

CHAPTER 4
PERFORMANCE APPRAISAL PROCESS FOR SERGEANT,
CALIFORNIA HIGHWAY PATROL

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CHAPTER 4

PERFORMANCE APPRAISAL PROCESS FOR SERGEANT, CALIFORNIA HIGHWAY PATROL

1. OVERVIEW.

a. The procedures and guidelines for rating a sergeant's performance are presented in this chapter. Ten critical tasks have been identified as essential to performing the job of a sergeant and are used in evaluating individual performance. These critical tasks and their rating guidelines reflect the expectations of the Department, and have been developed to emphasize observable job behaviors of sergeants in the work setting.

b. Sergeants are assigned monthly critical task ratings using a three-point rating system on the CHP 112, Management Summary. While the CHP 112 is primarily intended to serve as a tool to promote personal growth and enhance performance, it also serves to record sergeant activities and as the primary source document in determining ratings for the annual CHP 118S, Performance Appraisal - Sergeant. It is designed to highlight strengths and identify problems that can be corrected before they become serious performance issues.

c. The CHP 118S is used to document performance for probationary and permanent sergeants and to evaluate performance in ten critical tasks during the preceding calendar year (January 1 through December 31).

d. The annual performance appraisal shall be completed and signed within 60 days following the end of each calendar year. The probationary reports shall be completed and signed within ten days of the end of 4 months, 8 months, and 12 months. Refer to Chapter 1, General Information, for the assigned responsibilities and the required procedures for completing and signing the appraisal documents.

e. The CHP 112 ratings for the previous 12-month period are to be used in conjunction with other documentation to derive CHP 118S ratings.

f. Upon request by the sergeant, promotional readiness shall be documented on the CHP 131, Promotional Development Assessment. The CHP 131 provides those sergeants who are interested in promoting a method to be used to evaluate their readiness to advance to the next level of management. The sergeant is responsible for initiating a request for evaluation of promotional readiness. Use of the CHP 131 to evaluate promotional readiness removes this facet from the annual performance appraisal evaluation.

g. Interim reporting is used at any time during the rating period to document a sergeant's performance of a specified critical task(s) does not meet performance standards. Occasionally, a sergeant may experience performance deficiencies so serious the supervisor feels the need to immediately initiate interim reporting procedures. In this case, the normal CHP 118S process will be preempted and the supervisor, with the concurrence of the commander, shall complete a CHP 118S immediately, following the procedures outlined in paragraph 4.a.(1)(c).

2. RATING GUIDELINES.

a. The supervisor should keep in mind the sergeant is the Department's first-line supervisor. The position serves as the intermediary between the officers and the public in settling disputes and as the crucial interface in the chain of command between the officers and departmental management. Therefore, success in carrying out the responsibilities of a sergeant is dependent on a diverse array of technical, organizational, and interpersonal skills. Because of these demands, expectations regarding acceptable performance are high and standards embodied in the sergeants' rating guidelines are exacting. The critical nature of this position requires nothing less. Dedication to high standards is the centerpiece and touchstone of the sergeants' performance appraisal system.

b. Since the emphasis is on sergeant development, two rating categories have been specified for substandard performance: **Needs Improvement** on the CHP 112, and **Deficient** on the CHP 118S. The reason for having these two categories is the CHP 112 is intended, among other purposes, to serve as a developmental tool to provide timely feedback to the sergeant. **Needs Improvement** serves as a non-career-threatening mechanism on the CHP 112 supervisors may use, as a warning to the sergeant, that improvement is in order. Conversely, a rating of **Deficient** on the CHP 118S typically represents a persistent pattern of substandard performance. It indicates the sergeant's performance is clearly unacceptable and results in interim reporting and/or other progressive discipline as necessary. Likewise, a continued rating of **Needs Improvement** on the CHP 112 or a particularly serious performance issue could trigger an immediate CHP 118S rating of **Deficient** and result in the sergeant being placed on interim reporting.

c. The actual guidelines for rating sergeants on individual critical tasks are presented in Annex A. These guidelines were developed primarily for the annual performance appraisal, documented via the CHP 118S, and are geared to behavior occurring over a 12-month period of time. As such, they contain qualifiers such as "sustained" and "consistently" and reflect the Department's

ultimate concern, not only with the quality of performance but also its consistency over a sustained period of time.

d. Rating System. The rating system used for the CHP 118S consists of a three-point rating scale as follows:

(1) **Excellent**. A rating of **Excellent** indicates the sergeant has demonstrated sustained outstanding performance with regard to the critical task in question. This rating is reserved for performance that is clearly over and above what is expected for the position. While most sergeants are capable of achieving excellence, few sergeants are likely to be rated as **Excellent**; this is a rating that requires clear and convincing **documented** evidence of sustained outstanding performance.

(2) **Proficient**. A rating of **Proficient** means the sergeant has demonstrated full competence with regard to all facets of the task in question. It is a difficult rating to earn and should not be taken for granted or dismissed as average or mediocre. Sergeants receiving this rating should be proud of their accomplishment. They have achieved and demonstrated mastery of a complex and difficult set of skills.

(3) **Deficient**. A rating of **Deficient** is reserved for performance where there is a clear, **documented** need for improvement. This rating indicates the sergeant has demonstrated a pattern of consistently unacceptable performance in a particular critical task. However, a particularly serious performance issue could trigger an immediate CHP 118S rating of **Deficient**. A rating of **Deficient** will always result in an initiation of interim reporting (refer to paragraph 4.a.[1][c] for interim reporting procedures).

e. The rating guidelines in Annex A consist of the above descriptions tailored to the specific content of each critical task.

f. Supervisors will find the qualitative descriptions in Annex A useful for CHP 112 ratings. The CHP 112 ratings concern performance during a much shorter period where the focus is on quality of performance. The emphasis is on specific incidents that demonstrate strengths and/or weaknesses occurring during that month. As such, CHP 112 ratings are geared more towards sergeant development and capture behavior which, over the annual rating period, provides the basic input for the CHP 118S. Because of the short rating period covered by the CHP 112, it is expected there could be fluctuation in the ratings assigned for any given critical task. Thus, it should not be viewed in a negative light to have accumulated several months of **Excellent** ratings and then revert back to a **Proficient** rating.

3. CHP 112, MANAGEMENT SUMMARY.

a. Process.

(1) The CHP 112 is the principle means of recording a sergeant's monthly activities, job performance, development, and training needs.

(2) A CHP 112 shall be completed for each sergeant every quarter. Three monthly ratings shall be completed on one CHP 112 form.

(3) Management Review of the CHP 112, Management Summary.

(a) Supervisors are to review and provide monthly ratings on all appropriate critical tasks at the end of each calendar month.

(b) Supervisors should also examine previous CHP 112 forms to identify patterns of performance.

(c) Reviewers are to examine the completed CHP 112 at the end of each calendar month (and at any other time deemed appropriate).

(4) The completed CHP 112s for the 12-month rating period are used as the primary source documents for the CHP 118S.

b. Completing the CHP 112, Management Summary.

(1) CHP 112, Management Summary.

(a) Rating Performance.

1 A sergeant's performance of the critical tasks is to be rated on the three-point scale (**Excellent**, **Proficient**, and **Needs Improvement**).

2 All sergeants, regardless of their assignment, shall be rated on Critical Tasks 1-7.

3 There may be occasions when a supervisor is unable to substantiate a rating of any type for Critical Tasks 8 (Supervision), 9 (Emergency Incident Management), and 10 (Administrative/Specialized Assignments). For these critical tasks, a **No Rating** entry may be appropriate.

4 When assessing performance, be sure to avoid making comparisons between the sergeant being rated and other sergeants, since these kinds of comparisons are common sources of rating error

in performance appraisals. All ratings are to be made using the standards described for each critical task in Annex A.

5 Occasionally, it may be necessary to preempt the normal process and place the sergeant on interim reporting in response to an unusually serious incident or a persistent pattern of substandard performance. Procedures for interim reporting are discussed in paragraph 4.a.(1)(c).

(b) Recording Supervisory Activity and Involvement. Boxes are provided to allow the sergeant to record activities in each of the following areas: training and counseling, personnel evaluations, personnel investigations, ride-alongs, scene/incident management, and other activities. Sergeants are strongly encouraged to document significant supervisory activity as it occurs on a day-to-day basis. This documentation helps support the critical task ratings for that month.

(c) Sergeant's/Supervisor's Comments. The CHP 112 is the primary source document for rating the ongoing performance of sergeants. Performance documented in this section serves as the foundation for specific comments and summaries on the CHP 118S. Pertinent comments made by both sergeants and their supervisors on the CHP 112 are essential to the effectiveness of the performance appraisal process.

1 Supervisors and commanders shall provide comments each quarter for all sergeants. If a "Needs Improvement" rating is given for any of the eight critical tasks, a monthly review, comment, and signature shall be made monthly by the supervisor and commander, until an improved rating is achieved.

2 During the period when comments are being recorded on the CHP 112, the form shall be maintained in a location available to both the sergeant and the sergeant's immediate supervisor. It should not be maintained in a location accessible to nonsupervisory personnel.

a Sergeants appointed during the quarter will be subject to the same completion requirements and reporting time frames as above.

b If a sergeant is appointed at month two during the quarter, there will only be two months' worth of evaluations completed for that quarter.

c Should a sergeant transfer during the quarter, the receiving command will complete the monthly CHP 112s including the quarterly sign off.

3 Comments on the CHP 112, whether positive or negative, should be made as soon as possible after performance is observed by the supervisor.

4 Timely comments by both the sergeant and the sergeant's supervisor will result in better communication and more thorough appraisals.

5 The sergeant's comments should focus on clearly defined significant incidents that serve to highlight activity performed during the month.

6 The supervisor's comments shall **be specific** and **clearly document** relevant sergeant performance issues occurring during the month. Generalized statements or nonspecific language shall not be used.

7 Comments by the supervisor are **mandatory** for any ratings of ***Excellent*** or ***Needs Improvement***.

8 The supervisor shall add comments to the Supervisor's Comments section quarterly if all critical tasks are rated "Proficient" or "Excellent."

(d) Signatures.

1 The sergeant shall sign and date the CHP 112 prior to submission.

2 The supervisor shall review, initial, and date the CHP 112 after the final review.

3 The reviewer should routinely review and shall initial the CHP 112 after the sergeant's ratings have been entered.

4 The CHP 112 shall be returned to the sergeant and the sergeant shall initial and date the form indicating acknowledgement and review of the supervisor's comments.

c. Distribution, Filing, and Retention.

(1) The completed CHP 112s shall be maintained by the supervisor in a separate file for the current year to assist in preparation of the annual performance appraisal report.

(2) At the conclusion of the calendar year, the completed CHP 112s for the rating period shall accompany the CHP 118S through the review process and shall be retained with the CHP 118S in the field personnel folder.

(3) The completed CHP 112s shall be retained for five years. When a CHP 112 is purged from the field personnel folder, it shall be returned to the sergeant.

