

CHAPTER 6
PERFORMANCE APPRAISAL PROCESS FOR COMMANDERS

REVISED JANUARY 2026

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CHAPTER 6

PERFORMANCE APPRAISAL PROCESS FOR COMMANDERS

1. OVERVIEW.

a. The procedures and guidelines for rating a commander's performance are presented in this chapter. Thirteen critical tasks have been identified as essential to performing the job of a commander at three different levels (Area/section/office commander, assistant Division commander, and Division commander) within the Department and are used in evaluating both uniformed and nonuniformed employee performance. These critical tasks and their rating guidelines reflect the expectations of the Department and have been developed to emphasize observable job behaviors of commanders in the work setting. The majority of the Department's uniformed positions at the captain level and above function as commanders. However, the Department does have uniformed "special assignments" at this level without command responsibility. Since the critical tasks identified for commanders reflect the expectations for uniformed positions at the captain level and above, the CHP 118C, Performance Appraisal - Commander, will be used to evaluate all captains, assistant chiefs, and chiefs.

b. The CHP 118C is used to document performance for probationary and permanent commanders (lieutenants, captains, assistant chiefs, chiefs, and nonuniformed commanders) and to assess performance in critical tasks during the reporting period.

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

2. RATING GUIDELINES.

a. The supervisor should keep in mind a commander fills the Department's leadership role at the command level. The position serves a crucial role in the chain of command by interfacing with upper levels of management and all employees within the command. Consequently, the effectiveness of the commander directly impacts the performance of those within the command. Success in performing the commander's responsibilities is dependent on a diverse array of technical, organizational, and interpersonal skills. Because of the commander'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 commander's performance appraisal process.

- b. Rating System. The rating system used for the CHP 118C consists of certification of the commander's success in performing each element of the 13 critical tasks. Supporting questions have been provided in Annex A 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 commander'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 118C, Section C, Comments—Managerial Development.
- c. Refer to Annex A for the critical tasks, elements, and supporting questions for assessing commander performance.
- d. It should be noted not all elements of a critical task will apply to all commanders.
- e. If any one element in a critical task is determined by the supervisor to be essential to successful completion of the task and is performed in such a manner that performance standards are not met, performance in the critical task shall be deemed **unsuccessful** with appropriate steps taken to initiate interim reporting.
- f. If a performance element is determined by the supervisor to be **important** but not essential to successful completion of the task, and performance of this element is substandard, overall performance in the task could be considered **successful** if all other performance elements meet or exceed performance standards. In this case, interim reporting would not be implemented. However, the supervisor shall address the deficiency in Section C, Comments—Managerial Development, of the CHP 118C in an effort to enhance the commander's performance.
- g. 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 118C regarding the commander's overall effectiveness as a departmental manager, strengths, and critical tasks in which the commander could increase effectiveness.

3. CHP 118C, PERFORMANCE APPRAISAL - COMMANDER.

a. Process.

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

(a) Probationary Commanders.

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

a Probationary commanders 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 commander 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 Commanders Off Duty. Title 2, Section 321 of the California Code of Regulations prescribes specific requirements for completion of the probationary period.

a If a commander 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 commander 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 Commanders.

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 118C 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 118Cs 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 that no significant changes in performance have occurred. The supervisor will verify the information in Section C, Comments—Summary, of the CHP 118C.

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

4 Commanders Off Duty. When a commander is off duty 30 consecutive calendar days or more because of illness, injury, or leave of absence, the commander’s appraisal will be extended three additional months after returning to work. (Example: A commander works 11 months, is on a leave for 2 months, and returns to work for 3 months. The total performance period will encompass 16 months.) The commander’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 commander's performance of a specified critical task(s) does not meet performance standards and other managerial techniques have not brought about satisfactory performance (such as counseling or corrective memoranda), the commander shall be placed on interim reporting and a CHP 118C shall be initiated. All documentation supporting the need for interim reporting shall be attached to the CHP 118C (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 118C to indicate the commander 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 commander is placed on interim reporting, only the **unsuccessful** task or tasks shall be rated except when the deficiency is identified at the same time as the commander's annual or probationary evaluation. Action plans for improvement are to be documented until the performance objective is reached.

4 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.

