

**CHAPTER 5**

**PERFORMANCE APPRAISAL PROCESS FOR NONCOMMAND LIEUTENANTS  
AND NONUNIFORMED MIDDLE MANAGERS**

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## CHAPTER 5

### PERFORMANCE APPRAISAL PROCESS FOR NONCOMMAND LIEUTENANTS AND NONUNIFORMED MIDDLE MANAGERS

#### 1. OVERVIEW.

a. The procedures and guidelines for rating a manager's performance are presented in this chapter. Ten critical tasks have been identified as essential to performing the job of a manager 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 managers in the work setting.

b. The CHP 118MM, Performance Appraisal Middle Manager, is used to document performance for probationary and permanent noncommand lieutenants and nonuniformed middle managers, and to evaluate performance in ten critical tasks during the preceding calendar year (January 1 through December 31). Refer to Annex A for a list of classifications to be evaluated using the CHP 118MM.

c. The annual performance appraisal shall be completed and signed within 60 days following the end of each calendar year. The probationary reports for middle managers 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.

d. For the purpose of this chapter, references to managers include noncommand lieutenants and nonuniformed middle managers, unless otherwise indicated.

#### 2. RATING GUIDELINES.

a. The supervisor should keep in mind a middle manager fills the Department's leadership role at the first managerial level. The position serves a critical role in the chain of command by interfacing between upper levels of management and all employees under the manager's supervision. Consequently, the effectiveness of the manager directly impacts the performance of those employees who are supervised.

b. Success in performing managerial responsibilities is dependent on a diverse array of technical, leadership, and interpersonal skills. Because of the manager's key role, expectations regarding acceptable performance are high. The critical

nature of this position requires nothing less. Dedication to high standards is the touchstone of the manager's performance appraisal process.

c. Rating System. The rating system used for the CHP 118MM consists of certification of the manager's success in performing each element of the ten critical tasks. Supporting questions have been provided for each element to assist supervisors in assessing successful performance. All questions may not apply to every evaluation period or even to every assignment; however, to substantiate successful performance, the supervisor will generally be able to answer the relevant question(s) under each element in the affirmative. If there is reasonable doubt as to whether a question can be answered in the affirmative, the supervisor will need to seriously consider the quality of the manager's overall performance when certifying success with respect to that critical task. At the very least, such doubts should trigger the supervisor to provide explicit direction for correcting marginal performance on page 2 of the CHP 118MM, under Comments—Managerial Development Goals.

d. Refer to Annex B for the critical tasks, elements, and supporting questions for assessing noncommand lieutenant performance.

e. Refer to Annex C for the critical tasks, elements, and supporting questions for assessing nonuniformed middle manager performance.

f. All elements in a critical task are considered essential to successful completion of the task, with the exception of critical task number 10 where the elements may not apply to all assignments.

g. Any critical task rated **unsuccessful** shall be addressed on page 2 of the CHP 118MM, under Comments—Managerial Development Goals. The supervisor shall follow the steps outlined in paragraph 3.a.(1)(c), Interim Reporting, to correct **unsuccessful** performance.

h. In addition to certification of successful performance with respect to the critical tasks, the supervisor shall also provide narrative comments on page 2 of the CHP 118MM regarding the manager's strengths, managerial development goals, role as an acting commander (if applicable for the reporting period), and the manager's overall effectiveness.

### 3. CHP 118MM, PERFORMANCE APPRAISAL MIDDLE MANAGER.

#### a. Process.

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

(a) Probationary Managers.

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

a Probationary managers 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 A probationary manager is not to complete the probationary period with an **unsuccessful** rating for any critical task. If necessary, a rejection during probation shall be initiated. For information on rejection during probation, refer to Highway Patrol Manual (HPM) 10.2, Internal Investigations Manual.

2 A Career Development Plan (CDP) shall be prepared by the commander if developmental needs are identified. The CDP shall be completed in accordance with HPM 70.13, Departmental Training Manual. Completion of the CDP shall be documented in Section C of the CHP 118MM.

3 In the event a new middle manager has no identified training needs, a memorandum stating an evaluation was conducted and no training needs were identified shall be prepared. Refer to HPM 70.13, Chapter 22, Career Development Training for Middle Managers.

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

a If a manager 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 manager 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 Managers.

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

a If the final probationary report is completed within 90 days of the end of the calendar year, the probationary CHP 118MM 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 118MMs are completed in a timely manner.

3 Transfer. Except as noted in paragraph 3.a.(1)(b)3a, when an employee is transferred for any reason (e.g., promotion, administrative transfer), an evaluation shall be prepared covering the period from the date of the last report until the date of transfer. Except as noted in paragraph 3.a.(1)(b)3b, an annual evaluation subsequent to a transfer will cover the period from the date of transfer until the end of the calendar year.

a A transfer appraisal is not required within three months after an annual appraisal with the supervisor’s verification no significant changes in performance have occurred. The supervisor will verify the information in Comments—Summary of the CHP 118MM.

b An annual appraisal is not required if due within three months after a transfer appraisal with the supervisor’s verification no significant changes in performance have occurred since assignment to the new command.

4 Managers Off Duty. When a manager is off duty 30 consecutive calendar days or more because of illness, injury, or leave of absence, the manager’s appraisal will be extended three additional months after returning to work. (Example: A manager works 11 months, is on leave for 2 months, and returns to work for 3 months. The total performance period will encompass 16 months.) The manager’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 manager's performance of a specified critical task(s) does not meet performance standards and other managerial techniques have not brought about satisfactory performance (e.g., counseling or corrective memoranda), the manager shall be placed on interim reporting and a CHP 118MM shall be initiated. All documentation supporting the need for interim reporting shall be attached to the CHP 118MM (e.g., Memorandum of Direction; censurable CHP 2, Incident Report).

2 When interim reporting is initiated, the supervisor shall check the box in Section B of the CHP 118MM to indicate the manager was **unsuccessful** in one or more critical tasks and note the critical task(s) in the space provided. A plan of action shall be prepared 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 manager is placed on interim reporting, only the **unsuccessful** task or task(s) shall be rated except when the deficiency is identified at the same time as the manager's annual or probationary evaluation. Action plans for improvement are to be documented until the performance objective is reached.

4 When a manager is placed on interim reporting, the commander shall determine if the manager has a transfer request on file. For uniformed managers, if a transfer request is on file, the commander shall notify HRS the manager is on interim reporting. (Refer to General Order [GO] 10.7, Field and Headquarters Assignments and Transfers Uniformed Employees.) For nonuniformed managers, if a transfer request is on file, the commander shall notify HRS the manager is on interim reporting. (Refer to GO 10.6, Field and Headquarters Assignments and Transfers Nonuniformed Employees.)

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. This may include extending the initial period of interim reporting.

6 While the employee is initially placed on interim reporting for a specified period of time, it is the employee's responsibility to attain satisfactory performance as soon as possible. If the employee shows no progress in improving performance, the command may, at any time during the interim reporting period, take further action to address the performance deficiency.

7 When a manager fails to respond to interim reporting, adverse action shall be initiated (refer to HPM 10.2).

(2) Discussing Manager Appraisals.

(a) Informal Discussion.

1 Prior to completing a manager's annual performance appraisal, the supervisor shall meet with the manager to discuss the manager'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 manager 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 manager should be given a copy of the preliminary ratings. Areas of disagreement, if any, should be resolved whenever possible. If an ***unsuccessful*** rating is to be assigned for any critical task, the manager shall be made aware of the requirement to be placed on interim reporting and an interim reporting plan shall be developed.

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

b. Completing the CHP 118MM, Performance Appraisal Middle Manager.

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

- (a) Appointment Date. Enter the date the manager was appointed to the current classification.
- (b) Name. Enter the last name, first name, and middle initial of the manager.
- (c) Identification Number. Enter the manager's departmental identification number.
- (d) Location Code. Enter the location code to which the manager is permanently assigned.
- (e) Assignment. Enter the name of the Division, Area, or section to which the manager is assigned.
- (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 assessing managers during the probationary period.
  - 2 Annual. This entry is to be used for rating managers on an annual basis.
  - 3 Interim. This entry is to be used whenever a manager is placed on interim reporting.
  - 4 Transfer/Promotion. This entry is to be used whenever a manager is transferred from one command to another or promoted to a new classification.
- (g) Reporting Period. Enter the dates of the period covered by the assessment.
- (h) Informal Discussion Date. Enter the date of the informal discussion.
- (i) Classification. Enter the manager's civil service classification.
- (j) Acting Commander. Check this box if the manager served as acting commander during the reporting period. If this box is checked, comments are mandatory on page 2 under Comments—Acting Commander.
- (k) Mentor. Check the box if the employee served as a mentor during the rating period.
- (l) Coach. Check the box if the employee served as a coach during the rating period.

(2) Section A, Critical Tasks. A list of critical tasks for managers is provided in Section A of the CHP 118MM. Each critical task contains a list of elements, **all** of which the manager must perform successfully in order to meet the performance standards for the critical task. The **exception** to this requirement would be critical task number 6 (Investigative Skills) if no investigation was conducted during the reporting period, and critical task 10 (Administrative/Specialized Assignments) where the elements may not apply to all assignments. Supervisors shall assess the manager's performance in each critical task. Refer to Annex B for noncommand lieutenants and Annex C for nonuniformed middle managers for a list of questions to aid the supervisor in determining whether or not performance is successful for each element of a critical task.

(3) Section B, Certification of Review.

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

1 The supervisor shall review the CHP 137C, Field Personnel Folder Annual Review (Uniformed), or CHP 137CN, Field Personnel Folder Annual Review (Nonuniformed), and ensure the field personnel folder contains all the required documentation and certifications. All documents must be complete, current, and properly dated.

2 Upon completion of the review, the supervisor shall complete the last line of the form by entering the Supervisor Name and ID, Rank, and Date Reviewed.

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

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

(d) Unsuccessful Performance. Supervisors shall check this box if the manager's performance in any critical task is **unsuccessful** and list the task number(s) in the space provided.

(4) Section C, Middle Manager's Development.

(a) The supervisor shall indicate whether or not a CDP was completed (refer to HPM 70.13).

(b) The supervisor shall review developmental needs and indicate whether or not the developmental needs have been met. If not, provide an explanation in the space provided.

(5) Section D, Comments. The supervisor shall use this section to make comments on the manager's effectiveness as a departmental manager over the past 12 months. Comments in this section should be supported by specific examples of clearly defined, observed job performance. **Comments shall be limited to the space provided.**

(a) Strengths. Using **specific examples**, the supervisor will discuss those critical tasks in which the manager has demonstrated an unusually high degree of competency.

(b) Managerial Development Goals. The supervisor will discuss, by use of specific examples, those critical tasks in which the manager could increase effectiveness. Critical tasks in need of development could be significant problem areas or areas of acceptable performance requiring only minor refinements. **This discussion shall include suggested methods for development.**

(c) Acting Commander. If the manager assumed the duties of acting commander during the reporting period, the supervisor shall use this section to make comments on the manager's effectiveness in the performance of those duties.

(d) Summary. The supervisor will use this section to make general comments on the manager's overall effectiveness as a departmental manager.

(e) 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.

(f) The annual performance appraisal is not normally the appropriate document for initial comments about **unsuccessful** performance. Emerging performance trends should have been documented on other source documents (e.g., Memorandum of Direction; censurable CHP 2). However, in some instances a single significant event may constitute **unsuccessful** performance and require interim reporting procedures.

(6) Section E, Signatures.

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

(b) Signature of 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 discussed the report with the manager. 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 manager'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 employee, the supervisor, and the reviewer, and attached to the CHP 118MM.

(c) Signature of the Employee. The employee shall sign and date the form and indicate by checking the box provided if a discussion with the reviewer is desired. If the manager 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 D of the CHP 118M 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. When a final probationary report is due, the appropriate box either recommending or not recommending the manager for permanent civil service status must be checked.

(f) Initials. The employee, supervisor, and reviewer shall initial the appropriate box at the bottom of page 1 of the CHP 118MM.

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

(1) Completion. Final copies of the CHP 118MM 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 CHP 118MM, refer to Chapter 1.