(4) Transfers.

(a) The completed CHP 112s will be forwarded to the new command only when a sergeant voluntarily or administratively transfers.

(b) The completed CHP 112s **will not be** forwarded with the submission of a résumé for an administrative position as outlined in General Order (GO) 10.7, Field and Headquarters Assignments and Transfers Uniformed Employees.

(c) The completed CHP 112s **will not be** forwarded upon promotion. The CHP 112s reflect the sergeant's performance in the current classification and will not be applicable to the employee's performance in the new classification.

4. CHP 118S, PERFORMANCE APPRAISAL - SERGEANT.

a. Process.

(1) The CHP 118S is used to document performance in the following instances:

(a) Probationary Sergeants.

1 The probationary period is the final stage of the selection process. It affords the supervisor the opportunity to determine whether or not the sergeant meets established performance standards.

a Probationary sergeants shall receive written performance appraisals within ten days of the end of 4 months, 8 months, and 12 months.

b The 12-month report shall serve as the final probationary report.

c No probationary sergeant shall be promoted or obtain permanent status if a final rating of **Deficient** is received for any critical task. If necessary, a rejection during probation shall be initiated. For information on rejection during probation, refer to HPM 10.2, Internal Investigations Manual.

2 Training needs shall be identified and addressed as soon as possible, but no later than the end of the one-year probationary period. Once developmental needs for new supervisors are identified, a Career Development Plan (CDP) shall be prepared by the commander. The CDP should include both the strengths and developmental areas for the employee, the process by which development will take place, and specific time frames for completion of the training/development. (Refer to HPM 70.13, Departmental Training Manual, Chapter 9, Career Development Program.)

3 Sergeants Off Duty. Title 2, Section 321 of the California Code of Regulations prescribes specific requirements for completion of the probationary period.

a If a sergeant has not worked the required 1,680 hours for the probationary period due to absences, the period will be extended. Commands shall contact HRS, Personnel Transactions Unit (PTU), to determine the official date for completion of the probationary period.

b If a sergeant has had a continuous period of absence of 60 or more working days, the probationary period may be extended to provide sufficient time to evaluate the employee's performance. Commands shall contact HRS, PTU to determine the official date for completion of the probationary period. For more information on extensions of probationary periods, refer to HPM 10.3, Personnel Transactions Manual, Chapter 7, Probationary Periods.

(b) Permanent Sergeants.

1 Completion and Submission of Annual Performance Appraisal Reports. Refer to paragraph 1.d.

a If the final probationary report is completed within 90 days of the end of the calendar year, the probationary CHP 118S may be attached to the annual performance appraisal with the comment “no change in performance.”

2 Command Responsibility. Each command is responsible for maintaining a roster of employees by anniversary date and ensuring CHP 118Ss are completed in a timely manner.

3 Transfer. A transfer CHP 118S is not required to be prepared.

4 Sergeants Off Duty. When a sergeant is off duty 30 consecutive calendar days or more because of illness, injury, or leave of absence, the sergeant’s appraisal will be extended three additional months after returning to work. (Example: A sergeant works 11 months, is on a leave for 2 months, and returns to work for 3 months. The total performance period will encompass 16 months.) The sergeant’s anniversary date does not change, and the next performance appraisal is due on the employee’s anniversary date.

(c) Interim Reporting.

1 If at any time during the rating period a sergeant’s performance of a specified critical task(s) does not meet performance standards and other managerial techniques have not brought about satisfactory performance (such as counseling, corrective memoranda, CHP 112s), the sergeant shall be placed on interim reporting and a CHP 118S shall be initiated. All documentation supporting the need for interim reporting shall be attached to the CHP 118S (e.g., Memorandum of Direction; censurable CHP 2, Incident Report; and CHP 112s).

2 When interim reporting is initiated, the supervisor shall assign a rating of **Deficient** to the applicable critical task(s) on the CHP 118S and prepare a plan of action to correct the deficiency. The plan shall include:

a A discussion of the specific problem area(s).

b A description of all performance objectives set.

c Methods outlined to reach objectives.

d Controls involved.

e Time frames for follow-up.

3 When a sergeant is placed on interim reporting, only the **Deficient** task or tasks shall be rated except when the deficiency is identified at the same time as the sergeant's annual or probationary evaluation. Action plans for improvement are to be documented until the performance objective is reached.

4 When a sergeant is placed on interim reporting, the commander shall determine if the sergeant has a transfer request on file. If a transfer request is on file, the commander shall notify HRS the sergeant is on interim reporting (refer to GO 10.7).

5 At the close of the interim reporting period specified in the initial plan of action, a final report shall be prepared indicating whether or not the performance objective has been reached and, if not, what further corrective measures will be taken.

6 When a sergeant fails to respond to interim reporting, adverse action shall be initiated.

(2) Discussing Sergeant Appraisals.

(a) Informal Discussion.

1 Prior to completing a sergeant's annual performance appraisal, the supervisor shall meet with the sergeant to discuss the sergeant's job performance during the past 12-month period.

2 Before the informal discussion is held, a preliminary rating should be assigned for each task and comments made regarding areas to be discussed during the meeting.

3 A few days prior to the informal discussion, the sergeant should be notified of the date, time, and location of the meeting. It is important the supervisor arrange for adequate time with no interruptions.

4 At the beginning of the informal discussion, the sergeant should be given a copy of the preliminary ratings. Areas of disagreement, if any, should be resolved whenever possible. If a **Deficient** rating is to be assigned for any critical task, the sergeant shall be made aware of the requirement to be placed on interim reporting and an interim reporting plan shall be developed.

(b) Promotional Development Assessment. If the sergeant requests to be evaluated on promotional readiness, the supervisor shall initiate a CHP 131 according to instructions in paragraph 5.

(c) Another performance appraisal conference shall be held when the CHP 118S is finalized for signature.

b. Completing the CHP 118S, Performance Appraisal - Sergeant.

(1) Identification Information. The appropriate identification information shall be entered in the space provided at the top of the CHP 118S.

(a) Appointment Date. Enter the date the sergeant was appointed to the current classification.

(b) Name. Enter the last name, first name, and middle initial of the sergeant.

(c) Identification Number. Enter the sergeant's departmental identification number.

(d) Location Code. Enter the location code to which the sergeant is permanently assigned.

(e) Assignment. Enter the name of the Division, Area, or section to which the sergeant is assigned, and the type of assignment if other than field supervision (e.g., Administrative Sergeant, Academy Instructor).

(f) Reason for Report. Enter one of the following in this space:

1 First, Second, or Final Probationary. These entries are to be used for rating sergeants during the probationary period.

2 Annual. This entry is to be used for rating sergeants on an annual basis.

3 Interim. This entry is to be used whenever a sergeant is placed on interim reporting.

(g) Reporting Period. Enter the dates of the period covered by the ratings.

(h) Informal Discussion Date. Enter the date of the informal discussion.

(i) Mentor. Check the box if the employee served as a mentor during the rating period.

(j) Coach. Check the box if the employee served as a coach during the rating period.

(2) Section A, Critical Tasks.

(a) Rating Box. A rating box is provided adjacent to each critical task for the assignment of a rating. Again, these ratings are to be made using the guidelines provided in Annex A.

(b) Performance Element Check Box.

1 The supervisor shall use the check boxes to indicate performance elements that were used to arrive at the ratings.

2 A rating shall not be assigned to individual performance elements.

3 "Other" performance elements shall be specified and listed when this box is checked by the supervisor.

(c) Assigning a Rating.

1 A sergeant's performance of the critical tasks is to be rated on the three-point scale (***Excellent, Proficient, and Deficient***).

2 The CHP 118S ratings for critical tasks shall be supported by the sergeant's performance during the past 12-month period, as indicated on the CHP 112s and other forms of documentation. Look for obvious performance patterns that might have occurred during the rating period.

Thus, when there has been a pattern of improvement, the sergeant may be given the benefit of any doubt and assigned the higher rating. Conversely, when there has been a pattern of steady deterioration, the supervisor will probably want to assign the lower rating.

3 When assigning ratings, be sure to avoid making comparisons between the sergeant being rated and other sergeants. All comparisons are to be made against the rating standards provided in Annex A.

4 When assigning these ratings, keep in mind it is unlikely the sergeant will match all of the performance examples for one and only one rating category. For example, a sergeant's performance may match many of the descriptions of **Proficient** performance of a critical task yet might also include some elements described under **Excellent**. Overlap of this nature is common in performance appraisal and requires judgment on the part of the supervisor for resolution. Always assign the rating that corresponds to the description that most closely matches the sergeant's performance for the critical task in question.

5 The purpose of the performance evaluation system is to evaluate the sergeant's performance of critical job tasks during the prescribed rating period. Performance of the critical tasks during preceding rating periods shall not be considered in assigning ratings, except in cases where CHP 112s are used to support the need for interim reporting.

6 The CHP 112s serve as the primary source document for annual CHP 118S ratings. When making CHP 118S ratings, always consider the sergeant's performance for the entire rating period.

7 As with the CHP 112, all sergeants, regardless of their assignment, shall be rated on Critical Tasks 1-7. A **No Rating** may only be assigned to Critical Tasks 8, 9, and 10 where the CHP 112s indicate there is no job performance data or demonstration of proficiency on which the supervisor could reasonably base an evaluation.

8 Probationary sergeants are to be rated on the degree to which their performance meets the standards expected for the amount of experience possessed.

9 No sergeant shall successfully complete the probationary period with a rating of **Deficient** in any critical task. In addition, an assessment should be made regarding any developmental needs identified in a CDP. Efforts shall be made to clear any outstanding issues regarding the CDP as soon as possible.

10 Supervisors preparing performance evaluations should remember the assigned ratings and written comments to support them must be justified as they are subject to appeal by the sergeant through the

grievance process. This is of particular importance when ratings fluctuate during subsequent rating periods.

(3) Section B, Certification of Review.

(a) CHP 137C, Field Personnel Folder Annual Review (Uniformed).

1 The supervisor shall review the CHP 137C and ensure the field personnel folder contains all the required documentation and certifications. All documents must be complete, current, and properly dated.

2 Dates reviewed shall be listed in the space provided on the CHP 137C.

(b) Valid Driver's License. The supervisor shall ensure the sergeant's driver's license is valid and note the expiration date in the space provided.

(c) Review General Order 0.8, Professional Values. The supervisor shall discuss and provide a copy of GO 0.8 to the sergeant.

(d) CHP 14, Leadership Development Plan. The supervisor shall mark the box to indicate the CHP 14 was discussed with the sergeant. The supervisor shall indicate whether or not the sergeant elected to complete a CHP 14. If requested, the supervisor shall provide the sergeant with a blank CHP 14.

(e) CHP 131, Promotional Development Assessment. The supervisor shall mark the box to indicate the CHP 131 was discussed with the sergeant. The supervisor shall indicate whether or not the sergeant elected to be evaluated on promotional readiness. If requested, the supervisor shall provide the sergeant with a blank CHP 131.

