** – Assistant Deputy Wardens cannot receive an overall rating of “Outstanding” if found guilty in any disciplinary proceeding during the past 6 month evaluation period.

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### III. PROCEDURES (cont.)

#### F. FORM A – PERFORMANCE EVALUATION/INSTRUCTIONS

1. Provide the employee to be interviewed with a copy of the evaluation before the evaluation period begins (Form A) and ensure that they review it and sign in top box area.
2. There are six main areas A, B, C, D, E and F for which the employee will be rated: Leadership Performance, Duties and Responsibilities, Effort and Perseverance, Appearance, Communication and Attendance. Each main area will include specific criteria to be rated. In addition to scoring attendance (see section F) on page 3 – Performance Evaluation, rating Deputy Wardens may also include relevant information in the comments section regarding a ratee'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. 22. Check the appropriate overall rating. Refer to "Assistant Deputy Warden Performance Appraisal Ratings and Definitions" (section III.E.), for definitions of ratings associated with point totals.

### IV. REFERENCE

Directive #2224B-R, THE LEVEL SELECTION PROCESS FOR THE POSITION OF DEPUTY WARDEN (WARDEN LEVEL II), dated 2/6/1995 (as amended).

### V. ATTACHMENT

Form A – Performance Evaluation (rev. 10/06/04)

### VI. SUPERSEDES

Form A – Performance Evaluation (eff. 10/17/1994)