5 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.

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

(2) Discussing Commander Appraisals.

(a) Informal Discussion.

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

2 Before the informal discussion is held, critical tasks, elements, and supporting questions should be reviewed and comments made regarding areas to be discussed during the meeting.

3 A few days prior to the informal discussion, the commander 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 commander 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(s), the commander 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 118C is finalized for signature.

b. Completing the CHP 118C, Performance Appraisal - Commander.

(1) Command Assignment. Check the appropriate box to indicate the type of commander.

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

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

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

(c) ID Number. Enter the commander's departmental ID number.

- (d) Location Code. Enter the location code to which the commander is permanently assigned.
- (e) Assignment. Enter the name of the Division, Area, or section to which the commander is permanently 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 rating commanders during the probationary period.
 - 2 Annual. This entry is to be used for rating commanders on an annual basis.
 - 3 Interim. This entry is to be used whenever a commander is placed on interim reporting.
 - 4 Transfer. This entry is to be used whenever a commander is transferred from one command to another.
- (g) Reporting Period. Enter the dates of the period covered by the ratings.
- (h) Informal Discussion Date. Enter the date of the informal discussion.
- (i) Classification. Enter the commander's civil service classification.
- (j) Mentor. Check the box if the employee served as a mentor during the rating period.
- (k) Coach. Check the box if the employee served as a coach during the rating period.

(3) Section A, Critical Tasks. A list of critical tasks for commanders is provided in Section A of the CHP 118C. Each critical task contains a list of elements which the manager must perform successfully in order to meet the performance standards for the critical task. It should be noted that some tasks apply only to certain levels of responsibility and are identified on the CHP 118C. Supervisors shall assess the commander's performance in each critical task. Refer to Annex A for a list of questions to aid the supervisor in determining whether or not performance is successful for each element of a critical task.

(4) 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 or the CHP 137CN 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 General Order 0.8 to the commander.

(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 commander's overall performance in any critical task is **unsuccessful** and list the task number(s) in the space provided.

(5) Section C, Comments. The supervisor shall use this section to make comments on the commander'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) Summary. The supervisor shall use this section to make general comments on the commander's overall effectiveness as a departmental manager.

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

(c) Managerial Development Goals. The supervisor will discuss, by use of specific examples, those critical tasks in which the commander 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.**

(d) 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.

(e) 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., Memorandums of Direction, censurable CHP 2). However, in some instances a single significant event may constitute **unsuccessful** performance and require interim reporting procedures.

(6) Section D, Signatures.

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

(b) Signature of the Reviewer. After reviewing the performance appraisal, the reviewer's name shall be typed or printed; then a signature and date shall be provided in the appropriate spaces. The reviewer shall ensure the supervisor has properly completed the form and discussed the report with the commander. 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 commander'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 118C.

(c) Signature of the Employee. The commander shall sign and date the form and indicate by checking the box provided if a discussion with the reviewer is desired. If the commander 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 118C 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 commander for permanent civil service status must be checked.

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

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

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

(2) Distribution.

(a) For distribution of the CHP 118C, refer to Chapter 1, General Information.

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

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS

The 13 critical tasks described below in considerable detail are designed to capture the full range of the commander's responsibilities and activities. They should be used to assist supervisors and reviewers in making a determination as to whether or not a commander 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 to provide supervisors with a behavioral frame of reference for use when assessing a commander'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.

NOTE: Some supporting questions may apply only to uniformed commanders.

1. **LEADERSHIP**. The commander serves as a leader and role model for subordinates, support personnel, allied agencies, and the public. This role is significant and entails 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 commander's stature as a leader under both routine and emergency conditions. An 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 commander 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 commander's thoughtful and decisive leadership.

a. Maintains effective communication with subordinates.

(1) Does the commander meet with immediate subordinates on a regular basis to provide and receive pertinent information and to discuss command problems, needs, and concerns?

(2) Does the commander establish and clearly communicate expectations to subordinates?

