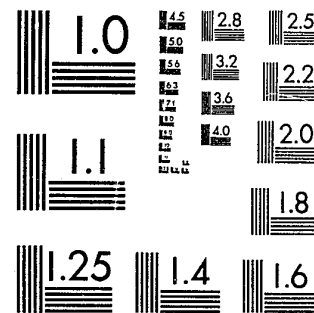


National Criminal Justice Reference Service

ncjrs

This microfiche was produced from documents received for inclusion in the NCJRS data base. Since NCJRS cannot exercise control over the physical condition of the documents submitted, the individual frame quality will vary. The resolution chart on this frame may be used to evaluate the document quality.



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

Microfilming procedures used to create this fiche comply with the standards set forth in 41CFR 101-11.504.

Points of view or opinions stated in this document are those of the author(s) and do not represent the official position or policies of the U. S. Department of Justice.

National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

6-10-83

FBI LAW ENFORCEMENT BULLETIN

JANUARY 1983

87620-
87622

**Patrol Problems
in Northern Climes**

U.S. Department of Justice
National Institute of Justice

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material has been granted by

**FBI Law Enforcement
Bulletin**

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

FBI LAW ENFORCEMENT BULLETIN

JANUARY 1983, VOLUME 52, NUMBER 1

NCJRS

JAN 27 1983

Contents ACQUISITIONS

- Equipment** [1 **Police Patrol Problems in Northern Climes**
By John C. Kairis 87620
- Communications** 6 **Writing for Managers**
By Nancy C. Hoffman and Glen Plutschak
- Personnel** [10 **The Performance Appraisal Interview**
By Edwin L. Moreau 87621
- Hostage Matters** [18 **A Behavioral Approach to Hostage Situations**
By W. Ronald Olin and David G. Born 87622
- The Legal Digest** 25 **Michigan v. Summers: Detention of Occupants During Search Warrant Execution (Part I)**
By Jerome O. Campana, Jr.
- 32 **Wanted by the FBI**



The Cover

The equipment used while patrolling during severe winter weather merits special attention. See article p. 1.

Federal Bureau of Investigation
United States Department of Justice
Washington, D.C. 20535

William H. Webster, Director

The Attorney General has determined that the publication of this periodical is necessary in the transaction of the public business required by law of the Department of Justice. Use of funds for printing this periodical has been approved by the Director of the Office of Management and Budget through February 21, 1983.

Published by the Office of Congressional and Public Affairs,
Roger S. Young, Assistant Director

Editor—Thomas J. Deakin
Assistant Editor—Kathryn E. Sulewski
Art Director—Kevin J. Mulholland
Writer/Editor—Karen McCarron
Production Manager—Jeffrey L. Summers
Reprints—Mary Ellen Drotar



ISSN 0014-5688

USPS 383-310

The Performance Appraisal Interview

By
CAPT. EDWIN L. MOREAU
*Police Department
Winston-Salem, N.C.*

Performance evaluations have prevailed since the time one man began working for another. While these evaluations have developed just recently into written, structured documents, questions pertaining to an employee's job performance have always been asked. How is the employee doing? Could this employee do more? What are his career goals? What can we do to make this employee perform better? These questions, spoken and unspoken, are presented daily and are actually performance evaluations.

Although structured performance appraisals have been used by private industry and law enforcement since the 1960's, it wasn't until the early 1970's that these evaluations became the basis for determining merit increases, promotions, transfers, and decisionmaking.¹ Early evaluations complied with the growth of American industry and the managerial motivation theories that abounded at the time. Managers looked at Abraham Maslow's Hierarchy-of-Needs Theory and set forth evaluation systems to determine where their employees placed on the hierarchy, where they were going, and how the satisfaction of these needs were actually affecting employee performance. Evaluations also tested the employees' performance against the Motivation-Hygiene Theory of Frederick Herzberg.

Managers quickly realized that structured performance evaluations were excellent for documenting their decisionmaking activities. As labor became more organized, managers were forced to "show cause" for their various personnel decisions, e.g., raises, denials of raises, promotions, denials of promotions, requests for additional personnel, transfers, etc. Almost every decision made by management could be supported by a reliable performance appraisal system.

As performance evaluation systems evolved, they took many forms. Basically, two forms are currently used by managers. With the structured, written form, the employee is evaluated toward set standards, criteria, and goals concerning the job assignment. In the second part, the supervisor/employee evaluation interview, the employee is made aware of how the supervisor perceives his job performance. The supervisor discusses the written evaluation with the employee and provides feedback on how the employee is doing in his present position. This is also a time for feedback to the supervisor of the employee's feelings, desires, goals, and fulfilled and unfulfilled job expectations. This evaluation interview is one of the main supervisory tools available to management today. It can be a rewarding experience for both the employee and supervisor.

