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WHAT SYSTEM OF PERFORMANCE APPRAISAL  
WILL BE USED BY LAW ENFORCEMENT AGENCIES  
IN THE YEAR 2000?

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## EXECUTIVE SUMMARY

Law enforcement agencies, not unlike so many other modern-day organizations, are striving to incorporate their current goals and expectations with those of their employees. Although this struggle is not a new one, it appears that the coupling of today's diverse problems with the future's potential dynamics, will likely create even more significant challenges. This is particularly true in the area of performance appraisal systems, where there is an absolute necessity to take into consideration and balance individual and organizational needs.

Research in conjunction with this project suggests that customary performance appraisal systems are biased, inaccurate, and demonstrate inherent rater error and that this situation has led to considerable dissatisfaction on the part of both employees and agencies. Additionally, as a consequence of costly litigation, top management has applied pressure on supervisors in order to try to have them avoid giving controversial evaluations. Most supervisors, who abhor the whole appraisal process anyway, take the easy way out and simply rank their employees "satisfactory". As a result, the organization not only has a morale problem, but it suffers from a lack of vital personnel information that is essential if appropriate management decisions with regard to promotions, transfers, or discharges are to be made. Indications are, however, that these problems can be overcome with proper attention to the appraisal process versus emphasis on the evaluation form.

Drawing from the outcomes of a literature search and the findings of this project's questionnaire, it was determined that if a performance appraisal system is to be effective it must have certain key components. If these crucial elements are not present, the performance appraisal system will fail to meet the needs of individuals and organizations. In addition, for the future, attention must be given to the forecasted diverse composition of the future's work force, in order to ensure that approaches to performance appraisal activities are designed in such a way that they are sensitive to this new work force and can be readily adapted to its varying idiosyncrasies.

Of special note, a panel of experts, brought together specifically for the purpose of identifying trends and events that might affect performance appraisals, found that no one specific trend or event will dramatically influence the issue.

Taking into consideration all of the above, scenarios depicting the best, worst, and most likely cases were developed and strategic and transition management plans were also designed.

Overall, this project shows that in spite of anticipated obstacles, an effective performance appraisal system can be created in such a way so as to benefit both California law enforcement officers and their respective organizations in the year 2000.

## INTRODUCTION

Throughout history, people have evaluated one another's performance and measured it against established codes of behavior, morals and values. Perhaps the most famous performance appraisal of all times was given by God to the corrupt, idolatrous King Belshazzar. Written on the wall of Belshazzar's palace were the words: "You have been weighed in the balance and found wanting."<sup>1</sup> Clifford E. Jourgensen traces the evaluation process back as far as 220 AD. He quotes an old Chinese philosopher, Chen Yu: "The imperial rater seldom rates men according to their merits, but always according to his likes and dislikes."<sup>2</sup>

As procedures and processes, performance appraisals in government have been in existence in one form or another for many years. Agencies at federal, state and local levels have been conducting ratings, evaluations, assessments and appraisals of work force performance for at least 90 years.<sup>3</sup> Prior to World War II, futile attempts were made to design and implement a satisfactory appraisal system. For example, in 1842, Congress passed a law requiring the head of executive departments to make a yearly report evaluating whether or not each clerk had been effectively employed or ". . . whether the removal of some to permit the appointment of others would lead to a better dispatch of the public business", and in 1879, the U.S. Pension Office attempted to measure their employee performance by counting the number of errors they made in a year, by each individual.<sup>4</sup>

From 1950 to 1978 several laws were enacted in an attempt to regulate and upgrade performance appraisal processes. In 1950, the Civil Service Commission enacted the Performance Rating Act and in 1964 the Civil Rights Act was made law. It wasn't until 1978, however, that any significant

changes occurred.

In 1978, the Civil Service Commission found that the Performance Rating Act of 1950 was ineffective. This was brought to light by federal, General Accounting Office reviews that showed that more than ninety percent of all performance ratings tended to be "satisfactory". It was noted that this satisfactory rating problem occurred regardless of the form utilized.<sup>5</sup>

As a consequence of these findings, the Civil Service Reform Act of 1978, entitled Performance Appraisal, was established. Under the Reform Act, appraisal systems are to form the basis for ". . . decisions to train, reward, assign, promote, demote, retain, or remove employees (for reasons other than misconduct.)"<sup>6</sup>

Current performance appraisal processes attempt to satisfy existing laws while, at the same time, meet the ever-changing needs of the individual and the organization. To do this, performance appraisals have fallen into basically two areas of emphasis: administrative and informative. The administrative category includes but is not limited to, performance appraisal purposes having to do with decisions of promotion, transfer, discharge, etc. The informative category includes, but is not limited to such purposes as informing the employee of his/her job performance, supervisor expectations, etc. Numerous purposes and activities are involved in both areas and will be fully discussed later.

According to this project's recent survey, the law enforcement performance appraisal process consists of an annual written review of work performance with determinations relative to the employee's quantity and quality of work. Ordinarily, the format consists of a combination of check-off boxes and a narrative. The supervisor then gives the employee the form to review in an interview-type session. This exchange usually takes between 10 to 40 minutes. Goals may also be established at this time by the

supervisor and the subordinate. (See Questionnaire Section)

For many years, performance appraisal systems and processes have been discussed, studied, experimented with, developed, implemented, discarded and re-implemented by private industry, the military, and most public agencies. An extensive literature search has shown that these efforts have led only to frustration, and have not, to date, produced what might be called an "ideal" system.<sup>7</sup> It has been shown, however, that certain performance appraisal elements and components, in the right combination, are likely to produce an effective and meaningful evaluation system. Overall, the system must be relevant, practical, sensitive, reliable, and acceptable.<sup>8</sup> The literature also shows that there is a real demand for analysis, coupled with experimentation, recommendations and commensurate change.<sup>9</sup>

This project attempts by the gathering of information from discussions, manual and electronic literature searches, written response surveys and trend and event projections, to describe a performance appraisal system that integrates the needs and goals of both the organization and the individual for the year 2000. Some aspects of the future's changing work force, organizational structure, technology, economy, social trends, environment, politics and legal issues, are inter-related with the demonstration of an effective and meaningful performance appraisal system and are, therefore, addressed as applicable.

The term "employee" used in this project, refers to the rank and file police officer, also commonly known as traffic officer, deputy sheriff, patrol officer, agent, or etc. Police officers were selected for the "employee" group, as they constitute the largest single group of employees in law enforcement today who are evaluated based on similar criteria, and are largely responsible for accomplishing the goals of the organization.<sup>10</sup> The term "supervisor" used in this project, is synonymous with and refers to the

rater or appraiser, regardless of rank or title, who is responsible for preparing the performance appraisal for the police officer. The term employee is synonymous with subordinate, officer, or ratee.

Although primarily applicable to law enforcement organizations, the results of this project may be useful for any organization that is looking for a system vs. a "form" that will meet future performance appraisal needs.

## METHODOLOGY

Utilizing electronic and manual literature search resources, written response surveys and personal discussions, information was collected concerning many aspects of performance appraisals for the past ten years. The literature search covered the fields of business, management, hospitals, schools, military, fire service and law enforcement. Questionnaires were mailed or given to 140 law enforcement administrators. Discussions were held with many law enforcement administrators, a hospital director of human resources, personnel directors of several hospitals and business people.

After collecting the data, the following was accomplished:

1. The history of performance appraisal systems was traced.
2. The functions and purposes of performance appraisals were identified.
3. The legal aspects of performance appraisal systems were determined.
4. The importance of performance appraisals to organizations and individuals was determined.
5. Methods, procedures and types of performance appraisals were evaluated.
6. The essential components/elements of performance appraisals were identified.
7. The role job descriptions play in helping to create objective performance appraisals was determined.
8. The importance of mutually agreed upon performance standards, as they relate to performance appraisals was determined.
9. The necessity of self-evaluation in the performance appraisal process was determined.
10. The part goals play in the performance appraisal process was determined.

11. The strengths and weaknesses of current performance appraisal systems and possible solutions for a workable system in the year 2000, were determined.
12. The perception of supervisors and employees regarding the performance appraisal process was determined.
13. The value of performance appraisals on motivation and productivity from a law enforcement managers' perspective, was determined.
14. The impact of training and rewards on the performance appraisal process was determined.
15. The purpose of performance appraisals as to how they fit into the total organizational purpose was clarified.
16. The importance of top management commitment to a performance appraisal system was determined.
17. The affect of technology on the performance appraisal process was determined.
18. The future role of the supervisor in the performance appraisal process was determined.
19. The affect the reduction of middle management may have on the performance appraisal process was considered.
20. The affect of the future work force on the performance appraisal process, ie. ethnic mix, values, customs, demographics, work ethic, composition, etc., was determined.
21. Based on samples performance appraisals and feedback solicited from numerous agencies, it was determined if any one system was thought to be "ideal".
22. The following instruments were developed:
  - a. Questionnaires for law enforcement survey
  - b. Trend evaluation form
  - c. Event evaluation form

- d. Cross impact evaluation form
- e. Graphs to depict trends and events
- f. Letters to law enforcement administrators
- g. Letter to NGT group
- h. Planning system form
- i. Commitment planning form

Utilizing manual and electronic literature search techniques, past, present and possible future trends and events were analyzed. This analysis concentrated on how these trends and events will impact values, attitudes and expectations of individual employees toward their organization and the organization toward its employees.

A questionnaire was designed and distributed to 140 law enforcement administrators. By filling out the questionnaire, each respondent described his/her agency's current performance appraisal system and what the performance appraisal process should look like in that agency, in the year 2000. (See Questionnaire Section)

Trends collected, as a result of the above activities, were then grouped into the following categories for future's forecasting and projection:

1. Changing work force
2. Organizational structure
3. Technology
4. Economy
5. Social values
6. Environment
7. Politics
8. Legal issues

A group composed of representatives from business, law enforcement, and

hospital administration, was brought together. (See Appendix C) Utilizing the Nominal Group Technique, hereafter referred to as "NGT" (or a structural group process which follows a prescribed sequence of steps, namely: 1. individual generation of ideas in writing, 2. round robin recording of ideas, 3. serial discussion for clarification, 4. preliminary vote on items, 5. discussion of preliminary vote, and 6. final vote), a list of 30 trends which may affect performance appraisals in the year 2000, was developed. (See Appendix D) Five trends that were felt to be the most important, were identified.

Using the NGT and the same group described above, 16 events that may occur in the future and affect law enforcement performance appraisals, were identified. (See Appendix B) The group then selected the 5 most important events and thereafter, determined the probability factor, in percentages, of these events actually occurring by the year 2000. The group also gave its best forecast of the year the event would most likely occur, if it occurred. A cross impact evaluation on the probability factor of trends vs. events and event-on-event was then completed. (See Exhibits 6 and 7 respectively) The final results are based on the median average.

Subsequent to the above, three scenarios were prepared utilizing the probability criteria based on the trend and event projection. Each scenario was then evaluated and the desired future scenario was selected.

Then, organizational policies and procedures which could directly or indirectly affect the desired change in the performance appraisal process were analyzed and the following was determined:

1. Some new policies and procedures must be developed to implement the desired change(s) in the performance appraisal process.
2. Training programs will be necessary to educate organizations and individuals to the new process.

3. Organizational climate must be changed in order to overcome barriers to the new procedure(s), such as:

- a. Management reaction that change only means more paperwork and time commitment.
- b. Work force reaction that change is unnecessary because "it's always been done this way".
- c. To ensure that the required action is formally recognized and rewarded.

4. The affect employee organizations will have in making performance appraisals into bargaining issues.

Strategic and transition plans were then developed to facilitate implementation of the change(s), and move the organization from its present state to the desire future state.

## RESEARCH OUTCOMES

A literature search was conducted to identify past, present, and future performance appraisal systems, processes, and procedures. The review also included collecting information on the future's work force, management structures, and technology, insofar as they relate to performance appraisals. This was done both electronically and manually. The electronic portion was conducted by the firm "Information on Demand", and covered more than 660 business and management periodicals world-wide, and global health planning and administration data bases, and the National Criminal Justice Reference Service, which covered nationwide criminal justice periodicals. For a complete list of periodicals and abstracts, see Bibliography. The manual portion of the search was done through the Peace Officer Standards and Training, State of California, and San Diego State University Libraries. (See Bibliography) The electronic part was confined to the last 5 years and the manual to the last 10 years. As a result of the above activities, over 50 articles and 20 books were selected for further study. The research outcomes section that follows includes a description of pertinent segments of the entire review and isolated study activities.

### DEFINITION OF PERFORMANCE APPRAISAL

Strictly speaking, a performance appraisal is an opportunity for a supervisor to review and discuss with each subordinate, his/her past performance and, based on the conclusions reached, agree on a plan of action and/or priorities for the forthcoming period. A performance appraisal is a two-way dialogue between the rater and the ratee about the ratee's job performance. A review of accomplishments, it usually compares job results

with previously established standards or goals. Not only does the effective appraisal provide a clear picture of the acceptability of performance, but it also improves performance by identifying areas in which improvement and growth are necessary.<sup>11</sup>

Due to employee reaction against the term "efficiency rating", performance appraisals have come to be known as "personnel rating reports", "performance evaluation reports", "performance appraisals", or simply, "evaluations" or "appraisals".

#### IMPORTANCE OF PERFORMANCE APPRAISALS

A process of evaluation is necessary for any sort of understanding and communication between a supervisor and a subordinate. In the job situation, the performance appraisal is equally important to both the employer and the employee.<sup>12</sup> People want and need feedback about how well they are doing with their jobs. Some studies even support the idea that the individual's performance of his/her work is positively affected when real performance-related feedback is given.<sup>13</sup> Performance appraisals can also make performance information more readily available and can help to make sure people know what is expected of them.

Effective performance appraisals are a must if an organization hopes to make appropriate use of its human resources. Employees must be able to do the work they are assigned in an effective and efficient manner and supervisors must be able to predict who in the organization can be advanced in terms of more or different work.<sup>14</sup>

Most law enforcement agencies continue to use performance appraisal systems to make important personnel decisions concerning salary increases, job assignments, promotions, disciplinary actions and in some cases, terminations. (See Questionnaire results)

Performance appraisal systems are an important planning, organizing and controlling mechanism for personnel management.<sup>15</sup> Their importance stems from the view that an efficient system will enable an organization to draw up a balance sheet of its human potential at any time, and thus, open the way to better planning for the selection, recruitment and training of its employees. Further advantages to an effective system include having an efficient policy of transfers and career development.<sup>16</sup> In summary, the importance of employee appraisals is evident in all areas of organizational activity. They expedite employee development, help identify appropriate lateral transfers and promotions, serve as tools in evaluating organizational hiring and training policies, and act as measurements for merit increases. For many organizations, their most important contribution is improvement in management-employee communications.<sup>17</sup>

#### HISTORY/PERFORMANCE APPRAISAL LAWS

Throughout history, people have evaluated one another's performance, and measured it against established codes of behavior, morals and values.

As a procedure and a process, performance appraisals in government have been in existence for many years. Agencies at the federal, state, and local levels have been conducting ratings, evaluations, assessment and appraisals of workforce performance for at least 90 years.<sup>18</sup>

Modern-day performance appraisal efforts began in earnest, in 1950, with the creation of the Performance Rating Act. This, however, proved to be lacking, as evidenced by the General Accounting Office reviews conducted just prior to 1978. The recommendations from those studies led to the Civil Service Reform Act of 1978, the primary, "moving" document for the 80's.

Prior to the enactment of the Civil Service Reform Act, or abbreviated CSRA, some case laws relevant to performance appraisals were decided.

In 1973, Brito vs. ZIA Company ordered that formal performance evaluations must be based on identifiable criteria related to the quality and quantity of work performed and these appraisals must be supported by some kind of record. Wade vs. Mississippi Cooperative Extension Service (1974) gave that performance appraisals based solely on ratings of such general characteristics as leadership, attitude, appearance, personal conduct, ethics, loyalty, etc., were unacceptable. Albermarle Paper Company vs. Moody (1975) determined that the critical requirements of a job must be developed following a valid job analysis and before selection criteria are established.<sup>19</sup> In summary, performance appraisals must be based upon an analysis of job requirements as reflected in performance standards.

The CSRA introduced a new system of performance appraisals for the federal service which required agencies' performance appraisal systems to provide for:

1. Encouragement of employee participation in setting performance elements and standards,
2. Use of performance standards as the basis for appraising employee performance,
3. Communication of performance standards and critical job elements to employees at the beginning of the period being appraised, and
4. Help for employees in order to improve their performance through coaching and counseling by the manager/supervisor.<sup>20</sup>

In addition to the above, the CSRA of 1978 requires certain crucial performance appraisal ingredients be present, as follows:

1. Timetables for identification and agreement on the set of program objectives and performance indicators on which programs can be held accountable,
2. Requirements for program managers, within an agreed-upon period of time,

to identify and get policy level agreement on the set of realistic outcomes-oriented program objectives and performance indicators on which their programs will be held accountable,

3. Requirements that program managers, within an agreed-upon period of time, produce documented evidence on the extent to which his/her program is being implemented satisfactorily and is producing the intended results, and

4. Directives that will permit federal agencies to use pay and other incentives to recognize program managers and their staffs who excel in clarifying program goals and in demonstrating improved levels of program performance in terms of pre-determined indicators.<sup>21</sup>

Although the 1978 Civil Service Reform Act is presently binding only on federal agencies, the literature suggests that future legislation will soon create an umbrella to include all local and state governmental agencies. As a consequence, this will have a major impact on law enforcement agencies.<sup>22</sup>

It is reasonable to expect that judicial response to performance appraisals will also have substantial repercussions for public organizations. The need for standardized treatment of employees, and even possibly the preference of systems that allow the individuals being evaluated to respond to their ratings, will be stressed. The above could arise out of the following:

1. New rights for individuals who interact with public agencies, whether in the roles of clients, public employees, or "captives" such as prisoners.
2. The massive curtailment of traditional immunity for public administrators as a result of civil suits growing out of their official responsibilities. Today, a bureaucrat is likely to be liable for any breaches of an individual's federally protected constitutional or legal rights.
3. Direct involvement of the judiciary in the administration of public

facilities such as prisons, school systems and mental hospitals. Such involvement often results from a new kind of suit, sometimes referred to as "public law litigation", which seeks injunctive relief for widespread abuses of constitutional rights.<sup>23</sup>

Since performance appraisals fall under the same federal guidelines as selections procedures, poor performance appraisal systems could also lead to costly court battles.<sup>24</sup> For example, in 1980, the court said in *Mistretta vs. Sandia Corp.*, that the "evaluations were not based on any identifiable criteria related to quality or quantity of work or on particulars of performance", and in 1982 an employee won a judgment of \$61,000. because of a "negligent evaluation" in *Chamberlain vs. Bissell, Inc.*

Most civil service laws require that employees be given efficiency ratings a minimum of once or twice a year.<sup>25</sup> The legal and ethical demands for improved efficiency in law enforcement service are constantly growing and standards are becoming more stringent. Therefore, it is imperative that law enforcement develop valid, fair, impartial and consistent systems of performance evaluations.<sup>26</sup> The system also needs to reliably identify which employees are "high", "middle" and "low" performers.<sup>27</sup> The goal is to be able to discriminate between mediocre and good performance so that each group can be treated differently.

