

CHAPTER 1
GENERAL INFORMATION
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CHAPTER 1
GENERAL INFORMATION

1. PURPOSE OF PERFORMANCE APPRAISAL.

- a. To assist supervisors and employees in establishing methods for increasing individual effectiveness.
- b. To assist each employee on a continuing basis by identifying strengths and weaknesses.
- c. To systematically record plans and goals set during discussions between employees and supervisors and to record progress made in reaching those goals in subsequent discussions.
- d. To evaluate performance of critical job tasks or performance factors during a prescribed rating period.

2. OBJECTIVE. To ensure that performance at least meets departmental standards and to develop the performance of all employees to their full potential.

3. RESPONSIBILITY.

- a. General. The effectiveness of the performance appraisal system depends upon how the employee's immediate supervisor and the management team support and implement the system. Consistent, timely, and unbiased performance appraisals are crucial to achieving the purpose and objective of the performance appraisal system.
- b. The following management roles are key elements for all appraisal and probationary documents for all classifications throughout this manual except Cadet, California Highway Patrol (CHP):
 - (1) Supervisor. The employee's immediate supervisor, or designee, assigns the actual ratings. The supervisor will fulfill the role of "rater," "evaluator," and "manager" as it relates to each form mentioned throughout this manual, unless otherwise noted.
 - (2) Reviewer. The reviewer provides oversight in the rating process and is the next level of management above the supervisor.

c. Specific. Each supervisor is responsible for reviewing the information contained in this manual and rating subordinate job performance based on the standards provided.

4. CRITICAL TASKS.

a. Development. The critical tasks for Officer, CHP; Sergeant, CHP; Lieutenant, CHP; Captain, CHP; Assistant Chief, CHP; Chief, CHP; commanders; noncommand lieutenants and middle managers; Public Safety Operator and Public Safety Dispatcher, CHP; Public Safety Dispatch Supervisor I, CHP; Motor Carrier Specialist I and II, CHP; and Office Assistant were developed jointly by the Department and the California Department of Human Resources (CalHR). Incumbents in each job classification identified and rated the importance of their job tasks, knowledge, skills, and abilities. The job tasks rated as most important were determined to be critical (refer to Chapters 3 through 14 of this manual).

b. Defined. A critical task is a task which an employee must be able to perform at a level which meets established performance standards. If the employee cannot or does not perform any one critical task satisfactorily, then the employee's overall performance is considered to be unsatisfactory.

c. Components.

(1) Each critical task contains one or more performance elements. These elements define the more important critical task dimensions and are listed on the performance appraisal forms.

(2) In addition to specific performance elements, each critical task has an element box marked "Other." The "Other" box is to be used when local procedures require additional or unusual performance elements to complete a task. Appraisal forms without an "Other" box (e.g., CHP 118MM, Performance Appraisal, Middle Manager; CHP 118C, Performance Appraisal - Commander) may include discussion of additional or unusual critical task elements in the "Comments" section of the form.

(3) Continued unsatisfactory performance in any critical task shall ultimately result in administrative action which may include, but is not limited to, rejection during the probationary period, removal from a specialized assignment, and/or adverse action. Non-probationary employees shall be advised in writing (e.g., comment on CHP 100, Officer's Evaluation/Activity Summary; Memorandum of Counseling; Memorandum of Direction; censurable CHP 2, Incident Report) whenever their performance is deemed unsatisfactory. The written notification shall be provided to the employee in a timely manner (refer to HPM 10.2, Internal Investigations Manual, Chapter 3, Progressive Discipline, for

information on corrective documentation). If unsatisfactory performance continues, the information shall be included in the annual evaluation report.

(4) The critical tasks and performance elements are outlined in succeeding chapters according to job classification. The questions following performance elements are provided in the chapters as a guide for raters when evaluating critical tasks. **They are not intended to be all-inclusive.**

5. PERFORMANCE FACTORS. Most state classifications for nonuniformed employees involve widely varying duties and responsibilities that are not amenable to performance appraisal through a uniform set of critical tasks. To evaluate these employees, CalHR developed performance factors that could be applied to all nonuniformed classifications regardless of their specific duties or assignments, except for nonuniformed classifications using the CHP 118, Performance Appraisal, form series (refer to Chapters 5 and 15 of this manual).

