

# GUIDELINES FOR POLICE PERFORMANCE APPRAISAL, PROMOTION AND PLACEMENT PROCEDURES



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**U.S. DEPARTMENT OF JUSTICE  
Law Enforcement Assistance Administration  
National Institute of Law Enforcement and Criminal Justice**

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# **GUIDELINES FOR POLICE PERFORMANCE APPRAISAL, PROMOTION AND PLACEMENT PROCEDURES**

By

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## PREFACE

These guidelines attempt a synthesis of many of the best current practices in police performance appraisal, promotion and placement procedures throughout the country. We wish to acknowledge the full support and cooperation of police departments from the following state and local governments in the gathering of data on personnel practices:

States of: California, Illinois, and Ohio.

Counties of: Arlington (Va.); Fairfax (Va.); Los Angeles (Calif.); Montgomery (Md.); and Nassau (N.Y.).

Cities of: Berkeley (Calif.); Cincinnati (Ohio); Covington (Kentucky); Dallas (Texas); Denver (Colo.); Detroit Mich.; Kansas City (Kansas); Kansas City (Mo.); Los Angeles (Calif.); Newark (N.J.); Oakland (Calif.); and Washington (D.C.).

In addition, the International Association of Chiefs of Police (IACP), the California Commission on Peace Officers Standards and Training (POST), the New York-New Jersey Port Authority and the Educational Testing Service, were most cooperative in suggesting departments to visit and providing special sources of data.

For comments on the early version of these guidelines, and for other helpful suggestions, we wish to thank many of the foregoing departments again. Dr. Paul Johnson, Personnel Decisions, Inc., and Dr. Frank Landy, Pennsylvania State University, also made many useful suggestions on the draft version of this report.

Several individuals within the Law Enforcement Assistance Administration were particularly helpful in making constructive criticisms and comments of this report. These included: James Ellis; Newton Fisher; John A. Gardiner; Alan Gibson; J.R. Grimes; Carl Hamm; Louis Mayo; David Powell; Ray Rice; and Edwin Schriver.

Special thanks go to Wanda Johnson, Research Operations Division, who contributed substantially in many and various tasks during the data collection phase as well as during the writing of the guidelines report.

Unfortunately, the authors were not always able to incorporate all of the suggestions made, regardless of their merit. Thus, this final product, including any errors or misinterpretations, is the sole responsibility of the authors.

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GUIDELINES FOR POLICE PERFORMANCE APPRAISAL, PROMOTION,  
AND PLACEMENT PROCEDURES  
A SUMMARY FOR EXECUTIVE USE

This is a summary of a document designed to provide instruction and guidance to police managers and supervisors who are concerned with carrying out personnel appraisal responsibilities.

I. BACKGROUND AND OBJECTIVES

Valid personnel decisions are vitally related to the law enforcement effectiveness of police departments. Lack of interest, or lack of knowledge or understanding can have seriously degrading consequences for the quality of law enforcement and the developing professionalization of police.

Police and civil service or personnel departments are continually concerned with assessing the actual or expected performance of police officers. Measurements of actual performance are needed for decisions as to retention or dismissal, eligibility for promotion, merit pay raises, design of academy and on-the-job training programs, and perhaps most importantly, providing each officer with information as to the adequacy or inadequacy of his performance. This feedback provides a basis for determining remedial training requirements or providing rewards, as appropriate. Measurements or measurement estimates of predicted performance are needed for decisions as to promotions and transfer (placement).

Currently there exists a wide diversity of performance appraisal and performance prediction (promotion and placement) procedures within police departments. They vary in complexity, comprehensiveness, and accuracy. Performance appraisal is typically controlled and conducted within police departments. Performance prediction for promotional purposes is controlled and frequently conducted by civil service or personnel agencies; however transfer procedures are typically handled within police departments. The involvement of civil service or city/county personnel departments has led to the establishment of fairly formal procedures for promotion. More variation is encountered in the case of performance appraisal and placement procedures where police management is freer to exercise its own perogatives with respect to either innovation or complacency. While many departments are looking at ways to upgrade their performance appraisal procedures, relatively little is being done to provide improved, formal procedures for assigning personnel according to their interests, capabilities and future career growth potential.

The practices recommended in this paper are highly deliberate, and, in some cases, time-consuming. The recommendations assume that performance appraisal, promotion, and placement are very far from being trivial matters and that they merit serious attention, intention, and commitment of resources.

One of the chief messages of this paper is to urge the police administrator to look at his personnel practices critically. What use is he making of such factors as seniority, veteran status, and college credits? Why is he doing this? Is it contributing to the quality of his personnel? Is his use of tests contributing maximally to his personnel decisions or is it merely an easy way of doing a difficult job? Should he be eliminating



these tests or improving them? Are his supervisors doing a conscientious job of performance appraisals? Are the tools at their command, and their ability to use these tools, satisfactory?

## II. METHOD

The literature covering performance appraisal, promotion and placement functions has been reviewed and analyzed for material relevant to the police situation. A survey made by Professor Frank Landy of Pennsylvania State University of personnel procedures of over 200 police departments throughout the country has been especially useful. In addition, the Institute has made its own survey of more than twenty police agencies who are among the best with respect to personnel practices according to a number of expert law enforcement consultants. These departments ranged widely in geographic location, size, and type of function (municipal police, state police, port authority police).

The results of this extensive data collection and analysis activity have been used to distill some of the best practices in the performance appraisal, promotion, and placement areas, and, in this document, to organize and present them in a meaningful and useful manner.

## III. HOW TO USE THE GUIDELINES

The emphasis in the guidelines is upon the patrolman position. For promotion, this usually means a move upward to corporal or sergeant. For transfer, this means a move laterally to investigations, technical support or the like. Although the emphasis is directed at the patrolman, it is believed that these guidelines are applicable to other rank/positions as well. In some cases, remarks will be specifically addressed to other positions.

The definition of guideline might be clarified at this point. This is not a cookbook on how to design and operate a performance appraisal, promotion and placement program. The administrative and technical detail involved would be beyond the scope of any brief document. It is assumed that police agencies and personnel or civil service agencies have similar personnel procedures. This document is intended to assist police and related personnel or civil service agencies to improve existing practices. This is accomplished by providing background information about performance appraisal, promotion and placement technology and making specific recommendations for improvement of systems which typically exist. "How-to-do-it information" is included where a brief explanation is sufficient. Police and civil service managers concerned with police personnel matters should be able to apply these guidelines to performance appraisal, promotion, and placement problems.

In using this document, each of the three major sections can be considered independently. Thus if the reader is concerned about promotion policies, he can turn to that section. Similarly he can turn to the section on performance evaluation or placement.

Each section contains two kinds of information. First, the area in question is discussed based upon an analysis of the existing technology and upon the results of the survey of police agencies conducted by the authors. Here, examples of both standard and unusual approaches are presented and examined. In many cases, considerations pro and con for each issue are raised. Second, specific recommendations are

listed at the end of each section and commented upon briefly. These recommendations assume that the police department already has or is prepared to utilize performance measures, promotion systems, and placement approaches similar to those which exist among the better police departments. The recommendations presented are conclusions based upon a study of the current technology and existing practices as feasible guidelines for use today.

#### IV. THE SUBSTANTIVE AREAS.

##### Performance Appraisal

Performance appraisal refers to the description and evaluation of the field performance or on-the-job performance of the law enforcement officer. Performance appraisal is typically performed by an officer's supervisor who fills out a rating scale. This process may also be called making an efficiency report or merit rating. Performance appraisal can be categorized as being subjective (performed by a person making a judgement) or objective (performed by counting events such as arrests or citations). The reasons for making performance evaluations are numerous. For many departments, the primary purpose is to determine strengths and weaknesses of individual officers. For those performing at above average levels, it provides an opportunity for supervisors personally to convey their support for this superior performance. Verbal rewards act to reinforce and sustain these performance levels. For those performing at below average or unsatisfactory levels, it provides an opportunity for the supervisor to counsel the officer and to work with him in developing a program to overcome his weaknesses. Also it lays the explicit groundwork in case it becomes necessary to take actions for dismissal.

## Prediction of Performance

Performance ratings on current and recent job behaviors may not be maximally or directly relevant or useful for predicting performance on different or higher level assignments than those for which these ratings are made. What is required is modified use of the performance rating in addition to use of a great deal of predictive data. The performance rating is not to be ignored but only to take its place among a number of predictors.

The problem of choosing personnel for specialized, supervisory, or management assignments varies among departments as a function of many factors but mainly as a function of department size and complexity. Larger departments are likely to be more complex in terms of number of specialized jobs and ranks; such departments will have the most personnel decisions of this kind to make and candidates will be known to a limited number of persons. The influence of unions and civil service agencies and the legal relationship between a department and municipal, county, and state governments, impose practical restrictions on the personnel decision policies and methods of police departments but these factors can be changed when a need is demonstrated.

At the present time, police departments have a number of formalized procedures related to promotion but very few related to placement in specialized assignments.

## V RECOMMENDATIONS

In performance appraisal, behaviorally defined scales are particularly recommended. Objectivity and standardization of methodology should be striven for, although they cannot be perfectly attained. Performance

appraisal and probationary periods should not be matters of form but should be occasions for counseling, disciplinary action, training, praise, reward, demotion, dismissal, or what is called for by the situation.

For promotion in large departments, the successive elimination procedure, beginning with promotion potential ratings and testing, should be used. Tests should not be the sole determinant of promotion and placement and the practice of assigning readings for "cramming" study should be avoided. Practical situation tests, trials on the job, and special training courses should be standardized, but not rigidly so, and should make use of all of the objective data that can be obtained.

Small departments can eliminate the more impersonal instruments, such as pencil and paper tests, without much loss. They need to make particularly rigorous use of promotional potential ratings, work history, and interview procedures.

The references at the end of the guidelines are of two kinds. One kind provides expository and explanatory documentation of some of the better methodologies in modern use. The other kind refers to books and articles which may give more general guidance to administrators.

## GUIDELINES FOR POLICE PERFORMANCE APPRAISAL, PROMOTION, AND PLACEMENT PROCEDURES

### I. OBJECTIVES AND BACKGROUND

Police and civil service or personnel departments are continually concerned with assessing the actual or expected performance of police officers. Measurements of actual performance are needed for decisions as to retention or dismissal, eligibility for promotion, merit pay raises, design of academy and on-the-job training programs, and, perhaps, most importantly, providing each officer with information as to the adequacy or inadequacy of his performance. This feedback provides a basis for determining remedial training requirements or providing rewards, as appropriate. Measurements or measurement estimates of predicted performance are needed for decisions as to promotions and transfer (placement).

Currently there exists a wide diversity of performance appraisal and performance prediction (promotion and placement) procedures within police departments. They vary in complexity, comprehensiveness, and accuracy. Performance appraisal is typically controlled and conducted within police departments. Performance prediction for promotional purposes is controlled and frequently conducted by civil service or personnel agencies; however transfer procedures are typically handled within police departments. The involvement of civil service or non-police personnel departments has led to the establishment of fairly formal procedures for promotion. More variation is encountered in the case of performance appraisal and placement procedures where police management is freer to exercise its own prerogatives with respect to either innovation or complacency. While many departments are looking at ways to upgrade their performance appraisal procedures, relatively little is being done to provide improved, formal procedures for assigning personnel according to their interests, capabilities and future career growth potential. Among the exceptions is Los Angeles County Sheriff's Department. LASD, under an LEAA grant, is developing a career path guidance program in order to route optimally officers through various positions and assignments in terms of each officer's particular career objectives.

Currently, research efforts are underway to develop improved performance appraisal, promotion, and placement procedures. In the interim, the National Institute of Law Enforcement and Criminal Justice has prepared this set of guidelines, based upon a brief investigation, to assist police and related civil service/personnel agencies to improve existing performance appraisal, promotion and placement procedures.

The literature covering performance appraisal, promotion and placement functions has been reviewed and analyzed for material relevant to the police

situation. A survey made by Professor Frank Landy of Pennsylvania State University of personnel procedures of over 200 police departments throughout the country has been especially useful. In addition, the Institute has made its own survey of more than twenty police agencies which are among the best with respect to personnel practices according to a number of expert law enforcement consultants. These departments ranged widely in geographic location, size, and type of function (municipal police, state police, port authority police).

The results of this extensive data collection and analysis activity have been used to distill some of the best practices in the performance appraisal, promotion, and placement areas, and, in this document, to present them in a meaningful and useful manner. The next section describes in some detail how this document should be utilized.

These guidelines are primarily aimed at improving present practices. Thus, there is an intended minimization of attention to some of the more complex or novel procedures which are now being used or adopted by a few departments even though some of these may be quite good.

It will be noted that the recommendations with respect to placement are slightly more detailed than those with respect to performance appraisal and promotion. This is because placement procedures are somewhat less developed and formalized in most police departments and a little more guidance might be required. Not all police departments will be prepared to go to the level of effort outlined. In such cases, adopting only some of the recommendations may still be very useful; those of special concern will be commented on herein.

Improved methods of performance appraisal, promotion, and placement have an additional importance, somewhat separate from those already mentioned. Their results provide the criteria upon which good selection procedures are based. Valid selection procedures have to predict which recruits will be the best policemen in terms of performance, promotion, and assumption of responsibilities in important specialist positions. If the procedures used to decide upon performance appraisal, promotion, and placement are not valid, then the selection instruments used to predict them cannot be valid. Improvement of performance appraisal, promotion, and placement procedures now will make possible the development of better selection procedures in the future.