Preparation

The employee performance appraisal interview is usually not one of the duties a supervisor looks forward to, unless he is fortunate to manage only high-quality performers as employees. Unfortunately, there are few supervisors in law enforcement or business who enjoy this luxury, and these are normally supervisors of "special" units who have had the opportunity to hand pick their subordinates. Most supervisors have a mixture of high, marginal, and low performers. Interview sessions involving marginal and low performers can be very disconcerting and stressful to the supervisor. Douglas McGregor once said that supervisors have "a normal dislike of having to criticize an employee."² Additionally, a supervisor, like anyone else, does not like to hear uncomplimentary remarks about himself and his unit, which frequently is the case in interviews with low performers as their defensive mechanisms are set in gear to combat the supervisor's criticism of their job performance.

Even though the appraisal may present unpleasant moments for the supervisor and employee alike, it is an extremely important tool. One bad interview can destroy a favorable relationship that has existed for some time and quite possibly set an unfavorable climate for the future. However, one good interview can establish a relationship of mutual trust and understanding that could carry on forever.



Captain Moreau



L. A. Powell
Chief of Police

The appraisal interview presents a unique opportunity for two-way communication at that particular level of the organization. It is an opportunity to recognize the quality performance of an exceptional employee. Likewise, it is an opportunity to assist or coach the marginal- or low-performance employee to improve job performance. To some supervisors or managers, the appraisal interview is "forced" communication, and they have strong feelings against such circumstances. However, other than the cursory communication in the hall, locker room, or line-up room, many supervisors communicate very little with their employees, and this forced communication is often better than none at all.

The appraisal interview could possibly be one of the most important training sessions an employee or supervisor, in some cases, has during the year. There is actual one-on-one, face-to-face dialog between the instructor (supervisor) and the student (employee). This would be considered the ultimate training session by any instructor or student. For the period of time the two are together, they have each other's undivided attention. There is no sharing of each other's time with third-party problems. The "instruction" can

proceed at the pace of the employee, not, as in classroom settings, as slow as the slowest student or as fast as the sharpest student. As an instructor for over 15 years, I have yet to encounter this opportunity outside the interview setting.

Handled properly, the appraisal interview can provide several advantages for the employee, the supervisor, and the organization. The interview provides personal feedback to the employee. Personal feedback has almost universally proved to have a strong relationship to job satisfaction and productivity. The interview can provide the employee a broader understanding of why and how he needs to modify work behavior or performance to improve both personal and organizational effectiveness. The interview can instill self-confidence in the employee, as well as more confidence or trust in the supervisor and the supervisor's actions. This self-confidence can lead to greater creativity by the employee which, in turn, leads to greater creativity in problem solving for the organization because of increased employee input. A cooperative climate develops which increases individual and subsequently group motivation toward achieving performance and organizational goals. Increased employee self-confidence and self-reliance improve as an employee develops the ability to recognize problems and act upon them without additional supervisory assistance. This allows the supervisor to concentrate on other management functions and activities. The sum of these positive effects results in less supervisory reluctance to discuss problems and possible solutions to these problems with the employees.

"The appraisal interview presents a unique opportunity for two-way communication. . . ."

"Handled properly, the appraisal interview can provide several advantages for the employee, the supervisor, and the organization."

Another possible benefit of properly conducted interviews is that reports of these interviews provide documentation for the reasons behind many of the supervisor's decisions. The transfer of personnel is often linked directly to the evaluation interview where managers attempt to work with employees in formulating career paths. After a positive exchange between the supervisor and employee, often new or self-enriching assignments are needed to motivate an employee. The appraisal interview and its subsequent documentation will support the move.

Additionally, with the growth of a breed of questioning, rights-conscious workers, organizations and managers can expect to be challenged in their decisions. The performance appraisal documentation is being introduced increasingly into court proceedings to combat discrimination claims. Assignments, attitudes, and performance records agreed on by both management and the employee are often prima facie evidence of fair employment practices.³

Before getting into a discussion of the interview itself, there are several areas which a supervisor/manager must fully understand in order to make the interview worthwhile. Perhaps the most basic is understanding and subsequently avoiding the several obstacles which stand in the way of a rewarding interview.