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

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## ANNEX A

### CLASSIFICATIONS TO BE EVALUATED USING THE CHP 118MM, PERFORMANCE APPRAISAL MIDDLE MANAGER

#### **Uniformed Classification:**

Noncommand Lieutenant

#### **Nonuniformed Classifications:**

Accounting Administrator I (Supervisor)

Accounting Administrator II

Business Manager II

Chief of Plant Operation I

Data Processing Manager I

Data Processing Manager II

Data Processing Manager III

Director, Television Communications Center, Supervisor

Food Manager

Graphic Services Supervisor

Information Officer II

Manager, Motor Carrier Safety Program, CHP

Motor Carrier Specialist III, CHP

Program Manager, Transportation Services (Supervisor)

Public Safety Dispatch Supervisor II, CHP

Senior Information Systems Analyst (Supervisor)

## ANNEX A

### CLASSIFICATIONS TO BE EVALUATED USING THE CHP 118MM, PERFORMANCE APPRAISAL MIDDLE MANAGER *(continued)*

#### **Nonuniformed Classifications (continued):**

Senior Inspector of Automotive Equipment

Senior Management Auditor

Senior Transportation Planner

Staff Counsel III (Supervisor)

Staff Information Systems Analyst (Supervisor)

Staff Management Auditor

Staff Services Manager I (except commanders)

Staff Services Manager II (Supervisor) (except commanders)

Supervising Personnel Selection Consultant

Telecommunications Systems Manager I (Supervisor)

Training Officer III

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS

The ten critical tasks described below in considerable detail are designed to capture the full range of the noncommand lieutenant's responsibilities and activities. They should be used to assist supervisors and reviewers in making a determination as to whether or not a lieutenant has demonstrated successful performance with respect to each task. The critical tasks are presented along with a description of their content domain. Elements of the tasks are listed, with clarifying questions for each, to assist in defining the task in question and provide supervisors with a behavioral frame of reference for use when assessing a lieutenant's performance. The clarifying questions for the elements, in particular, are intended to serve as a measuring tool in distinguishing between **successful** and **unsuccessful** performance of each critical task.

1. **DEPARTMENTAL COMMITMENT.** This task constitutes the core value system for all individuals as they move up in the Department's managerial ranks. A key indicator is the level of the lieutenant's understanding of and commitment to the Department's mission, objectives, goals, and philosophies. This commitment includes an understanding of the far-reaching role of law enforcement in a modern society and an appreciation of the Department's responsibilities in meeting the demands of that role. Departmental commitment is demonstrated through actions that contribute materially to the fulfillment of the Department's objectives, and through consistent open support for its management, policies, and values. This dedication is also manifested by the degree to which the lieutenant's actions reflect an unwavering commitment to the ethical principles of both the Department and the State of California. Finally, the lieutenant's diligence in the pursuit of excellence and dedication to public safety and service are each key indicators of departmental commitment.

a. Understands and supports the mission, objectives, goals, and philosophies of the Department.

(1) Does the lieutenant have a clear understanding of the mission, objectives, and philosophies of the Department as outlined in General Order (GO) 0.1, Departmental Mission Statement and Organizational Values; and GO 0.2, Departmental Management Philosophies?

(2) Do the lieutenant's actions reflect commitment to the accomplishment of the Department's mission, goals, and objectives?

(3) Does the lieutenant inspire a similar commitment from subordinates?

(4) Does the lieutenant demonstrate sensitivity and understanding of the social and political climate, both internally and externally?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (5) Does the lieutenant exhibit a realistic perspective on the changing roles and responsibilities of law enforcement in a modern society?
- b. Displays and promotes loyalty by openly supporting departmental programs.
- (1) Does the lieutenant accept and implement policy changes smoothly, with consideration given to the needs of subordinates?
- (2) Does the lieutenant openly support and promote those departmental policies and procedures that directly impact the current assignment? Is this commitment reflected in the actions of the lieutenant's subordinates?
- (3) Does the lieutenant display a genuine enthusiasm for the command and assignment?
- (4) Does the lieutenant willingly accept assignments? Are they carried through to conclusion in a timely manner, without the need for management intervention?
- (5) Does the lieutenant express viewpoints, provide feedback, and suggest changes when appropriate? Are they presented through the proper channels?
- (6) Is the lieutenant sensitive to departmental commitments and constraints when airing disagreements and/or proposing changes?
- c. Comprehends, upholds, and contributes to the Department's policies and objectives for equal employment opportunity (EEO).
- (1) Does the lieutenant demonstrate active support for EEO principles and require the same from subordinates? Is a thorough knowledge of EEO objectives and regulations apparent?
- (2) Is the lieutenant knowledgeable about hiring and promotion options available to ensure candidates are representative of the diverse community served? Does the lieutenant utilize these options whenever possible to maximize the pool of candidates?
- (3) Does the lieutenant recognize and act upon the need for reasonable accommodation to maximize the participation of individuals with disabilities in the employment and promotion process?

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- (4) Does the lieutenant demonstrate a thorough understanding of the discrimination complaint process? Does the lieutenant attempt to resolve potential complaints at the lowest possible level?
  - (5) Does the lieutenant take decisive steps to ensure subordinates understand and comply with departmental policies regarding discrimination and sexual harassment? Are all subordinates made fully aware of the potential consequences of violating these policies?
- d. Knows the significance of, and supports and promotes, occupational safety and injury/illness prevention programs.
- (1) Does the lieutenant demonstrate a thorough knowledge and commitment to the Department's occupational safety and injury/illness programs?
  - (2) Does the lieutenant identify and correct operational errors that led up to an incident?
  - (3) Does the lieutenant adhere to proper post-incident case management procedures?
  - (4) Does the lieutenant make subordinates aware of safety considerations and the Department's commitment to occupational safety and illness/injury prevention?
- e. Demonstrates dedication to public safety and service.
- (1) Does the lieutenant demonstrate a thorough knowledge of law enforcement responsibilities in ensuring the safety and security of the public?
  - (2) Does the lieutenant personally and through subordinates actively promote the concept of service to the public?

2. **LEADERSHIP.** As the first level in the Department's managerial ranks, the lieutenant serves as a leader and role model for subordinates, support personnel, allied agencies, and the public. This role is significant and entails both a willingness to get involved and an acceptance of personal responsibility for one's own actions, as well as those of subordinates. A leader displays courage of conviction and a willingness to take a stand, makes decisions, and carries them out. Compelling command presence adds to the lieutenant's stature as a leader under both routine and emergency conditions. An

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

effective leader is loyal to subordinates, recognizes and responds to their individual needs, wins their respect, and inspires them to achieve and excel. Leadership by example is the norm, and the lieutenant instills a strong sense of pride among subordinates and support staff alike. A positive, cooperative, and productive working relationship among staff is fostered by the lieutenant's thoughtful and decisive leadership.

- a. Accepts responsibility.
  - (1) Is the lieutenant a self-starter?
  - (2) Does the lieutenant consistently take personal responsibility for their actions? Are the actions of subordinates actively monitored and directed?
  - (3) Is the lieutenant sensitive to the responsibilities within the organizational unit? Are the demands of the position recognized and acted upon without the need for management direction?
  - (4) Does the lieutenant directly confront problems and/or deficiencies?
  - (5) Does the lieutenant display a willingness to become involved and, when necessary, take charge? Does the lieutenant recognize the limits of the span of responsibility?
  - (6) Does the lieutenant readily assume responsibility for making all decisions that fall within their span of control?
- b. Subscribes to and promotes excellence in individual and unit performance.
  - (1) Does the lieutenant consistently put forth the best effort in all endeavors?
  - (2) Does the lieutenant inspire subordinates to strive for excellence? Are those efforts recognized and nurtured by the lieutenant?
  - (3) Does the lieutenant acknowledge personal limitations and potential for growth? Does the lieutenant consistently strive for self-improvement?
- c. Exhibits decisiveness and willingness to take a stand.
  - (1) Does the lieutenant routinely take a definitive stand on important issues?

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- (2) Does the lieutenant consistently make appropriate, decisive, and timely decisions? Does the lieutenant demonstrate a willingness to remain committed to the job?
  - (3) Does the lieutenant stand firm, even in the face of opposition, when an appropriate decision has been made?
  - (4) Does the lieutenant support unpopular decisions with the same conviction as more popular ones?
  - (5) Do the lieutenant's actions demonstrate a solid grasp of when or when not to act, when to delegate, and when to refer to a superior?
- d. Displays positive command presence, bearing, and poise.
- (1) Is the lieutenant a self-assured, confident individual?
  - (2) Is the lieutenant an instrument of positive change? Does the lieutenant actively influence events rather than passively accept outcomes?
  - (3) Does the lieutenant's leadership style adapt to a variety of situations?
  - (4) Does the lieutenant's presence and actions have a stabilizing influence on others?
  - (5) Does the lieutenant provide effective and persuasive direction?
  - (6) Does the lieutenant's demeanor inspire the respect and cooperation of others?
  - (7) Do the lieutenant's actions build the confidence of subordinates and support personnel?
- e. Sets an example, shows initiative, and displays a positive work ethic.
- (1) Does the lieutenant consistently lead by example? Are high standards of personal conduct and performance maintained at all times?
  - (2) Does the lieutenant exhibit a positive attitude and work ethic?
  - (3) Does the work ethic displayed by subordinates conform to the same high standards?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (4) Does the lieutenant display respect for authority?
  - (5) Does the lieutenant demonstrate respect for allied agency personnel?
  - (6) Does the lieutenant consistently manage time efficiently (e.g., punctuality, time allocation, deadlines)?
  - (7) Does the lieutenant maintain a neat, clean, and professional appearance daily?
  - (8) Does the appearance of subordinates reflect the lieutenant's expectation for maintaining an appropriate appearance for the job classification/assignment?
  - (9) Does the lieutenant's physical conditioning meet the minimum requirements to successfully perform the essential functions of the job?
- f. Inspires, motivates, and guides others towards goal accomplishment; mentors and challenges subordinates.
- (1) Does the lieutenant effectively inspire and motivate subordinates to succeed? Is exemplary effort and work by subordinates recognized and commented upon?
  - (2) Does the lieutenant deal with subordinates in a positive and self-confident manner? Are all subordinates challenged to do their best?
  - (3) Does the lieutenant recognize strengths and weaknesses in subordinates? Are constructive criticism and positive feedback provided to employees?
  - (4) Does the lieutenant actively mentor employees who express interest or illustrate the desire to promote?
  - (5) Does the lieutenant mentor and challenge subordinates to pursue excellence?
- g. Promotes positive, cooperative, and professional working relationships among staff.
- (1) Does the lieutenant promote teamwork and instill a sense of pride in subordinates?

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(2) Does the lieutenant achieve positive results through cooperation and teamwork?

(3) Whenever possible, does the lieutenant ensure all employees have a voice in the decision-making process? Are subordinates involved, when feasible, in the discussion and resolution of issues affecting day-to-day operations?

(4) Is the lieutenant receptive to differences of opinion? Are all employee suggestions given impartial and objective consideration?

(5) Does the lieutenant provide regular feedback on team efforts? Are staff meetings used as an effective team-building tool?

3. **JUDGMENT AND PROBLEM SOLVING.** In few other professions is the need to exercise common sense and good judgment as critical a factor for success as it is in law enforcement. Lieutenants are constantly evaluating situations, prioritizing needs, weighing options, and making decisions. The key to success in problem solving and decision-making is being well informed. Successful outcomes are a function of the ability to recognize problems as they arise, anticipate the consequences of various courses of action, and arrive at informed conclusions. An essential ingredient is the ability to identify and apply policies and procedures appropriate to the situation. While independence of thought and action are key components, lieutenants must also recognize when it is necessary to defer to higher authority. Judgment is also called upon when dealing with sensitive issues and/or individuals. Crucial elements include patience, self-control, composure under stress, and the ability to effectively balance the competing demands of tact, diplomacy, and candor.

a. Applies a commonsense approach to problem solving, decision-making, and risk management.