In summary, these guidelines reflect some of the best existing performance appraisal, promotion, and placement procedures being utilized today. Police and civil service/personnel departments can expect to achieve improved results in these areas without a major commitment of funds or manpower by adopting some of these guidelines. This document will fill a gap until current research is completed and made available to the police community.

## II. HOW TO USE THIS DOCUMENT

This document provides police department and associated personnel or civil service agencies with information covering three important areas related to personnel management. These areas are performance appraisal (measuring a man's current on-the-job performance), promotion (estimating a man's performance in a higher rank/position), and placement (estimating a man's performance in a different job/position from the one he is currently occupying).

The emphasis is upon the patrolman position. For promotion, this usually means a move upward to corporal or sergeant. For transfer, this means a move laterally to investigations, technical support or the like. Although the emphasis is directed at the patrolman, it is believed that these guidelines are applicable to other rank/positions as well. In some cases, remarks will be specifically addressed to other positions.

The definition of guideline might be clarified at this point. This is not a cookbook on how to design and operate a performance appraisal, promotion and placement program. The administrative and technical detail involved would be beyond the scope of any brief document of this type. It is assumed that police agencies and personnel or civil service agencies have similar personnel procedures. New and better ones are currently being developed. This document is intended to assist police and related personnel or civil service agencies to improve existing practices as an interim action. This is accomplished by providing background information about performance appraisal, promotion and placement technology and making specific recommendations for improvement of systems which typically exist. "How-to-do-it information" is included where a brief explanation is sufficient. Police and civil service managers concerned with police personnel matters should be able to apply these guidelines to performance appraisal, promotion, and placement problems.

In using this document, each of the three major sections can be considered independently. Thus if the reader is concerned about promotion policies, he can turn to that section. Similarly he can turn to the section on performance appraisal or placement.

Each section contains two kinds of information. First the area in question is discussed based upon an analysis of the existing technology and upon the results of a survey of more than twenty police agencies personally conducted by the authors. Here, examples of both standard and unusual approaches are presented and examined. In many cases, considerations pro and con for each issue are raised. The second type of information is presented at the end of each section. Here, specific recommendations are listed and commented upon briefly. These recommendations assume that the police department already has or is prepared to utilize performance measures, promotion systems, and placement approaches similar to those



which exist among the better police departments. They are based upon a study of current technology and practice.

The references provide sources of detailed information for those agencies that wish to become more deeply involved in any specific area. For example, for those who might wish to perform a job analysis of their department's operations, there is a reference to a document which describes this process in detail (5). For test and item selection, and general evaluation methodology, see references: (1, 3, 7, 8, 9, 10, 11, 12, 13, 14).

### III. PERFORMANCE APPRAISAL

Performance appraisal herein refers to the description and evaluation of the field performance or on-the-job performance of the law enforcement officer. Performance appraisal is typically performed by an officer's supervisor who fills out a rating scale. This process may also be called making an efficiency report or merit rating. Performance appraisal can be categorized as being subjective (performed by a person making a judgment) or objective (performed by counting events such as arrests or citations). The reasons for making performance evaluations are numerous. For many departments, the primary purpose is to determine strengths and weaknesses of individual officers. For those performing at above average levels, it provides an opportunity for supervisors personally to convey their support for this superior performance. Such verbal rewards can act to reinforce and sustain these performance levels. For those performing at below average or unsatisfactory levels, it provides an opportunity for the supervisor to counsel the officer and to work with him in developing a program to overcome his weaknesses. Also it lays the explicit groundwork in case it becomes necessary to take actions for dismissal.

Although the foregoing approach is an important and very useful one for performance evaluation, it covers but one aspect of the problem. It is felt that a man's performance at his job should be a key element in deciding on eligibility for promotion and in placement and merit pay raises.

While it is trite to say so, it is still true that the best predictor of future performance on any given task is past performance in the same task. It is not the only one of course. One of the difficulties has always been to get accurate measures of performance. Also, given good or even adequate measures of performance, it is important to make proper use of these measures for career decisions. To do this, both quantitative and qualitative information are needed. Thus we get into the position of comparing one man against another.

Many police departments use graphic rating scales to measure on-the-job performance. Only a few use other subjective techniques such as checklists

or special scales such as forced-choice, paired-comparisons, or critical incident behaviorally anchored scales (really a special version of a graphic scale). The special scales will be discussed later.

Virtually no police department relies exclusively on objective performance measures to evaluate its officers. The main difficulty with objective measures is that they are almost never entirely objective or relevant. There are nearly always ambiguities which require interpretative, and hence subjective, intervention by some person. The ambiguities may arise by reason of differential opportunities for displaying certain behaviors leading to objective, measurable outcomes, or because apparently similar behaviors have different meanings in different contexts.

The subjective component of an ostensibly objective measure may arise when it is first observed and recorded or when the recorded measure is interpreted for incorporation into a quantitative score. Probably none of the objective measures in use today for development of objective scores are entirely unambiguous. What must be done, if objective measurements are desired, is to find new, objective, measures or to devise standardized and systematized ways of handling such measures so that the subjective or interpretative component is reduced almost to zero.

In developing an ideal objective procedure, it would be necessary to inventory and categorize every possible type of objective fact and the situations and circumstances of occurrence. If this were done for a particular category of events, a scheme could be developed for scoring it under every possible situation or circumstance of occurrence. Thereafter, whenever that particular type of event occurred, the model or scheme could be consulted and the score determined accordingly.

The foregoing model, for a particular type of information such as "number of arrests", would have to allow for opportunity of occurrence and for all of the possible types of contexts and dimensions of occurrence. A formula for converting occurrences into scores would have to be written. This is theoretically possible and it may be desirable but it is extremely difficult and complex. Each department would have to build a set of formulas for itself and it is beyond the scope of this paper to present guidelines for this approach.

#### A. Subjective Measurement - Practices Presented and Discussed

The basic factors that must be considered in the subjective performance measurement area are the following; (1) the measurement scale; (2) the information source for scales; and (3) the procedures by which the scales are used. Each of these factors will be considered in turn.

## 1. Measurement Scales

Most existing subjective measurement scales used by police departments are graphic rating scales which list a series of fairly general dimensions of work performance characterizing all jobs at all levels. These dimensions frequently include the following: reliability; dependability; communication skills; report writing; attendance; job attitude; quality of work; cooperativeness; etc. Sometimes these are further sub-divided, for example, quality of work into timeliness, thoroughness and organization. Each dimension is scaled and the rater indicates by means of a check mark, the level of performance of the ratee. The scale may be continuous or divided into sections. It may have numbers at varying points along the scale, brief narrative descriptions of each scale interval, or both. Figure 1 shows some typical examples of a commonly used rating scale dimension of "reliability".

Rating scales which are based upon an analysis of a particular department's own tasks and functions make the rating process more meaningful to the rater and to the ratee than do scales which are not so based. Particularly they permit the rater to utilize his knowledge of how the ratee has performed at specific job behaviors as a basis for evaluating the ratee rather than having to translate such job behavior into a general trait dimension and then to evaluate the individual on that general dimension. This situation should produce both more reliable ratings and more accurate ratings than would be expected from the more traditional rating scale dimensions. An example of a hypothetical job behavior dimension for a department is shown in Figure 2.

In Figure 2, the various points along the scale are fairly completely defined. The scale dimension name might also be more completely and specifically defined if it is too broad. Additional information would more clearly define the dimension for the rater. Thus, the term "Family Crisis Intervention" could be followed by some explanatory terminology to make it more easily understandable.

The Ohio State Highway Patrol has, for many years, been using forced-choice and forced ranking rating scales. Items from these scales, which are based upon an analysis of the specific tasks and functions of the Ohio State Highway Patrol, are shown in Figure 3.

For a forced choice item, the rater chooses the two statements out of the four which he considers to best describe the ratee. For a forced ranking item, the ratee ranks the statements, by circling appropriate numbers, according to how well they fit the ratee. In either case, all or none of the statements may seem to be highly appropriate to the ratee but the rater is forced to make a choice or a ranking.

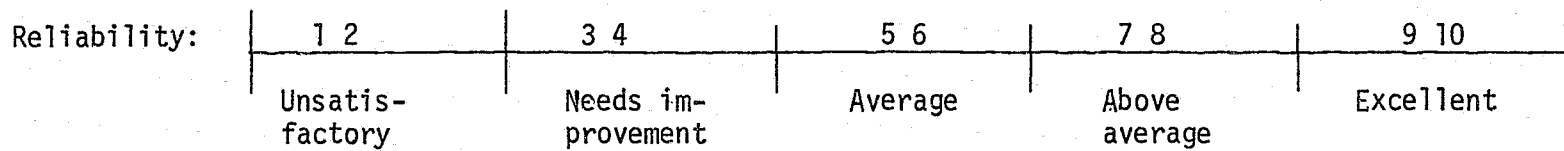
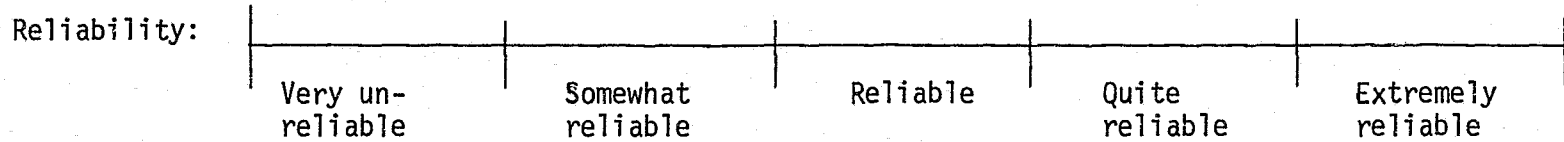
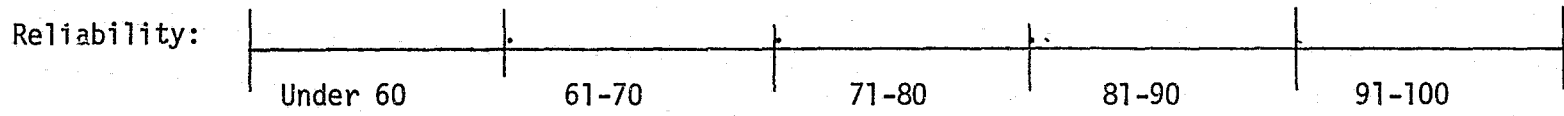


Figure 1. Three examples of a scale to rate "Reliability".

Family Crisis Intervention:

Likely to escalate the situation so that one participant is physically harmed or the officer himself is physically harassed.	Generally gets the crisis stopped although help may be required. Usually one of the participants is still "hot" at the end.	Usually resolves the situation after some minor difficulties. Participants generally mollified at the end.	Resolves disturbance without outside assistance and calms down both parties so that they are able to carry on reasonably well
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Figure 2: Scale Based on Analysis of Department Function

Forced Choice Item

- a. Regards his job as a great responsibility instead of a money paying job.
- b. Squelches rumors which tend to demoralize the department.
- c. Takes criticism in the proper manner.
- d. Never appears "down in the dumps".

Forced Ranking Item

- a. Makes callers feel that their problems are of major importance. . . . . 1 2 3 4
- b. Not a clock watcher . . . . . 1 2 3 4
- c. Rifle and revolver always clean and ready . . . . . 1 2 3 4
- d. Has a thorough knowledge of his work . . . . . 1 2 3 4

Figure 3. Ohio State Highway Patrol, Forced Choice and Forced Ranking Items.

All of the statements look like favorable ones but analysis has shown only some of them to be indicative of differential performance. The scale was developed to give higher weight to the predictive statements.

The rater then is in the position of not having to evaluate the individual. Instead he indicates that behavior which is most descriptive of the man. Since the supervisor doesn't know the right answer, that is, the choices that will give the ratee the highest score, he is "forced" to select the statements objectively. Since the statements themselves are based upon an analysis of the department tasks and functions, the supervisor is able to make reliable and accurate judgements as to which behaviors are most representative of the man being evaluated. This system does have one obvious disadvantage from the viewpoint of the supervisor. He cannot insure that the man he "feels" is best will get the best rating. For this reason, however, the man being evaluated may prefer such a system since it helps to reduce the effects of personal bias on the part of the supervisor which is often at the heart of the problem of most rating scales.

Another approach is the development of behaviorally anchored performance scales which are based upon critical incident-type job behaviors. An example of such a scale is included as Figure 4, taken from some preliminary work being done by Personnel Decisions, Inc.

Here the dimension "Using Force Appropriately" is described in behavioral terms. Each paragraph or point on the scale is "anchored" by concrete, specific narrative descriptions of a police officer's possible behaviors in such a situation. The descriptions are developed by means of a complex job analysis procedure.

While these scales do not obviate all of the problems associated with rating scales, they do offer an approach which is more acceptable to many supervisors, which is considerably more reliable and accurate than typical rating scales.

Similar scales are currently being used by the Lakewood, Colorado, Department of Public Safety. The statements along a scale are in terms of behaviors that can be "expected" of the ratee. One such scale is shown in Figure 5. It will be noted that statements are placed, alternately, on each side of the scale line. The ratee must place a check mark on the side opposite the most appropriate statement and write a statement in that space in order to supplement and further explicate the statement to which it corresponds.

USING FORCE APPROPRIATELY

(keeping one's "cool" under pressure or personal abuse; utilizing the correct amount of force to resolve an incident.)

Read up from the bottom to the last story you could say is representative of the patrolman's "best" performance. Write the word "best" in the blank beside it.

A deskman calmly convinced a man who was pointing a rifle at him to hand it over rather than shooting the man when he had the chance.