(4) Section C, Career Development Plan.

(a) The supervisor shall check the appropriate box to indicate whether or not training needs were identified.

(b) The supervisor shall indicate whether or not a CDP was prepared (refer to HPM 70.13, Chapter 9). If a CDP was prepared, the supervisor shall review the plan to determine if any timetable for completion and target dates for achievement of interim steps have been met. If appropriate, a new CDP may need to be prepared.

(c) Supervisor shall review the identified developmental needs and check the appropriate box to indicate whether or not the developmental needs have been met. If not, the supervisor shall provide a brief statement on the steps to be taken to ensure developmental needs are met and provide time frames.

(5) Section D, Supervisor's Comments. The supervisor may use this section to make general or specific comments on the sergeant's performance over the past 12 months. Discussion in this section should reflect performance over the year documented through comments on the pertinent CHP 112s. While the comments in this section are expected to be general, they should be supported by specific examples of clearly defined, observable job performance. Generic, "canned," or "boiler-plate" language shall not be used.

(a) Whenever the supervisor is required to provide comments on the assignment of a rating, those comments shall:

- 1 Be directed to the appropriate critical task.
- 2 Cite specific examples of clearly defined, observable job performance to illustrate why the rating has been assigned.
- 3 Not be used to document initial comments about excellent or deficient performance. Emerging performance trends shall have been documented on other source documents (e.g., CHP 2, Memorandum of Direction, CHP 112s).

(b) Comments on the CHP 118S (consistent with paragraphs 4.b.[5][d], [e], and [f] below) shall include only a summary of previously documented performance unless additional descriptions or directions are deemed necessary as in interim reporting.

(c) Comments regarding previous years' performance may be used in conjunction with current performance to recognize long-term trends or patterns. It would be particularly pertinent to comment on past performance of the critical task where performance of the critical task during the current rating period has shown marked improvement or deterioration in comparison with past rating periods.

(d) Comments for **Excellent** ratings are mandatory and should focus on trends and truly extraordinary performance.

(e) Comments for **Proficient** ratings are at the discretion of the supervisor.

(f) Comments for **Deficient** ratings must be appropriately justified, and an interim reporting plan shall be prepared.

(g) Use of additional sheets of letter-sized paper for supervisor's comments is prohibited. If additional comments are needed, the supervisor may check the box at the bottom of Section D, marked "Additional Comments (see page 3)," to generate an additional page of the CHP 118S form. A fourth page of the CHP 118S may also be generated by checking the appropriate box at the bottom of page 3.

(6) Section E, Signatures.

(a) Signature of the Supervisor. The supervisor's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces.

(b) Signature of the Reviewer. After reviewing the performance appraisal, the reviewer's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces. The reviewer shall ensure the supervisor has properly completed the form, and the initial discussion has occurred with the sergeant. The reviewer shall check the appropriate box to either concur or not concur with the supervisor's report. The reviewer shall not change the supervisor's final appraisal of the sergeant's performance; however, comments substantiating reasons for disagreement must be made whenever the reviewer does not concur with the rating. These comments are to be documented on additional sheets of letter-sized paper, initialed and dated by the sergeant, supervisor, and reviewer, and attached to the CHP 118S.

(c) Signature of the Employee. The sergeant shall sign and date the form and indicate by checking the box provided if a discussion with the reviewer is desired. If the sergeant refuses to sign the form, the supervisor shall indicate "Refused to sign" in the Employee's Signature box. A third party shall initial the form as a witness to the refusal.

(d) Request for Review. If the employee indicated in Section E of the CHP 118S a desire to discuss the report with the reviewer, the reviewer shall discuss the report with the employee and check the appropriate box to indicate a discussion was held.

(e) Final Probationary Report.

1 The supervisor shall certify that all tasks listed on the CHP 27, Sergeant's Orientation Checklist, have been discussed/completed in

accordance with HPM 70.13, Chapter 19, Sergeant's Orientation, by checking the box provided.

2 When a final probationary report is due, the appropriate box either recommending or not recommending the sergeant for permanent civil service status must be checked.

(f) Initials. The sergeant, supervisor, and reviewer shall initial the appropriate box at the bottom of page 1 of the CHP 118S. If the CHP 118S includes an optional page 3 or 4, the sergeant, supervisor, and reviewer shall also initial the appropriate box at the bottom of these pages.

c. Completion, Distribution, and Retention of Appraisal Forms.

(1) Completion. Final copies of the CHP 118S may be typed or printed; however, all completed evaluations must be legible. The most recent revision of the form should be utilized.

(2) Distribution.

(a) For distribution of the CHP 118S, refer to Chapter 1.

(3) Retention. The current CHP 118S, plus four years, shall be retained in the field personnel folder.

5. CHP 131, PROMOTIONAL DEVELOPMENT ASSESSMENT.

a. Overview.

(1) The CHP 131 is used to assess a sergeant's readiness for promotion to lieutenant. The assessment will include an evaluation of experience, professional development, and potential to perform the duties of a lieutenant.

(a) The CHP 131 provides the sergeant with a method to "self-evaluate" career objectives and professional experience in those areas which have proven successful in preparing sergeants to promote.

(b) The CHP 131 also provides management with a method to evaluate the sergeant's skills, values, and commitment identified as necessary to perform as a lieutenant.

(c) Completion of a CHP 131 is intended to provide feedback to the sergeant regarding potential to perform as a lieutenant and is no guarantee of promotion.

(2) Unless otherwise noted, information provided on the CHP 131 shall only encompass activity/performance while in grade as a sergeant.

(3) If no CHP 131 is on file when a promotional examination is scheduled, the sergeant may request one be completed at that time.

(4) A sergeant may not request a CHP 131 be completed until they have gained permanent status as a sergeant.

b. Process.

(1) The CHP 131 is completed in conjunction with the CHP 118S. During the informal discussion, the sergeant shall be informed of the CHP 131 option and the supervisor will indicate on the CHP 118S whether or not the sergeant requests a CHP 131.

(2) If requested, the supervisor will provide the sergeant with a blank CHP 131. The sergeant will complete the identifying information, Part 1, Career Objectives, and Part 2, Experience. The CHP 131 shall be returned to the supervisor within five (5) working days.

(3) The supervisor will complete Part 3, Potential To Perform as a Lieutenant. The CHP 131 is attached to the completed and signed CHP 118S before forwarding to the reviewer. If the CHP 131 is requested for a promotional examination, it shall be attached to the current CHP 118S before forwarding to the reviewer.

(4) The reviewer will complete Part 4, Promotional Readiness. The reviewer's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces. The reviewer shall forward the CHP 131 to the Division commander with a copy of the current CHP 118S.

(5) The Division commander will review the CHP 131 and shall check the appropriate box to either concur or not concur with the assessment. The Division commander shall sign and date the CHP 131 and return both forms to the reviewer to return to the supervisor.

(6) The supervisor will discuss the CHP 131 with the sergeant and complete Part 5, Professional Development Plan. The supervisor's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces by both the sergeant and the supervisor. If the sergeant refuses to sign, the supervisor will indicate "Refused to sign" in the employee's signature box. A third party shall initial the form as a witness to the refusal.

c. Completing the CHP 131, Promotional Development Assessment.

(1) Identification Information. Enter the appropriate identification in the space provided at the top of the CHP 131.

(a) Name. Enter the last name, first name, and middle initial of the sergeant.

(b) Identification Number. Enter the sergeant's departmental identification number.

(c) Assignment. Enter the name of the Division, Area, or section to which the sergeant is assigned.

(d) Location Code. Enter the location code to which the sergeant is permanently assigned.

(e) Report Date. Enter the date the report is provided to the sergeant.

(2) Part 1, Career Objectives. The sergeant shall list career objectives using only the space provided.

(3) Part 2, Experience. This section shall be completed by the sergeant.

(a) Assignments. The sergeant shall provide assignments and include the total years and months in the space provided.

(b) Leadership. The sergeant shall cite a maximum of three examples of leadership demonstrated as a sergeant. The examples are to be limited to two lines per item and must include the year the example was demonstrated.

(c) Major Projects/Key Accomplishments. The sergeant shall cite a maximum of three examples of major projects/key accomplishments as a sergeant. The examples are to be limited to two lines per item and must include the year the projects/accomplishments were completed.

(d) Awards/Recognition. The sergeant shall list any awards, commendations, commendable incident reports, and complimentary letters received, as a sergeant, and include the year received.

(e) Special Assignments. The sergeant shall list any temporary assignments (e.g., acting lieutenant, special field/staff assignments, or

voluntary assignments) performed as a sergeant and include the year of the assignment.

(f) Education. The sergeant shall list any formal and/or professional education. List the institution name, units completed, degrees/certificates obtained, and the year attended.

(g) Other. The sergeant shall list any community or volunteer involvement, promotional study groups conducted, or other examples of achievements as a sergeant.

(h) Other Information (Mandatory). The sergeant shall provide information on any censurable incident report(s), memorandum(s) of direction, sustained civilian's complaint(s), preventable vehicle accident(s), preventable on-the-job injury(ies), or adverse action(s) within the previous three years, but only if issued/occurred while in grade as a sergeant.

(i) Prior CHP 131, Promotional Development Assessment, Requested. The sergeant shall indicate whether or not a CHP 131 has previously been requested by checking the appropriate box. The sergeant shall indicate whether or not the previously identified goals and methods to achieve development have been completed by checking the appropriate box. Comments shall be limited to the space provided.

(4) Part 3, Potential to Perform as a Lieutenant. This section shall be completed by the supervisor.

(a) Critical Areas. The supervisor shall indicate the sergeant's potential to perform the required tasks of a lieutenant by answering questions 1-10 using the rating guidelines below. When assigning these ratings, keep in mind the focus is on the sergeant's potential to effectively perform in each of the nine dimensions presented. While a small percentage of sergeants will have the experience and/or prior exposure to the dimension in question, or the ability to master the required tasks immediately, most sergeants will attain the knowledge, skills, abilities, and proficiency through tenure as a lieutenant. The purpose of these ratings is to get a feeling for how well the sergeant could be expected to adapt to the demands of the lieutenant classification, as represented by each of the nine critical dimensions, given the sergeant's current level of performance and experience.

1 Ready now to perform successfully. This rating is reserved for those sergeants who demonstrate outstanding potential to perform as a lieutenant with regard to all facets of the dimension in question. The

sergeant's current performance and past experience in this area are significantly ahead of peers and the required tasks could be performed immediately upon promotion.

2 With experience will perform successfully. The sergeant demonstrates good potential to perform in this dimension, assuming the sergeant receives normal exposure with regard to experience and training. The sergeant's performance and experience in this area are in line with those of peers and the sergeant could be expected to perform the required tasks successfully with experience as a lieutenant.

3 Not ready to perform all facets of this dimension. This rating indicates there are reservations concerning the sergeant's potential to perform in one or more facets of this dimension at this time. The sergeant's performance and experience in this area are lacking when compared to those of peers, and the sergeant could be expected to have trouble performing the required tasks even with experience as a lieutenant.