(1) Does the lieutenant actively strive to be informed of what is happening at all levels within the command, Division, and Department? Is this knowledge routinely called upon to make effective decisions?

(2) Does the lieutenant take a proactive approach by anticipating and dealing with problems before they escalate into major issues? Are elements effectively prioritized?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (3) Is the lieutenant able to distinguish between relevant and irrelevant information when analyzing problems? Are plausible causes of problems accurately identified?
  - (4) Does the lieutenant consult with the appropriate staff when resolving a problem? Are serious issues discussed with superiors as early in the progression of events as possible?
  - (5) Does the lieutenant actively explore alternative solutions to problems and foresee the possible consequences of the various alternatives?
  - (6) Does the lieutenant deal with all issues fairly and objectively? Does the lieutenant consistently reach logical conclusions and make appropriate recommendations? Does the lieutenant consider both the short- and long-range implications of actions taken?
  - (7) Are the proper policies and procedures regularly considered when dealing with problems?
- b. Thinks independently and makes effective decisions.
- (1) Does the lieutenant consistently make logical and well-informed decisions?
  - (2) Does the lieutenant act independently, and avoid being unduly swayed by others?
  - (3) Does the lieutenant have a clear concept of the span of control?
  - (4) Does the lieutenant consider available facts prior to making a decision?
  - (5) Do the lieutenant's actions reveal a sensitivity to the larger issues involved in rendering judgments or making a commitment?
  - (6) Is the lieutenant's judgment trusted when there is no policy to cover a particular situation?
  - (7) Does the lieutenant provide creative insights to problem solving and apply innovative solutions to make organizational improvements?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (8) Does the lieutenant consult with superiors when appropriate? Are all relevant facts presented along with a recommended course of action? Does the lieutenant avoid relying on superiors to make decisions that logically fall within their span of control?
- c. Handles stress effectively and maintains composure and self-control.
- (1) Does the lieutenant exhibit flexibility in dealing with change and new ideas? Does the lieutenant modify behavior in order to cope with new information, changing conditions, or unexpected obstacles? Does the lieutenant tolerate and deal effectively with ambiguity?
- (2) Does the lieutenant function well under pressure?
- (3) Does the lieutenant consistently maintain control of personal feelings?
- (4) Does the lieutenant maintain composure and self-control when dealing with angry, abusive and/or distraught individuals?
- d. Effectively balances diplomacy and candor.
- (1) Does the lieutenant demonstrate a clear understanding of the difference between diplomacy, tact, candor, and firmness? Does the lieutenant balance and blend these interaction styles?
- (2) Does the lieutenant actively confront others when necessary?
- (3) Is the lieutenant's consideration for subordinates tempered with an appreciation for the goals and constraints of the command and the needs of the Department?
- (4) Is the lieutenant tactful and diplomatic when settling disputes and resolving differences? Is direction from management presented to subordinates firmly but diplomatically?
- e. Demonstrates organizational sensitivity with respect to both internal and external considerations.
- (1) Does the lieutenant recognize the impact of actions and/or decisions on all affected entities within and outside the organization? Are the affected entities kept involved?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (*continued*)

- (2) Does the lieutenant keep all appropriate organizational elements involved?
- (3) Is the lieutenant sensitive to both the formal and informal flow of information within the organization?
- (4) Does the lieutenant understand organizational decision levels (i.e., need to know)?
- (5) Does the lieutenant adjust their presentation or approach in consideration of subtle and direct organizational demands or constraints?

4. **INTERPERSONAL SKILLS.** The ability to interact effectively and comfortably with others is essential to the success of all departmental managers. A key element is genuine interest in, and sensitivity to, the needs, concerns, and feelings of others. Strong interpersonal skills also imply tolerance for individual differences. Of paramount importance is the ability to tactfully accept and give direction, constructive criticism, and feedback. This aspect includes accepting management direction and criticism with an open mind and without taking it personally. Of equal importance is the lieutenant's ability to discuss sensitive issues tactfully and diplomatically and to effectively convey unpopular, and/or controversial direction to subordinates. Interpersonal skills also include the ability to resolve differences and settle disputes. Finally, the effective lieutenant demonstrates an ability to nurture positive and productive relationships with management, peers, subordinates, allied agency personnel, and community groups.

a. Considers and responds appropriately to the needs, feelings, and capabilities of others.

- (1) Does the lieutenant exhibit a genuine interest in, and concern for, the needs of others? Does the lieutenant recognize the presence of underlying discontent and/or personal animosities?
- (2) Has the lieutenant established good rapport with subordinates? Does the lieutenant know each of them on a personal level? Does the lieutenant understand and appreciate their individual interests, needs, and limitations? Is the lieutenant sensitive to personal problems and tolerant of individual difference?
- (3) Does the lieutenant actively strive to maintain an atmosphere conducive to trust and open communications? Is the lieutenant accessible to all employees? Is the lieutenant approachable?

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b. Provides/accepts constructive criticism and feedback in a positive and productive manner.

- (1) Does the lieutenant consistently ensure expectations are clearly understood by all subordinates?
- (2) Is the lieutenant fully knowledgeable regarding the duties and responsibilities of both uniformed and nonuniformed employees?
- (3) Does the lieutenant tactfully communicate management direction, including criticism, without antagonizing subordinates?
- (4) Does the lieutenant consistently obtain all the facts and give subordinates an opportunity to explain their actions prior to making judgments and providing criticism? Is constructive criticism and feedback presented in a positive and productive manner?
- (5) Does the lieutenant personally accept management's criticism and feedback objectively? Does the lieutenant refrain from taking it personally? Is this kind of feedback viewed as an opportunity to learn and grow?

c. Interacts professionally, productively, and courteously with others.

- (1) Does the lieutenant deal courteously and professionally with the public and members of allied agencies?
- (2) Does the lieutenant interact effectively and harmoniously with all departmental employees?
- (3) Does the lieutenant gain the trust and respect of subordinates without compromising management control?
- (4) Is the lieutenant fair and impartial? Does the lieutenant actively avoid displaying favoritism and allowing friendships to influence decisions and actions? Do interactions with others reflect a freedom from biases and prejudices?
- (5) Is the lieutenant tactful and pleasant when communicating with all departmental employees?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (6) Does the lieutenant demonstrate a positive and productive working relationship with allied agencies? Has the lieutenant established an effective network? Does the lieutenant make personal contacts with counterparts from allied agencies to build and maintain good rapport?
- (7) Does the lieutenant represent the views and interests of the Department when dealing with outside agencies, emergency service providers, the media, and the public?
- d. Resolves conflict impartially and effectively.
- (1) Do the lieutenant's actions reflect sensitivity to the underlying interpersonal dynamics within the command? Are potential problems recognized and dealt with appropriately and in a timely manner?
- (2) Does the lieutenant make every effort to suppress rumors? Does the lieutenant actively discourage gossip and innuendo?
- (3) Does the lieutenant recognize conflict and actively strive to resolve it?
- (4) Does the lieutenant control situations and resolve problems without antagonizing others?
- (5) Does the lieutenant demonstrate an ability to settle differences between subordinates effectively, impartially, and within an acceptable period of time? Is closure achieved regarding these incidents when possible?
- (6) Does the lieutenant handle inquiries and complaints from the public in an objective and efficient manner?
- e. Interacts effectively with community groups.
- (1) Does the lieutenant demonstrate an understanding and appreciation for events within the community that might impact the current assignment?
- (2) Does the lieutenant actively build and maintain rapport with community groups? Do members of these groups, in turn, regularly seek out the lieutenant for input and advice?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

(3) Is the lieutenant able to work effectively within all segments of the community and with diverse community groups to accomplish mutual goals? Do all individuals and groups receive fair and appropriate treatment?

(4) Does the lieutenant demonstrate sensitivity and respect for cultural diversity? Is the lieutenant considerate of individual differences?

5. COMMUNICATION SKILLS. A considerable portion of the lieutenant's time is spent conversing with others; speaking at training sessions, briefings and staff meetings; preparing written assignments; and reviewing the written work of subordinates. As a good listener, the lieutenant pays attention to the speaker and accurately interprets what is being said. In turn, the quality of oral presentations is predicated on thorough preparation, being well informed about the topic, and speaking in a logical, clear, and effective manner. At the lieutenant level, written assignments are expected to be well organized, include all of the necessary elements, identify key issues, and present the facts necessary for unequivocal support of the assignment's conclusions and recommendations. In addition, written assignments contain minimal spelling errors, use correct grammar and proper sentence structure, and demonstrate appropriate word usage. They are also completed and submitted in a timely manner. Finally, good communication skills include an ability to edit and correct the written assignments of subordinates.

a. Listens attentively to others.

(1) Does the lieutenant actively listen to the speaker? Does the lieutenant ask appropriate questions when necessary and provide intelligent feedback?

(2) Is the lieutenant sensitive to changes in voice inflection, body language, and other physical cues?

b. Speaks logically, clearly, and convincingly to groups at all levels.

(1) Does the lieutenant characteristically listen and think before speaking and/or acting?

(2) Is the lieutenant well prepared for presentations? Is the lieutenant well informed and able to respond intelligently to the issues being addressed?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (3) Does the lieutenant express thoughts and present facts effectively? Is articulation clear, concise, and compelling? Is the lieutenant's tone appropriate for the occasion?
  - (4) When addressing audiences, does the lieutenant consistently present a professional image and maintain proper decorum?
  - (5) Does the lieutenant patiently, accurately, and effectively answer questions?
  - (6) Does the lieutenant effectively critique oral presentations made by subordinates?
- c. Effectively plans, researches, analyzes, and organizes written assignments.
- (1) Do the lieutenant's written assignments indicate the prerequisite planning, research, and analysis were carried out in a thorough and complete manner?
  - (2) Does the lieutenant identify and articulate key issues and directives?
  - (3) Does the lieutenant typically gather all relevant input from others prior to beginning the assignment?
  - (4) Does the lieutenant readily locate and make effective use of relevant source materials? Are all available facts gathered? Is the lieutenant able to distinguish between useful and questionable information?
- d. Written assignments are prepared in a clear, concise, logical, and persuasive manner.
- (1) Are all of the lieutenant's written assignments well organized? Are proper formats used?
  - (2) Do the lieutenant's written assignments include all of the necessary elements? Are they understandable?
  - (3) Does the lieutenant itemize key issues and adequately discuss them? Are reasonable alternatives explored?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (4) Are conclusions and recommendations valid, logical, and supported by the facts?
  - (5) Does the lieutenant present written assignments in a plausible and convincing manner?
  - (6) Do the lieutenant's written assignments meet all legal and departmental requirements?
  - (7) Does the lieutenant effectively critique the assignments completed by subordinates?
- e. Written assignments are correct and submitted in a timely manner.
- (1) Are all the lieutenant's written assignments grammatically correct and do they contain minimal spelling errors?
  - (2) Does the lieutenant use proper sentence structure? Is the lieutenant's word usage correct?
  - (3) Are acceptable written assignments completed in a reasonable amount of time? Does the lieutenant routinely meet reporting deadlines?
  - (4) Does the lieutenant regularly review and effectively edit the written assignments of subordinates? Are they promptly returned to their authors for correction when necessary?
  - (5) Does the lieutenant set realistic deadlines for the written assignments of subordinates? Is an effective suspense system utilized by the lieutenant to track their progress?

6. **INVESTIGATIVE SKILLS.** Lieutenants are routinely called upon to personally conduct or direct the investigation of various types of personnel matters, civilian complaints, and other incidents. A key element is recognizing when to initiate an investigation, knowing what kind of investigation to initiate, and how to conduct it. The success of an investigation depends on the thoroughness of the preparatory research, quality of the supporting documentation, organization of the investigative report, and the extent to which the facts presented support the conclusions and recommendations. The effectiveness of the investigation also depends on how successfully key individuals are identified and the degree to which they are each questioned in an efficient, productive,

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (*continued*)

and lawful manner. Finally, successful investigations are completed within established time frames.