---

In a fight with a traffic violator, the violator knocked one officer down, took his revolver, and shot six shots at the officer's partner, hitting him four times. The wounded officer pilled his revolver and drew a bead on the violator, who then threw the empty gun down and raised his hands. The wounded officer did not fire, but instead kept the violator covered until he was in custody.

---

An officer stopped a car for a traffic violation and the driver assaulted the officer with obscenities and verbal abuse. The officer wrote the tag and calmly explained why the man got the tag and how he could handle it, still amid a barrage of obscenities.

---

The officer grabbed the arm of a girl attacking her boyfriend with an ice pick, narrowly saving him. The officer was then assaulted by her, and had his shirt ripped by the ice pick before he struck her in the head with his gun to subdue her.

---

The officer waited for two young men who had been rowdy and noisy in a restaurant to come back to their car to pick them up. He took them to a dark area several blocks from their car, kicked them in the ass, and told them to walk back to their car. He also said that they should stay out of the area, because their kind weren't needed.

---

While taking a very hostile and belligerent man to jail, the officer purposely threw him against the wall.

The officer slapped a man who was pestering a bartender to sell him a drink after hours.

---

A man stopped after being chased at high speed. Even though the situation was in hand, an officer from a second squad which pulled up began beating the man.

---



Could be expected to thoroughly handle such case assigned checking all sources of information; takes care in the collection and preservation of evidence; is familiar with all procedures for followup investigations; strives to become professionally qualified in a particular field; constantly strives to become more effective in everything from patrol to homicide investigation.

Could be expected to handle all assignments and be able to effectively use the skills of experts in such fields as ballistics, chemicals, and handwriting.

Could be expected to handle all technical areas to the best of his ability, seeking help when needed; recognizes his strengths and weaknesses and seeks to improve.

Could be expected to demonstrate a working knowledge of: accident investigation techniques, camera use, traffic procedures, officer-violator contacts, case filing procedures, arrest and restraint procedures, evidence preservation techniques, criminal investigation procedures, and radio procedures.

Could be expected to carry out required activities in a team situation or under some direct supervision. Must be reminded of total implications of his actions as a police agent. Competent to perform tasks, but seldom seems to recognize value of thorough work.

Could be expected to go through the motions of patrol procedures, but often fails to recognize criminal activity; occasionally mishandles criminal evidence; might be expected to do poorly in some specific skill such as fingerprinting or breathalyzer use.

Could be expected to be unable to properly identify criminal activity; also unable to effectively identify, collect, or preserve criminal evidence; unable to handle non-criminal and administrative functions.

Could be expected not to possess the practical knowledge to handle major investigations; seems unaware of basic patrol functions and techniques.

TECHNICAL COMPETENCE

Figure 5. Example of Lakewood, Colorado D.P.S. Rating Scale

2. Information Sources (observers and observational situations)

The second element in the performance evaluation process is the source from which information about a person's performance comes. This source is usually observations made by a supervisor and will be referred to that way hereinafter except when specifically discussing other sources. The objective of a measurement procedure is to extract reliable and accurate information about an individual's work performance from a person who has observed that performance. However, observers vary in many characteristics, including their personal biases and desire to do an objective evaluation. Frequently a supervisor may not have the necessary information to evaluate an individual on certain performance dimensions. This section will describe some of the more important problems of information sources and will suggest some of the methods that are being utilized to overcome these problems.

a. Knowledge of person being evaluated

The supervisor must have direct or good indirect information as to the job behaviors which are being measured. As measurements during the probationary period are especially critical, police departments will frequently assign senior patrolmen to new recruits during their academy period and during their initial on-the-job period. Those assigned are sometimes specifically trained officers having a training function. Part of their preparation should be in how to evaluate new officers. Regardless of the formal relationship between the supervisor and person being supervised, no one can make an accurate performance measurement unless he has had the opportunity to observe a person in a variety of situations which are related to the performance scale dimensions. Police departments must purposely arrange for this interaction to occur during this initial try-out period. The supervisor must have the opportunity to acquire knowledge of the job behavior of the new man or the measurement process becomes a meaningless exercise. Some departments arrange for the probationary officer to be assigned to several different functions during this period, such as traffic, investigations, vice, community relations as well as several varied patrol assignments. This procedure assures that the new patrolman has the opportunity to participate in many diverse tasks and to be observed during these situations since he is always assigned to work with more senior officers at this time.

b. Relationship of the observer and person being measured

Typically the information source is the supervisor of the person being measured. Sometimes there are several supervisors as when a man is working various shifts under different sergeants, or where the man is evaluated by more than his direct supervisor. An example of this is evaluation of a patrolman by his lieutenant and captain as well as his sergeant. To the extent that these individuals have the information to judge the officer accurately, the use of more than one supervisory level can be useful to improve performance measurement reliability (that is consistency) and accuracy.

Police departments might well consider the use of peers (officers

at the same level as the one being evaluated) particularly during the probationary period although this might be equally useful periodically after probation. The peer procedure assumes that associates of peers have considerable opportunity to observe the work activities of fellow officers and can make accurate estimates as to the level or quality of that work. During probation, fellow officers have many opportunities for observing the behavior of new officers. Peer measures could be used for assessing an officer's maturity and adjustment as well as performance. This procedure is in fact used by the Los Angeles County Sheriff's office during the time spent in the training academy. The administrative problem for routine use after the probationary period would be selection of those patrolmen who have the maturity and willingness to make such measurements. Problems to be overcome would include means for preventing an officer from evaluating his buddy and eliminating from the peer's mind the implication of informing on a fellow officer. The advantages are that supervisors, particularly in police departments, don't always have the opportunities to observe all of the varieties of job behaviors that a patrolman might exhibit. The Chicago Police Department used evaluation by peers as part of a research study to develop and validate a patrolman selection device. The results of this study (2,6) suggest that peers can measure reliably those performance dimensions which are conventionally measured by supervisors and that such measurements also contribute unique information about the person being evaluated.

To obviate other administrative problems in utilizing peers, special performance scales might be prepared for peer evaluators. Such scales would be designed to require the peer rater to rank order his associates from top to bottom on each performance dimension rather than to allow him to make absolute judgements which might result in everyone being placed at the top of the performance scale.

Self measurements may also be useful. Measurements made by the person being evaluated on his own performance can provide useful information as to how an individual believes he is performing. In conjunction with a supervisor's measurements, a comparison of the two results would provide the supervisor with considerable insight as to the perception by the patrolman of his own performance as well as to suggest where the supervisor may have been too high or too low.

c. The number of supervisors

As stated before, individual supervisors frequently tend to be biased. Some routinely evaluate individuals low on various performance dimensions while others routinely evaluate individuals high. Some place everyone near the average level while others use the extreme values routinely. These differences occur for many reasons; among the most obvious are the different criteria each supervisor uses for each dimension; personal bias for or against the person being evaluated; and differences in the opportunity to observe the officer. Personnel books can list many more reasons. The utilization of more than one supervisor for each person being evaluated reduces the effect of a single supervisor's bias. The more supervisors involved in

this process, the greater the likelihood that individual idiosyncrasies will be averaged out. However, the addition of supervisors who are not knowledgeable about the officer in question does not contribute toward a more accurate rating so that the selection of such raters must be made in terms of who is qualified to evaluate. If only one person is so qualified, only one person should make the evaluation.

### 3. Procedures for using subjective performance scales

The combination of an information source with the performance scale in order to produce an accurate measurement of an individual's performance requires that certain procedural conditions be met. This section will discuss some of the more critical procedural elements. While some of these may be obvious, this does not lessen their importance in attaining accurate evaluations. These procedures are the following:

- a. Training/orientation of the supervisor.
  - b. Frequency of the measuring process.
  - c. Methods for equating measurements from more than one supervisor.
  - d. Review and sign-off procedures.
  - e. Participation by the person being measured.
  - f. Appeal procedures.
  - g. Special procedures for reducing supervisor bias.
- a. Training/orientation of the supervisor

Most departments have a set of instructions, either as part of a supervisor's manual or as part of the performance appraisal package, which is often the primary, and sometimes the only, preparation a supervisor is given prior to using a performance scale. Although this information may be clear and adequate for instructing the supervisor in his task, there is no guarantee that he will read and follow the instructions. It is necessary that a supervisor who is going to make a performance rating (and most supervisors make many ratings) be required to understand the importance of the measurement task and the impact that his evaluations will have on the persons being evaluated. In addition, he should be briefed on the performance scale dimensions, the standards for scoring each dimension and methods for minimizing personal biases. Standards for measurement should be repeated in the printed instructions. The District of Columbia's Metropolitan Police Department performance rating form includes information as to how the rating responses should be distributed by comparing each level in the scale with the number of officers out of a hundred that would normally perform at that level. Thus for an outstanding rating on a particular dimension, only one officer out of a hundred would be expected to perform at the outstanding level. At the excellent rating level, thirteen out of a hundred would be expected to perform at this level (see section g). Standards need to be continuously brought to the mind of the supervisor as it is very easy to utilize one's personal standards which tend to vary from time to time. At the same time, standards must be developed in light of the situation for which they are used. A small highly select group of tactical patrol officers, may in fact contain a large

proportion of top performers. Above average (though not superior) officers would suffer by comparison in such a group. Thus, standards should be continuously monitored, and modified where the situation warrants it.

Training of the supervisor might very likely include a session in which the supervisors evaluate some commonly known individual (not necessarily a policeman) in order to bring out forceably, to those being trained, the widely divergent results which can occur. Analyses of prior performance evaluations made within a department may be useful for this purpose.

In summary, each police department should sponsor and support a training/orientation session for each supervisor, conducted by someone with authority and familiar with the problems of, and procedures for, achieving objective evaluations. This session should provide the supervisors with explicit standards for making more reliable and accurate evaluative judgements.

b. Frequency of the evaluation process

Performance evaluations should be made on each officer past probation at least once a year. Twice a year is a preferred rate. The latter frequency provides formal feedback to the officer sufficiently often to provide the needed guidance for those under par and to sustain the morale of those above par. Measurement every six months also insures that the performance information is timely for potential decisions as to promotional eligibility, transfer, or dismissal. Some consideration might be given to scheduling evaluations at irregular intervals while maintaining this schedule. Performance measurements should always be made whenever someone is transferred to a new position or promoted.

During the probationary period, performance evaluation frequency should be high. Monthly evaluations for new officers are frequently utilized and are very useful to provide continuous feedback to the officer during this critical period. For those who are probationally promoted to sergeant or higher positions, such a high frequency is not necessary and performance evaluations might be made at three or even at six months intervals until probation is over. In most departments, men are rarely demoted to their original position. If good selection procedures are used, and if the prior performance of a man is carefully considered, promotions should work out satisfactorily. Nevertheless the possibility exists that a man may get "over his head" as a consequence of a promotion so that performance ratings should be as carefully made during this period as for a new officer.

c. Review and sign-off procedures

Almost every police department has someone, usually the supervisor's immediate superior, review the performance evaluations. This person usually signs the performance evaluation form along with the supervisor. It is

encouraged that this occur because it is one way to reduce supervisor bias.

The primary function of the reviewer is to insure that the performance evaluation is done on schedule and is complete and reasonable. The reviewing process insures that more than one person is involved in the performance evaluation process; this may result in more complete acceptance on the part of those being evaluated.

However, the review must be meaningful to be useful. The reviewer must read all of the measurement scores for each officer being evaluated rather than just sign the form. Here, as with the supervisor, procedures must be established and followed by the department to insure that reviewers are informed as to their job and have the appropriate information for carrying it out. At the time that the supervisors are being trained, it would be appropriate to include the reviewers if this is feasible. If not, a special training/orientation session should be held periodically for reviewers.

The use of additional levels of reviewing is warranted only to the extent that additional reviewers can meaningfully evaluate the performance measurements. A sign-off by the commanding officer or police chief may be warranted instead of a review. This sign-off would be to certify that the supervisor and reviewer had completed the form on schedule, and if appropriate, that the officer being evaluated had seen the results and agreed with them (this last topic will be discussed in detail later). A sign-off is not a review; rather it is principally an administrative tool.

d. Methods for equating evaluations from more than one supervisor or groups of supervisors

Within a department, one can adjust performance measurements in order to try to minimize the bias effects of individual supervisors or even groups of supervisors.

In the case of individuals, one can look at the average summary evaluations for each supervisor. If supervisor (A) has an average of 85 while supervisor (B) has an average of 75, one would suspect the operation of bias on the part of at least one of the supervisors. This conclusion is based on the assumption that if the number of persons being evaluated in each group is large, the overall performance of each group should be approximately the same. If a review of the two groups reveals that they are generally equal; the reviewer could then raise everyone in the low group by 10 points or lower everyone in the high group by 10 points. If the reviewer feels that the two groups are indeed different, and has confidence in the objectivity of each supervisor, he will leave the evaluations as they are. The basic principle here would hold for any number of supervisors, of course. However, for a large number of supervisors, a mean for all of the supervisors could be calculated, and discrepancies from this mean considered in a similar manner.

e. Participation by the person being evaluated

The most important element in the performance evaluation process is the officer being evaluated. One of the more useful results of the evaluation process is to inform the officer being evaluated as to his performance level, both in terms of his strengths and weaknesses. In the case of his strong points, this represents an opportunity for his supervisors personally to acknowledge his superior efforts formally, or in the case of his weak points, to work with him in developing a training program to bring his performance up to par in those areas of deficiency.