(b) Supervisor's Comments (Mandatory). In Part 3.B., the supervisor shall comment on the sergeant's overall potential to perform as a lieutenant and shall substantiate the ratings provided in Part 3.A.

(5) Part 4, Promotional Readiness. This section shall be completed by the reviewer. The reviewer shall rate the sergeant's potential to perform as a lieutenant based upon observations and considering all sergeants known to the reviewer.

(a) The reviewer shall answer questions 1-6 in Part 4.A.

(b) Reviewer's Comments (Mandatory). In Part 4.B., the reviewer shall comment on the sergeant's overall potential to perform as a lieutenant and shall substantiate any "no" answer in Part 4.A.

(c) Promotional Readiness. The reviewer shall provide an overall assessment of the sergeant's suitability for promotion to lieutenant in Part 4.C. using the rating guidelines below. When making this rating, consider the sergeant's past performance, prior experience, and initiative relative to sergeants known to the reviewer that have equivalent background and training. The box checked shall represent the reviewer's best assessment of the sergeant's overall suitability for promotion and must be supportable by specific examples and existing documentation.

1 Immediately suitable for promotion. The sergeant is ready for immediate promotion. The sergeant is far ahead of peers in terms of performance, diversity and depth of experience, and readiness to promote. The sergeant could be expected to make a smooth transition into the role of lieutenant with very few initial difficulties and minimal training.

2 Suitable for promotion, will perform successfully with normal exposure. With normal exposure to the demands of this new role, the sergeant could readily assume the role of a lieutenant. The sergeant is in the top half of the peer group with regard to performance, experience, and promotional readiness. The sergeant would most likely experience few difficulties and require a short training period.

3 Not ready for promotion, requires additional experience/development. The sergeant is not ready for promotion. Even with extensive exposure and effort, the sergeant will likely experience significant problems in assuming the role of a lieutenant. The sergeant is in the bottom half of the peer group with regard to performance, experience, and promotional readiness. The sergeant would most likely experience more difficulties and require a longer training period than most new lieutenants.

4 Not ready for promotion, requires substantial development. The sergeant is unsuitable for promotion at this time. The sergeant is far behind peers with respect to performance, diversity and depth of experience, and readiness to take on the roles and responsibilities of a lieutenant. Even with a major commitment of effort during training, the sergeant is unlikely to succeed in this new role, given the level of current performance and experience.

(6) Part 5, Professional Development Plan. This section shall be completed by the supervisor.

(a) Departmental. The supervisor shall cite specific methods the sergeant can employ to enhance professional worth to the Department. This discussion should include areas the sergeant can concentrate on to strengthen potential for promotion. Comments shall be limited to the space provided.

(b) Personal. The supervisor shall cite specific methods the sergeant can employ to enhance personal attributes to strengthen potential for promotion. Comments shall be limited to the space provided.

(7) Signatures.

(a) Signature of the Employee. The sergeant shall sign and date the form.

(b) Signature of the Supervisor. The supervisor's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces.

(c) Signature of the Reviewer. After reviewing the assessment, the reviewer's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces. The reviewer shall ensure the supervisor has properly completed the form and discussed the report with the sergeant.

(d) Signature of the Division Commander. The Division commander shall check the appropriate box to either concur or not concur with the supervisor's report. The Division commander shall not change the supervisor's final assessment of the sergeant; however, comments substantiating reasons for disagreement are mandatory whenever the commander does not concur with the rating. These comments are to be documented in the space provided. The Division commander shall then sign and date the form.

d. Completion, Distribution, and Retention.

(1) Completion. Final copies of the CHP 131 may be typed or printed; however, all completed evaluations must be legible. The most recent revision of the form should be utilized.

(2) Distribution.

(a) For distribution of the CHP 131, refer to Chapter 1.

(3) Retention. The CHP 131 shall be retained for the life of the field personnel folder.

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ANNEX A

SERGEANT—CRITICAL TASKS

The ten critical tasks capture the full range of the sergeant's activities, duties, and responsibilities and are described below in considerable detail to assist supervisors in evaluating the performance of sergeants. These descriptions and guidelines are for use in all rating situations but will probably be most relevant to completing the CHP 118S. The discussion for each task is broken down into three interrelated parts. First, a general paragraph describes the content domain for the task. Then, clarifying issue statements are provided for each of the task's sub-elements. These statements are intended to provide a behavioral frame of reference to assist in conceptualizing each sub-element. Finally, rating guidelines in the form of paragraphs describing **Excellent**, **Proficient**, and **Deficient** levels of performance are provided. These guidelines are intended to serve as a yardstick for assessing actual sergeant performance with regard to the task.

1. DEPARTMENTAL COMMITMENT. This task constitutes the core value system not only for sergeants, but for all persons as they move up into the Department's supervisory and managerial ranks. A key issue is the level of the sergeant's understanding and commitment to the Department's mission, objectives, goals, and philosophies. This includes an understanding of the role of the law enforcement profession in modern society and a specific appreciation for the responsibilities of the Department. Departmental commitment is demonstrated through actions that contribute to the fulfillment of the Department's objectives and through open support of its management, policies, and responsibilities. This dedication is also indicated by the degree to which the sergeant's actions reflect an unwavering commitment to the ethical concepts contained in the Department's General Order (GO) 0.8, Professional Values. Finally, the pursuit of excellence and dedication to public safety and service by the sergeant are each key indicators of departmental commitment.

a. Issues.

(1) Understands and supports the mission, objectives, and philosophies of the Department, thereby contributing to the overall success of the organization.

(a) Does the sergeant have a clear understanding of the mission, objectives, and philosophies of the Department, as outlined in GO 0.1, Departmental Mission Statement and Organizational Values?

(b) Does the sergeant's action reflect a commitment to the accomplishment of the Department's mission and objectives?

(c) Does the sergeant inspire a similar commitment from subordinates?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (d) Does the sergeant have a realistic perspective regarding the general roles and responsibilities of law enforcement in modern society?
 - (e) Does the sergeant understand the role of traffic law enforcement in modifying driver behavior to achieve a safer driving environment?
- (2) Displays and promotes departmental loyalty by openly supporting management's decisions. Provides constructive criticism and feedback through proper channels when a need for change is perceived.
- (a) Does the sergeant actively support departmental policies and accept management authority?
 - (b) Is the sergeant sensitive to departmental commitments and constraints when airing disagreements and proposing changes?
 - (c) Does the sergeant support policy changes with a minimal amount of resistance and effectively promote new policy and procedures to subordinates?
 - (d) Does the sergeant understand the purpose of and properly utilize the chain of command? Does the sergeant utilize the proper channels when expressing viewpoints and suggesting changes?
- (3) Adheres to and promotes the personal characteristics and ethical ideology contained in the Department's professional values.
- (a) Does the sergeant's personal conduct reflect a commitment to the Department's professional values?
 - (b) Does the sergeant ensure subordinates are aware of and evaluated on these standards of professional values?
- (4) Subscribes to and promotes excellence in individual and unit performance.
- (a) Does the sergeant put forth the best effort in all endeavors?
 - (b) Does the sergeant inspire subordinates to strive for excellence? Are those efforts recognized and acknowledged?
 - (c) Does the sergeant recognize personal limitations and potential, and make efforts toward self-improvement?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (d) Does the sergeant recognize the developmental needs of subordinates and encourage self-improvement efforts on their part?
- (5) Demonstrates dedication to public safety and service.
 - (a) Does the sergeant understand general law enforcement roles and responsibilities in ensuring the safety and security of the public?
 - (b) Does the sergeant personally and through subordinates promote the concept of service to the public?
- b. Rating Guidelines.
 - (1) ***Excellent:*** The sergeant displays a level of departmental commitment that far exceeds departmental expectations for a first-line supervisor. The sergeant thoroughly understands, openly supports, and actively promotes the Department's mission, objectives, goals, and philosophies. An exceptional appreciation for the role of law enforcement and an unusually keen sensitivity to departmental responsibilities are reflected in all of the sergeant's day-to-day activities. The sergeant actively supports the Department's management, policies, commitments, and ethical standards. The sergeant constantly strives for excellence in all endeavors and accepts nothing less than the highest standards of public safety and service, both personally and from subordinates. The sergeant's outstanding departmental commitment and outstanding reputation as a team player are reflected by numerous commendations, CHP 112 comments, and/or other documentation.
 - (2) ***Proficient:*** The sergeant displays a level of departmental commitment in line with departmental expectations for a first-line supervisor. The sergeant understands, supports, and promotes the Department's mission, objectives, goals, and philosophies. An appreciation for the role of law enforcement and sensitivity to departmental responsibilities are reasonable and reflected in the sergeant's day-to-day activities. The sergeant supports the Department's management, policies, commitments, and ethical standards. The pursuit of excellence is apparent, and appropriate support for public safety and service is demonstrated in the actions of both the sergeant and subordinates. The sergeant's departmental commitment and reputation as a team player are reflected by occasional commendations, CHP 112 comments, and/or other documentation.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

(3) ***Deficient***: The sergeant displays a level of departmental commitment that consistently falls short of departmental expectations for a first-line supervisor. The sergeant appears unwilling to support or incapable of understanding the Department's mission, objectives, goals, and philosophies. The sergeant's day-to-day activities reflect a lack of understanding of the general role of law enforcement and a persistent insensitivity to departmental responsibilities. The sergeant's support for the Department's management, policies, commitments, and ethical standards is either selective or clearly lacking. The sergeant is too willing to settle for mediocrity. The quality of public safety and service, provided both personally and through subordinates, is frequently below departmental expectations. The sergeant's lack of departmental commitment and reputation for not being a team player are reflected in complaints, unfavorable CHP 112 comments, and/or other documentation.

2. **LEADERSHIP**. As the first-line supervisor, the sergeant serves as a leader and role model for subordinates, support personnel, and the public. Leadership entails a willingness to get involved and an acceptance of responsibility for the actions of oneself and those one supervises. A leader displays the courage of conviction and is not reluctant to take a stand, make decisions, and carry them out. Strong command presence adds to stature as a leader under both routine and emergency situations. An effective leader is loyal to subordinates, inspires their respect, motivates them to achieve, and instills in them a strong sense of unit pride. Every effort is made to accomplish goals and objectives through cooperation and teamwork. The sergeant leads by example; setting the standard for desirable conduct, positive attitude, professional appearance, and demeanor. Finally, leadership is reflected through sensitivity to the needs of subordinates and effective use of the principles of positive recognition and progressive discipline to achieve goals and develop subordinates.

a. **Issues**.

(1) Accepts responsibility.

(a) Does the sergeant take personal responsibility for actions?

(b) Does the sergeant recognize the responsibility of supervising subordinates?