- a. Understands and initiates appropriate departmental investigations.
  - (1) Does the lieutenant demonstrate a clear understanding of the various types of departmental investigations, including the kinds of incidents triggering each investigation, appropriate reporting forms and formats, and steps to follow in conducting the investigation?
  - (2) Does the lieutenant typically attempt to resolve issues at the lowest possible level?
  - (3) Does the lieutenant properly initiate personnel complaints, adverse actions, and other departmental investigations as required?
- b. Obtains, objectively evaluates, and records all information necessary to support the conclusions and recommendations of the investigation.
  - (1) Does the lieutenant develop and follow an effective plan that covers the entire scope of the investigation? Is an effective tracking system employed to ensure information is not lost or omitted during the course of the investigation? Is the investigation organized to ensure the highest standards of quality?
  - (2) Does the lieutenant demonstrate a thorough knowledge of how to, and the ability to, effectively access appropriate sources of information?
  - (3) Does the lieutenant routinely distinguish between relevant and irrelevant information?
  - (4) Does the lieutenant consistently gather all necessary supporting documents and materials prior to conducting an investigation? Does the lieutenant effectively utilize this information as a foundation on which to develop a logical, valid, and convincing investigation?
  - (5) Does the lieutenant identify and discuss all key issues? Are key individuals identified and contacted?
  - (6) Does the documentation gathered and the investigative report provide clear and compelling support for the lieutenant's opinions, conclusions, and recommendations?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- c. Interviews and interrogates individuals effectively, productively, and lawfully.
  - (1) Does the lieutenant question individuals without displaying personal biases or unduly antagonizing the person being questioned?
  - (2) Does the lieutenant listen attentively and respond appropriately? Does the questioning follow a logical sequence?
  - (3) Does the lieutenant ask all of the necessary questions?
  - (4) Is the information obtained during questioning accurately interpreted and effectively evaluated? Is it used productively to guide the direction of questioning?
  - (5) Does the lieutenant consistently distinguish between fact and fabrication?
  - (6) Is the lieutenant's questioning conducted lawfully and according to departmental requirements?
- d. Submits investigations in a timely manner.
  - (1) Does the lieutenant submit all investigative reports and documentation within established time frames?
- e. Effectively coordinates and reviews investigations conducted by subordinates.
  - (1) Do the investigations carried out by subordinates reflect the lieutenant's insistence on the highest standards of professional, lawful, and quality staff work?
  - (2) Does the lieutenant ensure all investigations and interrogations conducted by subordinates comply with departmental policy and law?
  - (3) Are completed investigations conducted by subordinates accurate, logical, convincing, and free of personal biases? Are the conclusions and recommendations well-articulated and supported by the facts?
  - (4) Are the investigations conducted by subordinates completed in a reasonable amount of time and submitted in a timely manner?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

7. TECHNICAL COMPETENCE. This critical task consists, in large part, of the extent to which the lieutenant has expanded both the breadth and depth of the pool of job-related knowledge acquired as a sergeant and officer. Success in this effort is demonstrated, in turn, by the effectiveness with which the lieutenant functions as a subject matter expert on relevant technical issues for subordinates, management, allied agency personnel, community group members, and others. A key element is knowledge of and ability to interpret current departmental and command policies, procedures, rules, and regulations. Of equal importance, does the lieutenant understand laws, codes, legislation, regulations, case law, and other mandates that might impact the current assignment? Finally, technical competence implies a well-rounded knowledge of matters that have an impact upon the duties of subordinates, as well as a clear understanding of and appreciation for the issues affecting the day-to-day operations of the command.

a. Comprehends, adheres to, and properly applies departmental/command policies and procedures.

(1) Do the lieutenant's actions demonstrate a clear understanding of, and ability to apply, those policies and procedures impacting the current assignment?

(2) Does the lieutenant accurately and completely interpret relevant policies and procedures for subordinates? Do the actions of subordinates clearly indicate they understand and are able to follow requirements?

(3) Does the lieutenant keep current regarding recent additions or revisions to policy and procedure? Does the lieutenant act upon new policy contained in Communications Network messages, Management Memorandums, manual revisions, and other directives?

(4) Are all policies and procedures relevant to the lieutenant's assignment complied with by both the lieutenant and subordinates?

b. Understands, properly interprets, and applies relevant laws, codes, and regulations.

(1) Does the lieutenant demonstrate a thorough knowledge of the laws, codes, and regulations relevant to the current assignment? Is this knowledge reflected by the actions of subordinates?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (2) Does the lieutenant have a working knowledge of legislation, case law, and other outside mandates affecting the current assignment? Does the lieutenant keep current on these issues?
  - (3) Does the lieutenant demonstrate a clear understanding of civil liability precedents, including those relating to special relationships, negligence, civil rights, etc.?
  - (4) Do the lieutenant's actions reflect the ability to apply laws and regulations as necessary?
  - (5) Does the lieutenant serve as an effective information source regarding these issues? Is the lieutenant regularly sought out by subordinates, management, and others as a subject matter expert?
- c. Effectively manages emergency incidents.
- (1) Does the lieutenant demonstrate an understanding and acceptance of the Department's roles and responsibilities during emergencies? Does the lieutenant monitor the ongoing activities of subordinates, recognizing and responding to incidents that require involvement?
  - (2) Does the lieutenant demonstrate an understanding and acceptance of personal role and span of responsibility during emergencies?
  - (3) Does the lieutenant make sure all subordinates recognize and respect the roles and responsibilities of allied agencies and emergency service providers, while representing the views and interests of the Department?
  - (4) Does the lieutenant clearly understand the Incident Command System (ICS) and Standardized Emergency Management System (SEMS)? Are the ICS and SEMS properly activated when necessary, used to effectively manage incidents to completion, and used to preserve and protect physical evidence?
- d. Provides effective support and guidance on technical issues.
- (1) Does the lieutenant understand the duties of subordinates? Would the lieutenant be able to ensure the work of the unit is accomplished in the absence of the subordinate?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (2) Does the lieutenant maintain knowledge of and sensitivity to nonuniformed operations?
  - (3) Does the lieutenant interact effectively with headquarters/Division staff?
  - (4) When unfamiliar with an issue, is the lieutenant resourceful in carrying out the necessary research to provide proper guidance?
  - (5) Is the lieutenant readily available and willing to provide support?
  - (6) Does the lieutenant provide accurate, clear, complete, and understandable information?
  - (7) Does the lieutenant actively anticipate and respond to those occasions where technical expertise may be required?
- e. Understands and adheres to all provisions of the Public Safety Officers Procedural Bill of Rights Act, applicable Memorandums of Understanding, and departmental policies pertaining to employer/employee relations issues.
- (1) Does the lieutenant display a clear understanding of labor relations and collective bargaining issues?
  - (2) Does the lieutenant demonstrate a thorough knowledge of the process for handling employee disputes?
  - (3) Do the lieutenant's actions with respect to employee disputes (e.g., grievances and complaints) reflect an appreciation for the importance of resolving these issues at the lowest level possible?
  - (4) Does the lieutenant demonstrate a clear understanding of the Employee Assistance, Peer Support, Employee Substance Abuse, and Health Benefits Programs?
  - (5) Is the lieutenant able to clearly interpret and explain these issues to others?
- f. Ability to effectively perform essential law enforcement functions.
- (1) Is the lieutenant able to safely and effectively operate an enforcement vehicle and related equipment?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (2) Is the lieutenant physically able to conduct an arrest and/or aid accident victims or disabled motorists?
- (3) Is the lieutenant able to hear, distinguish, recognize, and identify sounds that could indicate a problem?
- (4) Is the lieutenant able to hear and understand verbal information communicated over a radio or telephone under various and sometimes difficult conditions?
- (5) Is the lieutenant clearly able to perform the visually demanding functions of the job?
- (6) Is the lieutenant readily available to function as a first-line supervisor when necessary?

8. OPERATIONAL MANAGEMENT. A significant portion of the lieutenant's administrative time is spent assisting the commander with day-to-day operations. This effort includes command goal planning, scheduling and deployment of resources to meet those goals, and facility/equipment management and upkeep. Operational management responsibilities may span all aspects of a command's operations and frequently call for varying degrees of accountability by the lieutenant. The lieutenant may be asked to prepare the command's budget, develop and implement contingency plans to meet command goals, oversee fleet management, monitor facility resource and maintenance needs, and/or supervise clerical and other support efforts. The key element is the lieutenant's willingness and ability to contribute meaningfully to the efficient operation of the command. A secondary issue is the degree to which the lieutenant can be entrusted with final responsibility to handle critical and sensitive operational matters with minimal management oversight and intervention.

- a. Contributes to the day-to-day operation of the command.
  - (1) Does the lieutenant demonstrate a clear understanding of the issues involved in the day-to-day operation of the command? Is sensitivity to organizational and administrative issues apparent? Does the lieutenant provide effective support for field operations?
  - (2) Does the lieutenant willingly and actively participate in managing the command?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (3) Does the lieutenant facilitate the use of emerging technologies when appropriate?
  - (4) Does the lieutenant demonstrate a thorough knowledge of the Department's Strategic Plan?
  - (5) Does the lieutenant contribute to the development of command goals? Is the lieutenant instrumental in the efforts to meet these goals?
  - (6) Does the lieutenant actively participate in the development of contingency plans for command goals in danger of not being met?
  - (7) Does the lieutenant demonstrate an understanding of departmental auditing procedures? Does the lieutenant appropriately apply auditing procedures in the day-to-day operation of the command?
- b. Efficiently schedules, deploys, and directs the use of human resources.
- (1) Does the lieutenant effectively assign personnel to meet departmental and command needs and goals?
  - (2) Does the lieutenant hold regular meetings with field sergeants and/or other field operations lieutenants to discuss scheduling and deployment issues? Are field sergeants regularly involved in the deployment process?
  - (3) Is overtime controlled and used judiciously?
  - (4) Do the lieutenant's deployment decisions reflect a thorough analysis of local statistical data and a clear understanding of departmental goals, as well as the needs of the community? Are special programs, problems, or needs taken into account?
  - (5) Is goal achievement effectively balanced with local deployment needs and requests?
  - (6) Are personal requests for schedule adjustments given reasonable consideration without adversely affecting the needs of the Department?
- c. Effectively contributes to facility and physical resource management.

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (1) Do the command's equipment, grounds, and facility present a neat and clean appearance? Are repairs to equipment and the facility carried out in a timely, cost-efficient manner?
  - (2) Does the lieutenant actively participate in the planning process for facility improvement, repair, maintenance, and security? Does the lieutenant effectively control the allocation and use of material resources?
  - (3) Is an effective inventory system in place and being used to track physical resources? Is an effective mechanism used to ensure inventories do not decrease to an unacceptable level?
  - (4) Does the lieutenant demonstrate a thorough knowledge of departmental procedures for ordering and maintaining supplies and equipment repair?
  - (5) Is the lieutenant able to evaluate new equipment and/or techniques and make intelligent recommendations for their replacement or upgrading?
- d. Manages the command's budget by prioritizing, overseeing, monitoring, and controlling expenditures.
- (1) Is the lieutenant knowledgeable about departmental accounting and budgeting procedures? Is the lieutenant cognizant of the departmental commands responsible for each of these functions? Is the lieutenant able to productively utilize these resources as necessary?
  - (2) Does the lieutenant have knowledge of the state budget process and how it impacts departmental operations?
  - (3) Does the lieutenant understand and contribute meaningfully to the command's cost-savings programs? Does the lieutenant actively monitor and, when necessary, control spending? Are clear priorities established to optimize spending? Does the lieutenant understand proper procurement procedures (e.g., credit card usage, X numbers)?
  - (4) Are procedures and record-keeping mechanisms in place to track expenditures? Does the lieutenant take advantage of these to actively monitor and control expenditures?
  - (5) Does the lieutenant have a thorough understanding of contractual procedures and reimbursable expenditures?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- e. Provides effective office management.
  - (1) Does the lieutenant demonstrate a thorough knowledge of the general office routine and procedures used by the command?
  - (2) Does the lieutenant ensure the office atmosphere is conducive to a positive and productive working environment?
  - (3) Does the lieutenant conduct staff meetings with office personnel? Is the clerical staff effectively cross-trained?
  - (4) Are the nonuniformed staff made to feel like important members of the office team? Does the lieutenant ensure staff has an opportunity to provide input on office operations?
  - (5) Does the lieutenant ensure effective record keeping and filing systems are in place and properly used to ensure reports and records are properly documented, up-to-date, and contain accurate information?
  - (6) Does the lieutenant review and, if necessary, revise departmental/command operating manuals and administrative procedures to ensure they are kept relevant and current?
- f. Effectively manages the various special duty functions.
  - (1) Does the lieutenant maintain a thorough and up-to-date knowledge of accident investigation techniques?
  - (2) Does the lieutenant maintain a thorough and up-to-date knowledge of laws, policies, and procedures for asset and vehicle forfeitures?
  - (3) Does the lieutenant maintain a thorough and up-to-date knowledge of tow hearings and departmental tow programs?
  - (4) Does the lieutenant maintain a thorough and up-to-date knowledge of court officer roles and responsibilities?
  - (5) Does the lieutenant maintain a thorough and up-to-date knowledge of evidence management and destruction procedures?
  - (6) Does the lieutenant maintain a thorough and up-to-date knowledge of Vehicle Identification Number officer roles and responsibilities?