(3) Does the commander encourage, listen to, and consider subordinate input?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (4) Does the commander maintain an atmosphere of open communication and trust within the command?
 - (5) Is the commander available and approachable, on both a formal and informal basis?
 - (6) Does the commander ensure that subordinates are aware of departmental/command goals and the progress toward attaining them?
- b. Maintains high morale within command.
- (1) Does the commander communicate frequently with personnel to assess attitudes and morale, and to maintain an awareness of what is going on in the command?
 - (2) Does the commander consistently treat all personnel in a fair, unbiased, and ethical manner?
 - (3) Does the commander identify potential morale issues and initiate steps to resolve them at their earliest stages?
 - (4) Does the commander introduce change in a positive manner?
- c. Sets a positive example for subordinates.
- (1) Does the commander maintain high personal standards in accordance with the Department's expressed values as stated in General Order 0.8, Professional Values?
 - (2) Does the commander display an attitude of enthusiasm for a commitment to the Department?
 - (3) Does the commander represent the Department in a professional and ethical manner both on and off duty?
 - (4) Does the commander dress appropriately according to the assignment or occasion, maintaining a neat, tasteful, well-groomed appearance at all times?
 - (5) Does the commander actively promote the Department's *service orientation*?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

(6) Does the commander manage time effectively so that urgent matters are attended to promptly, and deadlines met? Is the commander punctual for meetings and appointments?

(7) Does the commander accept responsibility for actions, as well as the successes and failures of operations?

d. Motivates subordinates.

(1) Does the commander use motivation techniques conducive to a positive work environment?

(2) Does the commander motivate subordinates to perform at their highest possible level?

(3) Does the commander recognize and reward outstanding performance?

(4) Does the commander provide direction, encouragement, and support for subordinates?

2. POLICIES, PROCEDURES, RULES, AND REGULATIONS. This critical task consists, in large part, of the extent to which the commander has expanded both the breadth and depth of the pool of job-related knowledge as acquired throughout the commander's career. Success in this effort is demonstrated, in turn, by the effectiveness with which the commander 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 commander understand laws, codes, legislation, regulations, case law, and other mandates that might impact the current assignment? Finally, does the commander have 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?

a. Understands and supports existing rules.

(1) Does the commander periodically review departmental policies and procedures to maintain an effective working knowledge?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (2) Does the commander keep current on legislation and case law affecting departmental policy, procedures, and operations?
 - (3) Does the commander keep current with applicable changes in laws, policies, and procedures?
 - (4) Does the commander review local policy to ensure consistency with applicable laws, guidelines, and regulations?
 - (5) Does the commander demonstrate personal support of, and commitment to, departmental policy through words and actions?
- b. Implements policies, procedures, and rules.
- (1) Does the commander direct implementation of new policies and procedures?
 - (2) Does the commander work as a team member with peers and coworkers to apply departmental policies and procedures consistently?
 - (3) Does the commander monitor subordinate actions for compliance with policy, laws, and regulations?
 - (4) Does the commander submit policy change recommendations through channels?
 - (5) Does the commander communicate policy change to subordinates?

3. DEPARTMENTAL INTERPERSONAL RELATIONS. The ability to interact effectively and comfortably with superiors, subordinates, and other departmental employees is essential to the success of all departmental commanders. 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 commander'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

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commander demonstrates an ability to nurture positive and productive relationships with management, peers, subordinates, allied agency personnel, and community groups.

- a. Interacts effectively with other personnel.
 - (1) Does the commander maintain a good rapport with superiors?
 - (2) Does the commander interact with all personnel in a tactful and considerate manner?
 - (3) Does the commander network with peers to address issues of common concern?
- b. Communicates effectively with other personnel.
 - (1) Does the commander provide positive and negative feedback to subordinates?
 - (2) Does the commander disseminate information up and down the chain of command?
 - (3) Does the commander give oral presentations to departmental personnel?
- c. Participates in social functions.
 - (1) Does the commander attend traditional departmental ceremonies and other functions to acknowledge individual commitment and contributions to the Department?
 - (2) Does the commander attend informal departmental social events to maintain rapport and open communication with subordinates?