One basic question is whether the person being evaluated should have access to the performance evaluation results and what input should he have on them, if any. Since the performance measurement process requires a close relationship between a supervisor and an individual, we suggest that the individual should review his performance evaluation with the supervisor prior to the reviewer seeing the evaluation. At this point many misunderstandings may be resolved. After meeting with the supervisor the individual can indicate his agreement or disagreement when he signs the form. This procedure indicates to the reviewer whether or not there is a potential problem. If the individual is in disagreement with his supervisor, the reviewer may be able to arbitrate the situation or he may forward the appeal onward through channels. A disagreement also alerts the reviewer to consider whether the supervisor may be biased and whether he should compare this supervisor's evaluation summaries with those of other supervisors.

It is important to realize that all evaluations, even those made by well intentioned and well trained supervisors using performance scales which accurately reflect the major job dimensions in a job position, are subjective and are susceptible to the problems discussed above. Some procedure is necessary for the subject of the evaluation to record his disagreement to insure at the minimum further review of the evaluation.

f. Appeal procedures

A formal procedure is necessary to handle situations where an officer appeals his performance evaluation. Appeals will most often occur where the evaluation has some impact on the individual, such as stopping a pay increase, disqualification from taking promotional examinations, or being partial or complete grounds for dismissal. Usually a city or state government will have standardized appeal procedures which apply to promotions which are typically controlled by personnel or civil service procedures. Since performance ratings are typically handled internally by police departments, more variations in appeal procedures may occur.

Usually, an officer appeals up the chain of command to, ultimately, the chief. Normally, if an appeal is successful, it is successful at the supervisor or reviewer level. It is at these levels that knowledge of an officer's job behavior exists and may be utilized to change a performance

measurement. If the appeal goes beyond the reviewer, then the only charge that a police manager can react to is prejudice or malfeasance on the part of the supervisor, regardless of the actual truth of the appeal. Since these charges are difficult to support, an appeal is frequently denied at the higher levels.

Nevertheless it is important to have a formal channel for handling performance evaluation appeals. Supervisors and reviewers should be encouraged to resolve performance measurement disputes if possible at their level. It should be made clear to those challenging their performance evaluations that the challenging officer is probably going to have to prove prejudice or malfeasance on the part of the supervisor if it goes to higher levels. Since this possibility does exist, the appeal should be investigated by police management. A board of appeals which includes members from the various ranks (including patrolman) as a final authority may be an acceptable and objective way to make final resolutions of these types of problems.

The performance evaluation is important to the person being evaluated. It should be treated with respect by those charged with seeing that it is properly applied and utilized. Formal appeal procedures constitute an important element in any performance evaluation process.

g. Special procedures for reducing supervisor bias

There are a number of rules or procedures for attempting to reduce or minimize supervisor biases. Some of those that seem particularly relevant for police departments are summarized below.

(1) Inclusion of standards on each performance scale, similar to the D. C. Metropolitan Police Department. See Figure 6.

The D.C. scale utilizes a normal distribution, that is, as many men are at the high end of the scale as are at the low end. An alternate approach would be to utilize a distribution whereby more officers would be placed at the high end of the scale. This distribution assumes that there are more good officers than poor ones, a reasonable assumption.

The number of marks (representing policemen) in each scale division indicates how many officers out of a hundred are able to perform at that level. Thus, when a man is placed within one of those scale divisions, his performance level relative to other police officers is clearly indicated.

(2) A supervisor might evaluate a single performance dimension for all officers being evaluated before proceeding to the next dimension rather than measuring all performance dimensions on one officer before proceeding to the next officer. Thus, he would judge each of his officers on "exercise of judgement in eliciting information from witnesses" before proceeding to the next dimension. This technique enables the supervisor to keep the relevant performance dimension in mind as he proceeds through each officer, thereby,



1	11	1111 111111	11111111111111111111 11111111111111111111111111 11111111111111111111111111	1111 111111	11	1
<input type="checkbox"/> Unsatis- factory	<input type="checkbox"/> Marginal	<input type="checkbox"/> Below Average	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Effective and Competent	<input type="checkbox"/> <input type="checkbox"/> Excellent	<input type="checkbox"/> Except- ional	<input type="checkbox"/> Out- standing

1 = one policeman

Figure 6. Standards for Rating Scale (Adapted from Government of the District of Columbia Police Department. pp. 62, Rev. 5-2-66).

(The distribution of "ones" above the scales helps the supervisor to distribute his ratings realistically).

hopefully, reducing the chances of personal bias affecting all the measurements of any one officer. The supervisor "set" or orientation is toward a specific performance dimension, rather than toward a specific individual. This technique is more cumbersome than evaluating one person completely before evaluating the next person but may be worth the added effort to attain more accuracy.

(3) Require that extreme scores, either high or low, be justified by a narrative description of the score. Many police departments use this scheme. Generally it tends to reduce extreme scores because of the added effort required to prepare the narrative. However, for this reason, scores may tend to get grouped around the average values if care is not taken to insure that a normal distribution of scores is maintained. If a supervisor has no extreme scores out of 20 or 30 officers evaluations, the reviewer should check to insure that the supervisor was not trying to speed up the evaluation task rather than measuring the actual performance levels among his men. The narrative also forms a basis for handling appeals as it is the extremely low scores that are appealed. The requirement to provide a narrative basis for a low score allows a ratee to see specifically why he is being downgraded, and provides a more adequate basis for deciding whether to follow through with an appeal or not.

#### B. Objective Measurement

It would be convenient if one could place some sort of meter onto a police officer to record and count significant tasks that the officer performs in his job each day. Such a meter might be used to measure the officer's performance. Obviously we have no such meter. We do have readily available indicators of "objective" events contained in police personnel folders. Such objective data frequently include the following: number of arrests (total, felony, misdemeanor); number of traffic citations; number of awards or citations; number of disciplinary actions; number of citizen complaints; attendance; tenure, etc.

It is obvious that the particular geographic area that a patrolman covers will have a major effect upon such measures as arrests, citizen complaints, and traffic citations. Tenure is frequently used as an indicator of performance (or survivability) but it certainly would appear to have limited utility after an officer had spent more than a minimum of time on the force (say one year) where he would be expected to have achieved a stable performance level. Attendance may reflect a man's health; it is not necessarily related to how well he can perform (although, obviously, if he is not on duty, his performance level is zero for that period of time).

Because of the limited usefulness of available objective data, it is not recommended that such data be used in isolation to evaluate on-the-job performance. However, such data in the hands of a knowledgeable supervisor can be useful to him in arriving at subjective estimates of an officer's performance. A supervisor can take into account variations in situations, and

use such data to refine his performance measurement estimates. Thus, objective data can be employed as a useful adjunct to a supervisor making ratings; it cannot substitute for such ratings. Beyond this, the use of objective data for the sake of objectivity would require the development of models and methods as discussed earlier.

### C. Recommendations for Post-Probation Performance Evaluation

These recommendations are primarily directed at improving existing practices without involving major changes or new developments. They do not concentrate on some of the current practices which are technologically sophisticated and may have excellent potential but require major implementation efforts. They emphasize the improvement of the graphic rating scale approach, common in most departments, and which, if properly designed and utilized, is reasonably effective.

It is also felt that performance evaluation can be a contributing input for various career actions for a police officer, particularly promotion eligibility and placement. This paper is concerned with a graphic scale that includes quantitative indices as well as qualitative information, since quantitative data can be easily and directly used.

First rating scales will be covered; then the rater, and finally the procedures for using the rater and the rating scale to produce accurate performance evaluations.

#### 1. Performance Rating Scale

a. Performance scale dimensions should be based upon specific job behaviors or tasks of police officers in a department.

Few departments use specific job behaviors as performance dimensions. Job analyses can be used to generate specific job performance dimensions. Such dimensions can be used in addition to, as well as in place of, the more typical personality and general performance dimensions such as reliability, cooperativeness, etc.

b. Each performance scale dimension should be carefully and unambiguously defined. Short sentences or even brief phrases should be used to define each dimension.

c. Each performance scale dimension should be scaled numerically, defined by a brief phrase, and should include expected standards. A scale as the one in Figure 7 might be used for each performance dimension.

d. Each performance scale dimension should be weighted according to its importance.

High performance on one performance dimension is not

Performance	60 and Below	61-70	71-80	81-90	90-100
Dimension	Performs task quite marginally	Performs task poorly	Performs task adequately	Performs task very well	Performs task in a superior manner
Distribution	3 policemen out of 100 here	17 policemen out of 100 here	60 policemen out of 100 here	17 policemen out of 100 here	3 policemen out of 100 here

Figure 7. Performance scale with distribution

necessarily of the same value as the same performance level on a different performance dimension. Each dimension should be weighted according to its importance or criticality on a numerical scale. When weights are not used, the result is to make each dimension equal in its contribution to overall performance assessment. Also, the greater the variation among personnel scores in a particular dimension, the greater the advantage in using weights.

e. Narrative material should be prepared supporting all ratings given at the extreme ends of each performance scale dimension.

Typically this would be for each performance scale dimension defined as unsatisfactory and outstanding. Supervisors should be expected to have a certain number of such cases; if a supervisor did not use the extreme categories, the reviewer should determine whether this is due to the intent to avoid the task of preparing the narratives or really is indicative of the performance distribution of the men working for that supervisor. As a less desired alternative, narrative material might be required only for summary ratings that fall into the extreme categories. Thus if only one performance dimension was rated as outstanding, this would not have to be justified if the summary was less than outstanding.

f. There should be a summary rating at the end of the rating scale expressed both accurately and descriptively.

After weighting each dimension, a numerical average can be computed for all performance dimensions of each ratee. The resulting score will indicate which descriptive category the ratee falls into, for example, unsatisfactory or average. The individual scores can be used for counseling and as a basis for remedial training. The summary score can be used for decisions on promotional eligibility, pay raises, dismissal, etc.

## 2. The Rater

a. One of the raters should be the immediate supervisor of the ratee.

A rater should have several months experience in supervising or working with the ratee. A rater may wish to obtain objective data from the ratee's personnel file to assist him, but he must have some direct information as to the ratee's performance. Otherwise the rating process should be postponed until this information can be obtained. Raters should not rate performance dimensions where they have no information. Inaccurate ratings are worse than no ratings.

b. The rater should receive special training before being permitted to rate anyone.

The rater should not be given a set of rating forms and told to rate his men, even if thorough instructions are included as part of the printed materials. Each rater should attend at least one training session devoted to

methods for conducting accurate ratings. The instructor should be someone knowledgeable in the overall rating process and preferably, a member of the police department. The training session should have the direct backing of the chief. The content of the training session should include ways to avoid bias as well as information about the scales, standards to be applied and procedures for using the scales.

- c. The rater must be motivated to make accurate performance ratings.

A typical complaint of many supervisors with respect to performance evaluation is the excuse that "it takes too much time." This type of reaction reflects the problem of having to perform a task that may be unpleasant (if an officer is performing below standard) and difficult, at best. This tendency must be overcome. The primary way of doing it is for the police chief and the police department to make this process a high priority one. It is not possible to tell a department how to instill this into its supervisors as there are as many ways as there are good police managers. Two basic factors to be emphasized are the importance of an accurate evaluation for each ratee's career (pay raise, promotion, etc.) and the importance of accurate ratings for the supervisor's own performance evaluation.

### 3. Rating Procedures

- a. Every officer should be rated every six months, and when he moves to a new assignment which involves a new supervisor.

New assignments include promotion as well as transfer within the department.

- b. All raters and reviewers should receive training in the rating process.

This training should cover, at the minimum, the following

- Ways to minimize personal bias
- Standards
- Narrative material to support extreme ratings
- Feedback review meeting with the ratee
- Clarification of the rating scale or other aspects of the rating process.

- c. All ratings should be reviewed by at least one person at one command level above the supervisor.

For a sergeant, this would be the lieutenant to whom he reports. The lieutenant should sign-off after reviewing each rating form. However, the basic responsibility for the accuracy should rest with the supervisor, not the reviewer.

d. The ratee should be permitted to see his rating and to indicate whether or not he agrees with it.

The ratee should review the rating before the reviewer sees it. At this time, the supervisor may wish to change a rating if there is a conflict. The ratee should sign the rating after indicating his agreement or disagreement.

e. Contested ratings should be handled by a formal process.

A police department should attempt to resolve a dispute internally. Outside agencies such as a civil service commission or the courts should be involved only as last resorts. Each department should have a mechanism ready to deal with disputes and appeals. In small departments, this might be the fiat of the chief. In large departments, a review board consisting of various ranks, including the patrolman rank, should be established as the final internal appeal source. These review boards must be prepared to deal frequently with issues of prejudice and malfeasance.

#### D. Recommendations for Performance Evaluation during Probation

These recommendations for performance evaluation during the probationary period are similar to those for periodic performance evaluation which are listed in the foregoing section. This section will include only recommendations which are modifications of or are in addition to those already made. It will not cover measures related to academy course performance, per se, or to personality or socialization measures that might profitably be used to help with retention decisions. The order of the recommendations will be as before: the rating scale; the rater and rating procedures.

##### 1. Performance Rating Scale

a. Special standards should be used for measuring new patrolmen.

New patrolmen cannot be expected to perform at a level commensurate with experienced officers. These officers are still learning their job. Job standards should be designed to compare new officers with other new officers or with established standards based upon prior experience with recruits rather than with experienced officers.

b. The performance dimensions in the regular rating scale may need to be altered for officers on probation.

Because of the fact that the new officer is "learning" the job, he may not perform some of the tasks that he would normally perform after a year's experience. For this reason, police management should consider deleting some of the performance dimensions that would not be expected to be performed by such officers.

A better but more expensive alternative is to have two scales--one for routine evaluation and one for probationary evaluation. This is a desired approach but not necessary.