Failure to accept a subordinate as a person can ruin a supervisor or manager. The supervisor/manager must realize that regardless of the position held, the employee has individual opinions and ideas. These ideas should be listened to, accepted, and considered. Whether they are useful or constructive, it is important that the employee have the opportunity to express them.

Additionally, each employee has prejudices, likes and dislikes, and fears. By understanding these, the astute manager can improve the working environment, thus improving the chance of increased performance.

Not to be contradictory, the supervisor must also not be overly concerned with why a subordinate acts the way he does, rather he (the supervisor) must seek answers for improving the employee's performance.

A supervisor/manager often falls into the trap of playing amateur psychologist by trying to label employees into certain categories. Examples of this are tagging employees with "bad attitudes," "hot tempers," or "poor self-image." Since most managers do not have the background to make such prognostications, they fall into the trap of trying to treat the "illness" without having fully diagnosed the disease. Labeling an employee and subsequently treating the disease can lead to a form of self-fulfilling prophecy on the part of the employee. His exposure to the manager's cure can give him the disease.

Once a supervisor understands that the employee is a person with individual beliefs and feelings, it is the supervisor/manager's responsibility to develop listening and interviewing techniques to determine an employee's problems without developing the appearance of prying. The feeling of having someone peer into your personal life is one of the great turnoffs for most people. Open, responsive communication can bring out this information without inducing the feeling of prying.

The final obstacle is that of using the interview to punish the employee. The interview is to be a fact-finding, information-sharing, problem-solving intercourse, not a place for disciplinary actions. Once the criteria are set, discussed fully, and agreed upon, the failures can be dealt with later. If the employee believes he is going to the interview to be reprimanded, he will begin to set his defensive mechanisms in order and the interview will be worthless, as it will be with either a one-way conversation or a two-way shouting match.⁴

The Interview

The interview itself, as previously mentioned, is one of the most important actions of a supervisor/manager. The atmosphere/setting must be structured to ensure everything is covered correctly and in a positive manner; yet, not so structured as to stifle the employee's input. Three activities should be done by the supervisor prior to the interview.

First, the supervisor/manager should notify the employee of the upcoming interview, designating both the time and location. Advance notification gives the employee time to make any necessary changes in his schedule, as well as any personal adjustments (haircuts, clean brass, polish shoes, etc.). The employee also should be given copies of the interview form or the job classification/criteria of his particular duties. Most departments issue the above material to all personnel so the notification may simply refer to the specific sections of the material upon which the appraisal is being based. Providing the employee with advance notification and information will help reduce anxiety about the interview.

Second, the supervisor should select a proper location for the interview. A location free of telephone and visitor interruptions conveys a feeling of importance to the employee. A "neutral ground" concept is preferred. A conference room, a small library room, or a third person's office fits this concept ideally. The supervisor should avoid using the employee's office since he can be distracted easily by unfinished work, family pictures, etc. In turn, the supervisor's office is often considered "holy ground" by employees and can present a sense of awe. Additionally, any display of personal awards, diplomas, pictures of high officials, etc., could emit a sense of power or superiority.

Third, the supervisor should select the proper time for the interview. There is no hard and set rule as to the length of the interview, as there are too many variables. However, a proper appraisal interview should take at least an hour. It is also recommended that the interview be set for early in the work day when both the supervisor and employee are fresh and alert and have yet to become involved in the business of the day.

The interview is best started with a short period of informal conversation. This unstructured period will help dissipate feelings of anxiety and apprehensiveness usually experienced by both the employee and supervisor. Besides placing both at ease, this procedure often encourages normally quiet or reserved persons to express themselves and their thoughts.

Once the employee is at ease, the formal appraisal interview can begin. There are five basic questions which will be at the heart of the interview, although they are probably not officially stated by either the employee or supervisor.

- 1) "How am I doing"?
- 2) "What am I doing right"?
- 3) "Where do I need to improve"?
- 4) "What can be done to help me do my job better"?
- 5) "Where do I want to go from here, and what should be done to prepare me for it"?