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### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (7) Does the lieutenant maintain a thorough and up-to-date knowledge of school bus or other specialty vehicle inspections?
- g. Ensures effective fleet management; oversees the inspection, evaluation, service, and repair of vehicles to ensure they are operational and properly maintained.
- (1) Is the command's automotive and/or motorcycle fleet effectively managed according to departmental policy?
- (2) Is the least costly fuel source identified and utilized to minimize expenditures?
- (3) Do automotive personnel keep the fleet properly maintained and make mechanical adjustments as necessary to economize on fuel costs?
- (4) Are fleet vehicles kept thoroughly serviced? Does the frequency of vehicle service conform to departmental requirements?
- (5) Are repairs properly charged to warranties? Are warranties utilized whenever applicable to minimize maintenance costs?
- (6) Is a fleet management information system effectively and productively utilized?
- (7) Is an effective system in place and properly used to enforce the monthly inspection of enforcement vehicles?

9. PERSONNEL MANAGEMENT. Lieutenants are responsible for a variety of field and support personnel. This responsibility entails delegating assignments, training subordinates, providing feedback on employee performance, and supervising and motivating staff. Of the utmost importance is the lieutenant's awareness of the work demands on subordinates, ability to provide positive and effective direction, and success in building a strong team. More than any other task, personnel management places a significant demand on the lieutenant's managerial knowledge and abilities. Ultimately, the lieutenant's success in this task is predicated on supervisory and mentoring skills, success in developing subordinates, understanding of personnel issues, effectiveness in sharing the workload, conscientiousness in following up on assignments, and consistency in providing timely, objective, and accurate feedback.

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- a. Effectively monitors and evaluates delegated assignments and projects.
  - (1) Does the lieutenant appropriately delegate tasks and functions? Does the lieutenant avoid trying to accomplish too much independently? Are subordinates used effectively?
  - (2) Are tasks and projects delegated equitably with regard to staff workload? Are the existing work demands and time constraints of subordinates considered when delegating tasks? Are the strengths and interests of subordinates taken into account when making assignments?
  - (3) Does the lieutenant establish realistic and appropriate deadlines for assigned tasks?
  - (4) Does the lieutenant actively monitor the progress of delegated tasks and projects? Does the lieutenant tactfully intervene and provide guidance when it appears an assignment is falling behind schedule? Is the lieutenant able to personally evaluate the accuracy and quality of products from delegated tasks?
- b. Provides effective training opportunities, counseling, and guidance to foster employee development.
  - (1) Does the lieutenant understand departmental training programs, training priorities, and funding sources?
  - (2) Does the lieutenant ensure all required training is completed and properly documented in the required time frames?
  - (3) Does the lieutenant demonstrate a clear awareness of the strengths and weaknesses of all subordinates?
  - (4) Does the lieutenant recognize the developmental needs of subordinates and encourage self-improvement efforts on their part?
  - (5) Does the lieutenant identify and challenge staff with specialized skills by providing them with special assignments and projects whenever possible?
  - (6) Does the lieutenant appropriately assist subordinates with career development plans?
  - (7) Does the lieutenant ensure training is provided to correct job-related deficiencies and build employee strengths? Does the lieutenant tailor training

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

programs to correct command problems? Are subordinates regularly involved in identifying training needs and developing programs?

(8) Is appropriate follow-up provided after training programs to evaluate their effectiveness? Are alternative methods developed and implemented when training fails to bring about the desired results?

(9) Does the lieutenant recognize work problems at an early stage? Are immediate steps taken to resolve them through guidance and counseling? Is the lieutenant successful in these endeavors?

(10) Is the lieutenant an effective counselor? Is a clear knowledge of guidance and motivational techniques apparent? Is the lieutenant approachable? Do subordinates regularly seek out the lieutenant's advice and guidance?

c. Actively monitors and supervises employee activity through personal observation, and gives timely feedback and a fair, accurate assessment of employee performance.

(1) Does the lieutenant display a clear understanding of the duties of subordinates? Are they provided with clear and explicit job performance standards? Does the lieutenant ensure all subordinates are kept well informed regarding these standards?

(2) Does the lieutenant actively monitor radio traffic for ongoing enforcement activity and other conditions within the command's span of responsibility? Is the lieutenant able to identify and recognize problem situations? Does the lieutenant regularly respond to incidents as needed?

(3) Does the lieutenant regularly, actively, and personally observe and document subordinate job performance?

(4) Does the lieutenant conscientiously and effectively utilize the CHP 112, Management Summary, CHP 100, Officer's Evaluation Activity Summary, and other forms to record significant incidents as they occur? Does the lieutenant regularly use these forms to acknowledge outstanding achievement and provide direction to correct deficiencies?

(5) Do the lieutenant's comments on CHP 112s and CHP 100s stimulate active, ongoing interactions between the lieutenant and subordinates on day-to-day performance?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS *(continued)*

- (6) Does the lieutenant consistently provide subordinates with a pre-appraisal conference prior to their annual performance appraisal? Are they conducted in a meaningful and productive manner?
- (7) Does the lieutenant prepare annual performance appraisals according to departmental policies? Are they based on first-hand information (e.g., CHP 112 and CHP 100 ratings and comments) and presented in an objective, unbiased manner? Are they accurate, complete, and timely? Do they set an example for quality staff work?
- (8) Are all comments made on the annual performance appraisal strictly confined to the space provided? Do they adhere to departmental policy in terms of content and format? Do they contain only clear, specific, and objective descriptions and evaluations of performance?
- (9) Are all work performance plans (e.g., career planning, interim reporting) complete and clearly articulated? Are they clearly understood by subordinates? Do they consist of realistic goals and time frames? Are the performance objectives well defined and attainable?
- (10) Does the lieutenant thoroughly review all performance appraisals prepared by subordinates? Are they accurate, complete, objective, and unbiased? Do they reflect cumulative indicators of performance? Do they adhere to policy?
- (11) Do work performance plans prepared by subordinates reflect the same standards for objectivity, articulation, and quality staff work as those completed by the lieutenant?
- d. Effectively applies the principles of positive recognition and progressive discipline.
- (1) Does the lieutenant demonstrate knowledge of contemporary management theory and practices? Do the lieutenant's actions reflect an understanding of, and ability to apply, general principles of motivation and behavior modification?
- (2) Does the lieutenant clearly understand the Department's management philosophy? Is the lieutenant's personal management style compatible with that of the Department?

## ANNEX B

### NONCOMMAND LIEUTENANTS—CRITICAL TASKS (

- (3) Does the lieutenant regularly recognize and acknowledge outstanding performance or effort that goes beyond the call of duty? Are capable and dedicated employees provided with recognition for their efforts?
- (4) Are standards of performance and conduct clearly articulated? Do subordinates understand these standards and the consequences of violating them? Are these standards applied uniformly to everyone?
- (5) Does the lieutenant actively confront performance and disciplinary problems as soon as they arise? Is relevant information gathered and evaluated prior to taking action? Is the employee promptly provided with an explanation of all action taken, as well as any necessary follow-up measures or conditions?
- (6) Does the lieutenant understand and apply the procedures for rejection during probation, progressive discipline, and adverse action? Does the lieutenant display an awareness of the critical importance of thorough documentation of these matters?
- (7) Does the lieutenant personally follow-up on all remedial or disciplinary actions to ensure the subordinate has completed and/or complied with all terms and conditions resulting from the action? Is every attempt made to ensure the problem does not recur?

10. ADMINISTRATIVE/SPECIALIZED ASSIGNMENTS. Lieutenants are occasionally asked to assume responsibility for, or to participate in, special projects and assignments essential to the effective operation of the Department and/or their command. These programs, projects, or assignments may be either full time or carried out in addition to the lieutenant's regular assignment. Key performance issues include the lieutenant's attitude upon being asked to accept the assignment, the commitment displayed and success in effectively completing the assignment, and the timeliness and quality of the work products. These assignments typically call for a variety of skills described in the **previous nine critical tasks**. Due to their critical and sensitive nature, these assignments may demand a standard of performance transcending that of typical assignments.

- a. Functions effectively in administrative/specialized assignments.
- b. Effectively plans, researches, and prepares special reports and projects.

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## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS

The ten critical tasks described below in considerable detail are designed to capture the full range of the manager's responsibilities and activities. They should be used to assist supervisors and reviewers in making a determination as to whether or not a manager has demonstrated successful performance with respect to each task. The critical tasks are presented along with a description of their content domain. Elements of the tasks are listed, with clarifying questions for each, to assist in defining the task in question and provide supervisors with a behavioral frame of reference for use when assessing a manager's performance. The clarifying questions for the elements, in particular, are intended to serve as a measuring tool in distinguishing between **successful** and **unsuccessful** performance of each critical task.

1. DEPARTMENTAL COMMITMENT. This task constitutes the core value system for all individuals as they move up in the Department's managerial ranks. A key indicator is the level of the manager's understanding of and commitment to the Department's mission, objectives, goals, and philosophies. This commitment includes an understanding of the far-reaching role of law enforcement in a modern society and an appreciation of the Department's responsibilities in meeting the demands of that role. Departmental commitment is demonstrated through actions that contribute materially to the fulfillment of the Department's objectives, and through consistent open support for its management, policies, and values. This dedication is also manifested by the degree to which the manager's actions reflect an unwavering commitment to the ethical principles of both the Department and the State of California. Finally, the manager's diligence in the pursuit of excellence and dedication to public safety and service are each key indicators of departmental commitment.

a. Understands and supports the mission, objectives, goals, and philosophies of the Department.

(1) Does the manager have a clear understanding of the mission, objectives, and philosophies of the Department as outlined in General Order (GO) 0.1, Departmental Mission Statement and Organizational Values; and GO 0.2, Departmental Management Philosophies?

(2) Do the manager's actions reflect commitment to the accomplishment of the Department's mission, goals, and objectives?

(3) Does the manager inspire a similar commitment from subordinates?