As noted above, there are significant legal reasons why an organization should maintain an effective formal performance appraisal system, regardless of its imperfections. An organization without a working standardized performance appraisal system can run into several legal ramifications. The courts have been pretty specific. If an employee challenges a dismissal or missed promotion or disciplinary action, there had better be a performance appraisal system in place.<sup>28</sup> The system needs to be one that uses standardized forms and procedures, and is based on clear and relevant job

analyses, and is covered by training for the people doing the rating. In other words, the courts want proof that due process has been adhered to in personnel procedures.

#### METHODS AND TYPES OF PERFORMANCE APPRAISAL RATING SYSTEMS

There are undoubtedly as many rating systems in use today as there are organizations using them. Most performance appraisal systems, however, can be classified into one or more of the following types:

1. Graphic Rating Scale
2. Paired Choice Rating System
3. Mixed Standard<sup>29</sup>
4. Behaviorally Anchored Rating Scale (BARS)<sup>30</sup>
5. Forced Choice
6. Achievement and Development Inventory (ADI)<sup>31</sup>
7. Critical Incident Method
8. Essay Appraisal
9. Management By Objectives
10. Forced Distribution<sup>32</sup>
11. Peer Evaluation
12. Subordinate Evaluation
13. Standards and Trait Description
14. Job Description

Note: Should more information be desired with regard to any of the above referenced rating types/methods, the Bibliography should be consulted.

Over 100 different performance appraisal systems currently being used by law enforcement, businesses, hospitals, fire service and the military were reviewed, and all of them would fall into one or more of the above classifications. All methods have strengths and weaknesses. Perhaps that is

why so many organizations have combined one or more of the above approaches.

This project's written response survey indicates that most California law enforcement agencies utilize a performance appraisal rating system that has a combination of check-off boxes and a narrative, with the trend being to increase the narrative portion.

In any event, the type of form or the rating approach used is insignificant. However, it is very important that the system have certain key components which will be described later.<sup>33</sup> The literature is replete with documentation that the degree to which elaborate rating approaches, such as BARS, Mixed Standard and ADI have been shown to increase reliability over simpler, more subjective types, is disappointingly slight. In other words, the organization invests a great deal of time, effort and money, perhaps alienating line supervisors in the process and in return, gets an elaborate method that is only a little bit better at distinguishing a "fair" performer from a "satisfactory" one.<sup>34</sup>

Although interest in performance appraisal processes has led to a great deal of research, much of this has concentrated on the mechanics of measurement and the appraisal form. Research has compared the advantages of a "five point" versus "seven point" scale and behaviorally anchored rating scales versus management by objectives, etc. For many years, it has been suspected that too much emphasis has been placed on these areas yet, little has been looked at outside these parameters.<sup>35</sup> Some have, however, determined that the value of the appraisal depends on the quality of the evaluation and not the form.<sup>36</sup>

Studies have even shown that ratings are as much or more a function of the idiosyncrasies of the rater who made them than they are of the actual behavior of the ratees. Parenthetically, litigation in the area of appraisal also documents the importance of the rater in terms of evidence

presented and testimony.<sup>37</sup>

In summary, it can be found that form content has little if any effect on the actual appraisal, its successes or failures.<sup>38</sup> Data strongly suggests that the answer to doing a performance appraisal lies in focusing on the process of appraisal and on the organizational context in which the event takes place, not on the form or method.<sup>39</sup>

#### PURPOSE OF PERFORMANCE APPRAISALS

Defining the purpose of a performance appraisal system is critical. Taking the time to develop an accurate, well-defined statement of purpose is the first and most important step in designing any evaluation system.<sup>40</sup>

The literature is replete with potential purposes. The following is a list of a few of these:

1. To allocate resources in a dynamic environment.
2. To reward employees.
3. To give employees feedback about their work.
4. To maintain fair relationships within the group.
5. To coach and develop employees.
6. To comply with equal opportunity regulations.
7. To improve subordinate's performance.
8. To control results.
9. To help the boss make decisions about pay.
10. To identify "high potential" people for promotion.
11. To help the boss decide on questions of transfer, promotion, or termination.
12. To motivate subordinates.
13. To clarify subordinate's career objectives.
14. To improve boss/subordinate communications.

15. To set goals for a period ahead.
16. To improve two way communications between supervisors and employees on work needs and performance.
17. To ensure that employees understand, in advance, what is expected of them.
18. To keep employees regularly informed about their job performance.
19. To recognize employees who make a positive contribution in their work.
20. To help employees develop and maintain good job skills and prepare for job/career advancement.
21. To build more effective working teams.
22. To allow employees to participate in work planning and evaluation.
23. To change or modify dysfunctional behavior.
24. To communicate to employees managerial perceptions of the quality and quantity of their work.
25. To assess future potential of an employee and to recommend appropriate training or developmental assignments.
26. To assess whether the present duties of an employee's position have an appropriate compensation levels.
27. To provide a documental record for disciplinary and separation measures.
28. To provide a documented record for comparative purposes in making promotion/placement decisions.
29. To generate information needed for short and long range administrative actions, such as salary decisions, promotions, and transfers (all short-range) or human resources planning and managerial successes (long-range).
30. To let subordinates know where they stand, how well they are doing and what changes in their behavior the superior wants.
31. To provide a means for coaching and counseling subordinates in order to train and develop them to their full potential.<sup>41</sup>

As noted above, performance appraisals can serve many purposes, but for simplicity sake, these can be sorted roughly into two categories: the administrative and informative.

The administrative performance appraisals are useful for management because they provide a method for the allocation of the organization's resources. Specifically, they are the means of deciding who is to be promoted, who is to be transferred and who is to be terminated. They may also be used for salary considerations.

The informative evaluations are designed to let the employee know: whether management thinks that he/she is doing a good job or not, what the company expects, what he/she can expect from the company, and what aspects of the work his/her supervisor feels need improvement. They may also be useful for bestowing recognition for those areas of the work that are outstanding, helping employees to perform their present jobs more efficiently and satisfyingly, and helping them to prepare for possible advancement and promotion.<sup>42</sup>

An appraisal should be used to compare an employee with a job description or job standards and not with fellow employees.<sup>43</sup> Ideally, an appraisal system should also serve as a tool for systematically and objectively evaluating the employee's capabilities.<sup>44</sup>

All employees at onetime or another wonder what their supervisor thinks of them and every employee is happier when it is clear that his/her work is appreciated. For these reasons it is important that workers know what is expected of them and also how they will be rewarded or sanctioned if they surpass these expectations, meet them, or fail to meet them.

The main purpose of performance appraisals then, is to let the employees know how well they are performing their jobs and for both the employee and the manager to set future goals. It has been shown that those employees who

participate in setting goals will work harder to accomplish them.<sup>45</sup>

In summary, performance appraisals serve as a basis for promotion, termination, job reassignment, and salary decisions. They also help in planning/goal setting, training and employee development. Performance appraisals can also further employee involvement, provide documentation and correct weaknesses.<sup>46</sup>

As seen above, some performance evaluation designs have exhibited a "shotgun effect" producing a performance evaluation so haphazard and broad in its goals that its effectiveness is very limited.<sup>47</sup> Narrowing the scope, by using the following approach to purpose, may be the answer. The first step is to have a well-defined, concise and goal directed statement of purpose. Secondly, the instrument must be compatible with the goal of the purpose. Behavioral areas to be evaluated must have focus and be written in such a manner so as to reduce the probability of error or confusion. Whatever format is used, ie. narrative, rating scale, ranks or combinations, the basic underlying element must be communication. Next, management and supervisors must be well trained and motives must be "broadcast" to the employees concerned. Lastly, regardless of format, the performance appraisal should yield some variety of numerical score. The use of scores for statistical analysis can give important information about the internal reliability and validity of the evaluation instrument. The purpose should not stress the style or type of performance appraisal, but rather the process of providing feedback and the total communication should be emphasized.<sup>48</sup>

In police work, "historically performance appraisals have been poorly planned programs utilized by personnel departments for vague purposes. More than likely, a police department's first performance evaluation system was handed to the chief by the institutional personnel director. If changes were made, they were usually superficial, entailing slight alteration of the

original format. Whatever the genesis, evaluators and evaluatees saw the evaluation process as a negative experience to be gotten through as quickly as possible."<sup>49</sup>

As demonstrated above, the primary purpose of performance evaluation has been to provide a system within which accurate judgments could be made to justify salary increases, and employee retention, promotion, transfer, demotion and termination. In the next two decades, performance appraisals will be used primarily to document administrative decisions for protection against legal challenges. Also, as economy shifts from a manufacturing to a service emphasis, appraisal will be used to document strengths and weaknesses in order to identify those who can be trained and shifted to other areas of endeavor. Management will also use the appraisal to satisfy employee demands for participation in decision-making processes. The performance appraisal is also excellent for mutual goal-setting and career planning.<sup>50</sup>

#### COMPONENTS/ELEMENTS OF PERFORMANCE APPRAISALS

The literature is clear. Performance appraisals must have at least the following components:

1. Annual evaluation of work related performance.
2. Periodic review in between formal evaluation.
3. Periodic progress interview.
4. Positive coaching with a developmental framework.
5. Provision for employee input and response.
6. Self-evaluation.
7. Training for ratee and rater.
8. An objective review that is able to withstand an appeal or challenge process.<sup>51</sup>

In addition, the 1978 General Office of Accounting Report stated that

systems that provided for the following, were more likely to improve overall work:

1. Pre-established performance standards, communication of expectations to employees, and review of and feedback regarding achievements.
2. Employee participation in setting performance standards.
3. Adequate training for managers and supervisors to make appraisals and use them as a management tool.
4. A link between the performance appraisal and other personnel actions for rewards and sanctions; and
5. Sufficient written justification and periodic review to ensure that evidence of performance matches the rating.<sup>52</sup>

Further, the following are considered minimal elements if the performance appraisal system is to be successful:

1. Must reduce or eliminate halo effect, bias, and prejudice.
2. Must be proven valid and reliable.
3. Must meet the legal aspects for a performance evaluation.
4. Must include a method of guidance and development.
5. Must be quantifiable for computerization purposes and efficient to process.<sup>53</sup>

A performance appraisal system should also have components that define work roles, motivate performance and aid in subordinate development.<sup>54</sup>

Successful appraisal systems are goal directed. They are understandable to supervisors and employees and are perceived as being fair in terms of performance measurement. They are positively oriented with emphasis on employee development and improvement.<sup>55</sup> Moreover, systems must make it possible for agencies to:

1. Advise employees on the critical elements of their jobs.
2. Establish performance standards that will permit accurate evaluation of

performance based on objective, job-related standards.

3. Assist employees to improve their performance when it is found to be unacceptable.
4. Demote, reassign, or remove employees whose performance continues to be unacceptable, but only after they have had the opportunity to show improvement.<sup>56</sup>

In addition to ensuring that the system balances results and behaviors, a commitment from top management must be obtained. Executive management must be willing to participate in the performance appraisal and lend its support.<sup>57</sup>

Effective performance appraisal systems often display the following characteristics:

1. Managers are rewarded for developing their subordinates.
2. Managers receive skill training and assistance in using the system, specifically in being helpers or counselors.
3. Job descriptions or specific job goal documents are based on behavioral or job-relevant performance standards.
4. Employees are actively involved in the appraisal process.
5. Mutual goal setting takes place.
6. Appraisal sessions have a problem-solving focus.
7. The judge role is clearly separated from the helper/counselor role.
8. The paperwork and technical assistance required by the appraisal system does not place an unreasonable workload on managers.
9. Peer comparisons are not a central feature of the appraisal process.
10. Information that is needed for administrative actions is accessible and effectively used.<sup>58</sup>

Because the interview portion of the performance appraisal process is pivotal, it bears special definition. Typically, it serves two functions: 1. Evaluation and discussion for administrative decisions, and 2. Counseling

and development. The appraisal interview also serves as a means of motivating employees and as a guide for individualized training and developmental requirements. Considerable debate exists over whether evaluation of performance and developmental coaching should be conducted in the same interview. Some experts contend that this practice not only ignores the distinction between judging and counseling but also reveals a misunderstanding of the purpose of performance appraisals. These critics believe that employee development should not be included in the appraisal process because the two activities are different. Despite these difficulties the fact is that managers do have this dual responsibility.<sup>59</sup>

Important appraisal interview characteristics include:

1. A high level of the employee participation in both the evaluation and developmental process. The more the input from the employee, the more satisfied he/she is likely to be with the interview and the manager. Higher participation also generally leads to greater commitment to carrying out performance improvement plans.
2. Helpful and constructive attitude on the part of the manager.
3. Goal setting.
4. Considerable knowledge on the part of the manager with regard to the employee's job and performance.<sup>60</sup>

The following is a suggested approach for a successful interview process. The first step is an evaluation stage and includes:

1. Scheduling of and preparation for the performance appraisal interview in advance.
2. Creating the proper atmosphere for two-way communication.
3. Beginning with a statement of purpose.
4. Encouraging the employee to participate.
5. Discussing the total performance.

- a. The manager and employee discuss mutually recognized strengths in the employee's performance.
  - b. The manager points out strengths in the employee's performance that the employee did not recognize.
  - c. The manager and employee review areas of satisfactory performance which both agree upon.
  - d. The manager indicates areas of satisfactory performance that the employee was unaware of.
  - e. The manager and employee review opportunities for growth and improvement in which both agree.
  - f. The manager suggests opportunities for growth and improvement that the employee did not recognize.
6. Summarizing the interview. After the meeting the major conclusions of the sessions are recorded for administrative purposes.<sup>61</sup>

The second step is a developmental stage and includes:

1. Items 1-4 as above.
5. Setting future performance goals.
6. Formulating a development plan.
7. Preparing a working document.<sup>62</sup>

If the above approach is utilized, the following may be helpful in terms of roles played by the supervisor and subordinate. (Activities are listed in chronological order.)

1. Open-ended discussion and exploration of problems, the subordinate leads and the supervisor listens.
2. Problem-solving discussion, in which the subordinate leads, but supervisor takes somewhat stronger role.
3. Agreement between supervisor and subordinate agree on performance problems and a plan for improvements.

4. Closing the evaluation, the supervisor gives his/her views and final evaluation if the subordinate has not dealt with important issues.<sup>63</sup>

The following are actions to avoid in the interview process: arguing with the employee, discussing other people's performance, except if the employee's work is dependent upon that of another worker, making promises, criticizing the employee as a person vs. the performance, overlooking weaknesses, losing composure, or acting hurried.<sup>64</sup>

Regardless of format, the following outcomes should be observed if the appraisal process has been successful:

1. Individuals are motivated to strive for higher levels of performance.
2. They learn exactly how they are doing.
3. Those who are doing well receive praise; those who are not performing up to standards are made aware of the need for change.
4. Stronger relationships are built between the supervisor and the subordinate.
5. Programs for future improvement are jointly agreed upon.
6. The efficiency and productivity of the organization are maintained.<sup>65</sup>

The appraisal interview creates a complex human relationship. It affects not only the employee but also the person doing the appraisal, and as such, is one of the most important components of the appraisal process.

#### JOB DESCRIPTIONS/RESPONSIBILITIES

The first part of a critical linkage, (See Figure 1.), between performance standards, job analyses or descriptions, and performance appraisals is the identification of job responsibilities, the primary factors in the job description. These responsibilities are defined as:

1. Important work which has to be done; or
2. A major area of accountability where some specific and desired result or



behavior is expected.<sup>66</sup> Examples of these are: record keeping, work scheduling, job safety, equipment maintenance, employee training, account collection, engineering design, plan checking, etc.

An employee usually has from 6 to 12 major job responsibilities that have specific expected results and behaviors. "High priority" job responsibilities can be identified by determining: 1. Their importance to the achievement of the organizational objectives, 2. The amount of employee time committed to them, or 3. The level of skill/knowledge required to perform them. The employee's experience, the supervisor's experience, class descriptions or goal statements, are all possible sources for obtaining relevant information with regard to job responsibilities.

As a part of formulating job responsibilities, "critical tasks" need to be isolated. A "critical element" or "task" is defined operationally as being so important to the job that if it is not performed adequately, it would provide the basis for termination from employment or disciplinary action or the withholding of within grade pay or merit pay from the employee.

The California and Nevada Highway Patrols have used the following approach for determining critical tasks:

1. Development: The critical tasks for all ranks were developed. Incumbents in each job classification identified and rated the importance of their job tasks, knowledge, skills and abilities. The most important job tasks were determined to be critical.
2. Defined: A critical task is a task which a uniformed employee must be able to perform at a level which meets or exceeds established standards.
3. Components:
  - a. Each critical task contains one or more performance elements. These elements define the more important critical task dimensions and are a crucial part of the appraisal.

- b. In addition to specific performance elements, each critical task has an element box marked "other". The "other" box is to be used when local procedures require additional or unusual performance elements to complete a task.
- c. Continued unacceptable performance in any critical task shall ultimately result in administrative action which may include, but not be limited to, rejection during probationary period, or punitive action.
- d. The critical tasks and performance elements are outlined according to job classification. A series of questions following performance elements are provided as a guide for raters when evaluating critical tasks. They are not intended to be all-inclusive.

The second part of the linkage, performance standards, are defined as the levels at which an employee must perform a critical task in order to satisfy the organization's requirements. Performance standards are statements that: 1. quantify a specific result one is responsible for (numerical); 2. qualify (describe in words) a specific behavior which clearly demonstrates that a job responsibility has been met (observable); and 3. describe "how well" an employee is expected to execute a job responsibility.

It can be postulated from the above, that poor job designs can make performance appraisals ineffective. Therefore, it is imperative that a strong emphasis be placed on early definition of the nature of the job for which a person is to be held accountable and on how the performance of the job is going to be measured.

#### PHASES OF PLANNING FOR A PERFORMANCE APPRAISAL SYSTEM

Phase One: Performance Planning

1. Decide on important job duties and organizational objectives - generic and specific.
2. Determine performance standards and objectives for next appraisal period.
3. Decide how satisfactory performance will be determined.

Phase Two: Performance Tracking and Feedback

1. Develop and use methods to track actual performance ie. computers.
2. Document examples of good and poor performance.
3. Provide two-way communication on good performance and improvement needs.

(EXCELLENT) and (NOT YET EXCELLENT)

Phase Three: Performance Evaluation]

1. Employee self-evaluates and discusses his/her performance over the entire appraisal period.
2. Supervisor assesses actual performance and establishes plan for areas needing improvement.
3. Set standards/objectives for next appraisal period ie. video tape.
4. Complete and sign appraisal form.