(c) Are problems/deficiencies confronted directly or left for someone else to assume responsibility?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (d) Does the sergeant demonstrate a willingness to become involved and, when necessary, take charge?
 - (e) Does the sergeant willingly accept assignments with minimal supervision?
 - (f) Does the sergeant support management decisions even when the sergeant may personally disagree?
- (2) Demonstrates decisiveness and a willingness to take a stand.
- (a) Is the sergeant willing to take a definitive stand on important issues?
 - (b) Does the sergeant take a leadership role by making appropriate and timely decisions?
 - (c) Does the sergeant stand firm, even in the face of opposition, when an appropriate decision has been made?
 - (d) Do the sergeant's actions show a recognition of when to act, when not to, when to delegate, and when to refer to a superior?
- (3) Displays positive command presence, bearing, and poise.
- (a) Is the sergeant a self-assured, confident individual?
 - (b) Do the sergeant's presence and actions have a stabilizing influence on others?
 - (c) Does the sergeant provide effective direction?
 - (d) Does the sergeant's demeanor inspire the respect and cooperation of others?
 - (e) Do the sergeant's actions build the confidence of subordinates?
- (4) Motivates subordinates and achieves desired results through cooperation and teamwork.
- (a) Does the sergeant promote teamwork and instill a sense of unit pride for subordinates.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (b) Do the sergeant's leadership skills achieve positive results through cooperation and teamwork?
- (c) Does the sergeant effectively motivate subordinates?
- (5) Sets an example, displays initiative, and a positive work ethic.
 - (a) Does the sergeant lead by example?
 - (b) Does the sergeant exhibit a positive attitude?
 - (c) Does the sergeant display a positive respect for authority?
 - (d) Do the sergeant's actions inspire respect from subordinates?
 - (e) Does the sergeant demonstrate a respect for allied agency personnel in the presence of subordinates?
 - (f) Does the sergeant actively participate in Area/section problem solving?
 - (g) Is time managed effectively (e.g., punctual, scheduling enough time for meetings, meeting deadlines)?
 - (h) Do work habits impact performance (e.g., punctuality, grooming, personal appearance, occupational safety, attendance, and sick leave use)?
 - (i) Does the sergeant maintain a neat, clean, and professional appearance from day to day and throughout the work shift?
 - (j) Does the appearance of subordinates reflect the sergeant's insistence on maintaining a professional appearance at all times?
 - (k) Is the sergeant physically fit? Does the sergeant's physical condition enhance the ability to safely perform the job duties as required?
- (6) Effectively applies the principles of positive recognition and progressive discipline.
 - (a) Is exemplary work recognized and commented on?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (b) Does the sergeant deal with subordinates in a positive and self-confident manner?
- (c) Are subordinates given an opportunity to explain their actions?
- (d) Does the sergeant provide timely, constructive criticism for all subordinates?
- (e) Does the sergeant confront disciplinary problems and escalate action to appropriate levels?
- (f) Is appropriate disciplinary action, including recommending adverse action, initiated when warranted?
- (g) Is prompt, appropriate corrective action taken and fully explained to subordinates?
- (h) Are disciplinary actions properly recorded for subsequent reference?

b. Rating Guidelines.

(1) ***Excellent:*** The sergeant serves as an outstanding leader and role model for subordinates, departmental support personnel, allied agencies, and the public. The sergeant is always actively involved and consistently assumes full responsibility for personal actions and the supervision of subordinates. The sergeant takes a stand on all important issues, makes timely and effective decisions, and consistently initiates prompt and appropriate action. Command presence and poise are outstanding in all situations and the sergeant is highly effective in directing others. The sergeant is loyal to subordinates, inspires the utmost in respect, and displays an outstanding ability to motivate others to achieve. Efforts are consistently made to accomplish goals and objectives through cooperation and teamwork. The sergeant leads by example and sets the highest standards for desirable conduct, positive attitude, professional appearance, and demeanor. Recognition of even subtle subordinate needs is demonstrated. The sergeant consistently and effectively applies the principles of positive recognition and progressive discipline. These outstanding leadership skills are reflected in numerous commendations and/or other documentation.

(2) ***Proficient:*** The sergeant serves as a leader and role model for subordinates, departmental support personnel, allied agencies, and the public.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

A willingness to get involved and acceptance of responsibility for the actions of oneself and the supervision of subordinates are displayed. The sergeant takes a stand on most important issues, makes decisions, and initiates appropriate action as required. Command presence and poise are demonstrated and effective direction is provided. The sergeant is loyal to subordinates, inspires respect, and motivates others to achieve. Efforts are made to accomplish goals and objectives through cooperation and teamwork whenever possible. The sergeant leads by example and sets a high standard for desirable conduct, positive attitude, professional appearance, and demeanor. Recognition of subordinate needs is demonstrated. The sergeant effectively applies the principles of positive recognition and progressive discipline. The sergeant's leadership skills are reflected in commendations and/or other documentation.

(3) ***Deficient:*** The sergeant is inadequate as a leader and role model whether for subordinates, departmental support personnel, allied agencies, or the public. There is an unwillingness to get involved and a persistent tendency to shift responsibility for personal actions or the supervision of subordinates onto others. The sergeant frequently fails to take a stand on important issues, avoids making decisions, and appears reluctant to initiate required action. Command presence and poise are lacking. The sergeant is inconsistent towards subordinates, fails to inspire respect, and displays an inability to motivate or direct others. Insufficient effort is made to accomplish goals and objectives through cooperation and teamwork. The sergeant fails to lead by example and neglects to set acceptable standards for desirable conduct, positive attitude, professional appearance, and demeanor. Subordinate needs are often misperceived or ignored altogether. The sergeant is unable or unwilling to apply the principles of positive recognition and progressive discipline. These poor leadership skills are reflected in complaints and/or other documentation.

3. **JUDGMENT.** In few other professions is the need to exercise common sense and good judgment as critical a factor to success as it is in law enforcement. Sergeants are constantly evaluating situations, prioritizing needs, weighing alternatives, and making decisions. The key to success in problem solving and decision-making is being well-informed. The sergeant must anticipate and recognize problem situations, weigh the consequences of various courses of action, and, where possible, identify and apply the proper policies and procedures in solving them. An essential factor is thinking independently yet recognizing when it is appropriate to defer to higher authority. Judgment issues are also involved in recognizing and handling sensitive issues and in

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

dealing with individuals. Critical elements include composure under stress, self-control, and the ability to effectively balance tact, diplomacy, and candor in dealing with people.

a. Issues.

(1) Applies a commonsense approach to problem solving and risk management.

(a) Is the sergeant aware of what is happening at all levels within the command/Division/Department? Does the sergeant apply this knowledge in the decision-making process?

(b) Does the sergeant anticipate problems and take appropriate steps to avert them?

(c) Does the sergeant identify problems as they arise, securing relevant information and data, and identifying possible causes of problems?

(d) Does the sergeant explore alternate solutions to problems, evaluate courses of action, reach logical conclusions, and make appropriate recommendations?

(e) Does the sergeant foresee the consequences of various alternatives and consider both the short- and long-range consequences of any action taken?

(f) Does the sergeant accurately identify and apply the proper policies and procedures in problem solving?

(g) Is the sergeant willing to trust one's own judgment when no policy exists to cover a given situation?

(h) Are situations resolved by implementing an effective course of action?

(i) Are problems discussed with superiors and peers when appropriate?

(2) Thinks independently and makes effective decisions.

(a) Does the sergeant act independently? Is the sergeant unduly swayed by others?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (b) Does the sergeant recognize the limits of the sergeant's responsibilities?
 - (c) Are all known available facts gathered, organized, and interpreted? Are alternatives reviewed and considered prior to making a decision?
 - (d) Does the sergeant use good judgment when dealing with problems of a sensitive nature?
 - (e) Are issues or inquiries involving departmental policy referred to the proper source?
 - (f) Are the sergeant's decisions logically consistent with established goals and policies even when individual employees or groups may believe their interests are not fully served by the decision?
 - (g) Does the sergeant make decisions in appropriate instances or are decisions always solicited from management?
 - (h) Does the sergeant keep the supervisor or commander advised of incidents which could be newsworthy or require action at a higher level?
 - (i) Does the sergeant consult management, when necessary, prior to making decisions affecting operations beyond the area of responsibility? Does the sergeant keep management apprised of decisions which could have an impact beyond the sergeant's area of responsibility?
 - (j) When discussing the resolution of a problem with management, does the sergeant consistently recommend a course of action? Are reasonable alternatives included in the recommendations when appropriate?
- (3) Handles stress effectively and maintains self-control when dealing with volatile situations.
- (a) Are situations controlled without needlessly alienating others?
 - (b) Can the sergeant control personal feelings during stressful situations?
 - (c) Does the sergeant maintain self-control when dealing with angry, abusive, and/or distraught individuals?
 - (d) Does the sergeant function effectively during stressful situations?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (4) Effectively balances diplomacy and candor.
- (a) Does the sergeant recognize when it is appropriate to confront others?
 - (b) Is loyalty to subordinates balanced by appreciation for command and the needs of the Department?
 - (c) Is the sergeant tactful and diplomatic when settling disputes or in dealing with potentially volatile situations?

b. Rating Guidelines.

(1) ***Excellent:*** The sergeant exercises extraordinary common sense and outstanding judgment under all circumstances. Decision-making is based on complete analysis, thorough appraisal of alternatives, and consistently sound conclusions. The sergeant is always well informed on a wide spectrum of issues both within the command, community, and throughout the Department. The consequences of various courses of action are foreseen well in advance, relevant policies and procedures are identified, and the most effective course of action is consistently implemented. The sergeant consistently thinks independently and demonstrates exceptional confidence in judgment, even in those cases where little or no policy exists to guide actions. Sensitive issues are invariably handled effectively, the sergeant maintains outstanding composure under stress, and personal feelings are exceptionally well controlled. Tact, diplomacy, and candor are balanced skillfully in dealing with people. The sergeant's common sense and good judgment are substantiated by numerous compliments, CHP 112 comments, and/or other documentation.

(2) ***Proficient:*** The sergeant exercises common sense and good judgment. Decision-making is based on sensible analysis, rational appraisal of alternatives, and sound conclusions. The sergeant stays well informed regarding issues that impact the command or assignment. The consequences of various courses of action are foreseen, relevant policies and procedures are identified, and the most effective course of action is implemented. The sergeant thinks independently and demonstrates confidence in judgment, even in those cases where little or no policy exists to guide actions. Sensitive issues are handled effectively, the sergeant maintains composure under stress, and personal feelings are controlled. Tact and diplomacy are exhibited in dealing with people. The sergeant's common sense and good judgment are occasionally substantiated by compliments, CHP 112 comments, and/or other documentation.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

(3) ***Deficient***: The sergeant frequently exercises poor common sense and questionable judgment. Decision-making is often faulty, based on incomplete analysis, incomplete appraisal of alternatives, and poorly formulated conclusions. The sergeant is invariably ill-informed on issues that directly impact an assignment. The sergeant frequently fails to foresee the consequences of courses of action, neglects to consider relevant policies and procedures, and, consequently, may implement less than optimal courses of action. The sergeant demonstrates a lack of independent thought and confidence in judgment, particularly in those cases where little or no policy exists to guide actions. Sensitive issues are often mismanaged. The sergeant may become disorganized under stress, lose control of personal feelings, and fail to exercise the necessary tact and diplomacy to deal effectively with people. The sergeant's common sense and poor judgment are substantiated by complaints, unfavorable CHP 112 comments, and/or other documentation.

