

CHAPTER 10

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CHAPTER 10

LAW ENFORCEMENT OFFICERS' APPRAISAL SYSTEM

Sec. I NON-COMMISSIONED OFFICERS' APPRAISAL SYSTEM

- A. Purpose
- B. Expectations
- C. Applicability
- D. Observations and Appraisal Documentation
- E. Appraisal System Reporting Procedure
- F. NCOAS Appeals Board
- G. NCOAS Appraisal Levels
- H. General Appraisal Factors and Performance Standards

Sec. II COMMISSIONED OFFICERS' APPRAISAL SYSTEM

- A. Purpose
- B. Expectations
- C. Applicability
- D. Observations and Appraisal Documentation
- E. Appraisal System Reporting Procedure
- F. COAS Appraisal Levels
- G. Appraisal Factors and Performance Standards

CHAPTER 10

LAW ENFORCEMENT OFFICERS' APPRAISAL SYSTEM

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CHAPTER 10 SECTION I

NON-COMMISSIONED OFFICER'S APPRAISAL SYSTEM

A. Purpose

1. The Non-Commissioned Officer's Appraisal System (NCOAS) is intended to accomplish the following objectives:
 - a. Provide constructive guidance to the officer;
 - b. Assist in the development of the officer's career;
 - c. Cultivate channels of reciprocal communication;
 - d. Inform the officer of the standard expectations;
 - e. Develop training needs through performance analysis;
 - f. Recognize and document performance.
2. The Non-Commissioned Officer's Appraisal System is designed to be a viable tool for the officer's career development; therefore, NCOAS will bear no numerical score and will not be part of the promotional testing.

B. Expectations

1. In order for an officer's performance to be fairly appraised, it is incumbent upon supervisors, to make their expectations clearly known to the officer prior to, and during the appraisal period.
2. The Regional / Division Commander, with assistance of the Area / Unit Commander and each first line supervisor, will review the work-plan priorities and strategies, and provide a written guideline of expectations based on a work-plan for the appraisal period.
3. The NCOAS is intended to establish clarity and consistency in the appraisal of an officer's performance.

C. Applicability

1. This Appraisal System will apply to all sworn members of the Agency holding the rank of:
 - a. Officer
 - b. Officer First Class
 - c. Senior Officer
 - d. Master Officer
 - e. Corporal
 - f. Sergeant

D. Observations and Appraisal Documentation

1. It is incumbent upon all supervisors to document their subordinates performance using the Appraisal Levels and utilizing both the Observation Reports and Mid Cycle Reviews.
2. The Observation Report (NRP 900) will be promptly presented in person by the appraiser to the officer for review, comments, and signature. Copies will then be distributed as follows:
 - a. Original is retained by the supervisor.
 - b. Copy to employee.
 - c. Copy to Area Commander.
3. For all Appraisal Reports, the ratings of "Outstanding," "Needs Improvement," or "Unsatisfactory" will require a written comment.

CHAPTER 10 SECTION I

NON-COMMISSIONED OFFICER'S APPRAISAL SYSTEM

4. All original and copies of Observation Reports and/or other supporting documentation issued in excess of one year prior, will be returned to the employee as soon as possible after the traditional semi-annual appraisal meeting.
5. When an officer receives a third "Needs Improvement" Observation Report for the same element of a factor, the supervisor shall complete a Continuation Form documenting what corrective training or action was taken with the officer. The Supervisor and officer will sign the form and attach it to the Observation Report.
6. Commanders will insure that supervisors adhere to the Non-Commissioned Officer's Appraisal System. In instances where the supervisor has failed to properly monitor and document an officer's performance, the supervisor's appraisal will be affected.
7. Commanders or supervisors will document exceptional performance by preparing correspondence independent from the NCOAS. A memorandum, prepared in letterhead format similar to that described in Chapter 3 Section I of this Manual, will be forwarded through the chain of command to DNR Human Resources for inclusion in the employee's permanent personnel record.
8. When an officer is on temporary duty assignment their temporary supervisor will be responsible for administering the Observation Reports and any appropriate Appraisal reports.
9. When an Officer First Class is promoted to Corporal or when a Corporal is promoted to Sergeant, an Interim One Month Probationary Appraisal Report shall be completed for each newly promoted officer beginning with the effective date of the promotion and continuing for a period of six months. Newly promoted Corporals and Sergeants will also receive the traditional Appraisal Report during this interim period
10. When an officer is reassigned or serving in a temporary duty assignment during an appraisal period, an Advisory Appraisal Report will be completed, presented to the officer, and forwarded to the officer's new supervisor at the new assignment, or in the case of a temporary duty assignment to the officers permanent supervisor. The receiving supervisor shall retain the Advisory Appraisal Report until the end of the appraisal period and attach the advisory appraisal to the final six month appraisal.
11. If a supervisor is transferred, the supervisor will complete an Advisory Appraisal Report for each subordinate and present it for review to each officer, and forward the Appraisal Reports to the new supervisor. The new supervisor shall retain the Advisory Appraisal Report until the end of the appraisal period and attach the advisory appraisal to the final six month appraisal. The commissioned officer responsible for the supervisor will complete an Advisory Appraisal Report for the supervisor, present it to the supervisor, and forward it to the supervisor's new commander.
12. Any member on extended leave for an entire rating period will not receive an appraisal, but an Appraisal Report will be processed indicating the leave status in the "comments" section and will still receive all signatures. If a member works any time during the appraisal period, they will be appraised based on observed performance while on duty and a notation regarding extended leave status will be placed in the "comments" section.