SELF-APPRAISALS

The literature suggests that self-appraisals may tend to overcome some of the long-standing problems associated with performance appraisal systems. They require employees to actively participate in their own evaluations and when this process is coupled with objective perceptions of an employee's strengths and weaknesses, as noted by a sensitive supervisor, the organization appears to benefit significantly.<sup>67</sup> Rather than the supervisor and subordinate being "at odds" with one another, an atmosphere of cooperation exists. The subordinate's positive traits and potential career paths are identified, and as a part of this process, areas for improvement are discussed and an exploration of problems and solutions is included.<sup>68</sup>

One of the major benefits of self-appraisal is that it offers an opportunity to explore areas usually overlooked with traditional appraisal methods.<sup>69</sup>

The primary objective of a self-appraisal approach to all or part of a performance appraisal system is to enhance the quality of communication between the supervisor and the employee. If this is accomplished, then the chance that the appraisal will be challenged or worse be found ineffective, is minimized.<sup>70</sup>

It should be noted that studies have shown that employees using a self-appraisal approach tend to give themselves higher marks than do their supervisors.<sup>71</sup> This tendency leads to the self-appraisal process being more effective for counseling and development than for personnel decisions. Nevertheless, it has been shown that this procedure definitely requires the employee to be more involved and this leads to an enhanced feeling of "ownership" on the part of the subordinate. Ultimately, this overall employee satisfaction can lead to the accomplishment of the performance appraisal objectives and those of the organization.<sup>72</sup> This is confirmed by a recent study wherein ninety percent of the raters and eighty-six percent of the ratees felt that an employee self-appraisal should be an important part of the appraisal process.<sup>73</sup> This project's written response survey suggests similar findings. (See Questionnaire Section.)

#### GOALS

Research has shown that if an appraisal system is to have any chance for success, it must be goal directed.<sup>74</sup> (See also Questionnaire Section.) While a brief analysis of the employee's past performance may be necessary, studies on performance appraisal show that employee productivity, for example, is most enhanced if the evaluation centers on creating future goals

for the employee and determining how these goals are to be achieved.

The recent General Electric performance appraisal study and the results of this project's questionnaire, verify that performance appraisals should focus on goals formulated and agreed to by the supervisor and the subordinate.

An employee's development is best met by goal achievement. Besides increasing productivity, goal setting will increase a subordinate's job satisfaction and role identification. Goals should be:

1. Specifically defined.
2. Linked to overall agency and company goals.
3. Reviewed periodically.
4. Specified for a definite time period.
5. Flexible.
6. Designed to include a plan of action for accomplishing desired results.
7. Given priorities.
8. Difficult to achieve, but realistic.
9. Mutually agreed upon.<sup>75</sup>

Additionally, mutual goal-setting is a rewarding experience for the appraiser. It enhances communication between the rater and the ratee and can create trust and openness.

#### STRENGTHS AND WEAKNESSES OF PERFORMANCE APPRAISALS

In a recent survey documented in the February 20, 1984 issue of Chemical Engineering, a large majority of the 2,951 respondents indicated that they felt that performance appraisals were desirable. Replying to the question, "Do you think that performance appraisals are valuable?", over sixty-three percent said "yes", performance appraisals are valuable to both the organization and the individual.

A study of performance appraisals at General Electric in 1984, offered

similar results. This was a follow-up to one done at G.E. in the early 1960's. Both managers and subordinates indicated that performance appraisal should have an important overall role in the organization in accomplishing a number of objectives vital to organizational effectiveness.

The results of the above studies strongly suggest that a performance appraisal should be a key link in an organization's overall human resources management strategy.

In the discussion of purposes, earlier in this project, it was indicated that there are well over 30 potential performance appraisal objectives. So it is with performance appraisal strengths. For various performance appraisal purposes achieved, strengths are evidenced.

The following is a brief list of potential strengths or positive points of the appraisal process:

1. Employees are able to find out where they stand with their supervisor.
2. A positive incentive to periodically reward a good employee is provided.
3. Specific information can be provided to employees to assist them to attain a higher rating.
4. Information which might be useful in making managerial decisions is recorded.<sup>76</sup>

The literature is replete with problems associated with performance appraisals. The following is a listing of some of the more prevalent weaknesses:

1. There may be conflicting objectives or purposes such as pay versus evaluation.
2. Varying levels of motivation may exist among raters. It has been shown that raters tend to be more accurate when the purpose of the appraisal is perceived to be personnel research or employee development vs. administration of organizational rewards. It has also been found that the evaluation is

more accurate when the results are not shared with the ratee. However, if feedback is required, (and certainly this project's research indicates it is), the rater is usually motivated to rate more correctly if it is perceived that such an action on the supervisor's part is his or her job and if the rater believes that the training and insights necessary to accurately rate the behavior or performance, are present.

3. Subjective errors such as a "halo" effect, may be present.

4. There may be time delays in providing evaluation feedback. Feedback loses its effect and can be demotivating if it is not provided as soon as possible.

5. The following organizational problems may exist:

- a. Task interdependence - employee may not be totally in control of his/her own work.
- b. Observability of task performance - some jobs are easier to observe than others.
- c. Structuring of the authority system - hierarchical arrangement and the way authority is distributed may influence the perception and understanding of the entire process.
- d. Power differentials - unions, etc.
- e. Nature of communicated appraisals - when evaluations will be conducted and with what frequency, when the results will be released, how they will be released and for what use they will be employed.<sup>77</sup>

While the individual desires to confirm a positive self-image, the organization wants individuals to be receptive to negative information about themselves in order to improve their performance and promotability. "The conflict is over the exchange of valid information."<sup>78</sup> Some possible solutions to these problems are:

1. Choosing appropriate performance data - feedback about specific incidences - "how" a person is performing, and
2. Recognizing individual differences in system design. Policies should permit different approaches/methods, depending on the individual.<sup>79</sup>

Most organizations utilize some type of rating scale which generally has some inherent problems, making the performance appraisal process weaker than it might otherwise be. The following is a summary of those weaknesses:

1. Socialization between supervisors and subordinates that influences the ratings.
2. Tendency exists to overrate all qualities rated.
3. Policies requiring justification for extreme ratings may result in a tendency to limit ratings to a middle range. These errors seriously reduce the validity of the rating and reduce its utility as a means of providing reward or recognition, providing employee guidance, or identifying training needs or leadership potential.

There is a strong indication that ratings are as much or more a function of the idiosyncrasies of the rater who made them than they are of the actual behavior of the ratees."<sup>80</sup>

The following are errors primarily associated with the use of rating scales:

1. Halo effect
2. Leniency/strictness effect
3. Central-tendency effect
4. Personal-bias effect
5. Recency effect<sup>81</sup>
6. Personal Bias
7. Overemphasis on recent behavior or the tendency to see the worker as he/she is on the review day.<sup>82</sup>

The following errors lower the validity of ratings:

1. The Halo Effect. The tendency for a rater to rate a ratee by his overall impression of him. The rater then changes or tints the ratings of individual traits to reflect his overall impression. This may be conscious or unconscious.
2. The Error of Leniency. The tendency of the rater to be lenient or rate high.
3. The Error of Severity. The rater who is unduly hard on his ratees.
4. The Error of End Effects. The rater feels no one is average, either good or poor and rates accordingly.
5. The Error of Central Tendency. Rates who either from a desire to be liked or lack of ability to evaluate properly, rate just about everyone average. These errors are introduced into a system by the untrained, poorly motivated or biased evaluators.<sup>83</sup>

The program itself may be flawed for the following reasons:

1. Program begun without clear objectives - no specific traits being rated or no clear purpose for the system.
2. Appraisal program may be too sensitive to human judgment.
3. Program may be too broad - comparing of different shifts by quantity and quality of work.<sup>84</sup>

The following are additional potential weaknesses:

1. Raters are frequently biased.
2. Some raters are harder to satisfy than others.
3. Employee morale can be adversely affected by a poor rating.
4. Ratings are not scientific.
5. Raters are unwilling to tell the truth if the truth hurts.
6. Rating systems have been typically imposed on the rater and the ratee by higher authority.

7. Traditional approach has been punitive.
8. Rating systems are highly complex.
9. Many fail because they are non-functional and have been placed in operation without adequate attention to prior definition of needs and purposes.<sup>85</sup>

The quantity and quality measurements of a public employee engaged in a service-oriented job are often difficult to establish. Raters give overall impressions of worker effectiveness and personal preferences. Despite efforts to train, it is believed that the tendency is to generally follow a middle-of-the-road evaluation for most employees. The most effective uses for the performance appraisal have been in extreme cases such as top performers and on the other end, documentation of very poor performance. In both of these instances, solid documentation is required and obtained.

In light of the above, it is apparent that a performance appraisal system must attempt to be relevant, sensitive, reliable, acceptable and practical.

#### PERCEPTIONS OF APPRAISERS AND SUBORDINATES REGARDING THE PERFORMANCE APPRAISAL SYSTEM

At least two perspectives must be accounted for in accessing any performance appraisal system. There is: 1. the effectiveness of the systems, as judged by the management or the appraisers and 2. the effectiveness of the system as judged by the subordinate employees or the appraisees. Ideally, performance appraisals should meet the needs of both. If they are to meet the needs of employees, they must help them know the organization's official view of their work, their chances for advancement and salary increases and ways they can improve their performance to better meet their own and the organizations goals. If evaluations are to meet the typical goals of the organization, they must help the organization utilize the skills

of its employees and motivate and develop them to perform effectively.<sup>86</sup>

A 1984 study of performance appraisal at General Electric illustrates the differences in the perceptions of subordinates and appraisers. (See Figures 2-6.)

In light of these findings, it is apparent that the appraisal process gets very different marks depending upon whether it is from an appraiser's or subordinate's perspective. Appraisers, who of course are largely in control of the event, feel it generally meets their needs. On the other hand, subordinates recognize the importance of the process, but feel that it falls short of meeting their needs.<sup>87</sup>

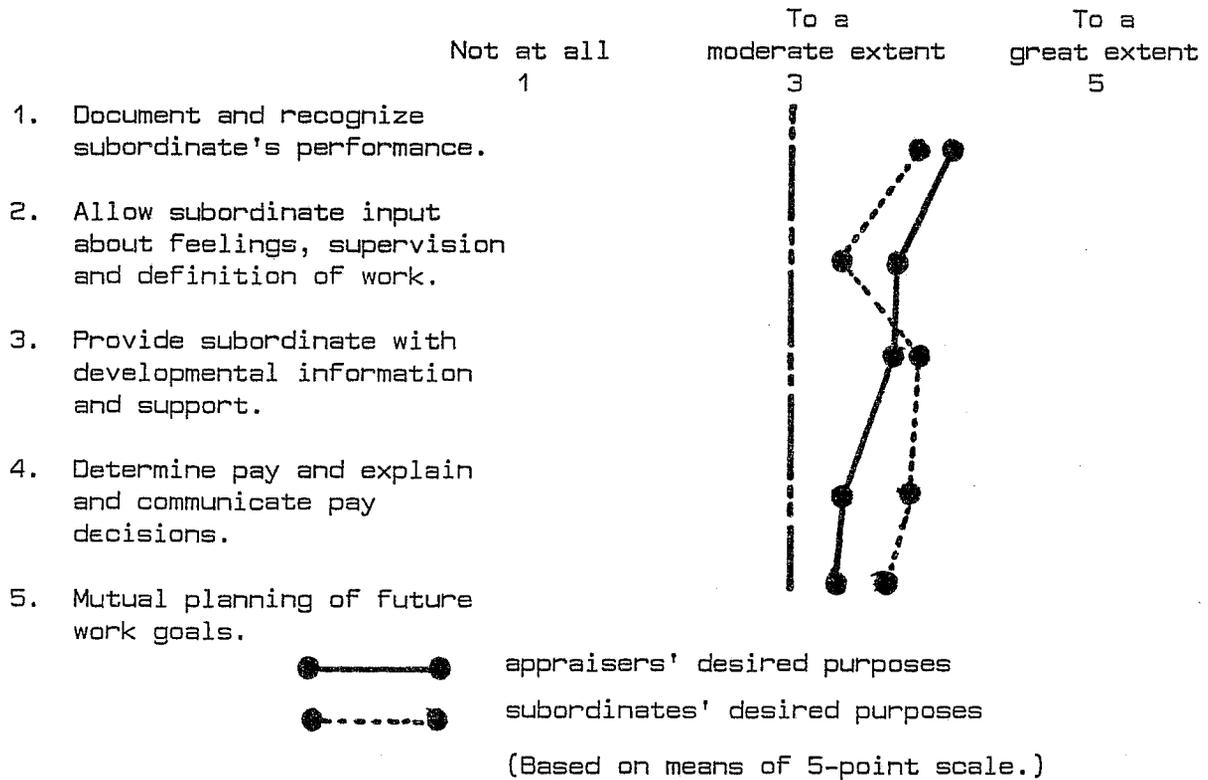
#### VALUE OF PERFORMANCE APPRAISALS WITH REGARD TO MOTIVATION AND PRODUCTIVITY

In any discussion about the value of performance appraisals as they relate to motivation and productivity, it should first be noted that the appraisal process is basically a feedback process. The evaluation is not the only source of information that the employee receives regarding job performance, but it is probably the most powerful source. In contrast to other types of feedback that may come from clients, co-workers, etc., appraisal feedback includes a written record that is kept as a part of the personnel file, and it is reflective of the employee's overall performance.

If the appraisal is to be of value to the employee or the organization, it must ". . . satisfy two basic requirements: it must provide new information to the employee, and the employee must accept this information."<sup>88</sup> When no new information is given, then there is little or no value to the appraisal process from the employee's point of view, because nothing has been gained. Along the same lines, if new information is given to the employee, but it is not accepted, then there can be no motivation for change, etc.

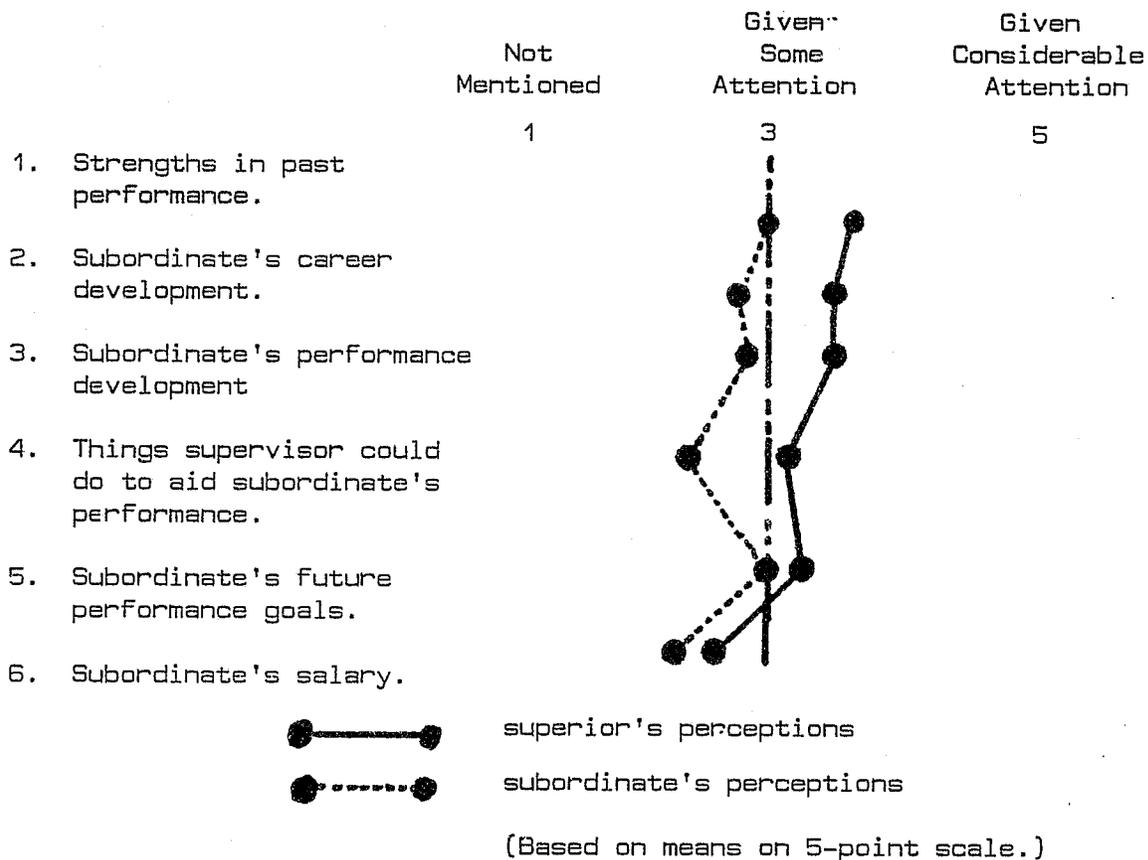
FIGURE 2

POSSIBLE INSTRUMENTAL PURPOSES OF PERFORMANCE APPRAISAL  
EXTENT TO WHICH THEY SHOULD BE FULFILLED



Edward E. Lawler; III, Alan M. Mohrman, Jr., and Susan M. Resnick,  
"Performance Appraisal Revisited," Organizational Dynamics 13 (Summer 1984):25.

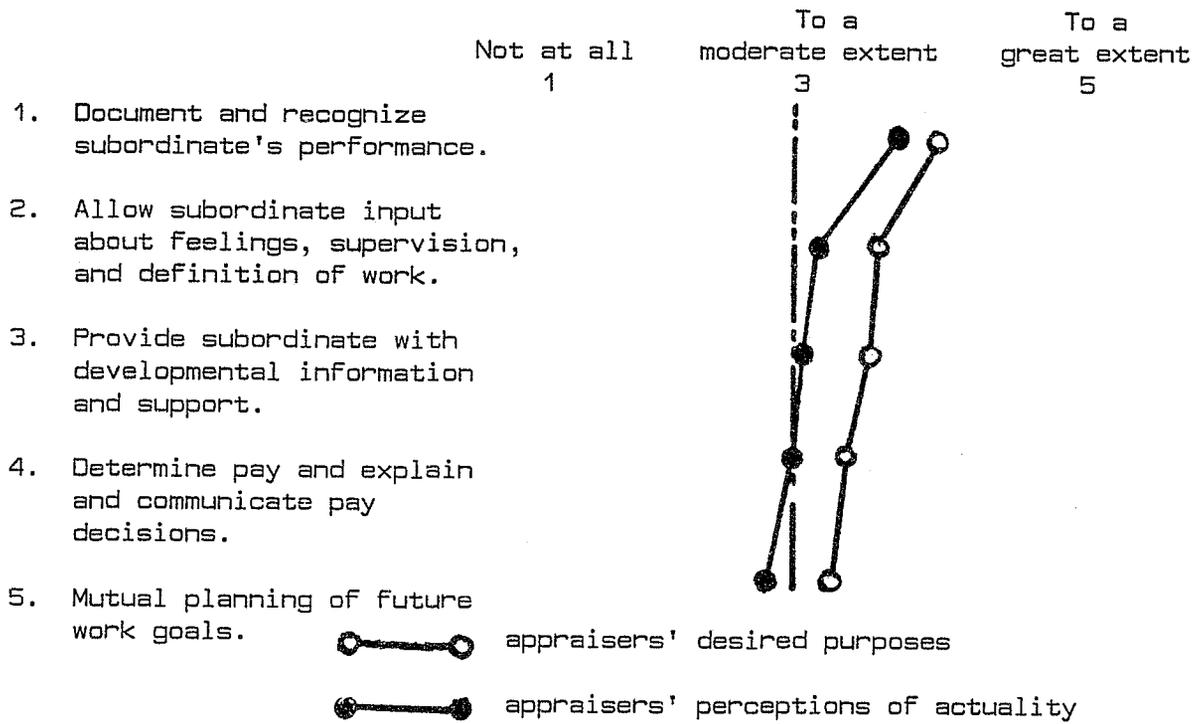
FIGURE 3  
DISCUSSION DURING APPRAISAL  
HOW MUCH WAS EACH OF THESE AREAS DISCUSSED



Edward E. Lawler, III, Alan M. Mohrman, Jr., and Susan M. Resnick,  
"Performance Appraisal Revisited," Organizational Dynamics 13 (Summer 1984):27.