4. **PUBLIC RELATIONS**. A considerable portion of the commander's time is spent meeting and working with individuals outside CHP; speaking with community leaders and groups; serving on task forces with representatives from allied agencies and/or government officials; and disseminating information to the public and other organizations. The ability to interact effectively and comfortably with the public and other organizations is essential to the success of all departmental commanders. Some key elements of maintaining good public relations are staying informed of events and news items that may impact the Department and its operations, and maintaining an active

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

presence in the community. A commander's ability to consistently provide timely and knowledgeable responses to inquiries or concerns from the public, community leaders, and the media will develop and preserve trust and confidence in the Department. Additionally, timely and accurate dissemination of departmental program information and enforcement issues will reinforce the Department's commitment to service and safety.

- a. Keeps informed on events and news items.
 - (1) Does the commander seek out events within the community and state/local government which may impact departmental operations?
 - (2) Does the commander keep informed on current news items that may affect departmental operations?
- b. Meets and works with individuals outside of CHP.
 - (1) Does the commander attend law enforcement administrator meetings?
 - (2) Does the commander serve on task forces with representatives from allied agencies and/or government officials regarding issues of mutual concern?
 - (3) Does the commander require subordinate involvement with the community, managerial organizations, and occupational focus groups?
 - (4) Does the commander coordinate departmental activities with other agencies during situations of mutual concern, such as special events or emergencies?
 - (5) Does the commander participate in public affairs activities?
- c. Maintains effective working relationships beyond CHP.
 - (1) Does the commander maintain favorable working relationships with the news media to ensure accurate and fair treatment of the Department?
 - (2) Does the commander maintain effective working relationships with local government and community leaders and key contacts, heads of allied agencies, and legislators within geographic jurisdiction to identify resources and gain cooperation for Department programs?
 - (3) Does the commander maintain effective working relationships with constituents, such as vendors, regulated industry, and advocacy groups?

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- (4) Does the commander maintain effective working relationships with labor organization representatives?
- (5) Does the commander ensure that subordinates maintain positive working relationships with their counterparts in allied agencies?
- d. Disseminates information to the public and other organizations.
 - (1) Does the commander provide media with information on departmental programs and enforcement issues to enhance compliance through public awareness?
 - (2) Does the commander provide media with information on public services and special activities to emphasize the Department's service and safety orientation?
 - (3) Does the commander make presentations to various civic, safety, and law enforcement groups regarding departmental policy and programs?
 - (4) Does the commander ensure that information to be disseminated to the public is accurate, complete, and appropriate?
 - (5) Does the commander respond to legal and policy questions regarding departmental operations?
 - (6) Does the commander appear before public groups to discuss the use of departmental resources within the community?
 - (7) Does the commander testify effectively before legislative committees and other public bodies?
- e. Resolves problems to maintain good public relations.
 - (1) Does the commander resolve unfair treatment of the Department by the media?
 - (2) Does the commander meet with labor organization representatives to discuss and resolve issues related to bargaining unit contracts and departmental policy?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

5. **PLANNING.** A commander is expected to set realistic, challenging, and measurable command goals, then develop and implement plans and manage resources effectively to achieve those goals. The commander must be actively involved in preparing the command's Strategic Plan and reviewing subordinate activity to ensure goals are being met. Successful planning requires anticipation of command issues and working with staff to find resolutions to those issues before they become bigger problems. The commander is expected to have knowledge of and anticipate upcoming staff changes (e.g., retirements, staff allocation increases/decreases), facility changes, equipment needs, and special enforcement efforts requiring overtime. The commander will need to ensure the command's spending plan is thorough and accurately anticipates future expenditures. Thoughtful preparation of the command's operational budget and close monitoring of expenditures will be essential to ensuring appropriate utilization of funds and staying within the command's allocated budget. Another key element of successful planning is the commander's ability to maintain effective communication with subordinate staff to ensure both command and departmental goals are clearly articulated, goals are supported at all levels, and all staff take an active role in achieving those goals.

a. Sets command goals.

- (1) Does the commander provide input in establishing Division objectives and goals?
- (2) Does the commander contribute logical and factual arguments during goal-setting discussions?
- (3) Does the commander review and utilize pertinent data?
- (4) Does the commander prioritize all issues affecting the command?
- (5) Does the commander set realistic, challenging, and measurable goals and objectives?

b. Develops plans to achieve goals.

- (1) Does the commander develop short-range and long-range plans that coordinate with the operational goals and objectives of the Department?
- (2) Does the commander establish reasonable action steps and time frames for achieving goals?