The answers to these five basic questions should be included in practically every point discussed on the evaluation form.⁵

The employee should have a blank copy of the evaluation form, while the supervisor should have a copy completed in pencil, since it is subject to change after discussion of each evaluation factor with the employee. This is not to be viewed as saying every factor is subject to change depending upon the persuasiveness of the employee. Rather, it indicates the possibility of modification or adjustment on the part of the manager. If the manager exhibits inflexibility, then the employee thinks "what's the use" and does not communicate his feelings. However, if the supervisor is willing to listen, it gives the employee the opportunity to influence the evaluation. It gives him the chance to offer personal ideas for improvement. It also provides the employee an opportunity to enlighten the supervisor on activities he possibly missed or misunderstood.⁶

As the employee will be evaluated against a set of standards for each evaluation factor, it is important that the standards be written and made available to personnel. For each activity or task performed and thus evalu-

ated by the supervisor/manager, there must be a standard, an acceptable quantitative or qualitative level of performance. These standards must be made available to the employee early in his assignment to the position. The employee must understand the standards thoroughly in order to satisfactorily perform the work or task. Therefore, great care should be taken in formulating, wording, and communicating these standards. Presently, many departments through the use of task forces or other participatory management actions get the employees themselves involved in formulating performance standards. In fact, one of the offshoots of the appraisal interview is the redesigning of standards which are found to be questionable, unclear, restrictive, or too liberal for effective measurement. A very effective tool in this process is to seek the employee's definition of standards with which he seems to be having problems. It would possibly not affect the current evaluation, but could assist with the future performance if only because the employee had some input into the formulation of the new standard.

Another important factor of the appraisal form will be the rating scale for each performance factor evaluated. Again, precise definitions of each rating should be published and be familiar to the employee. An important tool is having the employee define each rating in his own words prior to discussing the performance factors. This description and the discussion that follows as to the supervisor's definition of each rating places both parties on "common" ground. Once both parties agree to the meaning of each rating, then

there is little room for argument once the facts are presented. In many rating systems, documentation is required for rates outside the satisfactory ranges, both high and low. The interview phase will bring out "verbal" documentation for each rating, and therefore, let an employee understand the particular rating for each factor evaluated.

Often, supervisors will rate employees in the satisfactory ranges to avoid having to document reasons for a particular rating. During the appraisal interview, however, the supervisor and employee discuss the rating of each factor. Because he will have to document "verbally" each rating, a supervisor will give a more complete or honest evaluation. He cannot hide laziness or disinterest in the evaluation by staying in the satisfactory (or undocumented) level since he will be questioned by the employee on the ratings of all performance factors.

Once the standards are fully understood and the rating scale for each factor is agreed upon by both parties, the interview can formally begin. It is recommended that the supervisor initially read the performance factor and then ask the employee to rate himself verbally, giving reasons for the rating. One often finds that employees rate themselves lower than the supervisor in almost every factor when given a chance. Once the employee finishes his dialog concerning the rating, the supervisor then advises him of the actual rating, documenting the reasons "verbally." If the supervisory rating is higher, the employee is relieved and often surprised and begins to develop confidence in the supervisor's "good judgment." Of course, there is usually

very little discussion on the part of the employee for a change in the rating. In instances of higher employee self-rating than supervisory rating, the situation is usually reversed. Employees may attempt to persuade the supervisor to change the rating or may lose confidence in the supervisor's judgment. This situation brings about the key to a good interview, which is "the ability to involve the interviewee in two-way communication." This is a prerequisite for acceptance of the evaluation and therefore establishment of goals for the future.⁷

Since the goals of the appraisal interview are to let the employee know his efforts are recognized and appreciated, to inspire the employee to improve his performance, and to discuss the quality of his performance,⁸ the dialog over disagreeing ratings is important. Since the participants have previously reached "common" ground on the value of each rating, the facts or details can now be brought out. There are often pitfalls to both sides of the discussion. Supervisors and employees alike often take into consideration the time frame of the evaluation. Often, prior history or previous personal feelings are involved. Additionally, recent history (last week or two) is considered and thus can confuse or corrupt the validity of the evaluation. This discussion can bring both parties back into line.

Other factors can also cloud the issue. Supervisors may not be aware of all the activities of the employee. Often "good" jobs are not brought to his attention as regularly as the

"screw-ups," and the dialog will bring these to the surface. The supervisor could possibly have his own ideas about the performance of certain tasks and can suggest activities which would improve the performance of the "unknown" employee. The interview can "sell" the employee on the idea that he could improve after all.