FIGURE 4

APPRAISERS' DESIRED INSTRUMENTAL PURPOSES VS. PERCEIVED OCCURRENCES

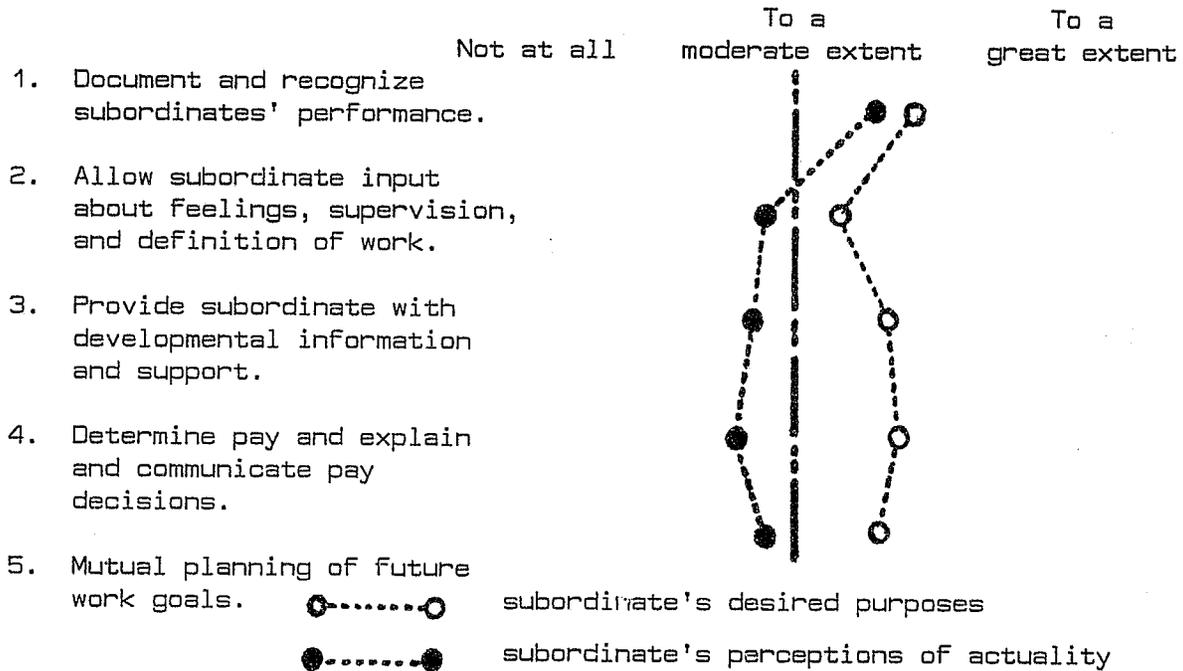


(Based on means on 5-point scale.)

Edward E. Lawler, III, Alan M. Mohrman, Jr., and Susan M. Resnick, "Performance Appraisal Revisited," Organizational Dynamics 13 (Summer 1984) :28.

FIGURE 5

SUBORDINATES' DESIRED INSTRUMENTAL PURPOSES VS. PERCEIVED OCCURRENCES



Edward E. Lawler, III, Alan M. Mohrman, Jr., and Susan M. Resnick, "Performance Appraisal Revisited," Organizational Dynamics 13 (Summer 1984):29.

FIGURE 6

GENERAL BELIEFS ABOUT PERFORMANCE APPRAISALS\*

		Disagree	Neutral	Agree
1. PA should be done only for the subordinate's personal development.	appraisers	78	7	15
	subordinates	71	9	20
2. Salary and promotion decisions should be based on PA results.	appraisers	5	3	92
	subordinates	12	3	85
3. Salary and promotion decisions are based on PA results.	appraisers	24	8	68
	subordinates	41	10	49
4. PA practices provide accurate feedback to sub. & the sup., & subordinates agree on what constitutes good or poor performance.	appraisers	22	6	72
	subordinates	36	8	55
5. PA makes a difference. It motivates employees, leads to more productive behavior and increases understanding about the subordinate's role.	appraisers	17	9	74
	subordinates	25	13	62
6. Superiors & subordinates carry out PA activities only because the organization requires it.	appraisers	35	8	57
	subordinates	28	9	63
7. Subordinates' PA should be based on goals previously agreed to by the superior & sub.	appraisers	4	3	93
	subordinates	8	5	87
8. A subordinate's self-appraisal should be an important part of PA.	appraisers	6	4	90
	subordinates	8	6	86

\*Percents of those answering the question are reported.

Edward E. Lawler, III, Alan M. Mohrman, Jr., and Susan M. Resnick, "Performance Appraisal Revisited," Organizational Dynamics 13 (Summer 1984):24.

Productivity can be increased through an effectively done performance appraisal by:

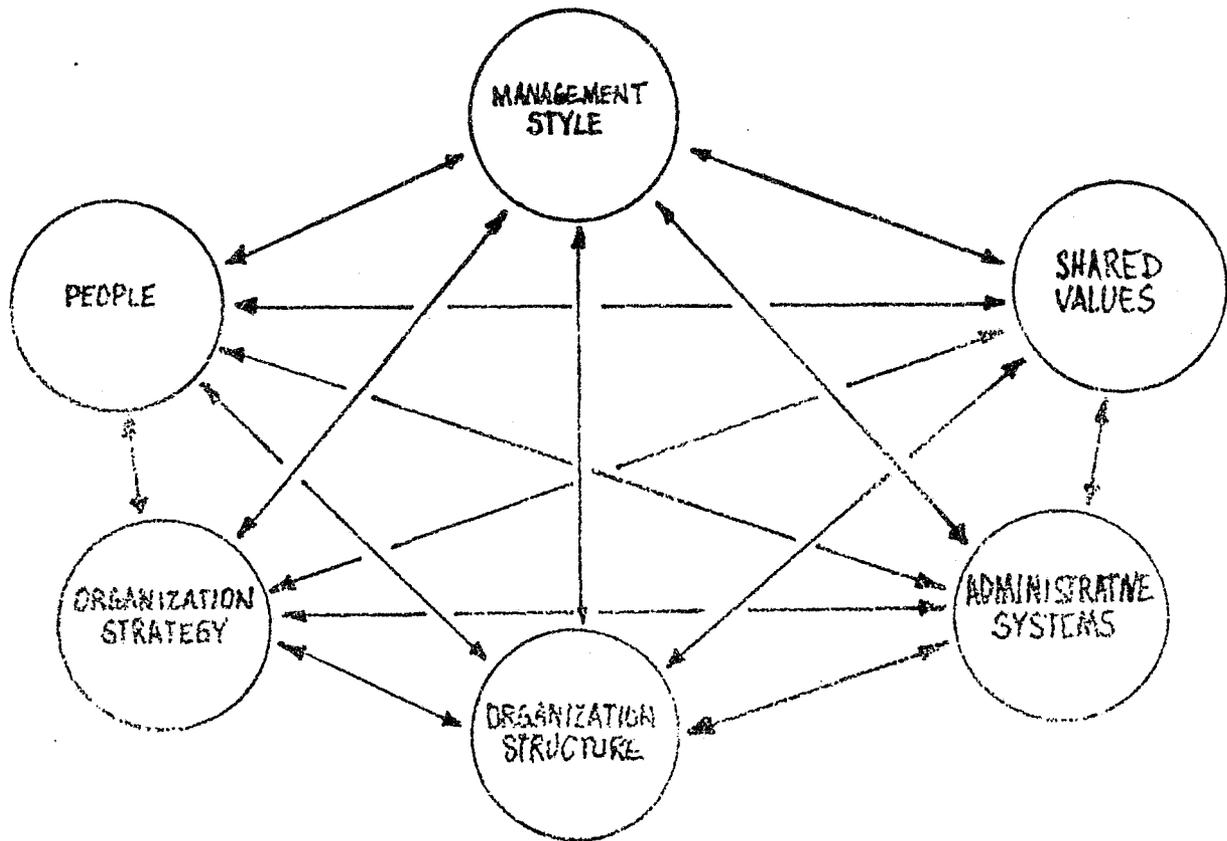
1. Letting employees know what is expected of them, how they are doing on the job and how they can do better;
2. Better management decisions about whom to promote, transfer and fire;
3. More equitable compensation decisions on the part of management;
4. Showing employees what is in it for them if they move the organization closer to its goals; and
5. Making sound affirmative action decisions that are based on facts rather than hunches, gut feelings or cultural myths.<sup>89</sup>

#### P.A. - HOW IT FITS INTO THE TOTAL ORGANIZATIONAL PURPOSE

Research has shown that the failure of the performance appraisal to fit into the overall organizational purpose can be the single most important reason why the evaluation system is of no worth. Harold J. Leavitt wrote that behavior in any organization is the result of the interaction of people's needs, task requirements, and organizational character. Figure 7, taken from The Art of Japanese Management, most notably depicts this concept. **People** refers to the characteristics of key personnel - are they managers that thrive on decision-making, crisis intervention, etc., and are they blue or white-collar workers, etc.? **Management style** refers to how top management proceeds in the attainment of goals - are they cautious, idealistic, forthright, etc.? **Shared values** refers to the overlapping purposes to which an organization and its employees dedicated themselves.

It should be noted that possibly the most important of the diagram's linkages is the one between organizational strategy and organizational structure. As Alfred Chandler and Peter Drucker have argued, "the strategy should always precede and determine the structure."<sup>90</sup>

FIGURE 7



BASIC COMPONENTS OF THE TOTAL ORGANIZATION

Grover Starling, "Performance Appraisal In The Z Organization."  
Public Personnel Management (November 1982):344.

In summary, each of the six components should be adapted to one another in a mutually reinforcing way. If they "fit" well, then the organization likely exhibits superior results.

### TRAINING

The Civil Service Reform Act of 1978 requires a broad-based emphasis for training and retraining people in appraisal and evaluation processes. The following must occur:

1. The manager must be trained to understand the importance of the performance appraisal as a management tool, so that it will be exercised not just because it is required by legislation, but also because it can help to achieve program goals; and
2. The manager must have the interpersonal skills needed to conduct performance appraisals, negotiate employee performance contracts, counsel, coach and provide feedback to employees for their growth and development.<sup>91</sup>

"Without appropriate training, most systems, regardless of their merit, are too difficult to implement."<sup>92</sup> Many of the problems with performance appraisals can be solved by designing training programs that prepare the organization, the raters and the ratees. Ultimately, the goal is to reduce rating errors. Training must be extensive and allow for rater practice.<sup>93</sup>

The following is a systematic approach for this needed training, in chronological order of activities:

1. Assessment of training needs/demands;
2. Establishment of behavioral objectives to satisfy the determined needs/demands;
3. Development of specific instructional concepts/learning objectives to meet the behavioral objectives;
4. Determination of a series of appropriate teaching methods for the

subjects and for the participants;

5. Conducting of the training program; and
6. Evaluation of the training program to measure participants' reaction, effectiveness in meeting behavioral objectives, and inter/intra organizational validity.<sup>94</sup>

In addition to training the raters, all employees should be oriented. Information should be provided to the ratees regarding the purpose of the performance appraisal process, frequency of appraisals, who will be conducting the evaluation, and the criteria against which their performance will be evaluated.<sup>95</sup>

An effective performance system is dependent largely on the validity and applicability of the training. To accomplish this, especially in law enforcement, the following must be taken into consideration:

1. Successful training in performance evaluation systems for police must be sensitive to the organizational climate in which the evaluation occurs.
2. In any organization, the key to identifying valid criterion measures and accompanying performance standards, is to determine the goals and objectives of the behavior that must be assessed.
3. In the training session, goals and objectives, as well as accompanying measures, must be grouped in ways that are meaningful and that reflect the priorities of police work.
4. The first part of the training should focus on how to create performance standards.
5. The key part of the training must include interactions among the supervisors.
6. Participants should formulate sets of performance standards on their own.
7. Instruction should also cover methods for eliminating subjective rater

errors and the conduct of the performance appraisal interviews.<sup>96</sup>

"Interestingly, the accuracy of ratings has been shown to depend as much, if not more, on the training of the raters as on the work that went into making a clear, usable scale." One study showed that as little as five minutes of explanation and graphic presentation significantly reduces the most stubborn of all errors - the halo effect.<sup>97</sup>

What then is the future importance of training, given the many new methodologies and strategies being introduced? The literature suggests that training is the cornerstone to success. It has been said that the combination of a good performance appraisal and appropriate training will at least ensure that the "failures" of the past will likely not be repeated.<sup>98</sup>

Because it appears that both supervisors and subordinates feel that the performance appraisal is valuable, it seems that the organization has a mandate to ensure the evaluation process' success by providing the needed training.

#### REWARDS

It has been shown that there are few rewards for the supervisor that needs to prepare reports that are critical of the employee. Additionally, sanctions rarely exist for supervisors who write evaluations that are anything less than very positive reports. Supervisors must therefore decide between confronting an employee with criticisms or positively "stroking" the employee with praise and encouraging comments. Also, the organization gives negative feedback for appraisals that are less than positive. This comes in the form of grievances from employees and precautionary comments from management such as, "are we covered?" This teaches raters to be sparing in their criticism and generous in their praise. There is also little or no direct or immediate challenge to inflated reports. Raters soon learn that

the organization typically doesn't care whether the reports are done accurately or not.<sup>99</sup>

This project's questionnaire reports that the majority of supervisors are not rewarded for well-done appraisals, however, in the survey's year 2000 section, the respondents foresee a need for change in this area and indicate that, minimally, supervisors need to be rewarded for effective evaluations by having this accomplishment noted on their own performance appraisals. (See Questionnaire Section and Appendix E.)

#### AFFECT OF TECHNOLOGY ON THE APPRAISAL PROCESS

As technology progresses, organizations will have any even greater capability to keep track of employee behavior, productivity, absences, break times, etc.

Some studies indicate that ". . . more than fifty percent of productivity improvement comes from new technology."<sup>100</sup> It has also been suggested that motivation and training of employees can only go so far and that beyond those efforts, better tools must be provided. Therefore, by the year 2000, given the very rapid changes in technology, it might be expected that the performance appraisal process will include "high tech." components that will create a system that is as nearly "ideal" as possible. For example, by computerizing the employee evaluation system, it may be possible to identify "high" and "low" performers, in terms of their positions within a particular group or job classification. Such a system, Computer-Assisted Evaluation System, C.A.P.E., has been recently developed and tested successfully for this purpose. It is used to determine who gets bonuses, salary increases, promotions, or terminations. The creators claim that it is fair and legally defensible, and based on a consistent, data-oriented methodology for staff improvement and increasing overall productivity.<sup>101</sup>

## THE CHANGING WORK FORCE IN RELATIONSHIP TO PERFORMANCE APPRAISALS

Perry Pascarella states in The New Achievers, ". . . many of today's jobs permit workers to exercise more discretion in carrying out their duties than do jobs linked closely to the pace of machines or production processes. While the systems may give management an illusion of control, the worker has latitude for falling short of a quality job from the point of view of a customer of the next person in the process. The more a job involves service, flexibility and creativity, the less it is truly controllable. People who seek high discretion work may strongly identify with the modern work ethic and, therefore, not be responsive to traditional management techniques and incentives. This makes them highly volatile. They can become turned off when work fails to meet their needs, and they are in a position to do considerable damage to their area of the business."<sup>102</sup>

Based on the above, the police work force of the year 2000 might be described as follows:

1. Age: Increased civilianization of many positions in law enforcement will have attracted older employees. The number of people over the age of 100 is currently about 32,000. By the year 2000, there will be approximately 100,000.<sup>103</sup> A recent Lou Harris poll for the National Council On Aging showed that over 3/4 of all workers over the age of 55 would prefer part-time employment to full-time retirement. For law enforcement, perhaps this suggests that more individuals will be working until a mandatory retirement age of 60 plus.
2. Ethnic Complexion: These changes will be very visible. Recruitment efforts to bring persons of Asian and Hispanic descent into law enforcement agencies, will lessen the need for bilingual Anglo officers.
3. Gender: Women will have established themselves in both sworn and non-sworn (civilian) positions and have moved into management positions. There

are currently 2.3 million more women in the workforce than men aged 21 to 65. Women represent more than half of those graduating from college, and this results in women being two out of every three new workers. If this trend continues as predicted, women will obviously comprise more than two thirds of the workforce in the year 2000.

4. Lifestyle: Shift work will still be a necessity, but "flex" time and adjustable schedules will be more common in the workplace.

5. Education and Training: Every employee will be computer-literate. The use of the computer keyboard will be a standard skill requirement, since all reports and written paperwork being completed on portable word processors or personal computers. All of the data collected will be stored on diskette form.

6. Values: The increase in lateral job opportunities will create a loyalty to the profession, not necessarily to the employing agency.

7. Other: The employee of the year 2000 will have a sense of commitment to the job, however, that commitment will be tempered by a sense of individuality and a re-arrangement of priorities that includes more personal time. Less and less of the new officers will have had military experience, and although many have entered their law enforcement careers later in life, their adjustment to what will still be considered a quasi-military work is difficult. California police officers will have resisted affiliation with strong outside union interest and have formed viable local associations that link with statewide groups oriented toward police personnel. Special interest groups for Black, Hispanic, Asian and handicapped persons, will flourish. Female associations will also be prevalent.