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- (3) Does the commander ensure that planning steps are clearly understood and performed by subordinate staff?
- (4) Does the commander develop contingency plans for major events or emergency operations?
- c. Manages resources effectively to achieve goals.
 - (1) Does the commander evaluate the command's staffing and equipment needs?
 - (2) Does the commander anticipate and budget for future staff and equipment needs?
 - (3) Does the commander utilize resources available outside the command?
 - (4) Does the commander coordinate and allocate command resources to ensure smooth operations?

6. **PROBLEM SOLVING.** Commanders are constantly evaluating situations, prioritizing needs, weighing options, and making decisions. The key to success in problem solving 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. Commanders must also recognize when it is necessary to defer to a higher authority. When dealing with sensitive issues and/or individuals, commanders must have patience, self-control, composure under stress, and the ability to effectively balance the competing demands of tact, diplomacy, and candor.

- a. Consults with superiors as necessary.
 - (1) Does the commander consult with superiors prior to making decisions which could impact departmental operations?
 - (2) Does the commander keep superiors informed regarding serious problems?

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- b. Carefully evaluates situations.
 - (1) Does the commander gather and interpret all available pertinent data prior to making decisions?
 - (2) Does the commander evaluate all possible alternatives prior to making decisions?
 - (3) Does the commander evaluate information objectively, impartially, and rationally?
 - (4) Does the commander consider both short- and long-range consequences of a contemplated action?
 - (5) Does the commander take a proactive approach in recognizing and resolving problems at their earliest stages?
- c. Makes good decisions.
 - (1) Does the commander make decisions that are consistent with departmental goals and policies?
 - (2) Does the commander apply and encourage creative solutions to problems?
 - (3) Does the commander make decisions in a timely manner?
 - (4) Does the commander make independent decisions when appropriate?
- d. Involves subordinates in the problem-solving process.
 - (1) Does the commander involve subordinates in problem-solving activities when appropriate, and assist them in the problem-solving process?
 - (2) Does the commander encourage the solving of problems at the lowest level?

7. STAFF WORK. The ability to prepare a variety of documents and critically review the work of subordinates is a critical factor for success. Commanders may be tasked with completing narrative reports of activities, routine memoranda, correspondence, staff studies, and various special reports. The key to success in preparing and reviewing

ANNEX A

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documents is being well informed on the subject matter. Successful outcomes result from ensuring accuracy, timeliness, and clarity of written work. An essential ingredient is the proper use of grammar, spelling, and punctuation. Commanders should review paperwork in a timely manner along with an effective tracking system to ensure deadlines are met and to take corrective action if deadlines are missed.

- a. Prepares a variety of documents.
 - (1) Does the commander prepare narrative reports of activities and operations for superiors?
 - (2) Does the commander properly prepare routine memoranda, correspondence, reports, and/or briefing items?
 - (3) Does the commander properly prepare staff studies, special reports, interagency agreements, contracts, Memorandums of Understanding, and/or grant requests?
- b. Reviews the work of subordinates.
 - (1) Does the commander review staff work for accuracy, timeliness, completeness, organization, and clarity?
 - (2) Does the commander review staff work for proper grammar, spelling, and punctuation?
 - (3) Does the commander review subordinates' reports and proposals to ensure that it is completed staff work?
 - (4) Does the commander review paperwork in a reasonable and timely manner to avoid unnecessary delays?
 - (5) Does the commander provide constructive criticism of staff work to enhance staff development?
 - (6) Does the commander review personnel complaint investigation reports and reports of unusual occurrences to verify the completeness of the investigation?
 - (7) Does the commander ensure that an effective suspense system is used to log and track staff work?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

(8) Does the commander take corrective action when deadlines are missed or disregarded?

(9) Does the commander direct staff studies to improve departmental operations?

8. PERSONNEL MANAGEMENT. Commanders 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 commander'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 commander's managerial knowledge and abilities. Ultimately, the commander'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. Uses appropriate management techniques.

(1) Does the commander use management techniques that are compatible with the Department's management philosophy and policies?

(2) Does the commander change management techniques in response to departmental directions?

(3) Does the commander inform subordinate commanders of successful and acceptable management and operational techniques?

b. Provides general supervision.