E. Appraisal System Reporting Procedure

1. There will be two appraisals given each year. The first, following the period July through December of the preceding calendar year, which is due to the NRP Administrative Services Bureau HR contact, on the first Friday of February. The second, following the period January through June, which is due to the

CHAPTER 10 SECTION I

NON-COMMISSIONED OFFICER'S APPRAISAL SYSTEM

NRP Administrative Services Bureau HR contact, the first Friday of August.

2. There will be a Mid-Cycle Review of the officer's performance during the first three (3) months of each Appraisal Period.
 - a. For the Appraisal Period January thru June, the Mid-Cycle Review will occur between March 15 and March 31.
 - b. For the Appraisal Period July thru December, the Mid-Cycle Review will occur between September 15 and September 30.
3. During the Mid-Cycle Review, Supervisors will utilize form NRP-920 (Mid-Cycle Review Memo) to document the review and rate their subordinates as "Meets Standards" or "Needs Improvement." If an officer is rated as "Needs Improvement," then the Supervisor shall have a copy of the supporting documentation and attach a copy of the Work Plan / Action Plan that will be used for the Appraisal Period. After meeting with the officer, Supervisors shall forward the NRP-920 and any attached documents to the officer.
4. Supervisors will meet with subordinates regularly during the Appraisal Period to discuss their progress and review their Observation Reports and/or other documentation on file.
5. The first-line supervisor will prepare the Appraisal Report based upon personal observation of the officers work performance and utilizing Observation Reports, and or other documentation and sign the report.
6. The Observation Report or Appraisal Report will be presented to the officer for comments and signature. During the presentation of the appraisal to the officer, an environment should exist that encourages a free flow of information and allows for officer feedback.
7. After being presented the Observation or Appraisal Report and discussing with the supervisor, the officer may make written comments in the comments section of the report. The officer shall sign the report signifying that they have received the report.
8. After the review and discussion with the supervisor, should the officer disagree with the Observation or Appraisal Report, then they shall note their disagreement in the comments section of the report and sign the report. Their signature does not reflect agreement with the report; it only signifies that they have received the report. Failure to follow this requirement will result in loss of appeal rights to the NCOAS Appeals Board.
9. If there remain any unresolved issues with the Observation or Appraisal report that the officer and supervisor cannot agree on, then the reviewing commander shall resolve the issues.
10. The completed Appraisal Report will then be signed and forwarded to NRP Personnel.
11. Upon following the procedures detailed above, the officer may request an evaluation by the NCOAS Appeals Board.

F. NCOAS Appeals Board

1. The Non-Commissioned Officer's Appraisal System's Appeals Board is a separate board from all other boards and panels.
2. The purpose of the NCOAS Appeals Board is to provide informal and swift relief to conflicts

CHAPTER 10 SECTION I

NON-COMMISSIONED OFFICER'S APPRAISAL SYSTEM

propagated from this system.

3. It is designed to provide an equitable remedy to an Observation Report and/or Appraisal Report that differs in opinion between supervisor and subordinate.
4. To encourage resolution of the disagreement at the lowest level possible, the officer shall review and discuss their concerns with the reviewing commander.
5. If after reviewing and discussing their concerns with the reviewing commander the officer still disagrees with the report and they wish to seek an equitable remedy, then they must contact the Maryland Natural Resources Police Fair Practice Officer who is the Chairman of the NCOAS Appeals Board, within four calendar days of having their meeting with the reviewing commander.
6. The Chairman can either resolve the difference or call a quorum of the NCOAS Appeals Board.
7. The decision of the NCOAS Appeals Board is final. This does not however, preclude any sworn law enforcement officer from resorting to the State of Maryland Grievance Procedures and/or the Law Enforcement Officer's Bill of Rights.

G. NCOAS Appraisal Levels

Definitions for the six appraisal levels will assist supervisors in properly assessing a subordinate's performance.

1. Outstanding - Exceptional performance. Achievements are clearly superior to the level of performance required for the job.
2. Exceeds Standards - Clearly surpassed the standards required for the job. Used exceptional application of knowledge, skills, and/or abilities to exceed the required standards.
3. Meets Standards - Met the required and expected results for the job. Good performance which is expected of a fully experienced or competent employee.
4. Needs Improvement - Job requirement and results were partially met. Performance needs development to meet the standards expected of a competent employee.
5. Unsatisfactory - Performance is unacceptable and shows no significant progress or improvement. Improvement is critical.
6. Not Observed - Appraisal factor was not observed at any time during the appraisal period.