(4) Does the manager demonstrate sensitivity and understanding of the social and political climate, both internally and externally?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (5) Does the manager exhibit a realistic perspective on the changing roles and responsibilities of law enforcement in a modern society?
- b. Displays and promotes loyalty by openly supporting departmental programs.
- (1) Does the manager accept and implement policy changes smoothly, with consideration given to the needs of subordinates?
- (2) Does the manager openly support and promote those departmental policies and procedures that directly impact the current assignment? Is this commitment reflected in the actions of the manager's subordinates?
- (3) Does the manager display a genuine enthusiasm for the current command/unit and assignment?
- (4) Does the manager willingly accept assignments? Are they carried through to conclusion in a timely manner, without the need for management intervention?
- (5) Does the manager express viewpoints, provide feedback, and suggest changes when appropriate? Are they presented through the proper channels?
- (6) Is the manager sensitive to departmental commitments and constraints when airing disagreements and/or proposing changes?
- c. Comprehends, upholds, and contributes to the Department's policies and objectives for equal employment opportunity (EEO).
- (1) Does the manager demonstrate active support for EEO principles and require the same from subordinates? Is a thorough knowledge of EEO objectives and regulations apparent?
- (2) Is the manager knowledgeable about hiring and promotion options available to ensure candidates are representative of the diverse community served? Does the manager utilize these options whenever possible to maximize the pool of candidates?
- (3) Does the manager recognize and act upon the need for reasonable accommodation to maximize the participation of individuals with disabilities in the employment and promotion process?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (4) Does the manager demonstrate a thorough understanding of the discrimination complaint process? Does the manager attempt to resolve potential complaints at the lowest possible level?
  - (5) Does the manager take decisive steps to ensure subordinates understand and comply with departmental policies regarding discrimination and sexual harassment? Are all subordinates made fully aware of the potential consequences of violating these policies?
- d. Knows the significance of, and supports and promotes, occupational safety and injury/illness prevention programs.
- (1) Does the manager demonstrate a thorough knowledge and commitment to the Department's occupational safety and injury/illness programs?
  - (2) Does the manager identify and correct operational errors that led up to an incident?
  - (3) Does the manager adhere to proper post incident case management procedures?
  - (4) Does the manager make subordinates aware of safety considerations and the Department's commitment to occupational safety and illness/injury prevention?
- e. Demonstrates dedication to public safety and service.
- (1) Does the manager demonstrate a thorough knowledge of the responsibilities in ensuring the safety and security of the public?
  - (2) Does the manager personally and through subordinates actively promote the concept of service to the public?
2. **LEADERSHIP.** As the first level in the Department's managerial ranks, the manager serves as a leader and role model for subordinates, support personnel, outside agencies, and the public. This role is significant and entails both a willingness to get involved and an acceptance of personal responsibility for one's own actions, as well as those of subordinates. A leader displays courage of conviction and a willingness to take a stand, makes decisions, and carries them out. Compelling command presence adds to the manager's stature as a leader under both routine and emergency conditions. An

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

effective leader is loyal to subordinates, recognizes and responds to their individual needs, wins their respect, and inspires them to achieve and excel. Leadership by example is the norm, and the manager instills a strong sense of unit pride among subordinates and support staff alike. A positive, cooperative, and productive working relationship among staff is fostered by the manager's thoughtful and decisive leadership.

- a. Accepts responsibility.
  - (1) Is the manager a self-starter?
  - (2) Does the manager consistently take personal responsibility for their actions? Are the actions of subordinates actively monitored and directed?
  - (3) Is the manager sensitive to the responsibilities within the organizational unit? Are the demands of the position recognized and acted upon without the need of direction from a superior?
  - (4) Does the manager directly confront problems and/or deficiencies?
  - (5) Does the manager display a willingness to become involved and, when necessary, take charge? Does the manager recognize the limits of the span of responsibility?
  - (6) Does the manager readily assume responsibility for making all decisions that fall within their span of control?
- b. Subscribes to and promotes excellence in individual and unit performance.
  - (1) Does the manager consistently put forth the effort required to accomplish tasks?
  - (2) Does the manager inspire subordinates to strive for excellence? Are those efforts recognized and nurtured by the manager?
  - (3) Does the manager acknowledge personal limitations and potential for growth? Does the manager consistently strive for self-improvement?
- c. Exhibits decisiveness and willingness to take a stand.
  - (1) Does the manager routinely take a definitive stand on important issues?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (2) Does the manager consistently make appropriate, decisive, and timely decisions? Does the manager demonstrate a willingness to remain committed?
  - (3) Does the manager stand firm, even in the face of opposition, when an appropriate decision has been made?
  - (4) Does the manager support unpopular decisions with the same conviction as more popular ones?
  - (5) Do the manager's actions demonstrate a solid understanding of when or when not to act, when to delegate, and when to refer to a superior?
- d. Displays a positive command presence, bearing, and poise.
- (1) Is the manager a self-assured, confident individual?
  - (2) Is the manager an instrument of positive change? Does the manager actively influence events rather than passively accept outcomes?
  - (3) Does the manager's leadership style adapt to a variety of situations?
  - (4) Does the manager's presence and actions have a stabilizing influence on others?
  - (5) Does the manager provide effective and persuasive direction?
  - (6) Does the manager's demeanor inspire the respect and cooperation of others?
  - (7) Do the manager's actions build the confidence of subordinates and support personnel?
- e. Sets an example, shows initiative, and displays a positive work ethic.
- (1) Does the manager consistently lead by example? Are high standards of personal conduct and performance maintained at all times?
  - (2) Does the manager exhibit a positive attitude and work ethic?
  - (3) Does the work ethic displayed by subordinates conform to the same high standard as the manager's?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (4) Does the manager display respect for authority?
  - (5) Does the manager demonstrate respect for outside agency personnel?
  - (6) Does the manager consistently manage time efficiently (e.g., punctuality, time allocation, deadlines)?
  - (7) Does the manager maintain a neat, clean, and professional appearance daily?
  - (8) Does the appearance of subordinates reflect the manager's expectation for maintaining an appropriate appearance for their job classification/assignment?
  - (9) Does the manager maintain a state of health consistent with the ability to perform the assigned duties of the classification?
- f. Inspires, motivates, and guides others towards goal accomplishment; mentors and challenges subordinates.
- (1) Does the manager effectively inspire and motivate subordinates to succeed? Is exemplary effort and work by subordinates recognized and commented upon?
  - (2) Does the manager deal with subordinates in a positive and self-confident manner? Are all subordinates challenged to do their best?
  - (3) Does the manager recognize strengths and weaknesses in subordinates? Are constructive criticism and positive feedback provided to employees?
  - (4) Does the manager actively mentor employees who express interest or illustrate the desire to promote?
  - (5) Does the manager mentor and challenge subordinates to pursue excellence?
- g. Promotes positive, cooperative, and professional working relationships among staff.
- (1) Does the manager promote teamwork and instill a sense of pride in subordinates?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

(2) Does the manager achieve positive results through cooperation and teamwork?

(3) Whenever possible, does the manager ensure all employees have a voice in the decision-making process? Are subordinates involved, when feasible, in the discussion and resolution of issues affecting the day-to-day operations?

(4) Is the manager receptive to differences of opinion? Are all employee suggestions given impartial and objective consideration?

(5) Does the manager provide regular feedback on team efforts? Are staff meetings used as an effective team-building tool?

3. JUDGMENT AND PROBLEM SOLVING. The need to exercise common sense and good judgment is a critical factor for success. Managers are constantly evaluating situations, prioritizing needs, weighing options, and making decisions. The key to success in problem solving and decision-making is being well informed. Successful outcomes are a result of the ability to recognize problems as they arise, anticipate the consequences of various courses of action, and arrive at informed conclusions. An essential ingredient is the ability to identify and apply policies and procedures appropriate to the situation. While independence of thought and action are key components, managers must also recognize when it is necessary to defer to a higher authority. Judgment is also called upon when dealing with sensitive issues and/or individuals. Crucial elements include patience, self-control, composure under stress, and the ability to effectively balance the competing demands of tact, diplomacy, and candor.

a. Applies a commonsense approach to problem solving, decision-making, and risk management.

(1) Does the manager actively strive to be informed of what is happening at all levels within the command, Division, and Department? Is this knowledge routinely called upon to make effective decisions?

(2) Does the manager take a proactive approach by anticipating and dealing with problems before they escalate into major issues? Are elements effectively prioritized?

(3) Is the manager able to distinguish between relevant and irrelevant information when analyzing problems? Are plausible causes of problems accurately identified?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (4) Is the manager an effective risk manager?
  - (5) Does the manager consult with the appropriate staff when resolving a problem? Are serious issues discussed with superiors as early in the progression of events as possible?
  - (6) Does the manager actively explore alternative solutions to problems and foresee the possible consequences of the various alternatives?
  - (7) Does the manager deal with all issues fairly and objectively? Does the manager consistently reach logical conclusions and make appropriate recommendations? Does the manager consider both the short- and long-range implications of those actions taken?
  - (8) Are the proper policies and procedures regularly considered when dealing with problems?
- b. Thinks independently and makes effective decisions.
- (1) Does the manager consistently make logical and well-informed decisions?
  - (2) Does the manager act independently?
  - (3) Does the manager have a clear concept of the span of control?
  - (4) Does the manager consider all available facts prior to making a decision?
  - (5) Do the manager's actions reveal sensitivity to the larger issues involved in rendering judgments or making a commitment?
  - (6) Is the manager's judgment trusted when there is no policy to cover a particular situation?
  - (7) Does the manager provide creative insights to problem solving and apply innovative solutions to make organizational improvements?
  - (8) Does the manager consult with superiors when appropriate? Are all relevant facts presented along with a recommended course of action? Does the manager avoid relying on superiors to make decisions that logically fall within the span of control?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- c. Handles stress effectively and maintains composure and self-control.
  - (1) Does the manager exhibit flexibility in dealing with change and new ideas? Does the manager modify behavior in order to cope with new information, changing conditions, or unexpected obstacles? Does the manager tolerate and deal effectively with ambiguity?
  - (2) Does the manager function well under pressure?
  - (3) Does the manager consistently maintain control of personal feelings?
  - (4) Does the manager maintain composure and self-control when dealing with angry, abusive and/or distraught individuals?
- d. Effectively balances diplomacy and candor.
  - (1) Does the manager demonstrate a clear understanding of the difference between diplomacy, tact, candor, and firmness? Does the manager balance and blend these interaction styles?
  - (2) Does the manager actively confront others when necessary?
  - (3) Is the manager's consideration for subordinates tempered with an appreciation for the goals and constraints of the command and the needs of the Department?
  - (4) Is the manager tactful and diplomatic when settling disputes and resolving differences? Is direction from management presented to subordinates firmly but diplomatically?
- e. Demonstrates organizational sensitivity with respect to both internal and external considerations.
  - (1) Does the manager recognize the impact of actions and/or decisions on all affected entities within and outside the organization? Are the affected entities kept involved?
  - (2) Does the manager keep all appropriate organizational elements involved?
  - (3) Is the manager sensitive to both the formal and informal flow of information within the organization?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

(4) Does the manager understand organizational decision levels (i.e., need to know)?

(5) Does the manager adjust the presentation or approach in consideration of subtle and direct organizational demands or constraints?

4. **INTERPERSONAL SKILLS.** The ability to interact effectively and comfortably with others is essential to the success of all departmental managers. A key element is genuine interest in, and sensitivity to, the needs, concerns, and feelings of others. Strong interpersonal skills also imply tolerance for individual differences. Of paramount importance is the ability to tactfully accept and give direction, constructive criticism, and feedback. This aspect includes accepting management direction and criticism with an open mind and without taking it personally. Of equal importance is the manager's ability to discuss sensitive issues tactfully and diplomatically and to effectively convey unpopular, and/or controversial direction to subordinates. Interpersonal skills also include the ability to resolve differences and settle disputes. Finally, the effective manager demonstrates an ability to nurture positive and productive relationships with management, peers, subordinates, outside agency personnel, and community groups.

a. Considers and responds appropriately to the needs, feelings, and capabilities of others.

(1) Does the manager exhibit a genuine interest in, and concern for, the needs of others? Does the manager recognize the presence of underlying discontent and/or personal animosities?

(2) Has the manager established good rapport with subordinates? Does the manager know each of them on a personal level? Does the manager understand and appreciate their individual interests, needs, and limitations? Is the manager sensitive to personal problems and tolerant of individual differences?

(3) Does the manager actively strive to maintain an atmosphere conducive to trust and open communication? Is the manager accessible to all employees? Is the manager approachable?

b. Provides/accepts constructive criticism and feedback in a positive and productive manner.