The supervisor assumes two roles in this appraisal interview, the judge and the coach. The role of the judge should be down played. Although it is important. As judge, the supervisor must make decisions concerning the results of the employee's work, measuring the results against the set standards. As judge, however, the supervisor must remember to be fair and impartial in his personal feelings about the employee and keep both the goals of the organization and future of the employee in mind. The supervisor, as judge, must remember the results of a study conducted in private industry that pointed out the effects of criticism in an evaluation:

- 1) Criticism has a negative effect on achievement of goals.
- 2) Criticism sets up a defensive state in the employee and thus produces inferior performance.⁹

The second role, that of coach or counselor, is the most important in the interview process. As ratings are discussed for individual performance factors, the coach can assist the employee in setting goals for improvement. He can offer suggestions for avenues in obtaining those goals and point out weaknesses which interfere with attaining them. Praise for the employee has short term effects, lasting only as long as the interview. However, the employee will remember the criti-

cism long after the interview has ended. Telling an employee his good or superior points helps ease the impact of inferior points.

The role of the coach is very important to setting goals. Allowing the employee the opportunity to participate in determining his goals and the goals of the department is critical for today's managers who have to confront problems which become more complex with each passing day. Employee input often provides the feedback needed to combat this complexity. Not using employee input and suggestions would be tantamount to having a research staff and not using the fruits of their efforts. Employees should be encouraged by supervisors to offer suggestions for improvement, weigh alternatives, and make recommendations. Participation by the employee in the goal-setting procedure improves job performance which, in turn, results in improved organizational operations.¹⁰

After listing the factors separately with the individual ratings, the supervisor should provide a composite rating of how the employee is doing overall. Any comparison with other employees should be avoided. The employee should be evaluated only against the set standards. The supervisor should again point out the strong and weak areas of the evaluation and reiterate the goals and the avenues to obtain them that were mutually set. He should then ask for any final comments or suggestions concerning the evaluation or interview.

As soon as possible, the completed evaluation form should be provided to the employee with comments, suggestions, and goals documented. The employee should also have an avenue for appeal if he believes the evaluation is unfair.

Followup after the interview is equally important, since several comments and suggestions may arise which should be reported back to the employee. This followup can be provided through a formal memorandum or a set meeting by informal conversation with the employee. It will determine whether the goals and needs of the department and employee are being met and ensure that the employee is attempting to obtain mutually agreed on goals. Followup also gives clues as to the effectiveness of the interview, as well as demonstrates to the employee that the supervisor is seriously considering his recommendations and suggestions.

Summary

Only recently has management begun to use the appraisal interview to its fullest benefit. It is still looked upon unfavorably by many supervisors and employees, but it can be a very useful tool for supervision. The interview, when properly conducted, can present face-to-face discussion between the employee and supervisor. This discussion provides an opportunity to compliment the employee for his contributions to the job and organization, as well as point out his shortcomings. In addition, the interview is a time for coaching/counseling the employee on methods for improvement, as well as setting future goals for both the employee and the organization.

The performance appraisal interview presents an opportunity for the supervisor to enhance self-esteem in the employee, to establish a good work relationship and a foundation for a better work environment, and to increase productivity through increased job satisfaction and participation in decision-

making functions. In addition, followup procedures to the appraisal interview show the employee that his supervisor is interested in his input into the affairs of the department. These procedures also provide feedback as to the effectiveness of the interview and the attainment of individual and organizational goals. The properly conducted appraisal interview is one of the most valuable management tools available today.

FBI

Footnotes

¹Cal W. Downs, G. Paul Smeyak, and Ernest Martin, *Professional Interviewing* (New York, N.Y.: Harper and Row, 1980), p. 161.

²Paul R. Timm, *Managerial Communication: A Finger on the Pulse* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1980), p. 163.

³DeVries, Morrison, Shullman, and Gerlach, *Performance Appraisal on the Line* (New York, N.Y.: John Wiley and Sons, Inc., 1981), p. 15.

⁴Supra note 2.

⁵State of Maine *Employee Handbook*, 1978, pp. 36-39.

⁶J. R. Gibb, *Leadership and Interpersonal Behavior* (New York, N.Y.: Holt, Rinehart and Winston, Inc., 1961), pp. 66-81.

⁷James M. Lahiff, "Interviewing for Results," *Readings in Interpersonal and Organizational Communication*, (Boston, Mass.: Allyn and Bacon, Inc., 1977), p. 405.

⁸Ibid, p. 404.

⁹H. H. Meyer, Emanuel Kay, J. R. P. French, Jr., "Split Roles in Performance Appraisal," *Readings in Interpersonal and Organizational Communications* (Boston, Mass.: Allyn and Bacon, Inc., 1977), p. 339.

¹⁰Ibid.

¹¹N. F. Iannone, *Supervision of Police Personnel* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1975), p. 281.

"... the goals of the appraisal interview are to let the employee know his efforts are recognized and appreciated, to inspire the employee to improve his performance, and to discuss the quality of his performance. . . ."

END