(1) Does the commander ensure proper and effective deployment of personnel?

(2) Does the commander guide and counsel immediate subordinates?

(3) Does the commander provide support and technical assistance to subordinates?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (4) Does the commander ensure that necessary personnel documentation is completed, reviewed, filed, and transmitted to the proper authority?
 - (5) Does the commander oversee workload, staff levels, and priorities to maximize efficiency and effectiveness?
 - (6) Does the commander correctly apply pertinent provisions of labor contracts, personnel rules, and departmental regulations?
 - (7) Does the commander effectively manage vacation schedules consistent with existing policy and bargaining contracts?
 - (8) Does the commander keep current on personal issues of subordinates which may influence performance?
 - (9) Does the commander refer subordinates to the Employee Assistance Program when appropriate?
 - (10) Does the commander promote positive, cooperative, professional working relations among staff?
- c. Accomplishes tasks and goals through subordinates.
- (1) Does the commander delegate tasks and projects appropriately?
 - (2) Does the commander evaluate staff workload to ensure that tasks are delegated equitably?
 - (3) Does the commander assign reasonable and appropriate deadlines for task completion?
 - (4) Does the commander avoid overcontrolling projects by allowing subordinates latitude in accomplishing tasks?
 - (5) Does the commander monitor subordinates for progress and effectiveness in accomplishing goals?
 - (6) Does the commander ensure that delegated tasks are completed correctly and on time?
 - (7) Does the commander conduct staff meetings as a team-building tool?

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (8) Does the commander hold subordinates accountable for their actions?
- d. Ensures availability of training and development.
 - (1) Does the commander identify and respond to opportunities for self-development through training programs?
 - (2) Does the commander identify subordinates' strengths and weaknesses and develop plans for improvement?
 - (3) Does the commander ensure that planned training is provided to subordinates?
 - (4) Does the commander review and/or develop training material and programs as needed?
 - (5) Does the commander encourage and assist career development of subordinates desiring advancement in the Department?
 - (6) Does the commander provide methods and opportunities for command personnel to develop skills and abilities?
 - (7) Does the commander implement specialized training programs within the command?
 - (8) Does the commander provide staff with special assignments or projects to enhance career development?
 - (9) Does the commander approve limited duty requests, transfer requests, and outside employment requests?
- e. Conducts and reviews performance appraisals.
 - (1) Does the commander ensure that employees are kept informed of job performance standards?
 - (2) Does the commander ensure that performance criteria are equitably applied to subordinates?
 - (3) Does the commander observe and document subordinates' performance of critical tasks?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (4) Does the commander prepare written performance appraisals for immediate subordinates, including examples of personal observation of tasks performed?
 - (5) Does the commander review performance appraisals completed by subordinate staff and provide constructive feedback?
- f. Reviews and responds to grievances and complaints.
- (1) Does the commander review investigations of grievances and complaints prepared by subordinates?
 - (2) Does the commander respond to formal grievances?
 - (3) Does the commander investigate and document complaints against subordinates?
- g. Responds effectively to performance problems.
- (1) Does the commander take a proactive approach to recognize and address potential personnel problems at their earliest stages?
 - (2) Are the commander and subordinate supervisor(s) familiar with disciplinary guidelines and procedures?
 - (3) Are the commander and subordinate supervisor(s) familiar with provisions of applicable labor contracts?
 - (4) Are the commander and subordinate supervisor(s) able to recognize and respond to substandard performance from their staff?
 - (5) Does the commander ensure that performance problems are fully documented?
 - (6) Does the commander review all available information regarding a performance problem prior to taking action?
 - (7) Does the commander promote the use of counseling to change work performance problems?

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

(8) Does the commander develop a plan of action for improving a subordinate's performance, including realistic and meaningful goals, specific controls, and follow-up time frames?

(9) Does the commander discuss performance problems and the corrective plan with the subordinate?

(10) Does the commander take corrective action for unresolved performance problems?

(11) Does the commander review adverse actions to ensure that recommended action is justified and consistent with the offense and past performance of the employee?