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (1) Does the manager consistently ensure expectations are clearly understood by all subordinates?
  - (2) Is the manager fully knowledgeable regarding the duties and responsibilities of both uniformed and nonuniformed employees?
  - (3) Does the manager tactfully communicate management direction, including criticism, without antagonizing subordinates?
  - (4) Does the manager consistently obtain all the facts and give subordinates an opportunity to explain their actions prior to making judgments and providing criticism? Is constructive criticism and feedback presented in a positive and productive manner?
  - (5) Does the manager personally accept management's criticism and feedback objectively? Does the manager refrain from taking it personally? Is this kind of feedback viewed as an opportunity to learn and grow?
- c. Interacts professionally, productively, and courteously with others.
- (1) Does the manager deal courteously and professionally with the public and members of outside agencies?
  - (2) Does the manager interact effectively and harmoniously with all departmental employees?
  - (3) Does the manager gain the trust and respect of subordinates without compromising management control?
  - (4) Is the manager fair and impartial? Does the manager actively avoid displaying favoritism and allowing friendships to influence decisions and actions? Do interactions with others reflect a freedom from biases and prejudices?
  - (5) Is the manager tactful and pleasant when communicating with all departmental employees?
  - (6) Does the manager demonstrate a positive and productive working relationship with outside agencies? Has the manager established an effective network? Does the manager make personal contacts with counterparts from outside agencies to build and maintain good rapport?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (7) Does the manager represent the views and interests of the Department when dealing with outside agencies, emergency service providers, the media, and the public?
- d. Resolves conflict impartially and effectively.
- (1) Do the manager's actions reflect sensitivity to the underlying interpersonal dynamics within the command/unit? Are potential problems recognized and dealt with appropriately and in a timely manner?
- (2) Does the manager make every effort to suppress rumors? Does the manager actively discourage gossip and innuendo?
- (3) Does the manager recognize conflict and actively strive to resolve it?
- (4) Does the manager control situations and resolve problems without antagonizing others?
- (5) Does the manager demonstrate an ability to settle differences between subordinates effectively, impartially, and within an acceptable period of time? Is closure achieved regarding these incidents when possible?
- (6) Does the manager handle inquiries and complaints from the public in an objective and efficient manner?
- e. Interacts effectively with community groups.
- (1) Does the manager demonstrate an understanding and appreciation for events within the community that might impact the current assignment?
- (2) Does the manager actively build and maintain rapport with community groups? Do members of these groups, in turn, regularly seek out the manager for input and advice?
- (3) Is the manager able to work effectively within all segments of the community and with diverse community groups to accomplish mutual goals? Do all individuals and groups receive fair and appropriate treatment?
- (4) Does the manager demonstrate sensitivity and respect for cultural diversity? Is the manager considerate of individual differences?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

5. COMMUNICATION SKILLS. A considerable portion of the manager's time is spent conversing with others; speaking at training sessions, briefings, and staff meetings; preparing written assignments; and reviewing the written work of subordinates. As a good listener, the manager pays attention to the speaker and accurately interprets what is being said. In turn, the quality of oral presentations is predicated on thorough preparation, being well informed about the topic, and speaking in a logical, clear, and effective manner. At the manager level, written assignments are expected to be well organized, include all of the necessary elements, identify key issues, and present the facts necessary for unequivocal support of the assignment's conclusions and recommendations. In addition, written assignments contain minimal spelling errors, use correct grammar and proper sentence structure, and demonstrate appropriate word usage. They are also completed and submitted in a timely manner. Finally, good communication skills include an ability to edit and correct the written assignments of subordinates.

a. Listens attentively to others.

(1) Does the manager actively listen to the speaker? Does the manager ask appropriate questions when necessary and provide intelligent feedback?

(2) Is the manager sensitive to changes in voice inflection, body language, and other physical cues?

b. Speaks logically, clearly, and convincingly to groups at all levels.

(1) Does the manager characteristically listen and think before speaking and/or acting?

(2) Is the manager well prepared for presentations? Is the manager well informed and able to respond intelligently to the issues being addressed?

(3) Does the manager express thoughts and present facts effectively? Is articulation clear, concise, and compelling? Is the manager's tone appropriate for the occasion?

(4) When addressing audiences, does the manager consistently present a professional image and maintain proper decorum?

(5) Does the manager patiently, accurately, and effectively answer questions?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (6) Does the manager effectively critique oral presentations made by subordinates?
- c. Effectively plans, researches, analyzes, and organizes written assignments.
  - (1) Do the manager's written assignments indicate the prerequisite planning, research, and analysis were carried out in a thorough and complete manner?
  - (2) Does the manager identify and articulate key issues and directives?
  - (3) Does the manager typically gather all relevant input from others prior to beginning the assignment?
  - (4) Does the manager readily locate and make effective use of relevant source materials? Are all available facts gathered? Is the manager able to distinguish between useful and questionable information?
- d. Written assignments are prepared in a clear, concise, logical, and persuasive manner.
  - (1) Are all the manager's written assignments well organized? Are proper formats used?
  - (2) Do the manager's written assignments include all of the necessary elements? Are they understandable?
  - (3) Does the manager itemize key issues and adequately discuss them? Are reasonable alternatives explored?
  - (4) Are conclusions and recommendations valid, logical, and supported by the facts?
  - (5) Does the manager present written assignments in a plausible and convincing manner?
  - (6) Do the manager's written assignments meet all legal and departmental requirements?
  - (7) Does the manager effectively critique the assignments completed by subordinates?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- e. Written assignments are correct and submitted in a timely manner.
  - (1) Are all the manager's written assignments grammatically correct and do they contain minimal spelling errors?
  - (2) Does the manager use proper sentence structure? Is the manager's word usage correct?
  - (3) Are acceptable written assignments completed in a reasonable amount of time? Does the manager routinely meet reporting deadlines?
  - (4) Does the manager regularly review and effectively edit the written assignments of subordinates? Are they promptly returned to their authors for correction when necessary?
  - (5) Does the manager set realistic deadlines for the written assignments of subordinates? Is an effective suspense system utilized by the manager to track their progress?

6. INVESTIGATIVE SKILLS. Managers are routinely called upon to personally conduct or direct the investigation of various types of personnel matters, civilian complaints, and other incidents. A key element is recognizing when to initiate an investigation, and knowing what kind of investigation to initiate and how to conduct it. The success of an investigation depends on the thoroughness of the preparatory research, quality of the supporting documentation, organization of the investigative report, and the extent to which the facts presented support the conclusions and recommendations. The effectiveness of the investigation also depends on how successfully key individuals are identified and the degree to which they are each questioned in an efficient, productive, and lawful manner. Finally, successful investigations are completed within established time frames.

- a. Understands and initiates appropriate departmental investigations.
  - (1) Does the manager demonstrate a clear understanding of the various types of departmental investigations, including the kinds of incidents triggering each investigation, appropriate reporting forms and formats, and steps to follow in conducting the investigation?
  - (2) Does the manager typically attempt to resolve issues at the lowest possible level?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (3) Does the manager properly initiate personnel complaints, adverse actions, and other departmental investigations as required?
- b. Obtains, objectively evaluates, and records all information necessary to support the conclusions and recommendations of the investigation.
  - (1) Does the manager develop and follow an effective plan that covers the entire scope of the investigation? Is an effective tracking system employed to ensure information is not lost or omitted during the course of the investigation? Is the investigation organized to ensure the highest standards of quality?
  - (2) Does the manager demonstrate a thorough knowledge of how to, and the ability to, effectively access appropriate sources of information?
  - (3) Does the manager routinely distinguish between relevant and irrelevant information?
  - (4) Does the manager consistently gather all necessary supporting documents and materials prior to conducting an investigation? Does the manager effectively utilize this information as a foundation on which to develop a logical, valid, and convincing investigation?
  - (5) Does the manager identify and discuss all key issues? Are key individuals identified and contacted?
  - (6) Does the documentation gathered and the investigative report provide clear and compelling support for the manager's opinions, conclusions, and recommendations?
- c. Interviews and interrogates individuals effectively, productively, and lawfully.
  - (1) Does the manager question individuals without displaying personal biases or unduly antagonizing the person being questioned?
  - (2) Does the manager listen attentively and respond appropriately? Does the questioning follow a logical sequence?
  - (3) Does the manager ask all of the necessary questions?
  - (4) Is the information obtained during questioning accurately interpreted and effectively evaluated? Is it used productively to guide the direction of questioning?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (5) Does the manager consistently distinguish between fact and fabrication?
- (6) Is the manager's questioning conducted lawfully and according to departmental requirements?
- d. Submits investigations in a timely manner.
  - (1) Does the manager submit all investigative reports and documentation within established time frames?
- e. Effectively coordinates and reviews investigations conducted by subordinates.
  - (1) Do the investigations carried out by subordinates reflect the manager's insistence on the highest standards of professional, lawful, and quality staff work?
  - (2) Does the manager ensure all investigations and interrogations conducted by subordinates comply with departmental policy and law?
  - (3) Are completed investigations conducted by subordinates accurate, logical, convincing, and free of personal biases? Are the conclusions and recommendations well-articulated and supported by the facts?
  - (4) Are the investigations conducted by subordinates completed in a reasonable amount of time and submitted in a timely manner?

7. TECHNICAL COMPETENCE. This critical task consists, in large part, of the extent to which the manager has expanded both the breadth and depth of the pool of job-related knowledge as acquired throughout the manager's career. Success in this effort is demonstrated, in turn, by the effectiveness with which the manager functions as a subject matter expert on relevant technical issues for subordinates, management, outside agency personnel, community group members, and others. A key element is knowledge of and ability to interpret current departmental and command policies, procedures, rules, and regulations. Of equal importance, does the manager understand laws, codes, legislation, regulations, case law, and other mandates that might impact the current assignment? Finally, technical competence implies a well-rounded knowledge of matters that have an impact upon the duties of subordinates, as well as a clear understanding of and appreciation for the issues affecting the day-to-day operations of the command/unit.

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- a. Comprehends, adheres to, and properly applies departmental/command policies and procedures.
- (1) Do the manager's actions demonstrate a clear understanding of, and ability to apply, those policies and procedures impacting the current assignment?
  - (2) Does the manager accurately and completely interpret relevant policies and procedures for subordinates? Do the actions of subordinates clearly indicate they understand and are able to follow these requirements?
  - (3) Does the manager keep current regarding recent additions or revisions to policy and procedure? Does the manager act upon new policy contained in Communications Network messages, Management Memorandums, manual revisions, and other directives?
  - (4) Are all policies and procedures relevant to the manager's assignment complied with by both the manager and subordinates?
- b. Understands, properly interprets, and applies relevant laws, codes, and regulations.
- (1) Does the manager demonstrate a thorough knowledge of the laws, codes, and regulations relevant to the current assignment? Is this knowledge reflected by the actions of subordinates?
  - (2) Does the manager have a working knowledge of legislation, case law, and other outside mandates affecting the current assignment? Does the manager keep current on these issues?
  - (3) Does the manager demonstrate a clear understanding of civil liability precedents, including those relating to special relationships, negligence, civil rights, etc.?
  - (4) Do the manager's actions reflect the ability to apply laws and regulations as necessary?
  - (5) Does the manager serve as an effective information source regarding these issues? Is the manager regularly sought out by subordinates, management, and others as a subject matter expert?
- c. Effectively manages emergency incidents.

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (1) Does the manager demonstrate an understanding and acceptance of the Department's roles and responsibilities during emergency incidents including civil disturbances?
  - (2) Does the manager demonstrate an understanding and acceptance of personal role and span of responsibility during emergencies? Does the manager monitor the ongoing activities of subordinates, recognizing and responding to incidents that require involvement?
  - (3) Does the manager make sure all subordinates recognize and respect the roles and responsibilities of outside agencies, while representing the views and interests of the Department?
  - (4) Does the manager clearly understand the ICS and SEMS? Are the ICS and SEMS properly activated when necessary, used to effectively manage incidents to completion, and used to preserve and protect physical evidence?
- d. Provides effective support and guidance on technical issues.
- (1) Does the manager understand the duties of subordinates? Would the manager be able to ensure the work of the unit is accomplished in the absence of the subordinate?
  - (2) Does the manager maintain knowledge of, and sensitivity to, other nonuniformed and uniformed operations?
  - (3) Does the manager interact effectively with field/headquarters/Division staff?
  - (4) When unfamiliar with an issue, is the manager resourceful in carrying out the necessary research to provide proper guidance?
  - (5) Is the manager readily available and willing to provide support?
  - (6) Does the manager provide accurate, clear, complete, and understandable information?
  - (7) Does the manager actively anticipate and respond to those occasions where technical expertise may be required?
- e. Understands and adheres to all provisions of the Public Safety Officers Procedural Bill of Rights Act, applicable Memorandums of Understanding, and departmental policies pertaining to employer/employee relations issues.