## 2. The Rater

a. The rater should have some direct experience with the probationary officer but because of the limited time possible for personal contact, more than one rater should be used if feasible.

Frequently the rater of a new patrolman is a senior patrolman rather than a sergeant. Because new patrolmen often are rotated among assignments, the supervisor will not normally have several months of experience with the new man prior to making a performance rating. Since such ratings are necessary for valid retention decisions, they should be made with the realization that they will not be as accurate as those made on experienced officers. For this reason, several raters should be sought for each officer for each rating period. When this is done, the ratings should be performed independently.

## 3. Rating Procedures

a. New Officers should be rated monthly during the probationary period.

One of the best selection devices is the initial performance of an officer. At this time, indicators of potential problems frequently arise which are not or cannot be detected during the formal selection process. Frequent appraisals can detect these problems; in addition, frequent appraisals form a solid basis for dismissal if such action becomes necessary. Finally, such appraisals are useful for police administrators with respect to career decisions for the new officer.

b. Multiple ratings should be encouraged even if some are incomplete.

Supervisors of a new officer may have limited contact with him, particularly, as new officers are often rotated through several areas during their first months. Some supervisors may be able to rate the new officer accurately only on some of the performance dimensions. This approach is preferable to having short-term supervisors rate performance dimensions where they have no basis for making an accurate rating.

## IV. PREDICTION OF PERFORMANCE

Performance ratings on current and recent job behaviors may not be maximally or directly relevant or useful for predicting performance on different or higher level assignments than those for which these ratings are made. What is required is use of the performance rating in a way modified from its use for non-predictive purposes and the addition of a great deal of data of predictive usefulness. The performance rating is not to be ignored



but only to take its place among a number of predictors.

The problem of choosing personnel for specialized, supervisory, or management assignments varies among departments as a function of many factors but mainly as a function of department size and complexity. Larger departments are likely to be the more complex departments in terms of number of specialized jobs and ranks; such departments will have the most personnel decisions of this kind to make and candidates will be known to a limited number of persons. The influence of unions and civil service agencies and the legal relationship between a department and municipal, county, and state governments, impose practical restrictions on the personnel decision policies and methods of police departments but these factors can be changed when a need is demonstrated.

At the present time, police departments have a number of formalized procedures related to promotion but very few related to placement in specialized assignments. There is room for improvement in both of these respects although some departments have some rather good procedures. Prototypical practices found in the departments surveyed in the preparation of this document are described and then particular uses, modifications, and combinations are recommended.

#### A. Promotion - Practices

Civil service or personnel agencies have a heavy input into the promotional procedures of most of the departments visited although a considerable percentage of departments control the whole process internally. Unions have little or no influence in this respect except in some cities where they are responsible for a heavy emphasis on written tests. Most departments use some kind of written tests and these usually carry heavy weights in the overall determinations.

##### 1. Eligibility

Several factors determine eligibility to compete for promotion. The most common of these is time in rank or the achievement of a certain pay increment level, sometimes the top one for the current rank. Pay level within a rank is usually, but not always, a function of time in rank. Some departments require the completion of a certain number of college credits for eligibility to compete for promotion to a given rank. In some of these cases, specified amounts of college credit can be substituted for specified amounts of time in rank.

Two kinds of performance rating may determine eligibility to compete for promotion. One is the conventional performance rating periodically given to all personnel and already discussed. In addition, some departments, at times of promotional competitions, use a promotional potential rating form. This form deals with the personnel characteristics considered to be required

for the higher rank for which the promotional competition is held. Either or both forms may be used to determine eligibility for competition by specification of a minimum rating or cut-off point. Severe disciplinary actions on a person's record, for a specified period prior to the competition, may also be cause for ineligibility.

There are medical requirements for eligibility to compete for promotion in some cases although no physical ability requirements such as strength or agility, were found. Each of the foregoing eligibility criteria has a cut-off point below which a candidate cannot fall and remain eligible regardless of scores on the other criteria. Except, in rare cases, where the distinction between policemen and policewomen has been abolished, policewomen are not yet eligible for the full range of promotion possibilities available to policemen.

It is worth noting that some departments permit skipping of ranks so that a sergeant, for instance, may, under certain circumstances, be eligible to compete for the rank of captain.

## 2. Seniority and Veteran's Status

Veteran's status is more often considered for selection of recruits than it is for promotion, although it is tending to disappear from consideration in both cases. One department permits taking advantage of Veteran status one time and never again. This may be in the recruit selection procedure or in a promotion. Some departments allow some seniority credit on the promotion test for time in grade beyond the minimum needed for eligibility.

## 3. Promotional Examinations

Most, but not all police departments have written examinations for promotion, in some cases prepared by the department itself and, in others, by a civil service agency or personnel board. In most departments, a candidate may not take a promotional examination unless he is otherwise eligible for promotion. Some departments allow a candidate to take an examination if he will become eligible during the life of the list established as a result of promotion procedures. However, in such cases, the candidate must establish full eligibility before his name may be chosen from the list for promotion.

Tests are usually several hours long and consist of a large number of multiple choice questions designed to measure the candidate's knowledge and understanding of subject matter required for the new position. The test questions should be based upon task or job analyses of the new position in order to insure test accuracy as well as to provide against court challenges of the tests. Aptitude and intelligence tests are also sometimes used. For higher ranks, essay questions are added to the multiple choice questions. The top two or three ranks are exempt from such examinations in some departments although there are cases in which all ranks, up to and including competitors

for the position of Chief, must take a competitive written examination.

Examinations are usually held every one or two years or as needed and list life may be a year or two or until exhausted. There are cases in which, once a person's eligibility for promotion is established, he remains eligible until appointed and need not take a promotional examination again. There are instances in which the entire promotional competition is based upon written tests and, since there are also cases in which tests are not used, the range of weighting of written tests may be said to be between zero percent and one hundred percent. The most usual weighting is 50% although instances of 40%, 60%, 70%, and 90% were also found. If this relative weighting is interpreted as the value or worth of a written test in predicting how well a candidate will perform in the next higher level position, it can be seen that there is no clear consensus in this respect.

In addition to the relative weighting of a test, there is the matter of the passing grade and whether or not tests are graded "on the curve" to conform to a preconceived distribution. Ordinarily, the grades would be the percent of questions answered correctly and the passing grade usually 70%. For the written test or any other component of the promotion score, the passing grade, if any, may be varied to make greater or lesser use of that component as a screening device. If there is no passing grade, and everyone is considered to have passed, then a low score on a given component serves only to depress the total score.

Because one of the functions of a written examination is to measure job knowledge and understanding, lists of study materials are often, but not always, given to the competitors. Usually, when this is done, the test items are based upon these study materials.

#### 4. Performance Ratings

The ordinary performance evaluation of a patrolman, usually annual or semi-annual, is not a predictor of how well he is likely to do on a higher level or different job. However, it is an indicator to the extent that a poor performer on a given job is less likely than a good performer to do well on a more demanding job. There may be cases, particularly in smaller departments, in which this evaluation is given very heavy weight or is virtually the sole criterion. In most departments, the weighting of this evaluation is considerably less than fifty percent, although a rating of at least "satisfactory" is required in order to compete for promotion. In some departments, this cut-off point is increased with increase in rank so that a rating of "outstanding" might be required for competition for the very highest ranks. As with the written examination, the variation with respect to this criterion varies from non use to use as the sole criterion for promotion.

## 5. Promotional Potential Ratings

Most departments recognize that ratings of performance on a current assignment are not sufficient predictors of performance on new assignments requiring different or higher level responsibilities. For promotional decision purposes, most departments replace or supplement the performance rating by using what is often called a promotional potential rating. Like the performance rating, this rating is made by one or more of a police officer's supervisors. The rater attempts, from what he knows of the characteristics and behaviors of the ratee, to gauge his potential as a supervisor or manager or whatever speciality, such as detective, for which the selection process is being held.

Some of these ratings are made using single, generalized scales. Others are more elaborate, employing a number of scales on factors such as supervisory and leadership ability, initiative, judgement, technical skill, etc. The multi-factor ratings are better than the single factor generalized ratings since they provide more detailed information for decision making.

## 6. Objective Factors

There are various other supplementary criteria, which can be described as objective factors. They include such things as work products and accomplishments, special experiences, citations, and schooling such as college credits, or in California, certification of special course completion by the Commission on Peace Officer Standards and Training. It is difficult to make such evaluations completely fair to all contenders. Absolute objectivity cannot be achieved in any case.

## 7. Interviews

Most large police departments use some form of face to face oral interview as part of the promotion decision process. There is usually an oral review board of three or more high ranking police officers. Usually these are high ranking officers from other police departments and even prominent citizens from outside police ranks.

## 8. Practical Experience as Predictor

Perhaps the best way to learn how a man will act in a given situation is to put him into that situation and observe his behavior. There are several ways of doing this in the police promotion process, some of which are now in use. One rather complex procedure in fairly common use is to go through an entire promotion decision process, choose personnel for promotion, and then promote them probationally. The promotion does not become final until the probationary period is successfully completed and may be rescinded at any time during that period. The probationary period becomes thus a period of observation and evaluation in a practical situation. However, if large numbers of promoted personnel prove to be unsatisfactory in this probationary

period, a department would find itself operating with large numbers of unsatisfactory high level personnel for a great deal of the time. Although there are reasons to retain this probationary period as insurance against incompetence, it is highly desirable to be able to have a high degree of confidence in the promotion decision when it is made.

Training for the position in question is one way of obtaining a practical experience observation situation. During any good training course, a candidate for promotion will frequently be put into situations which will test his fitness for promotion. As one of the final steps in the promotion decision process, some departments select men as a result of the earlier parts of the process and put them through a supervisory training course. Those who complete the training successfully are put on the promotion eligibility list. The training course grade may become part of the final promotional score.

California's Commission on Peace Officer Standards and Training (POST) offers training courses in various levels of law enforcement and confers certificates upon those who successfully complete these course. In some departments in California, these certificates are used as one of the components of the promotion process.

There are two possible "practical situation" methods which were not found to be in use during the course of the survey leading to this paper. It is possible that they are not feasible but trial and error in some departments might result in workable variants of one or both of them. One of these is to give every eligible police officer one, two or more consecutive days of experience "acting" in the capacity of the next higher rank. For any given officer, this might be done once or several times during the year. Each would be observed and rated on performance in that acting capacity.

Another possibility is to set up simulated test situations, put the promotional candidate into them, and make behavioral observations and judgements. If these situations are appropriately representative and appropriately standardized, they can give some insight into how a candidate might behave in an actual situation. They would be expensive and time consuming, and if used, should include only those candidates who remain after an elimination process.

#### 9. Successive Elimination

Many progressive police departments employ a method of successive elimination. Such a method starts with a simple and inexpensive procedure which eliminates many candidates and proceeds through progressively more complex, expensive and sophisticated procedures capable of making finer distinctions among remaining candidates.

To be eligible to compete in such a procedure, an officer may have to have several years of consecutive service with the department and

have a permanent rank of patrolman, policewoman, or detective. Additional service beyond what is sufficient to compete in the promotional process may be required before an officer can be promoted to sergeant.

For promotion to sergeant, for example, the process may begin with a promotional potential rating based on a one year period preceding the process. Each immediate supervisor of the candidate would make such an evaluation which would carry a weight proportionate to the amount of time during that year that he was the man's supervisor.

At this point, a number of candidates might be chosen, from among those rated for promotion potential, to take a written examination or some form of objectively scored pencil and paper test. Alternatively, all of the candidates might be given such a test, and the combined score on test and promotional potential rating be used to determine which candidates would go to the next step.

A predetermined number of competitors may be selected as a result of the foregoing process and given an oral examination conducted by an oral board including several persons not in the department. One might be a police administrator, another a business executive who knows personnel administration, and the third a behavioral scientist.

Scores of the above procedures may be combined and a predetermined number of competitors may be chosen to take a supervisory training course. Attendance at this training course would be mandatory for consideration for the rank of sergeant. At the end of this training course, there would be tests, the scores on which might carry some predetermined weight in the overall evaluation.

Officers who successfully complete this course would have their weighted scores on the whole process combined and their names placed on a ranked list of eligibles for promotion. Names would be selected from this list in strict rank order except in cases where officers eligible to compete are not yet eligible for promotion.

#### 10. A dual ladder promotion system

In many police departments, promotion is along a single path from recruit through supervisory ranks to management ranks. Except for some periodic salary increments, the patrolman/policewoman has no promotional possibilities except that of sergeant and the number of sergeant positions is such that most cannot be promoted.

Some departments have limited promotional possibilities for the patrolman/policewoman level. At least one department has a dual ladder system in which a police officer can advance up a supervisory/management career ladder or up a patrolman career ladder. The supervisory ladder need not concern us here except to note that, within a conventional rank such as sergeant,

there may be additional ranks such as sergeant I and sergeant II. Several police departments have such distinctions.

The patrolman ladder in this department goes through the following steps, with promotional procedures required between steps and with five pay increments occurring within each step as well as the pay differentials between steps.

- (a) Policeman I - Recruit
- (b) Policeman II-Radio Car Officer, Footbeat, Communications, Desk
- (c) Policeman III - Crime Task Force, Divisional Vice, Intelligence and Training Officer, Instructor, Dispatcher, Investigator Trainee
- (d) Policeman III + I - Crime Task Force Squad Leader, Accident Investigation Follow-up Investigator, Vice Coord., Sr. Lead Officer
- (e) Investigator I - Specialized Detectives, Geographic Detectives, Administrative Vice, Administrative Narcotics, Intelligence
- (f) Investigator II - Senior Investigator, Narcotics, Juvenile, Administrative Vice, Bunco/Forgery, Robbery/Homicide
- (g) Investigator III - Investigator Expert, Supervisory Investigator

#### 11. Educational Salary Differential

Some departments allow salary differentials not only as a function of time in grade, with satisfactory service, but also as a function of college attendance and the earning of given amounts of credits.