H. General Appraisal Factors and Performance Standards

All essential job functions and other assigned duties used when appraising all non-commissioned officers are clearly listed on the appraisal forms and delineated by rank.

CHAPTER 10 SECTION II

COMMISSIONED OFFICER'S APPRAISAL SYSTEM

A. Purpose

1. The Commissioned Officer's Appraisal System (COAS) is intended to be a tool to accomplish the following objectives:
 - a. Provide constructive guidance ;
 - b. Assist in career development ;
 - c. Cultivate channels of reciprocal communication;
 - d. Review standard expectations for the officer's rank;
2. The Commissioned Officer's Appraisal System is a tool for evaluating a commissioned officer's performance. It does not involve a numerical score, nor is it considered in promotional testing.

B. Expectations

1. The intent of the COAS is to establish clarity and consistency in appraising performance.
2. In order for a commissioned officer's performance to be appraised objectively, it is necessary for supervisors to clearly communicate their expectations before and during the appraisal period.
3. Commanders, will review work-plan priorities and strategies, and provide a written guideline of expectations based on a work-plan for the appraisal period. .
4. Each commissioned officer's supervisor will review each work-plan and set guidelines for its applicability before implementation by the supervisor.

C. Applicability

1. This Appraisal System will apply to all sworn members of the Agency holding the rank of :
 - a. Lieutenant
 - b. Captain
 - c. Major
 - d. Lieutenant Colonel

D. Observations and Appraisal Documentation

1. It is incumbent upon all supervisors to document their subordinate's performance using the Appraisal Levels and Appraisal Reports.
2. Commanders will insure that all subordinate Commanders adhere to the Commissioned Officer's Appraisal System. In instances where the Commander has failed to properly monitor and document a subordinate Commissioned officers performance, the Commanders appraisal will be affected.
3. Commanders will document exceptional performance by preparing correspondence independent from the COAS. A memorandum, prepared in letterhead format similar to that described in Chapter 3 Section I of this Manual, will be forwarded through the chain of command to DNR Human Resources for inclusion in the employee's permanent personnel record.
4. When an officer is promoted to Lieutenant, Captain, Major, or Lieutenant Colonel, an Interim One Month Probationary Appraisal Report shall be completed for each newly promoted officer beginning with the effective date of the promotion and continuing for a period of six months. Newly promoted

CHAPTER 10 SECTION II

COMMISSIONED OFFICER'S APPRAISAL SYSTEM

Lieutenants, Captains, Majors, and Lieutenant Colonels will also receive the traditional Appraisal Report during this interim period

5. When a commissioned officer is on temporary duty assignment their temporary Commander will be responsible for administering the Observation Reports and any appropriate Appraisal reports.
6. If a Commander is reassigned or serving in a temporary duty assignment during an appraisal period, an Advisory Appraisal Report will be completed, presented to the Commander, and forwarded to the new Commander at the new assignment, or in the case of a temporary duty assignment to the Commissioned Officers permanent Commander. The receiving Commander shall retain the Advisory Appraisal Report until the end of the appraisal period and attach the advisory appraisal to the final six month appraisal.
7. When a commissioned officer is reassigned, the commissioned officer will complete an Advisory Appraisal Report for each subordinate employee and present it for review to each officer, and forward the Appraisal Reports to the new supervisor. The new commander shall retain the Advisory Appraisal Report until the end of the appraisal period and attach the advisory appraisal to the final six month appraisal. The commander responsible for the commissioned officer will complete an Advisory Appraisal Report for the commissioned officer, present it to the commissioned officer, and forward it to the supervisor's new commander.
8. Any member on extended leave for an entire rating period will not receive an appraisal, but an Appraisal Report will be processed indicating the leave status in the "comments" section and will still receive all signatures. If a member works any time during the appraisal period, they will be appraised based on observed performance while on duty and a notation regarding extended leave status will be placed in the "comments" section.

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3. The Appraisal Report will be presented to the officer for comments and signature. During the presentation of the appraisal to the officer, an environment should exist that encourages a free flow of information and allows for officer feedback.
4. After being presented the Appraisal Report and discussing with the supervisor, the officer may make written comments in the comments section of the report. The officer shall sign the report signifying that they have received the report.
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CHAPTER 10 SECTION II

COMMISSIONED OFFICER'S APPRAISAL SYSTEM

6. The completed Appraisal Report will then be given to the commander who will review, sign, and forward the report to NRP Personnel.

7. If the officer disagrees with the Appraisal Report, resolution of the disagreement should take place at the lowest level possible. The officer shall review and discuss their concerns with the reviewing commander.

F. COAS Appraisal Levels

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4. Needs Improvement - Job requirement and results were partially met. Performance needs development to meet the standards expected of a competent employee.
5. Unsatisfactory - Performance is unacceptable and shows no significant progress or improvement. Improvement is critical.
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G. Appraisal Factors and Performance Standards

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CHAPTER 10 SECTION II
COMMISSIONED OFFICER'S APPRAISAL SYSTEM

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