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (1) Does the manager display a clear understanding of labor relations and collective bargaining issues?
- (2) Does the manager demonstrate a thorough knowledge of the process for handling employee disputes?
- (3) Do the manager's actions with respect to employee disputes (e.g., grievances and complaints) reflect an appreciation for the importance of resolving these issues at the lowest level possible?
- (4) Does the manager demonstrate a clear understanding of the Employee Assistance, Peer Support, Employee Substance Abuse, and Health Benefits Programs?
- (5) Is the manager able to clearly interpret and explain these issues to others?

8. OPERATIONAL MANAGEMENT. A significant portion of the manager's administrative time is spent assisting the commander with day-to-day operations. This effort includes command goal planning, scheduling and commitment of resources to meet those goals, and facility/equipment management and upkeep. Operational management responsibilities may span all aspects of a command's operations and frequently call for varying degrees of accountability by the manager. The manager may be asked to prepare the command's budget, develop and implement contingency plans to meet command goals, oversee fleet management, monitor facility resource and maintenance needs, and/or supervise clerical and other support efforts. The key element is the manager's willingness and ability to contribute meaningfully to the efficient operation of the command. A secondary issue is the degree to which the manager can be entrusted with final responsibility to handle critical and sensitive operational matters with minimal management oversight and intervention.

- a. Contributes to the day-to-day operation of the command.
  - (1) Does the manager demonstrate a clear understanding of the issues involved in the day-to-day operation of the command? Is sensitivity to organizational and administrative issues apparent? Does the manager provide effective support for command operations?
  - (2) Does the manager willingly and actively participate in managing the command?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (3) Does the manager facilitate the use of emerging technologies when appropriate?
  - (4) Does the manager demonstrate a thorough knowledge of the Department's Strategic Plan?
  - (5) Does the manager contribute to the development of command goals? Is the manager instrumental in the efforts to meet these goals?
  - (6) Does the manager actively participate in the development of contingency plans for command goals in danger of not being met?
  - (7) Does the manager demonstrate an understanding of departmental auditing procedures? Does the manager appropriately apply auditing procedures in the day-to-day operation of the command/unit?
  - (8) Is the manager ready and able to function as a first or second line supervisor when necessary?
- b. Efficiently schedules, deploys, and directs the use of human resources.
- (1) Does the manager effectively assign personnel to meet departmental and command needs and goals?
  - (2) Are regular meetings and/or consultations held with staff to discuss scheduling and deployment issues?
  - (3) Is overtime controlled and used judiciously?
  - (4) Do the manager's scheduling decisions reflect a thorough analysis of operational needs? Are special programs, problems, or needs taken into account? Do these scheduling decisions effectively promote achievement of command goals?
  - (5) Are personal requests for schedule adjustments given reasonable consideration without adversely affecting the needs of the Department?
- c. Effectively contributes to facility and physical resource management.
- (1) Do the command's vehicles, equipment, grounds, and facility present a neat and clean appearance? Are repairs to vehicles, equipment, and the facility carried out in a timely, cost-efficient manner?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (2) Does the manager ensure effective fleet management, overseeing the inspection, evaluation, service, and repair of vehicles to ensure they are operational and properly maintained?
  - (3) Does the manager actively participate in the planning process for facility improvement, repair, maintenance, and security? Does the manager effectively control the allocation and use of material resources?
  - (4) Is an effective inventory system in place and being used to track physical resources? Is an effective mechanism used to ensure inventories do not decrease to an unacceptable level?
  - (5) Does the manager demonstrate a thorough knowledge of departmental procedures for ordering and maintaining supplies and equipment repair?
  - (6) Is the manager able to evaluate new equipment and/or techniques and make intelligent recommendations for their replacement or upgrading?
- d. Manages the command's budget by prioritizing, overseeing, monitoring, and controlling expenditures.
- (1) Is the manager knowledgeable about departmental accounting and budgeting procedures? Is the manager cognizant of the departmental commands responsible for each of these functions? Is the manager able to productively utilize these resources as necessary?
  - (2) Does the manager have knowledge of the state budget process and how it impacts departmental operations?
  - (3) Does the manager understand and contribute meaningfully to the command's cost-savings programs? Does the manager actively monitor and, when necessary, control spending? Are clear priorities established to optimize spending? Does the manager understand proper procurement procedures (e.g., credit card usage, X numbers)?
  - (4) Are procedures and record-keeping mechanisms in place to track expenditures? Does the manager take advantage of these to actively monitor and control expenditures?
  - (5) Does the manager have a thorough understanding of contractual procedures and reimbursable expenditures?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- e. Provides effective office management.
  - (1) Does the manager demonstrate a thorough knowledge of the general office routine and procedures used by the command?
  - (2) Does the manager ensure the office atmosphere is conducive to a positive and productive working environment?
  - (3) Does the manager conduct staff meetings with office personnel? Is the clerical staff effectively cross-trained?
  - (4) Are staff made to feel like important members of the office team? Does the manager ensure staff has an opportunity to provide input on office operations?
  - (5) Is the manager “computer literate?” Can the manager operate general office equipment?
  - (6) Does the manager ensure effective record keeping and filing systems are in place and properly used to ensure reports and records are properly documented, up-to-date, and contain accurate information?
  - (7) Does the manager review and, if necessary, revise departmental/ command operating manuals and administrative procedures to ensure they are kept relevant and current?

9. PERSONNEL MANAGEMENT. Managers are responsible for a variety of personnel. This responsibility entails delegating assignments, training subordinates, providing feedback on employee performance, and supervising and motivating staff. Of the utmost importance is the manager’s awareness of the work demands on subordinates, ability to provide positive and effective direction, and success in building a strong team. More than any other task, personnel management places a significant demand on the manager’s managerial knowledge and abilities. Ultimately, the manager’s success in this task is predicated on supervisory and mentoring skills, success in developing subordinates, understanding of personnel issues, effectiveness in sharing the workload, conscientiousness in following up on assignments, and consistency in providing timely, objective, and accurate feedback.

- a. Effectively monitors and evaluates delegated assignments and projects.

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (1) Does the manager appropriately delegate tasks and functions? Does the manager avoid trying to accomplish too much independently? Are subordinates used effectively?
  - (2) Are tasks and projects delegated equitably with regard to staff workload? Are the existing work demands and time constraints of subordinates considered when delegating tasks? Are the strengths and interests of subordinates taken into account when making assignments?
  - (3) Does the manager establish realistic and appropriate deadlines for assigned tasks?
  - (4) Does the manager actively monitor the progress of delegated tasks and projects? Does the manager tactfully intervene and provide guidance when it appears an assignment is falling behind schedule? Is the manager able to personally evaluate the accuracy and quality of products from delegated tasks?
- b. Provides effective training opportunities, counseling, and guidance to foster employee development.
- (1) Does the manager understand departmental training programs, training priorities, and funding sources?
  - (2) Does the manager ensure all required training is completed and properly documented in the required time frames?
  - (3) Does the manager demonstrate a clear awareness of the strengths and weaknesses of all subordinates?
  - (4) Does the manager encourage self-improvement efforts of subordinates?
  - (5) Does the manager identify and challenge staff with specialized skills by providing them with special assignments and projects whenever possible?
  - (6) Does the manager appropriately assist subordinates with career development plans?
  - (7) Does the manager ensure training is provided to correct job-related deficiencies and build employee strengths? Does the manager tailor training programs to correct command/unit problems? Are subordinates regularly involved in identifying training needs and developing programs?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (8) Is appropriate follow-up provided after training programs to evaluate their effectiveness? Are alternative methods developed and implemented when training fails to bring about the desired results?
- (9) Does the manager recognize work problems at an early stage? Are immediate steps taken to resolve them through guidance and counseling? Is the manager successful in these endeavors?
- (10) Is the manager an effective counselor? Is a clear knowledge of guidance and motivational techniques apparent? Is the manager approachable? Do subordinates regularly seek out the manager's advice and guidance?
- c. Actively monitors and supervises employee activity through personal observation, and gives timely feedback and a fair, accurate assessment of employee performance.
- (1) Does the manager display a clear understanding of the duties of subordinates? Are they provided with clear and explicit job performance standards? Does the manager ensure all subordinates are kept well informed regarding these standards?
- (2) Does the manager regularly, actively, and personally observe and document subordinate job performance? Is the manager able to identify and recognize problem situations? Does the manager regularly respond to incidents as needed? Does verbal and written feedback to subordinates indicate first-hand knowledge of their actions?
- (3) Does the manager conscientiously and effectively utilize appropriate forms to record significant incidents as they occur? Does the manager regularly use these forms to acknowledge outstanding achievement and provide direction to correct deficiencies?
- (4) Does the manager consistently provide subordinates with a pre-appraisal conference prior to their annual performance appraisal? Are they conducted in a meaningful and productive manner?
- (5) Does the manager prepare annual performance appraisals according to departmental policies? Are they based on first-hand information and presented in an objective, unbiased manner? Are they accurate, complete, and timely? Do they set an example for quality staff work?

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

- (6) Are all comments made on the annual performance appraisal strictly confined to the space provided? Do they adhere to departmental policy in terms of content and format? Do they contain only clear, specific, and objective descriptions and evaluations of performance?
- (7) Are all work performance plans (e.g., career planning, interim reporting) clearly articulated and complete? Are they clearly understood by subordinates? Do they consist of realistic goals and time frames? Are the performance objectives well defined and attainable?
- (8) Does the manager thoroughly review all performance appraisals prepared by subordinates? Are they accurate, complete, objective, and unbiased? Do they reflect cumulative indicators of performance? Do they adhere to policy?
- (9) Do the work performance plans prepared by subordinates reflect the same standards for objectivity, articulation, and quality staff work as those completed by the manager?
- d. Effectively applies the principles of positive recognition and progressive discipline.
- (1) Does the manager demonstrate knowledge of contemporary management theory and practices? Do the manager's actions reflect an understanding of, and ability to apply, general principles of motivation and behavior modification?
- (2) Does the manager clearly understand the Department's management philosophy? Is the manager's personal management style compatible with that of the Department?
- (3) Does the manager regularly recognize and acknowledge outstanding performance or effort that goes beyond the call of duty? Are capable and dedicated employees provided with recognition for their efforts?
- (4) Are standards of performance and conduct clearly articulated? Do subordinates understand these standards and the consequences of violating them? Are these standards applied uniformly to everyone?
- (5) Does the manager actively confront performance and disciplinary problems as soon as they arise? Is relevant information gathered and evaluated prior to taking action? Is the employee promptly provided with an

## ANNEX C

### NONUNIFORMED MIDDLE MANAGERS—CRITICAL TASKS (*continued*)

explanation of all action taken, as well as any necessary follow-up measures or conditions?

(6) Does the manager understand and apply the procedures for rejection during probation, progressive discipline, and adverse action? Does the manager display an awareness of the critical importance of thorough documentation of these matters?

(7) Does the manager personally follow up on all remedial or disciplinary actions to ensure the subordinate has completed and/or complied with all terms and conditions resulting from the action? Is every attempt made to ensure the problem does not recur?

10. ADMINISTRATIVE/SPECIALIZED ASSIGNMENTS. Managers are occasionally asked to assume responsibility for, or to participate in, special projects and assignments essential to the effective operation of the Department and/or their command/unit. These programs, projects, or assignments may be either full time or carried out in addition to the manager's regular assignment. Key performance issues include the manager's attitude upon being asked to accept the assignment, the commitment displayed and success in effectively completing the assignment, and the timeliness and quality of the work products. These assignments typically call for a variety of skills described in the **previous nine critical tasks**. Due to their critical and sensitive nature, these assignments may demand a standard of performance transcending that of typical assignments.

- a. Functions effectively in administrative/specialized assignments.
- b. Effectively plans, researches, and prepares special reports and projects.

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