#### 12. Lateral Entry

Lateral entry is possible in many departments at the Chief or Commissioner level. In some departments, it is also possible at the "patrolman" (non-recruit) level. No cases were found of lateral entry between these levels.

#### 13. Use of Lists

Promotion eligibility lists are used in several ways. In many cases, names must be chosen in strict order of rank on the list. In other cases a name must be chosen from the first two or the first three appearing on the list. Some departments use "horizontal lists" from which names may be chosen

in any order at all. One department was found in which it was possible to go beyond the list if it could be shown that some important social objective was being served by choosing some person not on the list with special qualifications for a special assignment.

The practice of choosing one of the first two or three names from a list, or of choosing a name from anywhere on the list (the so called "horizontal list") may seem, at first glance, to be a progressive procedure. Actually, it is not. The desire for the freedom to do so is an indication of less than full confidence in the process which produced the list and means that this process is in need of improvement. Most of the time that a name is passed over on a list it is because heavy emphasis has been placed upon a pencil and paper test for which the competitors have studied as a result of assigned readings. The person making the choice from such a list sees a high scorer on it and wishes to pass over his name because he has ample evidence, as he sees it, that this person should not be promoted. There are two possibilities here. Either the person doing the choosing is acting on invalid subjective feelings, and should not pass over this name, or else the promotional evaluation procedure is invalid and the name should not occupy the rank on the list which it has.

If the second possibility is the case, then the evaluation procedure needs to be made more valid. No procedure can have one hundred percent validity but any good procedure can have sufficient validity so that the relative ranking which it achieves will be at least as good as the subjective opinion of the supervisor or manager making a choice from the list. Moreover, the system of skipping names on a list, however it is accomplished, can ultimately leave the police manager with candidates, none of whom he wishes to promote.

This means that everything must be done to make the process of developing a list as valid as possible and that the names must be selected from this list in strict order of appearance. There is one exception to this rule. If there are considerable differences in kind in the promotional vacancies which exist and corresponding differences among the eligibles, then it may be justifiable to choose a person from the list to fill a special vacancy for which he is particularly qualified. For instance, if the next vacancy to come up is a lieutenancy in a unit doing important police-community relations work and if the number three man on the list has had considerable experience or interest, then the third man may be chosen. However, such allowances are for exceptional cases only and should be formally built into the promotional procedure. It should be clearly specified when such "name skipping" is allowed and when it is not. When a supervisor engages in such skipping, he should provide a written explanation showing the basis for it.

#### 14. Promotion Procedure Applicability and Tenure of Appointments

In some departments, a formalized and competitive promotion procedure is applicable right up to the top. In other cases it is applicable



up to the rank of lieutenant or captain and ranks beyond that are by appointment by the Chief or Commissioner. Appointive ranks may or may not have tenure. When they do not have tenure, the holder of such a rank reverts back to the last former rank at the pleasure of the appointing authority.

#### 15. Promotional Decisions in a Small Department

With respect to making promotional decisions, small departments in small cities have the advantage that they do not have to process large numbers of candidates and that they do not have to use impersonal methods such as group tests to eliminate major percentages of the contenders. They can use such instruments if they wish to, but they need not do so.

A very progressive small department in a city slightly over 100,000 in population makes no use of written tests, seniority, or veteran status. Each member of the command staff individually submits a list of names to the Director (Chief). These lists contain more names than are needed to fill the existing vacancies.

To be eligible to appear on such a list, a police officer (called a Police Agent) would have to have two years of police experience, exclusive of recruit training, and at least ninety days with the department. This department has lateral entry within the Police Agent level. Selection for inclusion on this list is a function of merit ratings and review of work products and record.

The Director, with his command staff, reviews the names on these lists and together they select a number of them for further consideration.

Each person chosen for further consideration is interviewed by a board consisting of the Director, the command staff, and an additional person from outside the department. The outside person is a professor of public administration from a nearby university.

Although there is no formal weighting system, this board eliminates some contenders and rank orders the remainder on the basis of the interview and what is known about work products, education, and experience. A list of eligibles is established and appointments are made from this list in order of their appearance. The list is good for one year and a new list is made up each year.

Vacant positions are filled only with personnel considered qualified by the board. Supervisory positions have been continually allowed to remain vacant rather than being filled by personnel not yet ready for the responsibility of the position. Vacant positions are assigned on an interim basis to personnel acting in a supervisory position. Such "acting supervisors" acquire supervisory experience and their abilities may be better analyzed by the staff in future promotional examinations.

## B. Promotion - Discussion

It should be the purpose of promotional procedures to get the best qualified personnel into the higher level positions. Any practice which has any likelihood of doing less or of obstructing this goal should be the subject of scrutiny and possible modification. Whatever the emotional attitudes there are toward practices like seniority and veteran preference, they should not be allowed to frustrate the achievement of excellence in personnel and the allocation of responsibilities. This is why a dual ladder is good. It tends to avoid promoting a good patrolman to the position of being a poor supervisor.

In many departments, the amount of time in grade required for promotion to a higher grade is probably too long. If a three year in grade requirement, for patrolmen to compete for sergeant, were changed to one year, then, given efficient and valid promotional procedures, persons who are not yet ready would be eliminated from competition and persons ready at the end of one year would be more optimally utilized by the department. Often, a four year experience requirement amounts to one year of experience four times over. Lowering the time in grade requirement would place a heavier burden upon the promotional procedures but, if these procedures cannot do an efficient and valid job, they need to be modified.

The same may be said for granting weight, in the promotional evaluation, for college credits earned. College attendance gives a person an opportunity for growth and development but does not guarantee it. The promotional procedure should be required to measure the presence of those qualities assumed to be present as a result of college attendance. This is not an argument for or against requiring police officers to attend college but only an argument against rewarding them merely for having done so. Requiring every contender to compete on an equal basis gives the self-educated and self-improved man an equal chance with the college educated. This would discourage the tendency to use college as the occasion for the mere accumulation of credits.

Departments which feel that they must retain college credit for eligibility or extra credit in promotional competition, might wish to consider another variant in the procedure. If the college grading system has any validity in determining how well a student has learned and understood a given subject matter, then any police promotional system which gives credit for college attendance should weigh such credit according to grades received. That way, not all college attendees would automatically receive full credit and those attending college under police department auspices would be encouraged to try harder.

Written tests, when used for promotion procedures purposes, have some virtues which seem to commend them to most police departments and to some police unions. In a large department, where there may be many candidates for a particular rank, the pencil and paper test with multiple choice items makes it relatively easy to process many of them at once. Moreover, whatever

their validity, the tests are objective. Given a good and valid test, personal prejudices and misperceptions do not enter into the matter. Tests of knowledge treat everyone equally and subject everyone to the same measuring device although some tests, such as intelligence tests, may not be culture free. Work knowledge tests measure such knowledge as it exists at the time of administration.

On the other hand, regardless of how well they may measure knowledge, tests certainly cannot predict how a person will respond to some prototypical situation or problem characteristic of the new position. Pencil and paper responses simply do not distribute themselves in the same way as responses to actual situations on a job, so that a high scorer on a knowledge tests may not be an equally good performer on the job. This is simply to say that the validity of written tests as the only measurement of a person's merit of promotion is open to question.

It is common practice to present a list of study materials to candidates for promotion and to base examination questions on the contents of these materials. Regardless of how well these materials reflect the knowledge required for the job, the score on a test of knowledge acquired in this way is not an indicator of the knowledge which the candidate is likely to bring to the new job. The process of "cramming" is one of quick acquisition and quick decay. The person who is the better "crammer" is not necessarily the long range retainer or better performer.

A measure of the knowledge which a person gains over a long period of time, while he is doing one job, is a much better measure of the knowledge he is likely to bring to a new job than is the knowledge gained studying for a particular test over a short period of time from pre-assigned materials. Long before a police officer is ready to compete for a rank, he should be made abundantly aware of the ability and knowledge requirements of that rank. Not only that, but opportunities should be made available to him, to the extent that this is possible, to acquire some of the outlook, knowledge, and rudimentary skills of the rank. Part of this goes with any job since one has many opportunities to observe one's superiors in action. However, there are deliberate things which may be done and some of them have already been mentioned in the previous section. Periodic trials at assuming the job of the next higher rank is one of these. Orientation as to the job knowledge requirements of the next higher rank is another. If reading assignments are given, they should be given at least a year before any written test and should not be restricted to materials from which test items will be taken.

There should be some experimentation with test instruments which are now not very much used. Among these would be paper and pencil or practical (performance) situation tests simulating prototypical situations in the new job, personality tests and interest inventories, and even aptitude and intelligence tests.

Supervisory training courses, particularly as the final procedure,

serve an evaluation function as well as a training function. The evaluational aspect can be augmented by including ample occasion for simulated situation tests. The major difficulty with respect to this procedure is that it usually can be used only with a small proportion of the original number of candidates so that the earlier procedures must eliminate a large number of candidates without eliminating any of the better ones.

Performance evaluations are among the more common components of promotion procedures. With respect to promotion, a policeman who has an inadequate rating for current job performance is unlikely to be adequate in a higher level job but his adequacy on the lower level job is no guarantee of adequacy on a higher level job. This means that, instead of giving the performance evaluation a weight in the overall promotion, a department should use it as an eligibility determiner. That is, a certain minimum performance rating should be required for eligibility to compete for promotion, but, thereafter, the performance rating should not be given any weight at all in the promotion competition except in the case of a dual ladder career structure in which the candidate is competing for a higher level of patrolman status.

The promotion potential rating is another matter. Here the supervisor making this rating is attending to evidence more directly related to the new rank but, on the other hand, he has less relevant data on which to proceed. He will have to make the most of what he has by emphasizing those factors which appear to be maximally related to the new position and de-emphasizing those which do not. These would be performance dimensions which include such elements as initiative, judgement, interpersonal relations, stability, maturity, willingness to assume responsibility, etc. If the lower level position includes the occasional deliberate assignment of tasks characteristic of the higher level position, then, on this promotion potential rating, candidates may be comparatively evaluated on their performance in such tasks. Such ratings are not as reliable as ratings on tasks performed every day of the year, but they do have some reliability and, when this evidence is combined with relevant aspects of the everyday job, the resulting rating may have considerable validity and reliability and deserves to have some weight in the overall promotion decision.

There is hardly a selection procedure anywhere, either within the police community or elsewhere, and whether selection is for an entry position or a high level position, which does not include some form of interview. Yet the interview has never scientifically proved itself to be a reliable or valid instrument for personnel selection. Oral interviews are highly subjective, often unstandardized and unstructured, and very difficult to validate, since there is rarely a written record of what occurred.

On the other hand, an oral interview can provide a limited sample of a special kind of information relevant to promotion. It gives an indication of a person's bearing and interpersonal effectiveness in a somewhat stressful face to face situation. Even a superficial kind of poise and effectiveness in such a situation has operational value although it is important, and, at

the same time, difficult, to distinguish this from a more profound kind of self possession. A skillfully conducted interview can also elicit various kinds of attitudinal, personality, ability, and job knowledge information.

In order for an oral interview procedure to contribute validly and reliably to a promotion decision process, several conditions must be created and these are difficult and expensive to establish. For a given promotion occasion, with a given group of candidates, all interviewees should be interviewed by same person or group. There should be an agreement as to the kinds of data expected of the interview and the interview should be constructed and highly standardized with allowances for flexibility, so as to elicit these kinds of data.

The data elicited should be those kinds of personality, interest, attitude, life history, and knowledge and ability data which an interview can give and which the other promotion procedure components have not produced. There should be reasonable conventions for noting specific kinds of data and a formalized procedure for summarizing the data with a single indicator or set of indicators. There should then be a formal procedure for rank ordering or scoring candidates on the basis of these indicators.

As part of their in-house training, supervisors and managers, who will be members of such oral interview boards, should receive brief but intensive training in interview procedures. This should include how to conduct the interview, what data to look for in the responses, how to recognize certain kinds of data, the notations to make with respect to these data, and the methods of interpreting and summarizing the data and the final rank ordering of candidates. If possible, interviews should be so conducted and scheduled as to discourage communication between interviewed and not yet interviewed candidates. The subjective and individual nature of the interview notwithstanding, some of the persons forewarned of its general tenor and direction might be able to prepare themselves in such a way as to give them an unfair advantage. With respect to some of the aspects of the interview, such as knowledge or judgement testing aspects, there should be changes between promotion occasions.

In the case of a dual-ladder career structure, the nature of the promotional procedure for the non-supervisory career path should depend upon how specialized the successive ranks are. If the succession is a matter of gradual growth, with no radical changes between ranks, promotion should be largely a function of this growth reflected in the regular performance appraisals. If, on the other hand, the promotion implies the assumption of one or more specialized functions minimally present or absent in the preceding job, then predictive procedures are required. Sometimes, such predictions can be made from inferences drawn from certain present job experiences. For instance, a patrolman may have had numerous occasions to handle family crisis intervention cases, or disputes between neighbors, or the like. He may have handled all such cases extremely well. If there arises an occasion for a specialized assignment, involving interpersonal relations, minority group recruiting, or special work with juvenile gangs, some inferences may

be made from the previous experiences to the new requirements. The relevance may not be perfect but there will be some relevance.