4. **INTERPERSONAL SKILLS**. Effective interpersonal skills are critical to the success of departmental supervisors. Of paramount importance is the acceptance and productive use of direction, constructive criticism, and feedback. Central to this theme is the degree to which management's direction and criticism are taken objectively and impersonally. Of equal importance is the degree with which sensitive and controversial issues are relayed to subordinates diplomatically. A related concern is the sergeant's effectiveness in settling disputes and resolving differences. This critical task is also concerned with the quality of the sergeant's interaction with management, peers, subordinates, support personnel, and the public. A final consideration is the sergeant's ability to work effectively with diverse groups of people.

a. **Issues**.

(1) Provides and accepts constructive criticism and feedback in a positive and productive manner.

(a) Is supervisory direction, including criticism, communicated tactfully without unduly antagonizing subordinates?

(b) Does the sergeant have full knowledge of the duties and responsibilities of others prior to criticizing them?

(c) Are subordinates given an opportunity to explain their actions prior to being criticized?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (d) Are management directions, including criticism, accepted objectively and impersonally?
 - (e) Are sensitive and controversial issues relayed to subordinates diplomatically?
 - (f) Does the sergeant accept and use constructive criticism/feedback in a positive manner?
- (2) Interacts professionally and courteously with others.
- (a) Does the sergeant deal with the public courteously and professionally?
 - (b) Does the sergeant interact effectively and harmoniously with others?
 - (c) Does the sergeant consider the working demands and time constraints of others (e.g., support staff, peers, management) in allowing adequate time to complete assignments?
 - (d) Does the sergeant gain the respect of subordinates without compromising supervisory control and respect?
- (3) Resolves conflict impartially and effectively with a minimum of residual animosity.
- (a) Does the sergeant recognize conflict and actively work to resolve it?
 - (b) Does the sergeant settle differences between subordinates effectively, impartially, and within an acceptable period of time? Is closure achieved regarding these incidents?
 - (c) Does the sergeant handle inquiries/complaints from the public objectively and efficiently without unduly antagonizing others or losing control of personal feelings?
- (4) Interacts effectively with groups and individuals from all segments of society's diverse population.
- (a) Is the sergeant able to work effectively within all segments of the community and in cooperation with diverse community groups to resolve local safety issues?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (b) Do all individuals and segments of the community receive appropriate treatment from the sergeant?
- (c) Does the sergeant treat all employees fairly?
- (d) Is the sergeant considerate of individual differences?

b. Rating Guidelines.

(1) ***Excellent:*** The sergeant's outstanding interpersonal skills are readily apparent in the highly professional manner in which management's direction and feedback are taken, and in turn, fairly and diplomatically passed on to subordinates. The sergeant is consistently polite, courteous, considerate, and even-tempered when dealing with departmental personnel, allied agency personnel, and the public. The sergeant's presence is frequently a significant factor in calming tension, settling disputes, and resolving differences. The sergeant displays exceptional ability in dealing with diverse groups and working within all segments of the community to achieve mutual goals and objectives. The sergeant regularly receives letters of appreciation from members of the public, complimentary CHP 112 comments, and commendations from management and allied agencies for outstanding interpersonal skills.

(2) ***Proficient:*** The sergeant displays the level of interpersonal skill essential for success as a first-line supervisor. Management direction and feedback are taken objectively and passed on to subordinates in a diplomatic manner. The sergeant is polite, courteous, and considerate when dealing with departmental personnel, allied agency personnel, and the public. As a result, the sergeant is able to successfully settle disputes and resolve differences. The sergeant displays an acceptable ability to deal with diverse groups and work within all segments of the community to achieve mutual goals and objectives. The sergeant occasionally receives letters of appreciation from members of the public, favorable CHP 112 comments, and commendations from management and allied agencies for proficient interpersonal skills.

(3) ***Deficient:*** The sergeant's poor interpersonal skills are readily apparent in the defensive and antagonistic manner in which management direction and feedback are personally received. The issue is also reflected in the way in which feedback is subsequently presented to subordinates. The sergeant is often abrasive, inconsiderate, and overbearing when dealing with departmental personnel, allied agency personnel, and the public. As a result, the sergeant's presence is frequently a complicating factor in tense situations, or in settling

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

disputes and resolving differences. The sergeant may display bias, intolerance, and impatience when dealing with diverse groups or community groups which, in turn, may hinder achievement of mutual goals and objectives. The sergeant is the recipient of sustained civilian complaints, negative CHP 112 comments, as well as letters of complaint from management and allied agencies because of defective interpersonal skills.

5. **COMMUNICATION SKILLS.** A considerable portion of a sergeant's time is spent conversing with others, conducting briefings, preparing written work, and reviewing the written work of subordinates. A good listener pays attention to the speaker and accurately interprets what is being said. The quality of oral presentations is predicated on thorough preparation, and speaking logically, clearly, and effectively during the presentation. The quality of written work is reflected by the degree to which the writer has organized the material, included the necessary elements, identified key issues, and presented sufficient facts to support conclusions and recommendations. Another factor is timely completion and submission of written work. Writing ability is also demonstrated by reports that are free of spelling errors, are grammatically correct, and contain proper sentence structure. An important corollary to this critical task is ensuring the oral and written efforts of subordinates are of high quality and conform to departmental requirements.

a. **Issues.**

- (1) Listens attentively to others and comprehends what is being said.
 - (a) Does the sergeant actively listen to the information presented?
 - (b) Does the sergeant avoid making inappropriate or insensitive comments?
 - (c) Does the sergeant accurately interpret the statements being made? Does the sergeant accurately assess changes in voice inflection and recognize other physical clues?
- (2) Organizes thoughts before speaking.
 - (a) Is the sergeant well prepared for presentations?
 - (b) Is the sergeant well informed and able to respond intelligently to the issues to be addressed?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

(3) Speaks logically, clearly, and effectively to groups and individuals at all levels.

- (a) Are thoughts expressed in a logical and understandable manner?
- (b) Is the sergeant's tone and inflection appropriate for the occasion?
- (c) When addressing audiences, does the sergeant present a professional image and maintain proper decorum?
- (d) Does the sergeant understand the role of providing and disseminating information?
- (e) Does the sergeant patiently and courteously answer questions and respond to inquiries from the public?
- (f) Is court testimony factual, unbiased, and free of unsolicited personal opinion? Is it presented clearly in a concise and understandable manner?
- (g) Are briefings properly conducted? Does the sergeant maintain control of the group, yet facilitate feedback?
- (h) Does the sergeant provide training/briefing regarding recent changes to policies and procedures? Does the sergeant ensure these changes are understood by subordinates charged with carrying them out?

(4) Submits effective and well-organized written communications in a timely manner.

- (a) Does written work indicate the investigation, research, and/or study of the incident was thorough and complete?
- (b) Is written work submitted by the sergeant properly organized and formatted, and appropriate for the incident?
- (c) Are all necessary elements properly analyzed and included in written work?
- (d) Are key issues identified and reasonable alternatives discussed? Are conclusions and recommendations valid, logical, and supported by the facts presented?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (e) Does written work meet all legal and departmental requirements?
 - (f) Does the sergeant complete and submit written work in an appropriate amount of time?
- (5) Writes legibly, concisely, and logically, demonstrating an acceptable command of the language. Effectively screens the written work of subordinates.
- (a) Is written work neat, legible, and understandable?
 - (b) Is written work free of spelling errors? Are they grammatically correct? Does the sergeant use proper sentence structure?
 - (c) Is it frequently necessary to return written work to the sergeant for revision because of poor quality?
 - (d) Is it necessary to return written work for correction that the sergeant has reviewed and approved?
 - (e) Does the sergeant recognize and return poorly prepared and/or incomplete written work to subordinates for revision?
- b. Rating Guidelines.

(1) ***Excellent:*** The sergeant's communication skills are clearly superior. The sergeant consistently listens and thinks before speaking in a well-organized, logical, highly effective manner. Briefings and testimony are well prepared, clearly articulated, and questions are answered patiently and completely. The sergeant's written work shows an exceptional command of the language and is free of error. Documents consistently include the necessary information and elements and are clearly and logically presented. There is rarely need for editing or revision and the sergeant, in turn, is meticulous in the review of the written work of subordinates. Written assignments are consistently completed and submitted in a timely manner. The sergeant receives numerous compliments, CHP 112 comments, and/or other documented recognition regarding superior communication skills.

(2) ***Proficient:*** The sergeant demonstrates good communication skills. The sergeant listens and thinks before speaking in an organized and effective manner. Briefings and testimony are sufficiently well prepared, articulated, and questions are answered patiently and completely. The sergeant's written work

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

shows a command of the language and is reasonably free of error. Documents generally include the necessary information and elements and are organized properly. There is little or no need for more than routine editing or revision, and the written work of subordinates is rarely returned for revision after the sergeant's review. Written assignments are generally completed and submitted in a timely manner. The sergeant receives an occasional compliment, CHP 112 comments, and/or other recognition regarding communication skills.

(3) ***Deficient***: The sergeant's communication skills are inferior. The sergeant often speaks before obtaining the facts and must frequently retract statements made in haste. Briefings and testimony are poorly prepared, articulation may be garbled and incoherent, and questions are often answered incompletely or ignored altogether. The sergeant's written work consistently omits necessary information or elements, or presents them in a disorganized fashion. Written work is often marred by multiple errors in grammar, spelling, sentence structure, and word choice. It may be so poorly prepared or illogical that it must be completely rewritten. Likewise, the written work of subordinates must frequently be returned to the sergeant because of undetected writing errors. Written assignments are frequently submitted late, even after reminder by management. There is ample documentation regarding the sergeant's poor communication skills.

6. **INVESTIGATIVE SKILLS**. Sergeants are routinely required to investigate various types of personnel matters, civilian complaints, and other incidents. A key issue is recognizing when to initiate an investigation, and knowing what kind of investigation to initiate and how to properly conduct it. The effectiveness of the investigation depends on the thoroughness of the research, quality of the supporting documents, organization of the investigative report, and the degree to which the facts presented support the conclusions reached. The investigation also depends on key individuals being questioned in an efficient, productive, and lawful manner. The investigation is to be completed in a reasonable amount of time and submitted within established time frames.

a. **Issues**.

(1) Understands and initiates the various types of departmental investigations when necessary.