#### TOP MANAGEMENT COMMITMENT WITH REGARD TO PERFORMANCE APPRAISALS

The literature strongly suggests that the answer to doing a performance

appraisal lies in focusing on the process of the evaluation and on the organizational context in which the events take place, not on the form or the rating system. As a result, a critical element in the appraisal process is top management's commitment. At the very least, top management needs to take performance appraisals seriously, to explicitly fit them to prevailing organizational culture and human resource strategy, to evaluate how well they do fit, to encourage practices that do fit, and to reward appraisers who do them well. All this has a decided impact on whether supervisors take evaluations seriously and spend the time and effort needed to do them well. It is also important that superiors at higher managerial levels, model the type of appraisal behavior they wish supervisors lower down in the organization to demonstrate. In short, appraisals need to be real and effective as a result of support at higher organizational levels.<sup>104</sup>

#### A REDUCTION IN MIDDLE MANAGEMENT AND PERFORMANCE APPRAISALS

As middle management shrinks, the role of first-line supervisors is enhanced.

The middle manager has suffered much at the hands of economic recessions, so much so, that the future of these positions within an organization is doubtful. The computer is the principal force behind this trend as organizations seek to become more efficient by using fewer people. One study of major industries in 1983, resulted in a consultant's prediction that middle management ranks in American organization would become permanently depleted by thirty percent within a few years.<sup>105</sup>

#### FUTURE ROLE OF THE SUPERVISOR

The supervisor should be increasingly futuristic, humanistic, cross-culturally oriented, and able to deal with technological change.<sup>106</sup>

No job is going to change more in the next 10-15 years than that of the

first line supervisor. Indeed, the status, authority and responsibility of the supervisor may become the most pressing and difficult problem in the management of people in the workplace.<sup>107</sup>

Forecasting and long-range planning, aspects of a supervisor's job that have been ignored in favor of crisis management until recently, will become more critical. The ability to predict social, economic and political events will depend on knowing one's people and being able to co-mingle organizational objectives with individual skill levels.<sup>108</sup>

As noted above, there is also a trend toward the reduction of some middle management ranks. This may result in more responsibility being placed on the first-level supervisor. In fact, some experts feel that middle managers should be eliminated in favor of better trained and already qualified supervisors.<sup>109</sup>

#### SEARCH FOR THE IDEAL PERFORMANCE APPRAISAL SYSTEM

Empirical research on performance appraisals now tells us that appraisal are anything but simple. Obtaining accurate evaluations is one of the most difficult tasks facing law enforcement administrators today.

What of the year 2000, with it's changing work force, comprised mainly of women, minorities, two-career couples, older people, and increased technology? Even now, eighty-five percent of the nation's schools use computers in classrooms. Ninety-one percent of the people who use a computer at work say it has improved their working conditions. By the year 1990, it is projected that fifty-three percent of all homes will have computers. The number one career/educational goal of today's teenager is to learn computer science.<sup>110</sup>

Changing work force and technology alone will necessitate that a performance appraisal system be relevant, sensitive, reliable, acceptable and

practical. The performance appraisal system will, no doubt, be tested frequently by organizations and individuals. However, if a workable system is possible for the year 2000, one thing is certain - all who are involved in the appraisal, raters, ratees, and top management, must cooperate and work toward the same goal: a performance appraisal system that benefits both the individual and the organization.

Through a literature search and analysis, questionnaires, a review of over 100 current performance appraisal systems and procedures, and discussions with law enforcement, fire service, business and military administrators, and NGT forecasting of trends and events, their probabilities and impacts, this project has determined that a performance appraisal system that is applicable for law enforcement in the year 2000, is possible.

## PROJECT QUESTIONNAIRE

### OVERVIEW

The questionnaire results are divided into two sections. The first, entitled "1987", pertains to the perceived performance appraisal systems currently in use by the respondents' agencies. The second, entitled "2000", refers to the projected performance appraisal systems, anticipated for the year 2000, for the respondents' agencies. Based on some of the editorial comments in both sections, it might also be possible to theorize a more global explanation of the results and define the 1987 section as the current status of performance appraisal systems, and the 2000 section as the "ideal" performance appraisal systems that might be designed in the future.

### 1987 SYNOPSIS

Based on questionnaire responses, the following is a composite description of performance appraisal systems currently in use (1987), by various California Law Enforcement Agencies.

Agencies represented in the questionnaire are divided into the following size, by number of employees: a. Less than 25 - seven percent, b. 25-100 - twenty three percent, c. 100-1000 - fifty percent, and d. over 1000 - twenty percent.

Most performance appraisals, or evaluations, are administered every 12 months (seventy-four percent), using a written format that includes a combination of check-off boxes and a narrative (eighty-eight percent).

A pre-conference or pre-appraisal interview meeting is held by only forty percent of the respondents. Seventy-eight percent reported the absence

of any special location for the formal conference/interview and while some variance of time is expected, eighty-three percent reported taking anywhere from 10 to 40 minutes for this conference.

Concerning actual content of the performance appraisal, eighty percent of the respondents indicated that there is no self-appraisal portion of the evaluation process. Seventy-three percent, however said that goal setting is routinely incorporated in their performance appraisal process. Of the 102 respondents that indicated that goals are established, eighty-four percent said that the goals are developed by both the supervisor and subordinate, working together. Of 99 respondents who review their goals, they do so every: three months (twenty-three percent), every six months (twenty-eight percent), every twelve months (forty-five percent), or other (four percent).

According to the questionnaire feedback, pay is discussed in only thirty-one percent of the cases, however, the appraisal is used for promotion purposes sixty-eight percent of the time. The evaluation is used for firing purposes, eighty-seven percent of the time.

In a general climate of trust and openness (seventy-nine percent), a little more than one-half (fifty-four percent) of the respondents indicated that job descriptions are utilized as tools in the evaluative process. Additionally, measurable standards on which to base the appraisal are present in eighty-four percent of the instances.

The following describes the occurrence of certain components in the performance appraisal process: 1. Emphasis on the subordinate's development (ninety-five percent), 2. A constructive approach (seventy-two percent), 3. Allowing for subordinate input (seventy percent), and 4. Discussion of problems and solutions (eighty-seven percent).

With regard to ranking of performance appraisal elements, in order of importance, in 1987, an individualized work process is felt to be the most

important, written appraisal documentation second, and work-planning/goal-setting by the subordinate and the supervisor, and focus on the individual's development tied for third. The least important element is pay, with the subordinate being an active participant in defining the appraisal process and outcomes second, and subordinate career-planning third. (See Appendix A for further information.)

In the workplace, job procedures (seventy-five percent) and job responsibilities (eighty-three percent) are well-defined and clear, however goals (forty-eight percent), priorities (thirty-seven percent) and job descriptions (forty-eight percent) do not appear to be as explicit.

Sixty percent of the supervisors are not rewarded for producing effective appraisals. Of the forty percent who are rewarded for carrying out this task in an excellent manner, fifty-nine percent receive their reward in the form of praise on their own evaluations. No respondent indicated that there were any monetary rewards offered for good to excellent work in this area.

The performance appraisal is considered completed prior to subordinate input in forty-six percent of the instances and following subordinate input in forty-seven percent of the cases. Seventy-one percent of the respondents feel that their evaluation process protects them legally.

Supervisors and subordinates are trained and oriented to the performance appraisal system in approximately one-half of the instances (fifty-two percent).

Possible outcomes of the performance appraisal are as follows: 1. Improved performance - eighty percent, 2. Increased productivity - sixty-nine percent, 3. Increased motivation - seventy percent, 4. Increased hostility - forty-two percent, 5. Decrease in morale - thirty-five percent, and 6. Others at two percent or less include, apathy, increased

communication, little affect, increased documentation, goal direction, identification of training needs, management and supervisory evaluation of past performance, documentation for civil service review and unknown.

When asked had their system ever been evaluated, seventy-two percent replied "yes". Of the 83 answers, fifteen percent completed a system evaluation one year ago, eighteen percent two years ago, and fifteen percent ten or more years ago. In most agencies, the work was accomplished by management staff, an individual or a committee/task force.

#### 2000 SYNOPSIS

Based on questionnaire responses, the following is a composite description of performance appraisal systems in the year 2000, as forecasted by various California Law Enforcement Agencies' respondents.

Agencies represented in the questionnaire are divided into the following size, by number of employees: a. Less than 25 - five percent, b. 25-100 - seventeen percent, c. 100-1000 - fifty-four percent, d. Over 1000 - twenty-two percent, and e. Other - N/A - one percent.

In the majority of cases, performance appraisals are projected to be administered either every 12 months (forty-seven percent) or every 6 months (thirty-four percent), using a combination of check-off boxes and a narrative (seventy percent). Included as possible new approaches in format for the year the 2000, are the uses of computers (five percent) and videos (two percent). One respondent comments that the future's evaluation would be "heavily statistical".

Eighty-four percent of the respondents indicate that they would see a pre-conference or pre-appraisal interview meeting being held. The replies are split as to whether or not there would be a special location designated for the appraisal: forty-eight percent said "yes", while fifty-one percent

said "no". The formal conference/interview is anticipated to take from either 10 to 20 minutes (twenty-three percent), 20 to 40 minutes (forty percent), 40 to 60 minutes (twenty five percent), or other amounts of time (twelve percent).

Concerning actual content of the performance appraisal, eighty-four percent of the respondents predict that there will be a self-appraisal portion, and ninety-six percent state that goal-setting will be incorporated in the process. Of the 111 respondents that feel that goals will be established, ninety-four percent say that they will be developed by both the supervisor and the subordinate, working together. Of 115 respondents who see goals being reviewed in the future, they project this review to take place every: 3 months (fifty percent), every 6 months (thirty-two percent), every 12 months (five percent), or other (eleven percent).

According to the questionnaire feedback, pay will be discussed in sixty-nine percent of the cases, and the appraisal will be used for promotion purposes in virtually all cases (ninety-two percent). The evaluation will be used for firing purposes identically as for promotion purposes, ninety-two percent of the time.

In a climate of trust and openness (ninety-two percent), eighty-six percent of the respondents envision that job descriptions will be utilized as tools in the evaluative process. Additionally, measurable standards on which to base the appraisal will be present in ninety-six percent of the instances.

The following describes the forecasted occurrence of certain components in the performance appraisal process: 1. Emphasis on the subordinate's development (ninety-six percent), 2. A constructive approach (eighty-six percent), 3. Allowing for subordinate input (ninety-two percent), and 4. Discussion of problems and solutions (ninety-two percent).

With regard to ranking of performance appraisal elements, in order of importance, for the year 2000, work-planning/goal-setting by the subordinate and the supervisor, is forecasted to be the most important, with a climate of trust and openness second, and focus on the individual's development third. The least important elements are forecasted to be pay, with written appraisal documentation second and conflict resolution third. (See Appendix A)

In the workplace, job procedures (eighty-six percent) and job responsibilities (ninety-three percent) are projected to be well-defined and clear, as are goals (ninety-one percent), priorities (ninety percent), and job descriptions (seventy-five percent).

It is anticipated that seventy-nine percent of the supervisors that produce effective performance appraisals will be rewarded, in the year 2000 by their good job being reflected on their own evaluations (sixty-one percent). Five respondents or seven percent indicate that there will be a pay or incentive bonus for the supervisor who does good to excellent work in this area.

In seventy-eight percent of the instances, the performance appraisal will be viewed as complete after the subordinate has input.

Eighty-five percent of the respondents feel that the performance appraisal of the future will protect them legally.

Supervisors and subordinates will be trained and oriented to the performance appraisal system ninety-five percent of the time.

Possible outcomes of the future's appraisal are as follows: 1. Improved performance (eighty-six percent), 2. Increased productivity (eighty-five percent), 3. Increased motivation (seventy-eight percent), 4. Increased morale (sixty-nine percent), 5. No change (twelve percent) and 6. Others at one percent include: termination of incompetents, increased accountability, increased involvement, enhanced mobility for high performers,

better use of human resources, adversarial relationships between supervisors and subordinates, pay benefits, goal setting, increased hostility, increased documentation of performance against agreed upon standards increased communication and increased credibility.

When asked if the system should be evaluated in the year 2000, ninety-six percent said "yes". Of the 92 answers, thirty-six percent see the review of the system every year, nineteen percent every 2-3 years, thirteen percent as an on-going process, eleven percent every 5-6 years and the remainder anywhere from "when needed", to every 10 years (twenty percent). It is suggested that a wide variety of options may exist with regard to who should do this system evaluation.

#### COMPARATIVE ANALYSIS

The following is a comparative analysis of the questionnaire results for the sections "1987" and "2000". For brevity sake, specific percentages and figures will be somewhat limited in this summary. If more detailed information is desired, please refer to Appendix B. When statistics are given, they will universally be arranged with the 1987 figures first and the 2000 numbers second.

With regard to the size of the various agencies, there appears to be a slight trend toward growth in numbers of employees in the groups 100-1000 and over 1000.

In the area of frequency of performance appraisals, a definite change is forecast: in 1987, the combined every 3 month and 6 month evaluation equaled twenty-six percent, whereas in 2000, the combined every three month and 6 month evaluation equals forty-eight percent. With regard to format, the tendency is to move away from the combination of check-off boxes and narratives to more emphasis on narratives (nine percent to seventeen

percent).

While in 1987 less than one-half of the respondents indicated that a pre-conference was held, in 2000, more than three-fourths feel that they should be an integral part of the performance appraisal process.

A special location for performance appraisals is predicted by almost fifty percent of respondents for the year 2000. This is an increase of almost thirty percent over 1987.

Formal conference/interview time will increase in the year 2000, almost double the time spent in 1987.

For 1987, over eighty percent of the respondents say that there is no self-appraisal portion of the performance appraisal process. On the other hand, in the year 2000, eighty-four percent of the respondents indicate that self-appraisal will be an integral part of the system.

Goal-setting was important in 1987 and will become even more important in the year 2000 (seventy-three percent to ninety-six percent). Additionally, as predicted by ninety-six percent of the respondents, goal-setting will become a mutual, sharing process between subordinate and supervisors. In 1987, forty percent say goals are reviewed either every 3 or 6 months, whereas in 2000, eighty-two percent will review goals either every 3 or 6 months showing overall, that goals will be reviewed more often in the future.

Performance appraisals will be utilized more for promotion determinations in the year 2000 (sixty-eight percent vs. ninety-two percent) and about the same for termination purposes as in 1987.

Pay will continue to be discussed during the performance appraisal with an increase in occurrence (thirty-one percent vs. sixty-nine percent).

With regard to components present, or discussed during the performance appraisal, there is no substantial change from 1987 to 2000 in the following

areas: subordinate development, and problem solving, however, there is a significant increase in the area of subordinate input (seventy percent vs. ninety-two percent). An atmosphere of constructiveness also increased (seventy-two percent vs. eighty-six percent).

The most consistency in the ranking of elements that are felt to be most and least important, when comparing 1987 and the year 2000, was in the area of pay, which ranked least important in both years. Of significance is the forecasted importance of a climate of trust and openness. (See Appendix A)

It is apparent that performance appraisals will be tied to job descriptions and that they will be a critical element in the year 2000, more so than in 1987 (fifty-four percent vs. eighty-six percent). Performance standards are also very important components in both 1987 and 2000. It is also evident that job procedures, goals, priorities, responsibilities and job descriptions must be clearly defined.

A climate of trust and openness becomes more important in the future (seventy-nine percent vs. ninety-two percent).

Supervisors are not rewarded for effective performance appraisals in over sixty percent of the cases, in 1987, however this decreases to twenty-one percent for the year 2000 indicating that it is felt that supervisors should receive recognition for well-done evaluations.

Performance appraisal raters and ratees are currently trained and oriented only fifty percent of the time, but these activities are projected to take place in ninety-five percent of the instances in the year 2000, a dramatic change.

The evaluation will be considered complete only after subordinate input in the year 2000, a marked change from 1987 (forty-seven percent vs. seventy-eight percent).

The majority of respondents feel that the current performance appraisal systems protect them legally and will continue to do so in the future.

Respondents feel that there are a multitude of outcomes from the performance appraisal system, now and in the year 2000. (For specifics, see sections "1987" and "2000", Appendix B.

Almost all respondents see a need for a periodic evaluation of their performance appraisal system, however, there does not appear to be a consensus with regard to how often this should be accomplished.

In summary, it would appear that the performance appraisal will change from a highly statistical analysis of work performance to a more individualized process, wherein the supervisor and the subordinate discuss, evaluate and agree on goals and the employee's development. The bottom line is more subordinate participation in the performance appraisal process.

#### CONCLUSIONS

1. There will be a pre-conference to discuss performance appraisal system processes, grading, etc.
2. Self-appraisal will be part of the performance appraisal system.
3. A climate of trust and openness will be very important.
4. An effective performance appraisal system, in relationship to the overall organization, as demonstrated by the potential outcomes, is very important.
5. Supervisors will be rewarded for producing effective performance appraisals.
6. Job descriptions, standards and critical tasks are essential elements of the future's performance appraisal.
7. The evaluation process will be completed only after subordinate input.
8. The performance appraisal will protect the agencies legally.
9. The performance appraisal system will need to be evaluated periodically.

10. Raters and ratees will be trained and oriented to their system.

11. Work-planning and goal-setting will be integral parts of the performance appraisal system.

## FUTURE'S FORECAST

### TRENDS TO MONITOR

A group of selected persons was convened to discuss the issue. For a complete list of NGT participants, see Appendix C. Although the group was comprised of people from several disciplines, all participants had expertise and interest relative to performance appraisals.

The analysis began with a general discussion of developments in performance appraisal systems both past and present. (The group had previously reviewed general background material on performance appraisals, future's work force, technology, etc. The discussion and brainstorming session that followed, lead to identification of 30 possible trends to monitor. See Appendix D for a complete list.