Regardless of whether or not there is such relevant experience, in the foregoing case, there will be need for predictive instruments. These would include written interest and aptitude tests, situational tests, and trial (probational) assignments in the new position. Information with respect to a patrolman's life history, or his current life situation, such as hobbies or other avocational interests and activities, may help to predict success on a new assignment. Interviews, properly conducted, will reveal appropriate personality characteristics, interests, knowledge, and avocational activities.

Small police departments in small communities offer greater opportunity than large police departments for close supervision and observation of subordinates and for evaluational feedback from the citizenry. Not all of the data thus obtained will be relevant to promotion, but much of it will. Situational tests and trial assignments in the higher level position should be tried whenever possible and interviews may be used although they will be unlikely, in many cases, to add very much to the knowledge already available about each candidate. When used, the interview may serve more to assure each contender that he is getting a fair shake than to provide useful information for a promotional decision. Written tests should be deferred and used only when adequate basis for a decision cannot otherwise be obtained.

### C. Promotion - Recommendations

#### 1. Large Departments

##### a. Veteran Status

Eliminate veteran status from consideration entirely.

##### b. Time in grade

Time in grade requirements should be as short as possible, perhaps not more than one year, for eligibility to compete. It should count for nothing in competitive weighting.

##### c. College Credit

Grant points for college credit as a substitute for time in rank, in proportion to college grades, for eligibility to compete but not as competitive weighting in the final listing. Alternatively, require that successful candidates for promotion have a certain amount of college credits prior to their assuming the new position. Thus, a candidate for sergeant, might need 15 credits before assuming the new rank; a lieutenant 30 credits, a captain 45 credits; and higher ranks, a degree. However, minimum accreditation

standards must be established for educational institutions in order to accept their credits.

d. Successive Elimination

Use the successive elimination process where many candidates are involved. This could start with pencil and paper tests or with a work history review of candidates conducted by two or three senior supervisors or command staff members. The work history review, if it is used, should precede the paper and pencil test and may be used to eliminate some candidates from further consideration or only to grant a part of the overall competitive grade. It might carry a weight of up to fifteen percent.<sup>1</sup>

The paper and pencil test, as the quickest and least expensive procedure, should be the first component or follow the work history review. Next would come the situational tests or the oral board. The oral board may or may not include situational tests but should include a work history review if this has not already been done. Candidates still in the running after the oral board, should be given an intensive supervisory training course and the persons finally put on the eligibility list should be those who pass the course. The training course grade should be included in the final promotion score.

e. Pencil and Paper Tests

Objective questions are sufficient for pencil and paper tests for promotion to sergeant and lieutenant but, above those ranks, essay type questions should also be used. Reading assignments should not be given for pencil and paper tests, shortly before the tests. Instead, as soon as a person assumes the rank just below the one for which he will eventually be competing, he should have every opportunity to become aware of the requirements for and responsibilities of that next rank. He should be told about and given access to all materials which will help him to prepare for that rank.

Any potential competitor for a higher rank should be expected to use some judgement in the selection of materials and of opportunities to prepare himself. Certain official materials such as laws and sets of rules, regulations, and standard operating procedures are exceptions to this. They should be required reading for all.

With respect to the essay questions already mentioned, they may be used even for the sergeant and lieutenant examinations if the number of candidates is small enough to keep it from being burdensome. Such questions may be written, and their scoring procedures standardized in order to reduce the subjective aspect.

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See page 46 of reference 4 for a procedure to compute a correct composite score.

Pencil and paper test scores should be weighted less than fifty percent in the overall competitive score.

f. Performance Appraisal

The conventional performance appraisal forms should be used only to establish eligibility to compete for promotion. The promotional potential rating form, on the other hand, is the opportunity to get the input of the immediate supervisor of a candidate directly into the promotion process. If trial assignments on the next higher job are part of the promotion process, then the promotional potential rating will include evaluation of work on such assignments.

If there is an oral board and if there is a work history review, these components will take into consideration some of the same data as will go into the promotional potential rating. In such a case, the promotional potential rating should not receive a very heavy weighting. If the oral board or the work history, or both, are not used, the promotional rating should receive a heavy weighting.

g. Situational Tests

It is possible to have pencil and paper situational test items. These should be part of the regular pencil and paper test as described. Situational tests can also be practical, setting up situations to be acted out and putting the examinee through a critical exercise. Such tests must be carefully developed, controlled, and evaluated.

h. Supervisory Training Courses

These training courses are highly recommended as preparation for the new job and as an occasion for evaluating a man's potential for the new job. When such a course is given, attendees should be closely observed and evaluated.

i. Probationary Period

A good system of making promotional decisions will leave few occasions for reversing a promotion during the probationary period. However, when such an occasion arises, the demotion should be made. A probationary period which is merely a matter of form is meaningless and worthless.

j. Patrolman Career Path Promotion

In the case of a dual ladder career structure, the patrolman path promotional procedure should depend upon the amount of change in functions from one career level to the next.



Heavy emphasis should be placed on performance ratings where the changes are gradual. For major changes between levels, the predictive instruments already described should be used, except for pencil and paper tests. If such tests are used, they should receive considerably less than fifty percent of the overall rating.

#### k. The Use of Promotion Lists

Names should be chosen strictly in order of appearance. If there are to be exceptions, these should be defined in a set of rules. Exceptions should be rare and should be justified in writing.

If there is a cutoff point for putting the names on a list, such that all of the persons on it would be good supervisors at the next level, then the list should be used until it is exhausted. Another list could be created before this and held in abeyance until the previous list is used up.

#### 2. Small Departments

Promotional opportunities in small departments are likely to be chiefly supervisory as there is not likely to be much room for specialization. If there is a bifurcation of career path, the patrolman path progression is likely to be of the gradual growth type and heavy emphasis should be placed on performance evaluation. For the supervisory path, the predictive instruments already discussed should be used with little or no dependence on written tests. Small departments may not be able to afford to set up supervisory training courses and they may not have the resources to set up situational tests, although they should use them if possible. It is recommended that trial assignments in supervisory situations be used for promotional evaluations and that all promotions be probational.

#### D. Placement-Practices

The number and scope of specialized, non-patrol, assignments available to uniformed policemen varies very widely among police departments. This variation is a function of department size, department organizational structure and operational practices, and the division of labor and assignments between civilian and uniformed (sworn) members of the department. It is obvious that the larger the department, the more specialized jobs there will be and the more civilians there are in specialized jobs such as, for instance, dispatcher, the fewer specialized assignments will be available for uniformed policemen. It is also true that police departments do not all operate in the same way and do not have all functions in common or combine functions into specific jobs in the same way. However, for such specialized positions as there are, it is necessary to have a method of assignment which will be as fair as possible to all personnel, provide for career growth, and will, at the same time, put the best available person into each position. Fairness requires

that each interested person have an equal chance at competing for a given position vacancy, and organizational effectiveness and fairness both require valid methods of choosing among candidates.

In the course of this project, few departments were found in which the methods of making specialized job assignments were as formalized and detailed as were the promotional procedures, and most were very informal indeed.

It may be that one reason for the informality of special assignment procedures, as compared to the formality with respect to promotion, is that pay increases are not necessarily involved in the former. Without a pay differential, interest in the work of the special assignment is left as the only motivator, and competition becomes much less keen. This is not all bad, of course, because interest is an indispensable factor in good work. However, with competition for specialized assignments much lower than it is for promotion, there is much less pressure for defensible formal procedures.

For all positions, supervisory, management, or specialized, good practice starts with good recruitment and selection of patrolmen. As things stand today, virtually every police department in the country uses a single "net" to gather in good potential patrolmen, good potential supervisors and managers, and good specialists. Democratic practice seems to make this necessary and so does the lack of a methodology to do otherwise. Nevertheless, the day may come, with highly professionalized police forces, better role definition, lateral entry at all levels, improved and more complex career path structures, better training and education methods, and better selection methods, when specialized selection at the recruit level will be seriously considered. Until that time, specialized positions which exist in a police department will have to be filled by civilian specialists or by selection from among the general patrolman group.

Almost all departments require one or more years on a patrol assignment before a new patrolman is eligible for another kind of assignment. For police departments as they are constituted and as they operate today, this is good. Patrol is the basic police task and every policeman should have experience and proficiency in it.

After the required patrol service has been completed, the matter of specialized placement or assignment arises. Before making recommendations in this area, the practices of a cross section of departments are presented:

Example one. A progressive midwestern department of more than 1300 uniformed personnel had one of the most formalized methodologies found in our survey. To announce a competition for a specialist position, they publish a formal numbered document called a "Special Order" which is also used for announcing promotional examinations. An example of this is a numbered special order announcing "Selection of Evidence Technicians". It announced "an oral examination for the purpose of forming an eligibility list of officers

interested in assignment as evidence technician". This announcement, in turn, referred to a seven page "General Order" which described the work and organizational assignment of an Evidence Technician. That document described an eligibility list, of two years duration, which was to derive from interviews by an oral examination board.

The board giving the oral examination was to be composed of officers representing all patrol divisions and an officer from the department who was assigned to the Regional Crime Laboratory. The Personnel Unit of the department was to furnish formal examination materials and guidelines to the oral board. Each board member would rate each applicant on traits desired in an evidence technician. The Personnel Unit would then score the results and establish an eligibility list. Names would be taken from this list strictly in order, and seniority would resolve any ties in ranking. An officer who refused an assignment was to be removed from the list.

All officers on the list were to take and pass an "Evidence Technician Training Program". There was to be no probationary period as such but any officer who was inefficient or unsatisfactory for any other reason in his specialist job could be reassigned, usually to patrol or to his former assignment.

Example two. A midwestern department of more than 5500 sworn personnel. In this department there are many specialized assignments at the patrolman level. These include the areas of training, Evidence Technicians, Communications Technicians, Youth, Community Relations, Traffic Control, Accident Investigation, Aviation, Narcotics Investigation, Scuba Diving, Vice Activities, Electronic Data Processing, Photographic Technician, Graphic Arts, Intelligence and Surveillance, and Research and Development. Many of these positions entitle the officer to additional pay.

Some positions require a college degree in the field, or other highly specialized education or training. Many require in-service training which is conducted at the police academy. For example, newly appointed Evidence Technicians receive 136 hours of technical training before assuming regular duties. All specialized positions require on the job training under the supervision of a qualified sergeant.

Selection for specialist positions is based on department need, the individual officer's interest, his work record, time of service, and educational, or technical skills. For this and other purposes, an up-to-date computerized listing is maintained of all officers with specialized or technical skills, formal education, foreign languages spoken, etc.

Depending upon the number of men needed for a particular position, a departmental order may be published listing the number of positions available and the job requirements. In other cases, an officer may make a telephone or personal inquiry about present or future vacancies in the unit to which he is interested in being assigned. The officer must submit a transfer request form, through channels, expressing his desire for reassignment. The

commanding officer of the desired unit will investigate the officer's background, work record, educational achievement, special skills, and arrange a personal interview.

If the officer is acceptable, his name will be placed on a list in the order in which it was received. Officers are then transferred into the unit based on their position on the list. Any necessary in-service or on the job training is then provided.

Example Three. Midwest Department of about 1000 uniformed police. After three years as a patrolman, a policeman may take a competitive Civil Service examination for the position known as Specialist. There is only one such examination and the particular specialty to which a man goes depends upon his interests and demonstrated abilities. The list which results from this examination has a life of one year and eligibles must be chosen from it in strict rank order. A performance rating of at least 85 is required to compete for this Specialist rating which ranks between a patrolman and a sergeant.

Example Four. A progressive western department of about 100 men. In this department, some assignments, like assignment to the Investigation and Review Division, are rotating.

Example Five. A county force about 4000 sworn, uniformed personnel in the Northeast. A supervisor of a given specialized unit makes a formal written request for personnel in a given job. It is sent, by teletype, to all commands. In response, other supervisors make a list of prospective eligibles. These are screened by the Police Commissioner and his staff of senior officers.

In addition, patrolman may write a letter to the command concerned, stating his qualifications and interest. Personnel data including special qualifications and abilities, are stored on magnetic tape. Through a computer program names and details of qualified personnel can be retrieved.

Example Six. A midwestern department of somewhat over 300 uniformed officers. In this department, a patrolman wishing a particular assignment completes a formal request sheet. He must have completed his probationary period. Such requests are filed and retrieved when particular vacancies occur. The records of personnel thus discovered are consulted and it is then up to a man's present and projected supervisor as to whether he gets the desired assignment.

The foregoing is a sampling of practices found in the course of data gathering for this project. The following is a partial and random listing of the kinds of positions and specialized police units for which such practices may be employed. It should be apparent that conventional ratings for the performance of ordinary patrol tasks cannot adequately predict probable performance on most of these:

Communication  
Emergency Bureau  
R&I Fingerprinting  
R&I Field Identification  
Personnel Investigator  
Youth Bureau  
Ballistics  
Vice  
Investigator  
Community Relations  
Dispatcher  
Traffic  
Supply

Personnel  
Training/Education  
Public Information  
Records & Communication  
Polygraph Technician  
Crime Laboratory  
Evidence Technician  
Guard Supervisor  
Dog Warden  
School Guard  
Youth Investigator  
Youth Resources Officer  
Identification Section  
Warrants and Licensing

#### E. Placement - Discussion

It seems plain that almost all possible variations of the factors which can influence placement, do so in one department or another. Civil Service may be involved and so may a department's own personnel unit or a police union. Seniority is involved in some cases although no case was found in which veteran's status was a factor.