(a) Does the sergeant consistently initiate appropriate investigations when they are called for?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (b) Does the sergeant properly conduct personnel complaints, adverse actions, and other departmental investigations as required?
- (2) Obtains, objectively evaluates, and records all information necessary to support conclusions and recommendations.
 - (a) Does the sergeant develop an effective plan that covers the entire scope of the investigation?
 - (b) Does the sergeant know and utilize appropriate sources of information?
 - (c) Are all of the necessary supporting documents and materials gathered prior to the investigation? Can the sergeant analyze this information sufficiently to arrive at logical, valid conclusions?
 - (d) Are key issues identified and discussed?
 - (e) Does the documentation gathered and the report prepared support the sergeant's findings and conclusions?
 - (f) Are investigations conducted in a logical sequence?
 - (g) Are investigations organized in a manner to ensure the highest standards of quality?
- (3) Interviews and interrogates individuals effectively and lawfully.
 - (a) Is questioning accomplished without displaying personal biases and unduly antagonizing the persons being questioned (e.g., listens attentively, displays concern)?
 - (b) Does the sergeant ask the necessary questions, interpret the answers, and accurately evaluate the information? Can the sergeant distinguish between fact and fabrication?
- (4) Submits investigations in a timely manner.
 - (a) Does the sergeant complete investigation reports and documentation efficiently in a timely manner?
 - (b) Are reports and documentation submitted within established time frames?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

b. Rating Guidelines.

(1) **Excellent:** The sergeant's investigative skills are clearly outstanding. The sergeant has a thorough command of the issues that require an investigation, when to initiate it, and how to conduct it. All investigations are conducted meticulously and are preceded by thorough research where all the appropriate evidence has been gathered and evaluated. Key personnel and material witnesses are identified and questioned thoroughly and efficiently. All investigative reports contain the necessary elements and are presented clearly and logically so all issues, findings, and conclusions are supported by carefully collected and documented facts. The sergeant receives frequent compliments and/or other recognition regarding the exceptionally high quality and timeliness of completed investigations.

(2) **Proficient:** The sergeant's investigative skills are well developed. The sergeant understands the issues that require an investigation, when to initiate it, and how to conduct it. Investigations include the necessary research during which the appropriate evidence has been gathered and evaluated. Key personnel and material witnesses are identified and questioned according to departmental policy. Investigative reports contain the necessary elements and are presented clearly and logically, with issues, findings, and conclusions supported by the facts presented. The sergeant receives occasional compliments and/or other recognition with regards to the quality and timeliness of completed investigations.

(3) **Deficient:** The sergeant's investigative skills are lacking. The sergeant has a poor grasp of the issues that require investigations, as well as the type of investigation to initiate and when and how to conduct it. Investigations are often conducted in a disorganized, incompetent manner where the research is either marginal or nonexistent. Key personnel and material witnesses are often overlooked and questioning is frequently inefficient, unproductive, and contrary to departmental policy. Investigative reports often omit key elements and are so poorly organized there is no clear relationship between the facts and the issues, findings, and conclusions they are supposed to support. The sergeant receives counseling regarding the quality and timeliness of submitted investigations which often includes direction for significant revision.

7. TECHNICAL COMPETENCE. This critical task addresses the extent to which the sergeant has expanded the pool of job-related knowledge acquired as an officer. Success in this effort is reflected by the effectiveness with which the sergeant functions

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

as a technical resource for subordinates and others. A key issue is knowledge of current departmental/Area policies and procedures and the ability to interpret them for others. Of equal importance is the need for a thorough command of relevant laws, codes, and regulations. Technical competence implies a well-rounded knowledge of matters essential to the duties of subordinates, as well as issues that materially impact employee relations and the occupational safety concerns of the command.

a. Issues.

(1) Understands, adheres to, and properly applies departmental/Area policies and procedures.

(2) Has a working knowledge of and the ability to apply policies and procedures affecting an assignment. Accurately interprets and explains policies and procedures to subordinates.

(a) Does the sergeant keep current regarding recent additions or revisions to policy and procedure?

(b) Are policies and procedures affecting the sergeant's specific assignment complied with by the sergeant and subordinates?

(3) Properly interprets and applies relevant laws, codes, and regulations.

(a) Does the sergeant have a current knowledge of relevant laws, codes, and regulations?

(b) Does the sergeant serve as an effective information source?

(c) Does the sergeant ensure subordinates follow and enforce applicable laws, codes, and regulations?

(4) Provides support and guidance on technical issues.

(a) Does the sergeant maintain a knowledge of technical material essential to subordinates' jobs?

(b) If unfamiliar with an issue, is the sergeant resourceful in performing research to provide proper guidance?

(c) Is the sergeant available and willing to provide support?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (d) Is the sergeant accurate, clear, and understandable when providing information to subordinates?
- (e) Does the sergeant anticipate those occasions where technical support may be required?
- (5) Understands general personnel concepts and issues.
 - (a) Does the sergeant maintain a working knowledge of labor relations and collective bargaining issues?
 - (b) Does the sergeant maintain a working knowledge of civil liability, including special relationships, negligence, and civil rights?
 - (c) Does the sergeant understand the Employee Assistance Program, peer support, and health benefits programs?
 - (d) Do the sergeant's actions reflect personal commitment to all aspects of occupational safety?
 - (e) Does the sergeant actively support the Department/Area Injury/Illness Prevention Program?
- (6) Understands, adheres to, and properly applies principles of equal employment opportunity.
 - (a) Does the sergeant understand and support the Department's hiring goals?
 - (b) Does the sergeant maintain a working knowledge of all aspects of the discrimination complaint process?
- b. Rating Guidelines.
 - (1) ***Excellent:*** The sergeant consistently exhibits knowledge of exceptional depth and breadth regarding a wide array of technical issues. The sergeant has earned a reputation as an invaluable subject matter resource for a diverse range of departmental personnel. The sergeant demonstrates a truly exceptional command of a wide spectrum of departmental/Area policy and procedures, as well as a remarkably well-rounded knowledge and ability to interpret laws, codes, and regulations. The sergeant has received numerous

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

compliments, CHP 112 comments, and/or other documented recognition regarding a remarkable pool of technical skills and knowledge.

(2) ***Proficient***: The sergeant demonstrates a thorough understanding of relevant technical issues and functions as an effective subject matter resource for peers and subordinates. The sergeant is knowledgeable about departmental/Area policy and procedures, and has a good working knowledge of those laws, codes, and regulations essential to the jobs of subordinates. The sergeant has received compliments, CHP 112 comments, and/or other recognition documenting technical expertise.

(3) ***Deficient***: The sergeant demonstrates an inability to understand elementary technical issues relevant to the job. The sergeant is rarely utilized as a subject matter resource. The sergeant has difficulty understanding basic departmental/Area policy and procedures and exhibits a marginal knowledge and ability to interpret those laws, codes, and regulations essential to the jobs of subordinates. Incorrect technical information and/or advice provided by the sergeant has resulted in operational problems that must be corrected by management. The sergeant has received complaints, unfavorable CHP 112 comments, and/or other documentation regarding lack of technical expertise.

8. **SUPERVISION**. The major role of the sergeant is to supervise the activities of subordinates as part of the team effort to meet departmental goals and objectives. Success in this endeavor is predicated on developing rapport with subordinates and establishing effective employee relations. A key element is the recognition of subordinate developmental needs and the implementation of training, guidance, and counseling opportunities. Timely, accurate, and fair assessment of subordinate performance through properly completed CHP 100 and CHP 118, Performance Appraisal - Officer, is essential. The quality of performance appraisals depends on the degree to which the sergeant actually observes the activities of subordinates in the field, court, the Area office, or other work environments. Supervisory skills are also demonstrated by the effectiveness with which human resources are allocated and deployed, and other resource needs are managed as required.

a. **Issues**.

(1) Displays awareness, consideration, and support for the interests and concerns of subordinates.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (a) Does the sergeant maintain rapport with subordinates? Is the sergeant aware of their strengths, weaknesses, and personal needs?
 - (b) Does the sergeant recognize subordinates' talents and effectively utilize this information when assigning tasks?
 - (c) Does the sergeant support subordinates when appropriate?
 - (d) Is the sergeant fair, impartial, and consistent when dealing with subordinates?
 - (e) Does the sergeant understand and adhere to all provisions of the Public Safety Officers Procedural Bill of Rights Act, applicable Memorandums of Understanding, and departmental policies relating to employee/employer labor relations issues?
 - (f) Does the sergeant understand and follow the appropriate bargaining unit contract provisions?
 - (g) Does the sergeant have a good working knowledge of the grievance/complaint process for represented employees?
 - (h) Are grievances/complaints impartially reviewed and resolved whenever possible at the informal level?
- (2) Provides effective training opportunities, counseling, and guidance as a means of fostering employee development.
- (a) Are training needs recognized?
 - (b) Are training assignments and responsibilities willingly assumed?
 - (c) Does the sergeant prepare the necessary materials in advance before instructing officers?
 - (d) Is training material presented in an informative manner? Does the sergeant ensure officers remain attentive? Are proper and effective training evaluation procedures utilized?
 - (e) Are subordinates who demonstrate a potential for further development identified? Are all subordinates made aware of opportunities in this area?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (f) Are career development resources (e.g., special assignments, such as departmental, academic, and vocational training) identified, explained, and encouraged?
 - (g) Is assistance provided to subordinates who are formulating and implementing career development plans?
 - (h) Does the sergeant involve subordinates in the goal setting process? Are they informed of goal progress?
 - (i) Does the sergeant promote an environment conducive to open discussion and motivating subordinates (e.g., open door, truth, fairness, sincerity, reasonableness, self-confidence, enthusiasm)?
 - (j) Does the sergeant recognize work performance problems of subordinates?
 - (k) Is an attempt made to correct unsatisfactory performance through counseling?
 - (l) Is the counseling effective (e.g., change in attitude, improved job performance, morale)?
 - (m) Does the sergeant recognize counseling limitations (i.e., when to personally counsel and when to refer for assistance elsewhere)?
- (3) Provides timely feedback, and fair, accurate assessment of employee performance.
- (a) Does the sergeant regularly plan for and document completion of various tasks (e.g., ride-alongs, performance appraisals, training days)?
 - (b) Does the sergeant review the CHP 100 regularly? Is it properly utilized? Is data correlated with prior evaluations (e.g., months, shifts worked, beats) to ensure performance expectations are met and training needs are recognized?
 - (c) When completing monthly evaluations of subordinates on the CHP 100, are observations of critical task performance used? Are specific observations documented on the CHP 100 and discussed with the subordinate?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (d) Does the sergeant recognize substandard performance and implement an effective plan of action for its correction?
 - (e) Does the sergeant work cooperatively with other supervisors to ensure the criteria and procedures for evaluating the performance of critical tasks by officers are consistent?
 - (f) Are established performance standards regularly discussed with subordinates? Are subordinates kept informed of expected job performance standards?
 - (g) Does the sergeant prepare for the annual appraisal conference? Are the conferences conducted in a meaningful and productive manner?
 - (h) Is the CHP 118 completed in accordance with all pertinent rating considerations and guidelines as indicated in Chapter 3, Performance Appraisal Process for Officer, California Highway Patrol?
 - (i) Does the sergeant confine comments to the space provided on the CHP 118? Are all comments specific, objective, and understandable?
 - (j) If work performance plans are to be implemented, are they understood by the subordinates, realistic, and attainable?
- (4) Actively monitors and supervises subordinate activity through personal observation.
- (a) Is the sergeant aware of the actions and performance of subordinates?
 - (b) Does the sergeant respond to incidents as needed and become involved through on-scene supervision?
 - (c) Are unscheduled personnel and equipment inspections conducted?
 - (d) Does the sergeant's verbal feedback indicate a firsthand knowledge of officer actions?
 - (e) Does radio traffic indicate the sergeant is monitoring and communicating with officers?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (f) Does the sergeant ride along with officers and observe their performance in the field? Does the sergeant have a plan and checklist for items to be reviewed during the ride?
 - (g) Do comments on the CHP 100 show the sergeant actually witnesses performance (e.g., safety practices, investigations, public contacts, equipment use, court appearances)?
 - (h) Does the sergeant allow adequate time to review the written work of subordinates on a daily basis?
 - (i) Is the written work of subordinates regularly reviewed for accuracy, completeness, content, format, and compliance with policy?
- (5) Demonstrates effectiveness in scheduling, deployment, and use of resources.
- (a) Are both departmental and individual needs considered when scheduling?
 - (b) Are special events or conditions taken into consideration when scheduling (e.g., maximum enforcement periods, parades, sports events, Very Important Person visits, fairs, weather conditions)?
 - (c) Are minimum daily deployment requirements maintained?
 - (d) Is deployment adjusted to meet changing conditions?
 - (e) Is all available information used when deploying resources (e.g., accident records, violation frequency, traffic volume)?
 - (f) Is the availability of resources considered (e.g., vehicles, personnel, special skills)?
 - (g) Are schedules complete and posted on time?
 - (h) Does the sergeant avoid allowing friendships or biases to influence scheduling decisions?
- (6) Effectively participates in resource management.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