9. EQUAL EMPLOYMENT OPPORTUNITY. Commanders are expected to be knowledgeable of, understand, and fully support the Department's Equal Employment Opportunity (EEO) Program. It is the commander's responsibility to be thoroughly familiar with departmental policy and apply policy on a consistent and fair basis. The commander must ensure subordinate staff are aware of, and comply with departmental policy by ensuring all staff attends mandated training. As a leader, it is incumbent upon the commander and subordinate supervisors to lead by example. The commander must be willing to take swift and decisive action when violations of policy occur and remain diligent in promoting the Department's EEO Program.

a. Demonstrates understanding and support.

(1) Does the commander support and promote the Department's policy on equal employment opportunity and require the same for the management team?

(2) Does the commander support awareness of and sensitivity to cultural differences?

(3) Does the commander stay current on discrimination policies/guidelines and complaint procedures, including the need for confidentiality and sensitivity?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- b. Promotes and implements EEO policies and programs.
 - (1) Does the commander use appropriate hiring options to ensure the work force is both qualified and representative of the diverse community served?
 - (2) Does the commander develop and maintain an active recruitment program to target individuals from all groups within the community?
 - (3) Does the commander ensure that reasonable accommodations are made for disabled employees or applicants?
 - (4) Does the commander ensure that staff receives current sexual harassment training?
 - (5) Does the commander ensure that staff receives current cultural awareness training?
 - (6) Does the commander ensure a work environment free of discrimination?
 - (7) Does the commander take immediate corrective action against discriminatory practices, including sexual harassment?

10. AREA RESOURCE MANAGEMENT. (Not applicable to Assistant Chiefs or Chiefs.) A significant portion of the commander's administrative time is spent monitoring and managing daily operations. This effort includes command goal planning, scheduling, commitment of resources to meet those goals, and facility/equipment management and upkeep. Area resource management responsibilities may span all aspects of a command's operations and frequently call for varying degrees of accountability by the commander. The commander 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 commander's willingness and ability to contribute meaningfully to the efficient operation of the command. A secondary issue is the degree to which the commander can be entrusted with final responsibility to handle critical and sensitive operational matters with minimal oversight and intervention by upper management.

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- a. Exercises fiscal control of the command.
 - (1) Does the commander develop, submit, and implement an annual budget for the command?
 - (2) Does the commander review/approve purchase requests and expense claims?
 - (3) Does the commander prioritize spending and monitor expenditures?
 - (4) Does the commander ensure that all employee time is charged to the proper duty/activity code?
 - (5) Does the commander judiciously control the use of overtime?
 - (6) Does the commander oversee reimbursable services contract management and development?
- b. Manages command facility and resources.
 - (1) Does the commander manage command equipment needs?
 - (2) Does the commander ensure that the command's equipment, grounds, and facility are kept neat, clean, and in good repair?
 - (3) Does the commander ensure that the fleet is properly maintained and is operating efficiently?
 - (4) Does the commander ensure compliance with federal and state laws and departmental policy regarding use of the Department computer system and electronic information technology (e.g., Management Information System, California Law Enforcement Telecommunications System, e-mail, Internet)?
 - (5) Does the commander ensure that a current description of the organization structure is maintained?
 - (6) Does the commander ensure that current job descriptions are maintained?
 - (7) Is the commander actively involved in the departmental Occupational Safety Program and Injury and Illness Prevention Program?

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

11. ADMINISTRATION. (Applies to Assistant Chiefs and Chiefs only.) Commanders are responsible for the successful administration and management of programs and operations within their commands. The key is frequent communication with program coordinators and subordinate commanders. Contact must be frequent and consistent to ensure program responsibilities and reporting requirements are being met, operations are running efficiently, and issues that are threatening to derail a program's success are being resolved quickly.

a. Provides program management.

- (1) Does the commander ensure that appropriate support data exists for proposed strategies and alternatives in the program development process?
- (2) Does the commander ensure that action plans include realistic start and completion dates?
- (3) Does the commander ensure that program development plans include methods for measuring program effectiveness?
- (4) Does the commander ensure that Division programs are coordinated with other departmental programs to enhance effectiveness and to avoid conflicts and duplication of effort?
- (5) Does the commander work with subordinate commanders and staff to identify goals and develop plans of action for accomplishing objectives?
- (6) Does the commander develop new programs to meet departmental needs?
- (7) Does the commander provide direction and support for program strategy and objectives?
- (8) Does the commander ensure that subordinates understand and support departmental programs?
- (9) Does the commander monitor program operations?
- (10) Does the commander evaluate program effectiveness and make adjustments to plans as needed?
- (11) Does the commander guide subordinate commands in program evaluation?