Some special assignments are probationary and others are not. Assignments may or may not be arbitrary, there may or may not be announcements of vacancies, patrolmen may or may not have opportunities to request transfers, and there may or may not be competitive procedures for special assignments.

Probably the most frequent formal competitive procedure is the oral interview. Testing by pencil and paper test seems to be rare. The use of existing documentation such as performance ratings or personnel records and files is fairly frequent. Pre-assignment training classes, as selection devices or as job preparation devices, appear to be used rarely.

The foregoing partial listing of possible special assignments is sufficient to indicate that they are quite important, justifying major effort at valid selection, and often quite different from conventional patrol assignments, making necessary predictive instruments as distinguished from ordinary performance ratings. The problem, in fact, is greater than that of supervisory promotion because the variation is greater.

The work of a patrolman is so varied that a year or more of patrol experience has a good likelihood of involving tasks in some way related to, and bearing at least partial qualitative similarity to, a significant portion of the available specialized assignments. If a police department were to make a systematic effort, over a period of years, to inventory these similarities and correlations and to involve them, in some explicit manner,

in performance appraisal, then performance ratings could contain information applicable to some range of the available specialized assignments. This cannot happen by accident. Job analytic studies would have to be made and observational and recording procedures would have to be devised so that the resulting performance ratings could be used for both current job purposes and specialized job assignment purposes. Some method of highlighting those components of a performance rating applicable to a particular specialized assignment could be devised.

Regardless of how well the foregoing procedure might work, it would never be enough to carry the whole weight of special assignment decision. Other devices and information sources would have to be used. Former and current personal history information about a job candidate, especially avocational information, is a potentially valuable indicator. Again, as in the case of the performance rating, deliberate rather than incidental procedures are needed. The kinds of personal history to look for and the manner of evaluating these kinds of history for each particular specialized assignment need to be studied and developed into a standardized model.

In a large police department, with many specialized positions, it is unlikely that many patrolmen will have sufficient knowledge relevant to a given position to be able to pass a knowledge test for it. It might even be that some of those who might have some knowledge might not be ultimately as good in that position as others who have not yet had an opportunity for exposure to that knowledge. If written or even practical tests are to be used, they probably should be aptitude tests developed especially for the positions in question. In some cases, interest and personality tests would be appropriate. In no case should testing be the only or the major component in this process.

The major difference between interviews by the supervisor seeking a candidate for a specialized job and interview by an oral board is that a number of interviewer--judges have some chance of cancelling out each other's subjective biases. Another difference is that several interviewers may think of a greater number of relevant and probing questions than may one. The supervisor seeking the potential specialist should be a member of such a board.

It is not always possible to "bunch up" a number of position openings for a number of different specialties so that the convening of an oral board represents an efficient or possible way to operate. The best plan is not to wait for position openings but to anticipate them and establish eligibility lists just as is done for supervisory promotion. In this respect, it should be considered legitimate for a patrolman to express interest in more than one specialized position and to try for a place on more than one list.

If, for any reason, it is not feasible to establish lists, and positions

must be filled as they occur, then an interview, if it is used, should be conducted by the supervisor who has the position vacancy. In any case, whether the interviewer is an individual or a group, the interview should never be a haphazard process. First, the interviewer must obtain and review all of the existing information about an interviewee. This would include the personnel file, performance evaluations, any test results, etc. In addition, the interview procedure should be formalized and standardized much as described in the section on promotion. The interviewer should have before him an interview guide directing him as to the kinds of data to seek, how to go after these data, and even, in some cases, how to record them. The interview should provide not only for those items which the interviewer actively seeks from the interviewee but, also for spontaneous yet relevant items which the interviewee may volunteer.

The interview guide should contain general guidelines as well as specific instructions. One of the departments found in this survey, and undoubtedly there are others, provided such guidelines not only as to how to interact with the interviewee but also as to the types of questions which may be asked. Among the possibilities are direct questions to get at specific information, open ended questions to get more general kinds of information about a topic, leading questions to get at personal attitudes and the like, and hypothetical questions which seek judgements about or reactions to hypothetical situations. In order to get the full benefit of the interview situation, a wide range of questions should be used.

When an interview is conducted by an oral board or panel, two possible things may be done with the notations or records of the individual interviewers. A person not a member of the board may attempt to summarize the separate findings of the members. Alternatively, the board members may discuss their findings with each other, and try to resolve any differences of perceptions and of conclusions. They may thus try to reach some common ground, common appraisal, and common recommendation. The second course is better.

Summarization by an outside party has the single advantage that the appraisals of the individual members remain independent and are not distorted by having one or more individual board members impose conclusions or perceptions on the others. However, this adds an extra step to the process, delays it, and substitutes the arbitrary decision of an outsider for the interaction of board members in cases of discrepancy.

When an interview is terminated, after the interviewee has been permitted to make any final remarks he wishes of his own volition, and after he has been dismissed, the board members should confer among themselves. They should discuss and resolve differences and agree on a common appraisal.

The pre-assignment training program for a specialized job, like the training program for supervisory promotion, is an excellent tool for selection as well as for preparation for the job. Grading should be as frequent and as stringent as possible in such courses and the final overall grade should

be weighted and combined with the results of the other components of the selection procedure.

Probation, when it is used in supervisory and management promotions, or in specialized job assignments, is usually a formality. Seldom is an unsatisfactory assignment or promotion reversed. This should not be. While it would be a disaster if the preceding selection components were so poor that large numbers of promotion decisions or specialist assignment decisions had to be reversed during probation, nevertheless, these components cannot be so perfect that everyone passed by them would prove satisfactory on the new job. Persons on probation should be closely observed and frequently and strictly rated. As early as possible during the probationary period, unsatisfactory incumbents should be alerted as to the need for improvement and the lack of improvement should be cause for return to the former position or to a less demanding alternative.

## F. Placement - Recommendations

### 1. Basic Conditions

Establish formal and deliberate procedures and rules with respect to:

- Announcements of job openings or of competitions to develop lists of eligibles for appointment to future job openings.
- General eligibility requirements for all specialist positions and and specific requirements for each individual position. Competitive procedures for each job.
- Expressions of interest by personnel in certain jobs or appointments and applications for these jobs.
- Storage and retrieval of application data and data, such as job and background history, relevant to evaluating applicants.
- Assignments from lists. Duration of lists.

### 2. Relevant Predictive Data

The sources of data that can predict whether a patrolman has a chance of success in a specialty are:

- Past school and previous job history.
- Avocational history.
- Service record as a patrolman.
- The oral interview as test.
- Situational tests.
- Paper and pencil tests
  - Knowledge
  - Aptitude



Interest/Attitude

Personality

- Trial assignment on job
- Short course of instruction in a given job.

### 3. Ways of Using the Data Categories

#### a. Past history, previous jobs, schooling, avocational patrolman service record.

- Analyze each specialized job on the force into its significant prototypical task elements. Store this in a data base storage element, electronic digital computer or otherwise.
- Over a period of time, make and accumulate a similar analysis of the behavioral elements of the most common previous jobs, schooling subjects, avocations, and the work as patrolman.
- Develop a methodology or computer program for correlating the elements of each specialized job on the force with the elements of each item of relevant past history. Develop a data retrieval methodology.
- For each item of relevant past history, develop a scheme for rating any man as to whether his experience in it represented success, failure, neither, or there was no information.
- When evaluating a given patrolman for a given job, list the job elements of that job and search his record for relevant experiences corresponding to those elements. Evaluate the patrolman in accordance with the quantity and quality of such experiences.

#### b. Paper and Pencil Tests

- Analyze each specialized job according to the items of knowledge, the aptitudes, the kinds of interest, and the personality characteristics relevant to it.
- Search the latest edition of the Mental Measurements Yearbook (obtainable in most libraries) edited by Oscar R. Buros (3) for the most appropriate personality, interest, and aptitude tests for each specialized job. These may be tried to see how well they work over a period of time. They may later be modified or replaced with other tests which would be developed as a result of experience with them. Such a procedure would result in valid tests over a period of time.
- Some knowledge tests may be found in the Mental Measurements Yearbook but, if knowledge tests are used, it is best that they

be constructed especially for the specific purpose. Use an educational text which explains how to construct tests of knowledge on the basis of instructional course work given.

c. Situational (overt behavior) Evaluation

- Set up job sample situations and standardized ways of scoring them. Put each candidate through a set of these and rate his behavior.
- Over a period of time, put each interested patrolman on brief assignments on the specialized job in question. If possible arrange for certain crucial and significant experiences on that job. Arrange for observations by incumbents and supervisors. Have them rate the man on his behavior. Record the results.
- Arrange for intensive courses of training in the work of the job in question. These may be self study sessions followed by a series of lectures, demonstrations, practicums and tests. These courses serve both as preparation and selection instruments.

d. The Oral Interview

- Select an interview panel and brief them in the interviewing and subsequent evaluation procedures.
- Convene the interview panel and give them all of the collected background and evaluational data of each of the candidates. This would be all data as discussed in "A", "B", and "C", preceding. Each panel member would study the data on each candidate and then discuss with each other, each candidate in turn.
- Interview each candidate according to a standardized procedure.
- Rate the candidates.
- Notify the candidates of their scores and discuss the ratings with them.

4. Putting the foregoing practices together into a procedure

a. Paper and Pencil Tests

Determine eligibility. If there are many candidates to process for a particular job, administer whatever paper and pencil tests have been prepared for that job. Establish a reasonable passing grade (or grades, if there are several tests) and eliminate those who do not pass from further consideration. The others may go through the remaining steps in the process. Thereafter, the test grades should have a combined weighting of no more than 25% in the overall determination and may be eliminated altogether.

If there are not very many candidates, dispense with the tests and go directly to the next step.

b. Retrieve and Summarize accumulated data

For each candidate, retrieve and summarize past school and previous job history, avocational data, service record data, and data resulting from trial stints on the new job. To the extent possible, compute objective, quantitative evaluations from these.

c. Situational Tests

If the number of candidates, the importance of the position, and time and resources justify it, and if situational tests have been developed for this job, administer situational tests. These may be conducted as an independent process or by the oral board as part of its evaluation procedure.

d. Oral Board

Depending upon the number of candidates, the importance of the position, and the availability of senior personnel for interviews, hold interviews by the supervisor seeking the new personnel or by an oral board.

Regardless of who does the interviewing, provide all of the data already discussed. If the interviews are by an oral board, they will discuss the data on each other before calling him in.

As part of the interview procedure, the situational test may be conducted at this time, if they are to be conducted at all and if they have not been conducted earlier. If they have been conducted earlier, the resulting evaluational data will be part of the deliberations.

The single interviewer or the oral board will evaluate all interviewees and create a rank ordered list of eligibles for the job.

e. Training Course

If resources, number of candidates, and importance of the job merit it, conduct a short training course for the job. To remain eligible, if such a course is held, the candidate should have to take and to pass the course. For all passed candidates, the course grade should be integrated into the overall evaluation and help to determine relative standing on the eligibility list.

f. Placement List

Candidates should be chosen in strict rank order from the resulting list.

## SUMMARY

Valid personnel decisions are vitally related to the effectiveness of police departments. Defaulting in this respect through passivity or lack of interest, blundering because of lack of knowledge or understanding, or hostility toward good practice because of its possible conflict with personal interest, can have seriously degrading consequences for the quality of law enforcement and the developing professionalization of police.

The practices recommended in this paper are highly deliberate, and, in some cases, time consuming. The recommendations assume that performance appraisal, promotion, and placement are very far from being trivial matters and that they merit serious attention, intention, and commitment of resources. Any police department examining the procedures herein discussed should adopt, up to the limits of the resources which it can reasonably allocate, all of them that are appropriate to its needs. Some of the practices recommended are easily adaptable to any given situation. Only those suggested for placement will require extensive developmental efforts. The developmental efforts would probably require the consulting services of an industrial psychologist or a firm of such psychologists.

There is no final answer in this field of personnel decisions. As police professionalization evolves and as police roles, lateral entry procedures, career structures, and other police personnel practices change and develop, the practices related to selection, performance appraisal, placement, and promotion will also change. Such change will proceed more smoothly and successfully if the current selection, evaluation, and promotion methods are brought to a state of best fit with current need and state of the art.

One of the chief messages of this paper is to urge the police administrator to look at his personnel practices critically. What use is he making of such factors as seniority, veteran status, and college credits? Why is he doing this? Is it contributing to the quality of his personnel? Is his use of tests contributing maximally to his personnel decisions or is it merely an easy way of doing a difficult job? Should he be eliminating these tests or improving them? Are his supervisors doing a conscientious job of performance appraisal? Are the tools at their command, and their ability to use these tools, satisfactory?

In performance appraisal, the behaviorally defined scales are particularly recommended. Objectivity and standardization of methodology should be striven for, although they cannot be perfectly attained. Performance appraisal and probationary periods should not be matters of form but should be occasions for counseling, disciplinary action, training, praise, reward, demotion, dismissal, or what is called for by the situation.

For promotion in large departments, the successive elimination procedure, beginning with promotion potential ratings and testing, should be used. Tests should not be the sole determiner of promotion and placement and the practice of assigning readings for "cramming" study should not be used. Practical situation tests, trials on the job, and special training courses should be used whenever possible. Interview procedures should be standardized, but not rigidly so, and should make use of all of the objective data that can be obtained.

Small departments can eliminate the more impersonal instruments, such as pencil and paper tests, without much loss. They need to make particularly rigorous use of promotional potential ratings, work history, and interview procedures.

The references at the end of this paper are of two kinds. One kind provides expository and explanatory documentation of some of the better methodologies in modern use. The other kind refers to books and articles which may give more general guidance to administrators.

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