- (a) Does the sergeant understand and address the administrative and operational needs of the unit?
- (b) Does the sergeant actively participate in the planning process?
- (c) Are commitments consistent with existing staffing and resources?
- (d) Are suggested goals and objectives realistic, attainable, and meaningful?
- (e) Does the sergeant present logical, factual, and compelling arguments when negotiating goals with management?
- (f) Does the sergeant effectively carry out secondary assignments (e.g., training, fleet coordinator, facility maintenance, requisitioning supplies, and occupational safety coordinator)?
- (g) Does the sergeant willingly and adequately address operational problems when they occur?

b. Rating Guidelines.

(1) ***Excellent:*** The sergeant is an outstanding supervisor. The sergeant has developed an exceptional rapport with subordinates, is highly sensitive to their individual needs, and ensures harmonious employee relations prevail throughout the workplace. The sergeant has an unusually well-rounded understanding of the elements and issues regarding labor relations, and consistently ensures all departmental policies governing this area are abided. Counseling, guidance, and training opportunities are provided that are exceptionally well tailored to the individual needs and abilities of each subordinate. Performance appraisals set a high standard for the objective, thorough, and timely manner in which they are provided, and the extent to which they are based on direct observation of the subordinate at work. Personnel are effectively and properly deployed and material resources are allocated optimally and support the day-to-day operation of the command. The sergeant's outstanding supervisory skills are documented by numerous commendations, CHP 112 comments, and/or other compliments.

(2) ***Proficient:*** The sergeant is an effective supervisor. The sergeant has developed a working rapport with subordinates, is sensitive to their individual needs, and strives to maintain harmonious employee relations in the

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

workplace. The sergeant understands the elements and issues regarding labor relations and ensures departmental policies governing this area are abided. Counseling, guidance, and training opportunities are provided that are commensurate with the individual needs and abilities of each subordinate. Performance appraisals are carried out in an objective, thorough, and timely manner, and based on direct observation of the subordinate at work. Personnel are properly deployed and material resources are allocated effectively. Support is willingly provided for the day-to-day operation of the command as required. The sergeant's supervisory skills are documented by commendations, CHP 112 comments, and/or other compliments.

(3) ***Deficient***: The sergeant is an ineffective supervisor. The sergeant consistently fails to develop a working rapport with subordinates, is noticeably insensitive to their individual needs, and is unable to maintain harmonious employee relations. The sergeant has a poor understanding of the elements and issues regarding labor relations, and fails to adhere to clear departmental policies governing this area. When counseling, guidance, and training opportunities are provided, they are ill-suited to the individual needs and abilities of subordinates. Performance appraisals are frequently carried out in a haphazard, biased, and/or untimely manner, and are often based more on first impressions and hearsay than actual observation of the subordinate at work. Personnel may be ineffectively and improperly deployed, material resources allocated in an inefficient manner, and support for the day-to-day operation of the command is lacking. The sergeant's poor supervisory skills are substantiated by complaints, CHP 112 comments, and/or other documentation.

9. **EMERGENCY INCIDENT MANAGEMENT**. This critical task is concerned with the sergeant's understanding of departmental roles and responsibilities, as well as the scope and extent of individual responsibility during emergency incidents. Two factors play important roles with regard to this critical task. The first relates to the level of knowledge regarding departmental authority and responsibilities. The second concerns the sergeant's ability to activate the Incident Command System (ICS) by evaluating the situation, establishing realistic priorities, and initiating action for incident control and scene stabilization. A key issue is determining when to delegate, when to personally assume command, and when to defer to higher authority. Successful incident management includes identifying and mobilizing appropriate emergency services, safely and effectively utilizing personnel and material resources, managing the incident to conclusion, and ensuring required notifications are made.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

a. Issues.

- (1) Understands and accepts the Department's roles and responsibilities.
 - (a) Does the sergeant have a clear concept of the required role during emergencies?
 - (b) Does the sergeant recognize and respect the roles and responsibilities of allied agencies and emergency service providers while representing the views and interests of the Department?
 - (c) Does the sergeant make accurate assessments of situations?
 - (d) Does the sergeant establish realistic priorities?
 - (e) Is an effective action plan developed based on the sergeant's evaluation?
- (2) Properly activates the ICS through establishing priorities, effectively managing the incident, and preserving and protecting physical evidence.
 - (a) Does the sergeant understand the concept, components, function, and application of the ICS?
 - (b) Does the sergeant determine what type of additional help or equipment is needed?
 - (c) Does the sergeant know what types of emergency services are available and where they can be located?
 - (d) Is the assistance of the public enlisted when appropriate?
 - (e) Does the sergeant seek and obtain cooperation from associated emergency service providers?
 - (f) Is the sergeant able to effectively utilize the expertise of other emergency service personnel to assist in stabilizing the situation and restoring order?
 - (g) Does the sergeant control the scene to ensure evidence is not lost or destroyed?

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

(h) Does the sergeant ensure evidence is properly preserved? Is the proper chain of possession ensured?

(i) Does the sergeant recognize the need to establish and maintain a desirable working relationship with the media? Does the sergeant conform to Department policy when releasing information to the media?

(j) Does the sergeant ensure the incident is effectively managed to conclusion?

(k) Does the sergeant ensure required notifications are made and the proper reporting guidelines are followed?

b. Rating Guidelines.

(1) ***Excellent:*** The sergeant consistently demonstrates a thorough understanding of departmental authority and an unusually keen sense of the roles and responsibilities during all kinds of emergency incidents. The ICS is activated in an exemplary manner, and the sergeant displays an outstanding awareness of the personal role. Emergency incidents are accurately assessed and/or the resources and personnel required to handle each are properly identified and deployed. Action steps are promptly initiated that quickly stabilize even the most difficult incidents to the fullest extent possible. The sergeant consistently ensures all incidents are managed efficiently, professionally, and thoroughly to conclusion, and all departmental requirements are met. The sergeant's exceptionally high level of competence in this area is reflected in numerous compliments, CHP 112 comments, and/or other documented recognition of effectiveness during emergency incidents.

(2) ***Proficient:*** The sergeant demonstrates a good working knowledge of departmental authority and the roles and responsibilities during emergency incidents. The ICS is effectively activated and the sergeant displays a solid understanding of the sergeant's role. Incidents are accurately assessed, resources and personnel required to handle these situations are properly identified and/or deployed, and action is initiated that effectively stabilizes incidents as much as possible. The sergeant ensures that incidents are managed effectively to conclusion, and that departmental requirements are met. The sergeant's ability in this area is substantiated by compliments, CHP 112 comments, and/or other recognition.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

(3) ***Deficient***: The sergeant demonstrates a lack of knowledge of departmental authority and the roles and responsibilities during emergency incidents. The ICS is often activated improperly and the sergeant displays a persistent lack of understanding regarding the sergeant's role. Incidents are inaccurately assessed and the sergeant fails to identify and/or deploy the required resources and personnel. Action is frequently initiated that is inappropriate for the incident. The sergeant is unable to ensure incidents are managed acceptably to conclusion, and overlooks critical departmental requirements. The sergeant's difficulties in this area are reflected in complaints, unfavorable CHP 112 comments, and/or other documentation.

10. ADMINISTRATIVE/SPECIALIZED ASSIGNMENTS. Sergeants are occasionally asked to assume responsibility for projects and assignments essential to the effective operation of the command. Those programs, projects, or assignments may be either full-time or carried out in addition to field supervision. Key issues include the sergeant's attitude in accepting the assignment, the ability to complete the assignment, and the quality of the products produced.

a. Issues.

- (1) Provides support for field operations.
- (2) Displays enthusiasm for and commitment to the assignment.
- (3) Maintains quality and timeliness of work products.

b. Rating Guidelines.

(1) ***Excellent***: The sergeant consistently accepts administrative/specialized assignments enthusiastically, and views them positively as learning experiences and opportunities for career development and personal growth. These assignments are given the sergeant's full attention and commitment, and carried out thoroughly and diligently. All work products are of superior quality and the sergeant receives frequent compliments and/or other documented recognition regarding the extraordinary level of commitment and effort demonstrated. The sergeant is regularly sought out for these assignments because of subject matter expertise and a reputation for outstanding work.

ANNEX A

SERGEANT—CRITICAL TASKS (*continued*)

(2) ***Proficient***: The sergeant accepts administrative/specialized assignments graciously. The career development opportunities in these assignments are recognized and are carried out in an acceptable manner. Work products are well prepared, and the sergeant is complimented and/or receives other documented recognition for the participation in these efforts. Because of a reputation for competent work, the sergeant may be requested for additional assignments.

(3) ***Deficient***: The sergeant accepts administrative/specialized assignments unwillingly and/or is unable to complete them to a satisfactory level. The assignments are often not given the attention they deserve or are completed in a thoughtless and careless manner. Work products are frequently of poor quality and must undergo significant revision. The sergeant receives complaints and/or other unfavorable documented feedback due to unwillingness, lack of commitment, or inability to carry out the assignment. Because of the sergeant's poor work and lack of commitment, the sergeant is rarely, if ever, considered for additional assignments.

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