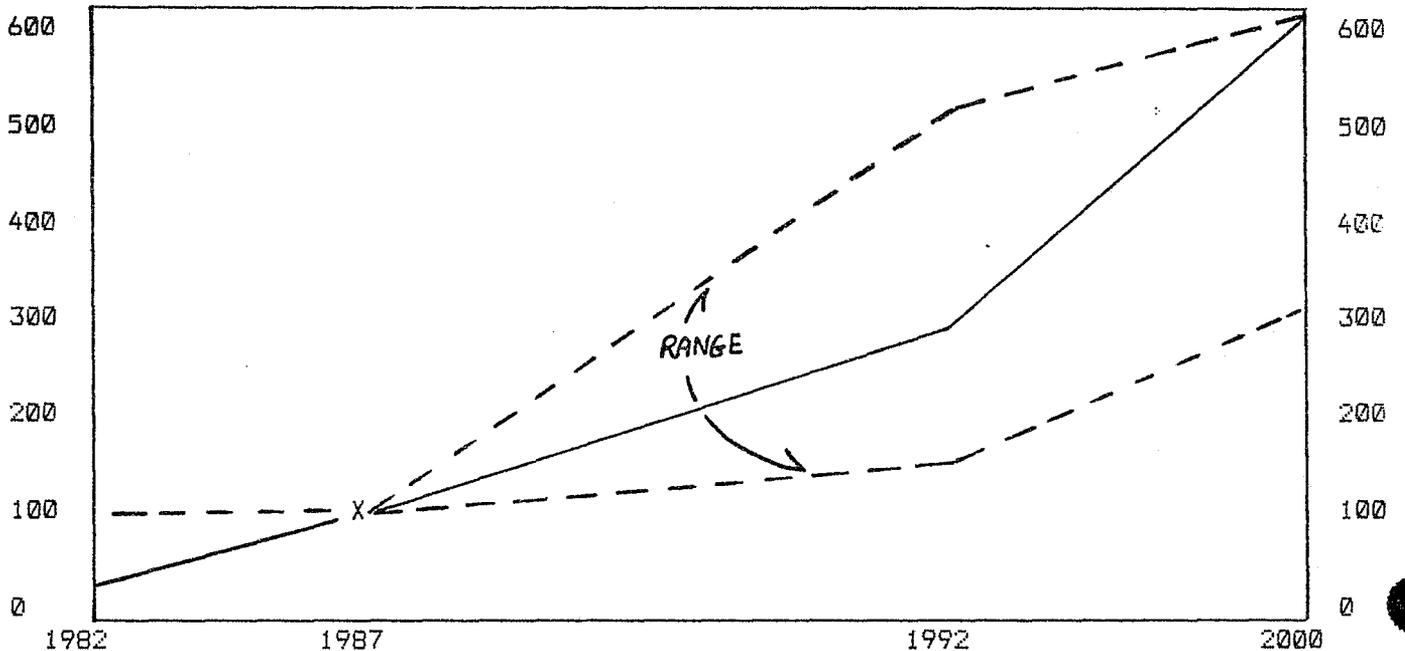
Then, using the nominal group technique, (NGT), the group was asked to identify the five trends that were believed to be the most important. These were identified as follows:

1. Increased use of computer technology,
2. Employee organizations' and unions' demands,
3. Public service vs. private service,
4. Cross culture impact, and
5. Fair and consistent performance appraisals.

In an effort to gauge the impact of these five trends, the group then forecast the growth of each, as shown in Exhibits 1-5 respectively.

EXHIBIT 1

INCREASE IN COMPUTER TECHNOLOGY

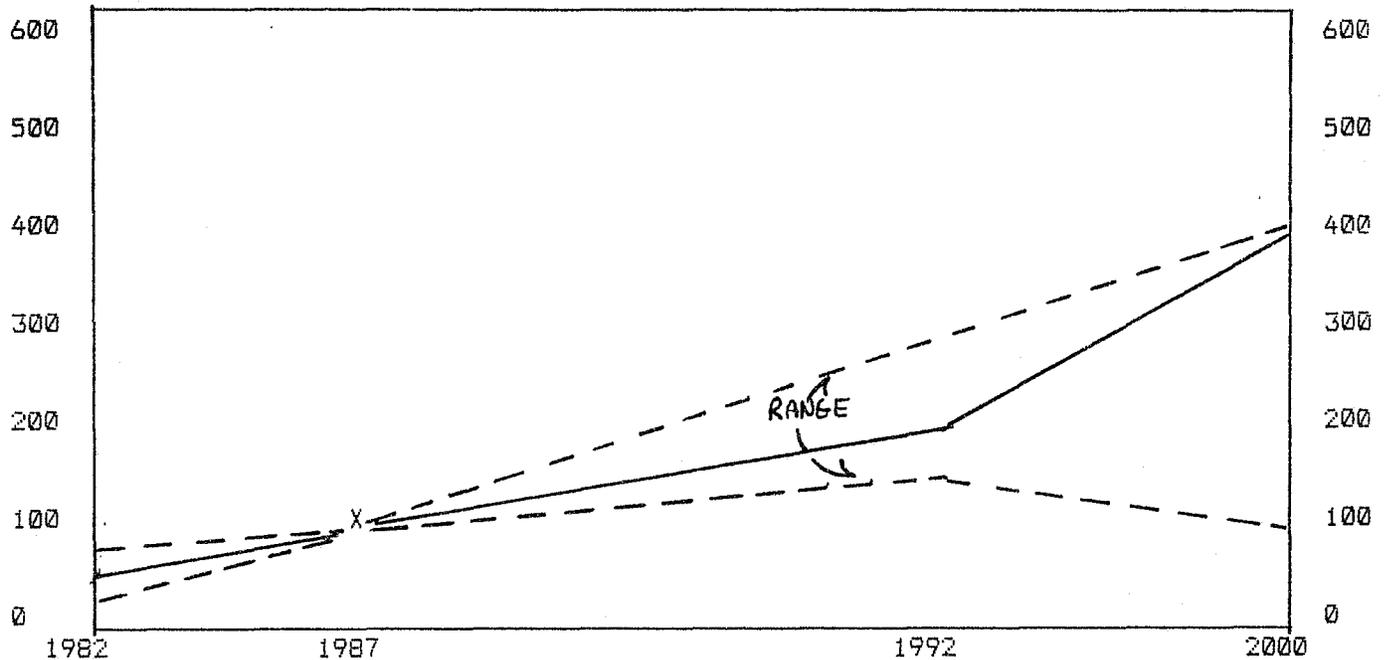


High broken line = High Forecast of Group  
Middle unbroken line = Median of Group  
Lower broken line = Low Forecast of Group

The use of computers in schools, homes, and the workplace is increasing daily and will have a tremendous impact on the potential sociological make-up of the work force in the year 2000. In addition, computers in the workplace are reducing face-to-face contact between managers and subordinates, managers and the public, and subordinates and the public. By the year 2000, people will have come to accept this as normal. Also, the increased use of computers will eliminate many jobs, and for those employees still working, there will be a need for a high level of technological expertise in order to maintain their jobs.

EXHIBIT 2

EMPLOYEE ORGANIZATION/UNION DEMANDS

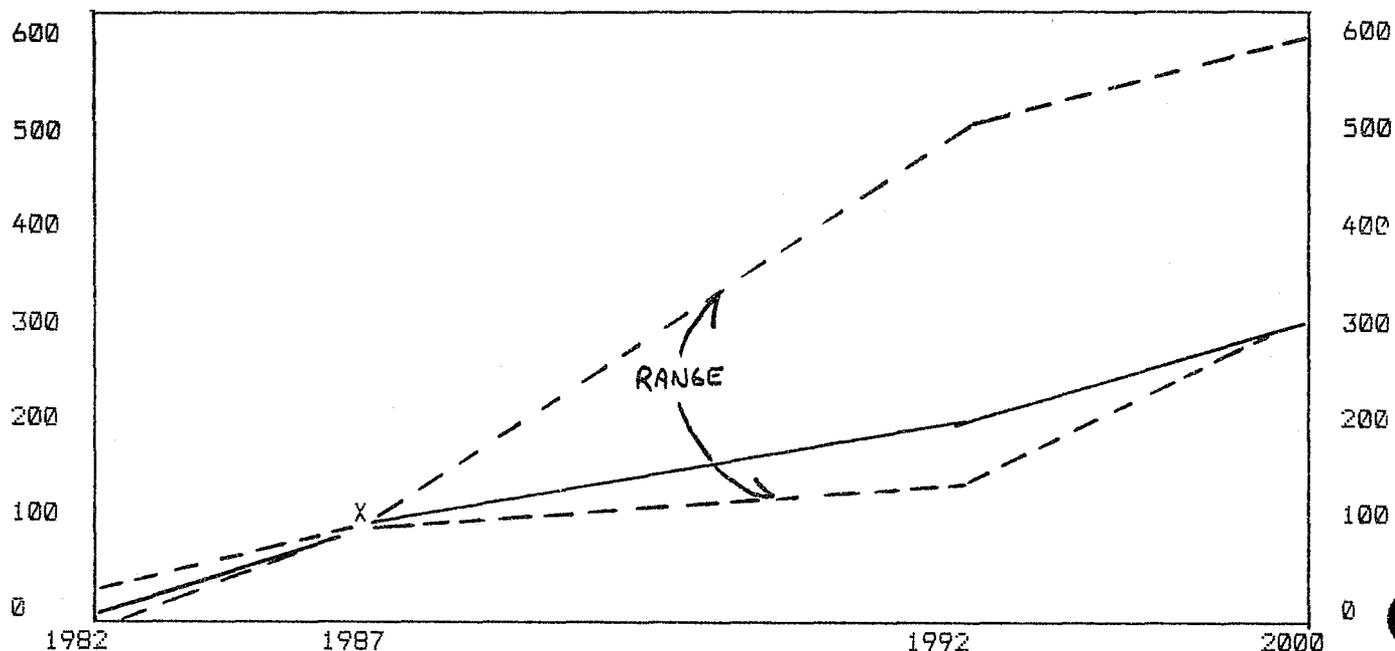


High broken line = High Forecast of Group  
Middle unbroken line = Median of Group  
Lower broken line = Low Forecast of Group

There is a trend of employee organizations and unions vocalizing their desire to have input into policy and procedure decisions affecting the work force. This trend is becoming more and more popular on the west coast, and should predominate by the year 2000. Organizations that specialize in groups of people such as handicapped, woman's rights, etc., along with union organizations that represent the day-to-day worker, have already established themselves in today's business world. They have been voicing opinions and have made demands that have already affected many organization's hiring practices and policies affecting job placement and promotions, and will continue to do so in the future.

EXHIBIT 3

PUBLIC SERVICE VS. PRIVATE SERVICE

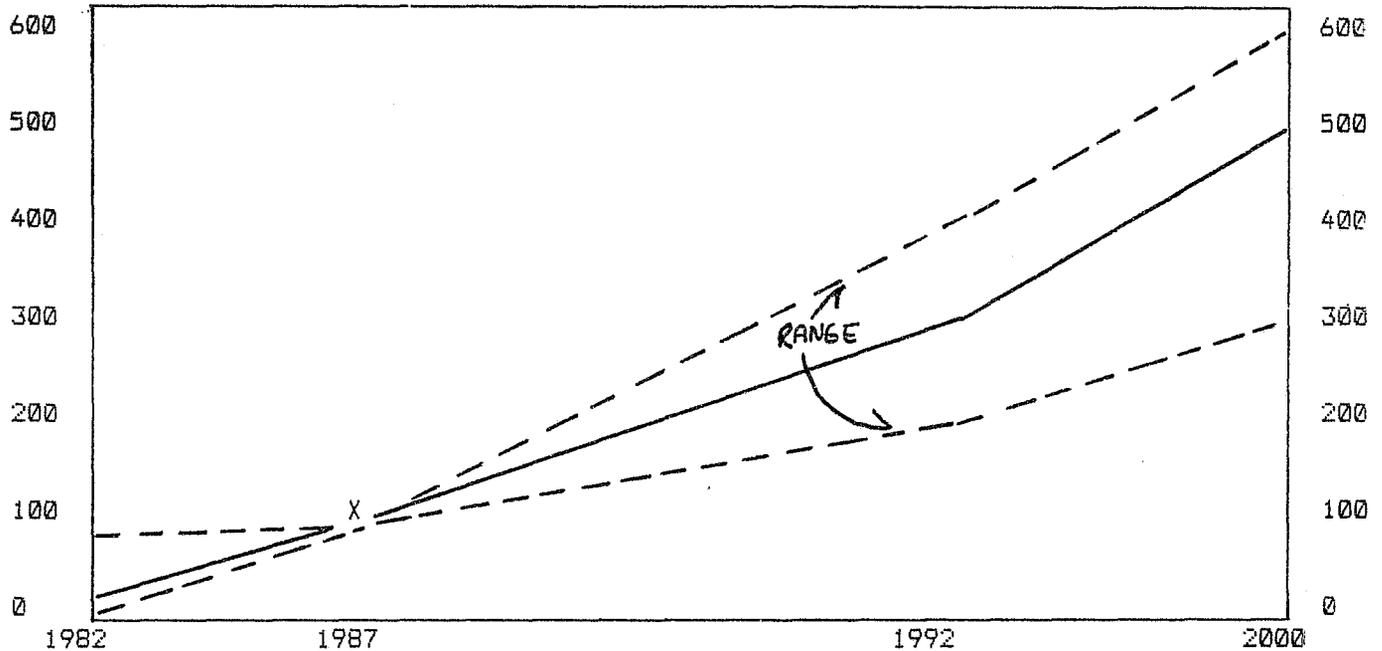


High broken line = High Forecast of Group  
Middle unbroken line = Median of Group  
Lower broken line = Low Forecast of Group

Traditional law enforcement agencies are increasingly facing the challenge from private security agencies that are vying for police-related services. These private security agencies claim that they can provide better law enforcement services for less cost. This may be true because they pay their employees less and do not expect the same standard of service. In contrast to this, the public agencies evaluate prospective candidates, train them, and provide maximum benefits and reasonable pay to ensure a high standard and quality of personnel that can function in most any given situation. Still these private agencies will grow in number and size.

EXHIBIT 4

CROSS CULTURE IMPACT

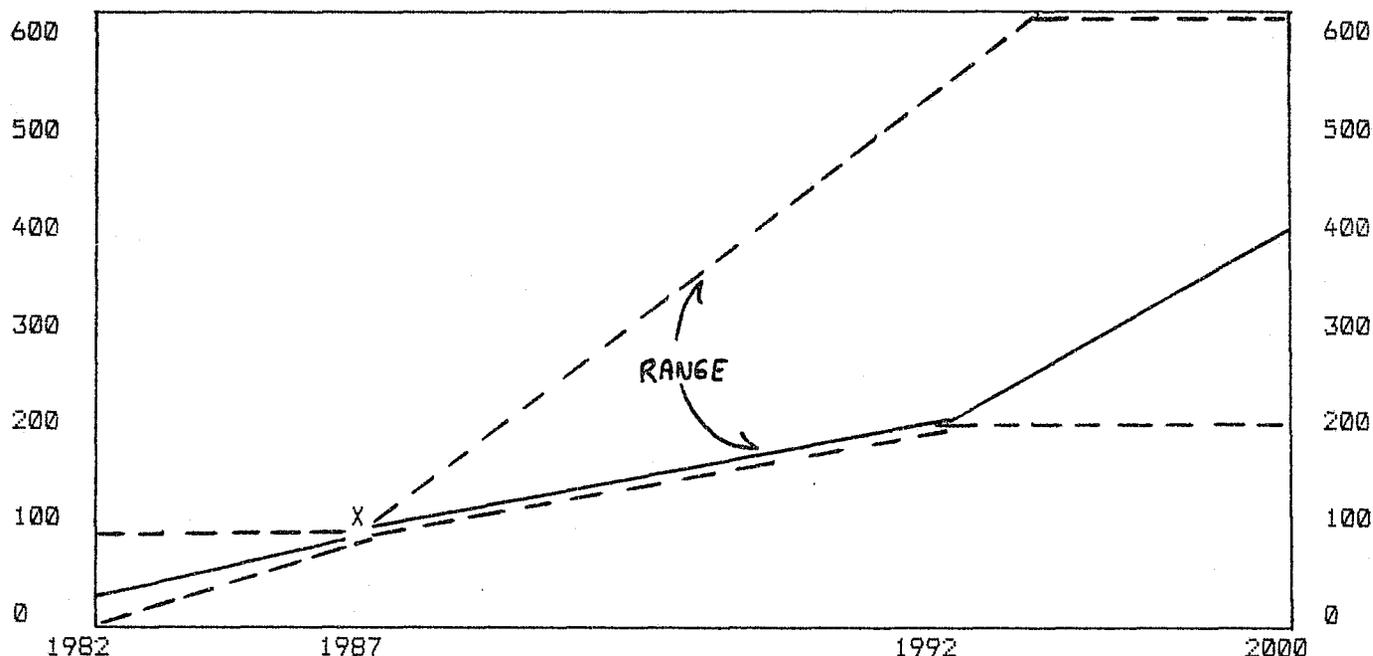


High broken line = High Forecast of Group  
Middle unbroken line = Median of Group  
Lower broken line = Low Forecast of Group

The Anglo-American is quickly becoming a minority in many California cities. The fastest growing minority is the Asiatic, followed by the Hispanic. Many other cultures are also blending into California communities, bringing cultural values and customs not generally familiar to the public. These different cultures will affect the population entering the work force. The current and future work forces must be sensitive to these people with difference cultural backgrounds, moralities, customs and rituals.

EXHIBIT 5

FAIR, CONSISTENT PERFORMANCE APPRAISALS



High broken line = High Forecast of Group  
Middle unbroken line = Median of Group  
Lower broken line = Low Forecast of Group

There exists a need for performance appraisals to be fair, consistent and objective. As in the past and present, performance appraisals should be given by a subordinate's direct supervisor through a formal system. Every employee has the right to know how well he/she is doing and what can be done to better the performance. Every appraisal should be made within the context of each employee's particular job description and every rating based upon objective performance standards. Self-appraisal should also be a major part of the system.

## CRITICAL EVENTS

Using the NGT method, the group first generated a list of critical events that might occur in the future with regard to the method of performance appraisal in law enforcement in the year 2000. (See Appendix D for a complete list.) The group then narrowed the list to the five events considered the most critical and then determined the probability factor in percentages of these events actually occurring in the year 1992 and 2000.

The events identified and their probability of occurrence are as follows:

<u>EVENT</u>	<u>1992 PROBABILITY</u>	<u>2000 PROBABILITY</u>
Economic Depression	20%	30%
Legislation Which Limits Salary and Benefits	50%	70%
Technological Breakthrough	75%	95%
Elimination of Ethnic Laws	0	10%
Mobile Workforce and Professional Licensing	50%	80%

A description of each of the above events is as follows:

### **DEPRESSION:**

Depression in this context is synonymous with recession. There is a reasonably good chance that we will see some form of depression by the year 2000. This will be due to a number of events. Federal and local government debits will continue to grow, the job market will drastically change, the workforce from which to draw qualified workers will be reduced and unemployment will be greater, because of unskilled workers not being qualified to handle high technological jobs.

### **LEGISLATION WHICH LIMITS SALARY AND BENEFITS:**

Currently public service employees are fighting a continuing battle to defeat initiatives appearing on voting ballots to limit government spending

on salaries and benefits. Crusaders against federal and state taxes annually submit proposals to decrease spending of public funds. A large amount of these funds go to payroll warrants and to health benefits of the employees that keep the system going. Even though large amounts of government funds are spent on other programs, state and local employees are an easy target for over-spending in today's and the future's environment.

#### **TECHNOLOGICAL BREAKTHROUGH:**

Technological improvements are a certainty in the future. The past decade has seen improvements in the fields of computers, microchips, and audio and visual communication systems. Currently many advancements are also seen in the new field of robotics. All of these areas will greatly impact the future workforce in the type of knowledge required to accomplish their jobs, the interaction they have with others and the system that will be used to evaluate personnel.