6. PERFORMANCE STANDARDS.

a. A performance standard is the level at which an employee must perform a critical task or performance factor to satisfy departmental requirements.

b. All employees are to be rated on the extent to which their job performance meets departmental standards.

c. Establishing Performance Standards.

(1) Section 19992(a) of the Government Code states, "After consultation with appointing powers and other supervising officials the department shall assist and encourage state agencies to establish standards of performance for each class of position and shall provide a system of performance ratings. Such standards shall insofar as practicable be established on the basis of the quantity and quality of work which the average person thoroughly trained and industriously engaged can turn out in a day."

(2) The Department, with the approval of CalHR, has subsequently defined the tasks which must be performed for the job classifications contained in this manual that are covered under the CHP 118 process and determined that performance of these tasks should be rated. By developing a manual and policy, the Department has established guidelines for performance standards to rate these tasks. Final interpretation of these guidelines is the responsibility of each command's supervisory/management team.

(3) To ensure rating consistency within a command, the commander, with input from the command's management team, shall establish performance ranges for evaluating an employee's performance of critical tasks or performance factors. These rating standards shall be applied to all types of evaluations including, but not limited to, monthly (e.g., CHP 100; CHP 112, Management Summary), quarterly, probationary, and annual reports. These standards should be regularly discussed and have adjustments made as conditions and factors change.

7. PERFORMANCE APPRAISAL FACTORS.

a. Understanding Critical Tasks and Performance Factors. The entire performance appraisal system is based upon critical job tasks or performance factors. Both the rater and the employee must have a working knowledge of these tasks and performance factors for the rating process to be successful.

b. Personal Characteristics.

(1) Personal characteristics essential to critical tasks and performance factors are:

- (a) Dependability.
- (b) Accuracy.
- (c) Good judgment.
- (d) Courtesy.
- (e) Initiative.

(2) In addition to the personal characteristics listed above, all employees are responsible for ascribing to the following personal traits and values as indicated in General Order 0.8, Professional Values:

- (a) Courage.
- (b) Honesty.
- (c) Professionalism.
- (d) Principles.
- (e) Respect.

- (f) Integrity.
- (g) Dedication.
- (h) Esprit de Corps.

(3) Raters will give consideration to those characteristics that are applicable when evaluating critical tasks and performance factors.

c. Ongoing Observation of Performance. Throughout the rating period, the following considerations should be made to provide appraisal input where appropriate:

- (1) Personal observations of the day-to-day employee performance of critical job tasks or performance factors, and/or the demonstration of proficiency (e.g., for an officer, information gathered from ride-alongs, court testimony, review of reports, community group presentations, monitoring radio).
- (2) Previously determined performance improvement plans and objectives.
- (3) Discussions with the employee and others who have supervised or observed the employee during the rating period.
- (4) Incident reports, corrective memoranda, accident and injury summary, summary of sick leave requests, and other pertinent data.
- (5) Data and employee/supervisory comments from the CHP 100 or other forms used to record job performance information.
- (6) Command inspections conducted in accordance with HPM 22.1, Command Inspections Program Manual.
- (7) Quarterly operational reports or goals and accomplishment reports.
- (8) Strategic Plans.
- (9) Evaluation of performance in relation to any specialized training received (e.g., Management Development, Effective Writing, Speed Reading).

8. POTENTIAL RATER ERRORS. In rating the performance of employees, raters must constantly be aware of a number of common potential errors. In any situation where one person judges another, there is a possibility the rating may be affected by one or more of the following errors:

- a. Halo or Horns Effect. These are rating errors characterized by allowing an employee's exceptional or substandard performance of one critical task or performance factor to influence the ratings of all other tasks or factors, even when there is little or no evidence for such ratings. It is imperative raters treat the critical tasks and performance factors separately, even though some are closely related.
- b. Lenient or Harsh Effect. These are rating errors characterized by a rater's tendency to give ratings predominantly on the low or high end of the rating scale. Some supervisors tend to be "easy" raters, where ratings are more generous than objective. Conversely, a tendency to assign more than the usual number of low ratings may suggest an unusually harsh standard.
- c. Central Tendency Effect. This rating error is characterized by a tendency to only give ratings in the middle of the rating scale, avoiding extreme ratings at either end of the scale. Sometimes raters fail to give extreme ratings based on the assumption nobody's performance could be that bad or good. Some raters may avoid extreme ratings because they want to "play it safe" or to avoid potential confrontation with a poorly performing employee. However, it is important to make performance distinctions among employees. The full use of the rating scale, when substantiated by performance of the critical tasks or performance factors, is the most reliable way of achieving distinctions among employees and helping employees meet their full potential.
- d. Similar-to-Me Effect. This rating error is caused by a rater's bias in favor of subordinates that are similar to them on various dimensions. Human tendency is to appreciate and like others that are similar because of an assumed understanding of that person's behavior or internal motivations. Accordingly, some supervisors may be tempted to allow this similarity to overshadow objectivity.
- e. Contrast Effect. This rating error occurs when raters compare employees rather than focusing on one employee's performance of the critical tasks or performance factors. An average employee may appear to perform extremely well or extremely poor in contrast to a very "low" or very "high" performing employee. The rater should be conscientious in rating the actual performance observed for the employee relative to the critical tasks or performance factors, rather than relative to other employees.
- f. First or Last Impression Effect. This rating error is closely related to the halo effect and is characterized by a rater's tendency to base an employee's rating on their initial performance or their most recent performance. An employee may do very well at the beginning or at the end of the rating period, but this may not be indicative of the employee's level of performance throughout the rating period.

g. Stereotype Effect. This rating error occurs when a rater allows closely held and sometimes unconscious values to bias their evaluation of an employee. Ratings may be assigned because they “fit” with the employee’s associated stereotype, not because of observed behavior or performance. A rater may also subconsciously ignore behavior or performance that does not fit the stereotype. Raters must conscientiously evaluate and recognize any personal biases and strive to eliminate their influence on the performance appraisal process.

9. COMPLETING AND SIGNING APPRAISAL DOCUMENTS. Both probationary and annual appraisal documents for all classifications (except Cadet, California Highway Patrol) will adhere to the following completion and signing process:

a. The annual performance appraisal and probationary reports shall be completed and signed in the following order: first by the supervisor, then by the reviewer, and finally by the employee.

(1) Timeframes for completing and signing each report for each classification can be found in the appropriate chapter in this manual.

(2) After completion, each report shall be submitted to the Human Resources Section (HRS), Personnel File Services (PFS).

10. DISTRIBUTION OF APPRAISAL DOCUMENTS. Both probationary and annual appraisal documents for all classifications will adhere to the following distribution process:

a. The original completed document(s) will be given to the employee.

b. A copy of the completed document(s) will be placed into the employee’s field personnel folder.

c. A scanned PDF copy of the completed document(s) shall be e-mailed to HRS, PFS, at PerformanceAppraisalSubmission@chp.ca.gov, with the subject line formatted as follows: Last Name, First Name; ID number. Hardcopies shall not be sent to HRS, PFS.

Uniformed Example: Christensen, Ashley, ID 12345

Nonuniformed Example: Monroe, Garrett, ID A12345

11. TRACKING OF PERFORMANCE APPRAISALS. All probationary reports and annual performance appraisals shall be tracked locally on a spreadsheet. The spreadsheet will list all employees in the command and include the following information:

- a. Employee's full name, ID number, classification, length of probationary period, and appointment date
- b. The type of review to be conducted and the date it is due to the employee (i.e., the evaluation type and the discussion due date).
 - (1) All probationary reports will show due dates concurrent with policy set in HPM 10.3, Personnel Transactions Manual, Chapter 7, Probationary Periods.
 - (2) All annual performance appraisals will show due dates concurrent with policy set in this manual for the appropriate classification.
- c. Date range the evaluation is based on.

NOTE: The standardized tracking spreadsheet template is available on the Selection Standards and Examinations Section's Intranet site.