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (12) Does the commander direct and assist subordinate commanders and staff in accomplishing specified program goals?
- b. Stays current on relevant operations.
- (1) Does the commander keep current on assignments and responsibilities of other management personnel within the Department?
- (2) Does the commander keep current on operations involving Areas/sections/offices in other Divisions?
- (3) Does the commander keep current on operations involving Areas/sections/offices within the Division?
- (4) Does the commander compile an overview of subordinate command activities and report highlights to superiors?
- (5) Does the commander meet with superiors to provide and receive information and to discuss command and departmental issues?
- c. Meets with subordinate commanders.
- (1) Does the commander regularly visit subordinate commanders to provide visible support?
- (2) Does the commander meet with immediate subordinates on a regular basis to provide and receive information and to discuss command issues?
- (3) Does the commander recognize and reward efforts which contribute to a successful operation?
- (4) Does the commander conduct meetings of subordinate commanders within the Division?
- d. Evaluates subordinate commands.
- (1) Does the commander evaluate subordinate commands' progress toward achieving goals and objectives?

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (2) Does the commander evaluate effectiveness of subordinate commanders' operational techniques in terms of traffic safety, community needs, and service to the public?
 - (3) Is the commander acquainted with the geographical and socioeconomic environment of each subordinate command?
 - (4) Does the commander evaluate subordinate commanders' management of resources and recommend changes to maximize efficiency?
 - (5) Does the commander evaluate subordinate commands' staffing needs and make recommendations to superiors on deployment of available resources?
 - (6) Does the commander encourage self-evaluation by subordinate commanders?
 - (7) Does the commander conduct formal evaluations of subordinate command operations?
 - (8) Does the commander conduct inspections of subordinate commands for evidence of management competence?
 - (9) Does the commander informally evaluate the operations of Area commands when opportunities arise?
 - (10) Does the commander oversee criminal and administrative investigations?
- e. Provides fiscal control.
- (1) Does the commander evaluate justifications for budget proposals from subordinate work units?
 - (2) Does the commander consolidate unit budget proposals into a single budget?
 - (3) Does the commander ensure that cost-saving programs are in effect in subordinate commands?
 - (4) Does the commander review program activities and subordinate job performance in terms of fiscal objectives?

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AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

- (5) Does the commander review purchase requests?
- (6) Does the commander review expense claims?
- (7) Does the commander confer with superiors on requests from subordinate commanders and staff for expenditure of major resources outside of jurisdiction?

12. FIELD ACTIVITIES. (Applies to captain and lieutenant commanders only.)

- a. Does the commander review data summaries of Area field reports in order to evaluate the command?
- b. Does the commander effectively manage special duty programs within the command?
- c. Does the commander direct the development of plans for the safe movement of traffic?
- d. Does the commander effectively perform field supervisory duties?
- e. Does the commander attend training necessary to maintain the basic proficiency needed to perform field duties?
- f. Does the commander oversee criminal and/or administrative investigations?
- g. Is the commander able to respond to questions from employees or the public regarding laws or policies relating to law enforcement?
- h. Does the commander conduct ride-alongs with personnel to observe field activity?
- i. Is the commander able to identify general law enforcement responsibilities as they apply to state facilities and employees?
- j. Does the commander meet with managers of state buildings to coordinate enforcement, services, and employee protection plans?

ANNEX A

AREA/SECTION/OFFICE, ASSISTANT DIVISION, AND DIVISION COMMANDERS—CRITICAL TASKS (*continued*)

13. PHYSICAL CONDITION. (Applies to uniformed commanders only.)
- a. Does the commander maintain physical fitness through proper diet and regular exercise to set a positive example and maintain good health?
 - b. Does the commander participate in departmental activities which promote health and physical fitness to set a positive example?
 - c. Is the commander physically able to perform the critical tasks of an Officer, CHP, such as conducting an arrest and assisting with traffic-related emergencies?

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