#### **ELIMINATION OF ETHNIC LAWS:**

Current events in law and policies practiced by employers have given way to minority pressures and tend to undo past discrimination discrepancies. The pathway to the future concerning those events will probably maintain status-quo. Depending on the political environment for the next twenty years, there is a possibility of the lessening of these regulations. Not only will the current majority be the minority of the future, current compliance with ethnic laws will tend to down play their importance, due to a more equitable employment ratio. There is the chance of a slight reverse in civil rights and the elimination of minority laws.

#### **MOBILE WORK FORCE - PROFESSIONAL LICENSING:**

The qualifications to become a peace officer in the State of California and the requirements to maintain that professional status is becoming more stringent each passing year. More law enforcement organizations are

requiring certifications and licensing to perform the duties of policing. Standards have been established and laws have already been passed to ensure the high standards required of such a position. As each organization requires the same competency of its employees as does the most revered of agencies do, the gap of professionalism closes. With the closing of this gap, there will be the birth of the professional peace officer, dedicated to the profession, not the employer. By the year 2000, a large number of these professionals will be licensed and will move from agency to agency looking for the ultimate in job satisfaction and benefits.

#### CROSS IMPACT EVALUATION

The group did a cross impact evaluation on the probability factor of event on event and event on trend. (Exhibit 6 and 7) The group also projected the net impact of events on the issue and law enforcement in the year 2000. (Exhibit 8) Results were based on the median average.

#### CROSS IMPACT ANALYSIS

The major assumptions based on the foregoing are:

1. All five trends could have a significant impact on the issue and law enforcement. Two, however, were determined to be reactors and should be monitored: increased use of computer technology and cross culture impact.
2. Actor events, the highest number of hits, predicted to have the most impact on the issue and law enforcement are: technological breakthrough, legislation limiting salary and benefits, and mobile work force and professional licensing.

Because these actor events have mixed effects, both good and bad, they are excellent policy targets, and thereby instrumental in establishing scenarios and policy alternatives.

EXHIBIT 6

CROSS IMPACT EVALUATION - EVENTS VS. TRENDS

The events as established, will have a probability factor that will influence the five most important trends established by the group. If the event actually occurs, the amount of change/affect on the trend is as follows:

1. If California experiences a depression, the PROBABLE AFFECT on:

Increased use of computer technology . . . . .	+10
Employee organizations and union demands . . . . .	+50
Public service vs. private service . . . . .	+25
Cross impact culture . . . . .	Unchanged
Fair, consistent performance appraisals . . . . .	Unchanged

2. If California experiences legislation which limits salary and benefits, the PROBABLE AFFECT on:

Increased use of computer technology . . . . .	Unchanged
Employee organizations and union demands . . . . .	+80
Public service vs. private service . . . . .	+75
Cross culture impact . . . . .	Unchanged
Fair, consistent performance appraisals . . . . .	+05

3. If California experiences a technological breakthrough, robotics and computers, the PROBABLE AFFECT on:

Increased use of computer technology . . . . .	Unchanged
Employee organizations and union demands . . . . .	+50
Public service vs. private service . . . . .	Unchanged
Cross culture impact . . . . .	Unchanged
Fair, consistent performance appraisals . . . . .	Unchanged

EXHIBIT 6 (CONTINUED)

4. If California experiences the elimination of ethnic laws, the PROBABLE AFFECT on:

Increased use of computer technology . . . . .	Unchanged
Employee organizations and union demands . . . . .	Unchanged
Public service vs. private service . . . . .	Unchanged
Cross culture impact . . . . .	+10
Fair, consistent performance appraisals . . . . .	+60

5. If California experiences a mobile work force and professional licensing, the PROBABLE AFFECT on:

Increased use of computer technology . . . . .	+10
Employee organizations and union demands . . . . .	+10
Public service vs. private service . . . . .	Unchanged
Cross culture impact . . . . .	Unchanged
Fair, consistent performance appraisals . . . . .	-10

EXHIBIT 7

CROSS IMPACT EVALUATION - EVENT ON EVENT

1. If California experiences a depression, the PROBABILITY of:

- Legislation which limits salary and benefits . . . . . 70% Increases To 99%
- Technological breakthrough (Robotics and computers). . . . . 100% Decreases To 70%
- Elimination of ethnic laws . . . . . 10% Increases To 20%
- Mobile work force and Professional licensing . . . . . 80% Decreases To 35%

2. If California experiences legislation which limits salary and benefits,  
the PROBABILITY of:

- A depression . . . . . 30% Increases To 50%
- Technological breakthrough (Robotics and computers) . . . . . 100% Unchanged
- Elimination of ethnic laws . . . . . 10% Unchanged
- Mobile work force and Professional licensing . . . . . 80% Increases To 95%

3. If California experiences a technological breakthrough, robotics and computers, the PROBABILITY of:

- A depression . . . . . 30% Increases To 40%
- Legislation which limits salary and benefits . . . . . 70% Unchanged
- Elimination of ethnic laws . . . . . 10% Unchanged
- Mobile work force and Professional licensing . . . . . 80% Decreases To 70%

4. If California experiences the elimination of ethnic laws, the PROBABILITY of:

- A depression . . . . . 30% Increases To 35%

EXHIBIT 7 (CONTINUED)

Legislation which limits  
salary and benefits . . . . . 70% Increases To 75%

Technological breakthrough  
(Robotics and computers) . . . . . 100% Unchanged

Mobile work force  
Professional licensing . . . . . 80% Unchanged

5. If California experiences a mobile work force and professional licensing,  
the PROBABILITY of:

A depression . . . . . 30% Unchanged

Legislation which limits  
salary and benefits . . . . . 70% Increases To 90%

Technological breakthrough  
(Robotics and computers) . . . . . 10% Unchanged

Elimination of ethnic laws . . . . . 10% Unchanged

EXHIBIT 8

CROSS-IMPACT EVALUATION FORM

EVENT	PROB- ABILITY	EVENT					TREND				
		E1	E2	E3	E4	E5	T1	T2	T3	T4	T5
E1	30%	X	+99%	+70%	+20%	+35%	+10%	+50%	+25%	0	0
E2	70%	+50%	X	0	0	+95%	0	+80%	+75%	0	+5%
E3	95%	+40%	0	X	0	+70%	0	+50%	0	0	0
E4	10%	+35%	+75%	0	X	0	0	0	0	+10%	+60%
E5	80%	0	+90%	0	0	X	+10%	+10%	0	0	-10%

EVENT 1 Depression

EVENT 2 Legislation which limits salary and benefits

EVENT 3 Technological breakthrough (Robotics and computers)

EVENT 4 Elimination of ethnic laws

EVENT 5 Mobile work force and professional licensing

TREND 1 Increase use of computer technology

TREND 2 Employee organizations and union demands

TREND 3 Public service vs. private service

TREND 4 Cross culture impact

TREND 5 Fair, consistent performance appraisals

## SCENARIOS

The three scenarios that follow were based on the primary and/or critical trends and events identified, taking into consideration the forecasts, probability factors, and cross impact relationships. The best case scenario was developed in light of research that indicates that the work force of the future will be highly educated, computer literate, have more female employees, have a more diverse ethnic mix with more minorities from more diverse cultures, and in order to ensure excellence in law enforcement organizations, it will be necessary to develop a performance appraisal system that will develop individuals, increase their productivity and motivation and integrate individual and organizational goals.

### WORST CASE SCENARIO

It is evaluation time again for Officer Tom Foolery and neither he nor his Sergeant, George Cookie, are much looking forward to the ordeal. The year is 2000, and many advances have taken place in recent years. Advances that have thrust law enforcement into an era of high technology. Nevertheless, everyone in this large metropolitan police department has come to dread performance appraisals. Perhaps this is due in large part to the confusion that exists with regard to what is expected of each employee. Tom has had numerous "run-ins" with Sergeant Cookie, but when he receives his evaluation each year, he is always rated "satisfactory". Somehow none of this makes sense. The whole appraisal process is just that, a process that must be tolerated, but has absolutely no meaning. There are virtually no promotional opportunities available, so no one really cares if they improve

or "get ahead", because there is no where to go. Goals are therefore, non-existent.

The evaluation situation is relatively minor, however, compared to the other problems facing the department. The severe recession has led to numerous lay-offs. With seniority prevailing during the cut-backs and a recent court case that upheld a white backlash decision, few minorities or women are left in the workforce. Because of the reduction in personnel, response time for other than a major incident, is averaging over two hours. For this reason, private agencies have assumed most building security roles and provide personal protection to those individuals who have enough money to pay for it.

As Tom and his Sergeant get together in the prisoner's interrogation room, the location best suited for the required video taping of the appraisal interview, they are joined by Herman Goodrep. Because of increased concern for the rights of individual employees, a representative of the police officers' professional organization or union, is included in any meeting that deals with an officer's work performance.

For the record, each participant identifies himself, giving the location and date of the meeting. Officer Foolery is then shown the completed evaluation form, that has been previously approved by the Department's Chief. The form has ten categories considered critical tasks, primarily describing the duties required of a peace officer. Each category has been assigned a check-off box. If for any reason Tom were to not meet the satisfactory standard, a three-page addendum would need to be attached. This additional document would then be studied by the officer and his representative and grievances filed as appropriate. As in years past, however, Tom has received all satisfactory ratings. He simply signs his name signifying that he has received a copy of the form and the video tape, and the five minute meeting

is concluded.

Officer Foolery's evaluation process is typical. Some years ago, his Sergeant, like so many others, discovered that it was much safer and easier on everyone to "not rock the boat". Occasionally, in dealing with severe employee problems involving misuse of police powers, etc., Sergeant Cookie has found it necessary to extensively document poor performance, but fortunately, these circumstances are rare.

#### BEST CASE SCENARIO

Joe Friday is a 10 year veteran officer on one of California's major metropolitan police departments. As Joe can attest to, ushering in the 21st century has not been an easy job for him, nor for law enforcement in general. Since the 1980's, there has been a steady decline in the economy which has lead to a "more work" with "less resources" situation. Technological advances have, however, made the processing of work much easier. Officer Friday's patrol unit is equipped with a state-of-the-art computer which can give him an instant fingerprint/I.D. confirmation along with a prioritized plan of action to be taken with regard to his suspect. This adjunct has proven to be almost flawless and is credited with preventing the development of many potentially volatile situations.

Joe is about to receive his annual performance appraisal from his supervisor, Sergeant Sally Short. There should be no surprises for Officer Friday because his evaluation is an on-going process. During the past year, there have been many occasions when he and his supervisor have reviewed his goals, accomplishments, strengths, and weaknesses. In fact, just two weeks ago, Sgt. Short met with him for the purpose of planning for this annual appraisal conference, and answered any questions he had about his recent work performance and the self-appraisal form that he fills out prior to the

conference. Additionally, each position, including Joe's police officer classification, has a well-defined job description includes a list of critical tasks, and performance standards. These were developed by a task force comprised of a diagonal slice of the organization's personnel with input from representatives of employee organizations and unions.

Because she is female and of Asian decent, Sally is one of the fortunate employees who has been given special consideration for promotion. In her two years on the force, she has been encouraged to complete all the necessary educational requirements to qualify her for advancement. Extra time and preferential coaching have been provided for this purpose as she fits into the "equality in the workplace", mandated program. In return, Sergeant Short is committed to being a good supervisor and attempts to follow departmental procedures and policies.

Sally has received extensive training with regard to the performance appraisal process and is confident in carrying out her responsibilities. Because of her excellent work in this area, she has been nominated for a Departmental Outstanding Performance Award.

A location free of distractions and interruptions has been designated for the performance appraisal interview, so as Sally and Joe enter this room, the "DO NOT DISTURB - P.A. IN PROGRESS" sign is placed on the door. An atmosphere of trust and openness prevails, thereby encouraging two-way communication.

As Sally listens, Joe talks about his strengths as he has identified them. His Sergeant contributes any additional observations she has made. They both discuss areas where any improvement in performance is needed, areas where Joe may not yet have achieved excellence. Officer Friday also shares his thoughts about problems as he sees them, and they both review possible this time. Joe is very concerned about completing his master's degree in

public administration, as he plans to file for the next promotional examination, and that is a requirement. Sally is able to provide needed encouragement and a plan is put together to help Joe reach his goal.

The interview is concluded with each participant reviewing what has been accomplished, entering final remarks on the one-page supervisor's form, and placing the finished self-appraisal and evaluation forms into the computer input pneumatic tube. Although the interview has taken approximately one hour, both Sally and Joe agree that it has been time well spent. Their feelings are a reflection of the same sentiments expressed by top management, who are committed to the performance appraisal system. It has proven to be a key component in the success of the organization's human resource management.

#### MOST LIKELY SCENARIO

In the hub of one of California's largest metropolitan police department's buildings, is the briefing room, where the swing shift is about to finish receiving their report. There is a good deal of noise and commotion, but in the midst of the crowd Sergeant Blue is overheard to say, "Hey, Oliver, I want to see you in the sergeant's office in five minutes". The cackles and comments start to fill the room, everyone including Oliver, wondering what he did wrong this time. Officer Swayback's partner casually says, "Your turn in the barrel", as he heads for the door leading to the parking garage.

Officer Swayback reports to the sergeant's office as ordered and requests permission to enter. Permission is granted. The room is the standard run-of-the-mill office furnished by a budget-minded administrative staff. It is too small for the amount of desks, file cabinets, and miscellaneous equipment needed to support the operation. Originally designed to accommodate six persons, the room is now equipped for ten. Three

other supervisors are present, in addition to Officer Swayback and his Sergeant, Billy Blue.

Billy hands Officer Swayback his annual evaluation. Sergeant Blue is as prepared to give this appraisal as anyone might be. He received one hour of training on performance appraisals 3 years ago, however, the form has changed twice since then. Nevertheless, the form has been filled out and appropriate number values have been assigned to ten different critical task categories. Not a great deal of effort is required to fill out the form as most of the numbers are self-explanatory and Sergeant Blue has reviewed these with his fellow sergeants and they had no additions or corrections to make.

Due to the many technological advances in the 1990's, the year 2000 finds most of the routine police activities computerized. Sergeant Blue has found this documentation of an officer's daily work to be helpful in compiling an annual report of an officer's quantity, and to some degree, quality of work performance. At any given time, a print-out of an officer's number of reports completed, correction rate of those reports, outcomes of public contacts and court cases, are also available.

On the other hand, Oliver has opportunities to provide his own input to the appraisal. Approximately six weeks before the review date is due, each officer is given a self-appraisal form to be handed in at the time of the evaluation conference. If Officer Swayback really wants to, he can list one or two goals that he would like to accomplish. If this is done, then his supervisor is obliged to help him establish a plan of action. Because this part of the performance appraisal process can be very time consuming and generally has been found to be just extra paperwork, only the most ambitious officers decide to participate in this portion.

Sergeant Blue hands Officer Swayback his evaluation and says, "Sit down Oliver, here's your P.A. - take a minute to read it." Just then the phone

rings and Sergeant Blue becomes involved in a lengthy conversation with a complaintant. About ten minutes later, the Sergeant apologizes for the delay and tells Oliver he'll be "right back" as he needs to leave the office to inspect some damage to a patrol car. When he returns some 45 minutes later, Officer Swayback is sitting in the same place as where Billy left him, only now he is reading a newspaper. The two make an effort to determine where they left off, but the distractions have proven to be too much and they both agree to submit the evaluation as is, without any further comment.

## POLICY CONSIDERATIONS

The following policy considerations must be planned for, in order to ensure the proper implementation of the desired change. With regard to each of the scenarios postulated and the trends and events used to formulate them, the following policy considerations are given as a means to better prepare for the future:

- Develop a performance appraisal system that clearly defines its purpose and outlines how often appraisals will be conducted.
- Develop a performance appraisal system where the most critical tasks of the job to be performed are to be the most integral part of the performance standards.
- Develop procedures that ensure that supervisors and employees work closely together in both the development of the performance standards themselves and later, in the application of these standards.
- Develop a performance appraisal system that is quantifiable for computerization purposes and efficiency in processing.
- Support a performance appraisal system that rewards appraisers for doing a good job and holds appraisers accountable for not doing a good job.
- Develop cultural awareness classes that compliment the appraisal process, for all employees.
- Develop performance appraisal system audits to ensure appraisals are accomplishing what they are suppose to accomplish.
- Establish top management's commitment to the performance appraisal system.
- Establish performance appraisals as the key links in overall human

resource management strategy.

- Develop training and orientation for all employees, rater and ratees alike.
- Develop alternative ways to reward employees for good performance: Ad hoc committees, training assignments, sabbatical leaves, educational leaves, educational incentives both on and off the job.
- Develop an extensive public relations program to inform public of accomplishments and cost savings.
- Ensure that self-appraisal and participation are integral parts of the performance appraisal system.
- Develop an appraisal format that is direct, concise, and simple, and which minimizes paperwork.
- Design the performance appraisal system to ensure that the format at least gives recognition for minimally successful, fully successful and outstanding rating elements for each performance standard.
- Develop a mutual goal-setting procedure for all performance appraisals.
- Develop a procedure to include employee organizations in performance appraisal negotiations and give them a voice in the establishment and implementation of the performance appraisal system.
- Develop procedures to deal with employees who do not meet satisfactory performance standards. These should include provisions for training, counseling, and documentation.
- Ensure that the performance appraisal system meets legal requirements of jurisdiction and federal and state laws.
- Develop educational, training and participation programs to overcome internal organizational barriers and resistance to change.
- Determine the necessary supervisory interpersonal skill training needed to conduct the performance appraisal, negotiate employee performance

contracts, and counsel and provide feedback to subordinates for their growth and development.

- Ensure that the performance appraisal system is complementary to supervisory efforts and management style.

- Develop a policy and procedure manual for supervisors.

## STRATEGIC PLAN

### SITUATION

#### ENVIRONMENT

The evaluation of a worker's performance and the outcomes of this appraisal process, are of major concern in today's workplace.<sup>111</sup> While organizations and employees alike have significant misgivings with regard to many aspects of their performance appraisal systems, these concerns arise out of a much broader set of events and trends called, for purposes of this project, the environment.

The first category of trends that will have an affect on a worker's performance and the subsequent appraisal and will require change in organizational structure and process are social trends. These include movements to: shift strategic resources from financial capital as the industrial society knows it, to human capital in the information society and the decentralizing of organizations causing them to become flatter and leaner with less levels of management. Specifically, there will be a whittling away of middle management. World-wide, middle management has shrunk more than fifteen percent from 1979 to 1987. With today's computers replacing middle managers at a much greater rate than robots replacing assembly line workers, it is projected that middle management will become obsolete by the year 2000. For example, in 1975, there were an estimated 10 candidates for each mid-career vacancy. By 1985, there were 18 to 20 candidates for each vacancy. Shortly before the year 2000, it is estimated that there will be in excess of 30 candidates for each opening.<sup>112</sup>

Also, by the year 2000, organizations will be designed with greater amounts of self-regulation. Therefore, training and education will take on

more importance because people will have to adapt more readily to change in their lives and careers.

Technological trends, as exemplified by the extraordinary proliferation of computers and robotics in the 1980's, promise to continue to significantly impact the future of the worker's job and the performance appraisal process. The following statistics expand upon this statement: eighty five percent of the nation's public schools currently use computers in the classroom;<sup>113</sup> ninety one percent of the people who use a computer at work say it has improved their work conditions;<sup>114</sup> by the year 1990, fifty three percent of all homes will have computers;<sup>115</sup> and computer science is the number one goal for today's teenager.<sup>116</sup>

Computers are here to stay. From the above, it can be visualized that most of the work force, if not already, will become accustomed to seeing and processing systematic computer information. In fact, it will likely demand this type of information because of its ease of processing and assimilating every day data.

The increased use of computer technology should enable law enforcement organizations to computerize critical job tasks, performance standards, behavioral statements, and rating scales. This will certainly have a tremendous influence on the performance appraisal rater and ratee in helping them to more easily make objective quantitative and qualitative evaluations of work performance.

Additional technological advances, such as the merging of the computer with the telephone, will certainly increase law enforcement's communication capabilities in the future. Computer technology will give law enforcement organizations the capabilities to very rapidly process and utilize vast amounts of information. These abilities will spill over into the performance appraisal process. Already there is a computer program designed specifically

as an adjunct for use with performance appraisal. As previously mentioned in the Research Outcomes: Technology section of this project, the C.A.P.E. program has been successfully used for this purpose.<sup>117</sup>

Diverse economic trends will continue to influence the organization and its processes. Over the next 14-20 years, one of the driving forces for major structural changes in law enforcement will be the economy. Government at every level will be forced to seriously reassess what services it furnishes to the public. Such reappraisals may not be popular with constituents who seem to always want more for less.

The ability to provide financial rewards to enhance performance will be sharply curtailed by a declining economy which is moving from an industrial to a service orientation.

The realities of a service economy will require a manager to: allow for greater employee participation in planning and decision making, accept the concept of flexible work hours and work at home as possibilities, and with the help of top management and the employees, restructure jobs to allow for a sense of achievement and productivity. The fact that the more a job involves service, flexibility and creativity, the less it is truly controllable, will need to be understood.<sup>118</sup>

Each organization must also be able to recognize that many good people will not remain with their particular agency for more than 5-10 years before moving on.<sup>119</sup>

The predicted economic crunch will also result in the increased civilianization of many police functions. By the year 2000, there may be as high as a 50/50 ratio of civilians to police officers.<sup>120</sup> This civilianization trend may, in turn, lead to an increase in private security forces, who some say can do most police duties, particularly security-type functions, cheaper, and maybe even better. The resultant private vs. public

law enforcement agencies' problem, will cause an economic as well as political battle, with training requirements, responsibilities, non-lethal weapons, and efficiency and effectiveness, being some of the key issues.

Another economic factor to consider will be the professionalization of police officers. This might require licensing by the state and no doubt create certain educational requirements for an officer to obtain and maintain a license. Police officers are human beings, not unthinking and unfeeling machines. Often they have a strong sense of dignity, a desire to take pride in their work, and a yearning to participate and be treated as professionals.<sup>121</sup> A trend toward professionalization of police must, therefore, be addressed by the organization. This could conceivably lead to undetermined expense, if the agency intends to provide financial support for this trend. It is projected that any modern law enforcement organization which minimizes this issue, will encounter serious difficulties.

The ability to predict social, technological, economic, and political events will depend on successful human resources management: knowing the employees and being able to integrate individual and organizational goals.

"A significant number of (human resource) trends already are well established and are gaining in momentum. These include:

1. The increased demand for new management techniques such as open work systems, quality of worklife programs, quality circles, and participative management techniques.
2. The increased demand by both white and blue collar workers for job security.
3. Better programs to identify high potential, fast track candidates early in their careers and to provide more effective reward systems to ensure their retention.
4. Technology changes which are expected to provide demand for new skills

and careers; hence the expansion of career paths and increased on-the-job counseling to develop the required experience for general managers, strategic planners and technical personnel.

5. The already shrinking numbers of high caliber technical and management candidates graduating from colleges in the coming decade.

6. Internal technological obsolescence within organizations and the resulting effects on the anticipated growth and decline of different segments of the organization, with the need to re-train and shift human resources rather than treat people as a commodity to be bought and sold, hired and fired, at the will and discretion of management.

7. The impact of the trend towards a less mobile work force due to high housing costs, dual careers, and changing career and life values.

8. The increased use of robotics and office automation to increase productivity and, as a result, the development of new techniques for measuring white collar productivity and for providing more meaningful appraisals and rewards more closely linked to performance.

9. Continually increasing professional expectations in the ranks of incoming and currently employed women and minorities, and the need to ensure a qualified pool of in-house candidates for management positions.

10. Increased union drives for both blue collar and white collar organization as a result and response to the massive lay-offs of the early 1980's, expected continued high levels of unemployment through the mid-1980's and worker dissatisfaction with the higher feelings of job insecurity caused by company mergers and cost-cutting practices.

11. Continued shift in the work ethic and a greater demand of all workers for more free time and job flexibility to pursue personal and leisure activities; "quality of life" versus just "quality of worklife."

12. Growing loss of public confidence in the image, role, and responsibility

of business and the need to take a more pro-active role in improving the image and attracting higher caliber and ethical managers who have a higher level of sensitivity to people and practice more human-centered management.

13. Forecasts of long-range critical skills shortages and the need for improvement of the means for rapidly and continuously up-grading engineering and technical skills." 122

Still another trend to consider is the potential for growth in employee organizations and unions. To date, unions greatest successes have been in the public sectors. Labor unions are anxious to offset a massive erosion of their membership in manufacturing with new recruits, particularly from the white collar and service fields. Realizing that dissatisfaction among employees, especially women, could provide attractive opportunities for increased membership, unions have earmarked millions of dollars for this effort. 123

As is well known, unionization efforts are triggered by employee complaints that they have no way to be heard. Employee organizations will, therefore, be carefully monitoring the manner in which the information industry handles issues such as job security, work environment, obligatory overtime and individual production demands. Of special note, is a recent Lou Harris pole in which fifty-five percent of respondents said that a young person who got an office job as an hourly worker would be better off in terms of wages, security and working conditions, to join a union.

Management must be concerned with worker satisfaction and attempt to create a job environment where this can be fostered, while still achieving a worker effectiveness goal. Additionally, open communication, according to Goodrich and Sherwood Co., can combat an employee's lack of commitment and alienation from the job. 124

In his paper, "Achieving Excellence", Jan Duke stated: "Practically

every chief interviewed stated that police unions might be the greatest stumbling block to police agency's desiring excellence."<sup>125</sup>

Quality, not productivity, is the challenge for today as well as the future. Consumers will judge what quality is. The first goals of law enforcement must therefore be customer satisfaction. Quality service will be the competing factor in deciding whether to employ public law enforcement or private security police.

Tomorrow's work culture will include more of the following entities: autonomy, communications/information, participation, informal/synergistic relationships, creative/high-performing norms, performance/productivity with automation, enhanced quality of work life, technically oriented, research and development, and entrepreneurial spirit.<sup>126</sup> Other trends with regard to the predicted work culture are: Information orientation, work time flexibility, and part-time work and work sharing.<sup>127</sup>

The workplace of the future will have a great deal of competition for the best employees. Organizations that can provide an atmosphere in the workplace that fosters those qualities the worker is looking for, will attract the most talented people.<sup>128</sup>

In concert with the above workplace trends, the managers role will be one of coach, team builder, and expander, vs. controller of people.<sup>129</sup>

Trends related to the complexion of the work force suggest that it will: be older, more middle-aged with fewer younger workers, be dominated by the "baby boom generation", have more women in jobs with more women entering newly created jobs, have a more diverse ethnic mix, be better educated and informed, have more alternative living arrangements,(vs. the traditional working married male with a non-working wife and 2.5 children), want more immediate gratification from work, want to participate in decisions concerning their work, want work to help meet their individual needs for

self-expressions and utilized their current and future capabilities, have an increased focus on self-fulfillment in and outside of work, have a greater resistance to authority, control, and lack of choices, and be disappointed if the organization does not have the ability to meet their individual needs.<sup>130</sup>

In addition to the above, the new work force will have some inherent areas of concern with regard to equality in the workplace. Minorities, women and the handicapped will struggle to combat discrimination in the areas of hiring, retention and promotions. Legal and illegal immigration is currently the cause of nearly half of the US population growth and not since the decade 1911 - 1920 has immigration played so significant a role in US population shifts. Hispanics are having a great impact on society, particularly in California where they represent thirty-five percent of its population. By the year 2000, Hispanics will total 30 to 35 million or eleven to twelve percent of all US residents. California is home to sixty-four percent of the country's Asians.<sup>131</sup> It is no wonder then, that the diversity of the workforce will especially be seen in California.

Because of this, an effective performance appraisal system is an absolute necessity. Without a system that is relevant, sensitive, reliable, acceptable, and practical, it is impossible to meet the needs of the individual and the organization and still withstand the scrutiny of the laws and all of its ramifications.<sup>132</sup>

#### RESOURCE ANALYSIS

This project's questionnaire results from 127 representatives of various law enforcement agencies, indicate that all are presently doing performance appraisals and have some type of a performance appraisal system. Additionally, most respondents perceive a need for change in their performance appraisal systems, by the year 2000, as evidenced by the

considerable differences between responses in the 1987 and year 2000 sections.

This does not mean all systems are not working or that all the components of the present systems should be changed. What it does suggest is that California law enforcement is pro-active and realizes that the present systems will not meet the needs of the future work force, nor accommodate technology and management dynamics in the year 2000.

Utilizing the WOTS UP analysis format, see Exhibit 9, and considering the present position and ability to change concepts with respect to California law enforcement agencies, it can be determined that California law enforcement, with its pro-active leadership, is well suited to the plan.

This premise is based on the assumption that top management of a particular agency will make a firm commitment to the suggested performance appraisal system. This commitment must include time and training.

This assumption is validated by questionnaire responses. All respondents indicate that they are constantly trying to "fine-tune" their performance appraisal system and are not satisfied with the status-quo. Many have even hired consultants in an effort to improve their systems.

California law enforcement, as a whole, is looking for answers and appears to be receptive to and desirous of change. Also, the administrators appear to be willing to commit money, time and people. Based on received responses and suggestions coming out of this project, it appears certain that California law enforcement is not only able to accommodate the plan, but is above average in the following capability categories: manpower, technology, top management commitment, organizational climate and organizational competence.

A potential viable central resource for needed job descriptions, critical tasks, performance standards and a generic performance appraisal

EXHIBIT 9

RESOURCE AUDIT - WOTS UP ANALYSIS

Opportunities

Increased subordinate participation:

- Pre-conference
- Self-evaluation
- Goal-setting
- Target sessions

Defined critical tasks and performance standards

Increased feedback on management expectations

Rewards for appraisers

Increased Communications

Increased trust and openness

Increased productivity, motivation and morale

System evaluation

Strengths

Pro-active management

Experience with PA systems

Commitment to training

Training programs

Highly educated personnel

Threats

Loss of privacy

Internal resistance to change

Employee organizations

Economy

Political pressures

Legal challenges

Weaknesses

Close camaraderie leading to rater errors

Lack of clear-cut performance standards

High degree of uncertainty, complexity and difficulty of tasks

No external certification

Lack of financial rewards

form might be P.O.S.T. It has the in-house expertise necessary to assist departments in developing a performance appraisal system based on the recommendations and findings of this or similar projects.

The opportunities for law enforcement are numerous. Most important is the opportunity for increased subordinate participation, by having: a pre-conference with the rater, completion of a self-evaluation form, mutual goal setting with rater target sessions every 3 months to discuss progress and problems, involvement in defining critical job tasks and job standards, rewards for raters who excel in performance evaluations and subordinate development, system evaluation to ensure organizational, individual and legal satisfactions.

The threats to law enforcement include: loss of privacy due to computer documentation and solicitation of citizen satisfaction and internal resistance to change by both the rater and the ratee. Additionally, some supervisors and employees dislike performance appraisals because of the necessary evaluation, goal-setting, expectations and confrontations it necessitates. Employee organizations may see any change in performance appraisal as a bargaining issue or an infringement on their members rights. Further, the economy may also prevent the use of training funds or freeze hiring or firing of employees. Political pressure may be brought to bear on performance appraisal systems because of some special group interest and there is always the possibility of legal challenges. Since performance appraisals fall under the same federal guidelines as selection procedures, poor performance appraisal systems could lead to costly court battles.<sup>133</sup>

The strengths of law enforcement include pro-active management and leadership, as mentioned earlier. Additionally, this project's questionnaire respondents clearly indicate a need and desire to have effective performance appraisal systems. They are willing to commit resources to achieve the

desired results. Most law enforcement jurisdictions have had years of experience with performance appraisal systems, and as such, has recognized and documented the need for them. Agencies appear to have a commitment to training and many training programs for law enforcement supervisors and management are already in existence. For example, newly appointed supervisors and managers are required by P.O.S.T. regulations to attend training within a certain time period after promotion. Certainly not the least of law enforcement's strengths, is its high regard for formal and continuing education, for all levels of personnel.

The weaknesses of California law enforcement are prevalent in all present performance appraisal systems. First and foremost is the close camaraderie among fellow officers which contributes to bias in the performance ratings, and tends to encourage supervisors to rate everyone "satisfactory" or above. There is also a lack of clear-cut performance standards. When asked to rate a police officer as "above average" or "below average", it is legitimate for the supervisor to wonder what represents "average". Does an average rating take into account the amount of experience the employee has? Is one supervisor's rating of "above average" performance the same as another's? Morale among employees may be seriously damaged by these questions. In addition, there is typically no easy way of assessing the reliability or validity of the ratings made by supervisors.

Police work, like other professions, is characterized by a high degree of uncertainty and complexity and a great variety in the range and difficulty of tasks that must be performed. Any valid performance appraisal training must, therefore, be sensitive to this wide range of task complexity. It is easy for employees to do just enough to "get by".<sup>134</sup>

There is no external certification of law enforcement agencies or their performance appraisal systems. There is also relatively little, if any, input

provided by the clients , or citizens served by law enforcement. For example, there are limited user (client) surveys and no scientific validation for police performance assessments. Finally, there is absence of or lack of sufficient financial incentives to reward good performance.

#### STAKEHOLDERS ANALYSIS

There are several important groups who may be affected by this proposed change. Some personnel may fall into different groups at different times.

1. Law enforcement officers: will be strongly impacted by this change. The requirement of self-appraisal, mutual goal-setting, and pre-conference will necessitate more participation on their parts in the performance appraisal. Some officers resist participation, dislike having to establish goals and prefer to be "told" or directed. Most, however, will welcome the opportunity for additional input into the appraisal process. The knowledge that they are being rated on critical tasks by specifically defined performance standards should also contribute to the creation of a climate of trust and openness in the work environment.

2. Law enforcement supervisors will, for the most part, support a performance appraisal system which is objective and simple. They may resist daily computer documentation as they now resist daily recordation on prescribed forms. They will be supportive, however, if top management is committed, if they have input to the formulation of critical tasks and performance standards, and are properly oriented and trained.

3. Employee organizations. Since employee organizations are created to represent the interest of the members, the possible impact of this proposed change on their memberships will be no doubt, closely monitored. Specific collective bargaining agreements would certainly play a large role in any influence employee organizations would have on this change in employee

evaluation. If approached properly with the employee organizations being actively involved in the design of any system, they could be convinced of the anticipated benefits of the changes and become supportive.

4. Top management will have the greatest impact and influence on effecting the desired change. They will be supportive of the change if they are convinced it will lead to greater worker satisfaction, efficiency, and effectiveness. Additionally, the increased interaction and communications between appraiser and subordinate, will enhance feedback, reinforce expectations and enhance management's vision of organizational purpose and objectives.

5. Personnel administrators/human resource directors are responsible for management systems of the appropriate entity, be it city, county or state level, should be supportive of this proposed change within the law enforcement department. Any change that will reduce rater error, is non-discriminatory, and legally defensible, and better fits into the overall human resource management strategy, should receive their support.

6. Finance administrators should be expected to resist any change that could require additional expense without strong justification of need. Since it would be difficult to show direct cost benefit results, law enforcement administrators should stress the long term effects of increased productivity, employee development and reduction of employee problems.

7. State, county and city political entities, frequently get involved in personnel matters through lobbying of special interest groups. They, however, will be supportive if law enforcement administrators brief them on the advantages of the proposed performance appraisal system. Additionally, legal counsel to these political entities, such as the attorney general, city attorney, county counsel, will reinforce their support if the legal benefits of the new system are fully explained and appreciated.

## STRATEGIC PLAN

### MISSION

The mission of California law enforcement organizations in general, is to preserve the public peace, protect citizens and their property, and enforce the statutory laws of the state and local jurisdictions.

To assist organizations in the accomplishment of this greater mission, the objective of the change in the performance appraisal system is to provide the highest possible level of service to the public. All employees should be involved in a constant pursuit for excellence. Therefore, it is imperative that the productivity, efficiency and effectiveness of organizational operations be continually evaluated and improved, so that the provision of general law enforcement service is enhanced.

## STRATEGIC PLAN

### EXECUTION

#### ALTERNATIVE CONSIDERATIONS

An analysis has been made of the environment that law enforcement organizations are functioning in today. This analysis included trend and event forecasts and the development of scenarios based on these forecasts. Questionnaire results from 127 law enforcement administrators, depicting present performance appraisal systems and projections of what future performance appraisal systems should be comprised of, were also considered.

Based on the above, there appears to be three alternatives for a future performance appraisal system.

1. Alternative: Keep the Status-Quo

This alternative assumes there is not a better system available and that performance appraisals are required organizational procedures that must be carried out within prescribed guidelines. The solution for most organizations attempting to keep up with changing work forces, values, technology, and organizational dynamics in their performance appraisal process, is to change forms and train appraisers in the use of the new form. This alternative is not working effectively with today's work force and constant change. This project indicates it will be even less successful in the year 2000.

2. Alternative: Eliminate Formal Performance Appraisals

"Performance appraisals are about as beloved as I.R.S. audits. Appraisers hate giving them, subordinates dislike receiving them, and the personnel people who have to shovel the paper work blizzard they generate,

often aren't crazy about them either." 135

Although the above quote seems to be extreme, there are those who advocate the elimination of performance appraisals. "There is evidence to suggest that most performance appraisal systems are more noteworthy for the anger they create than for the results they achieve." 136

Some type of performance appraisal is necessary of course. They are required in all law enforcement organizations and legally tied to hiring, firing and promotional policies, age, sex, and race discrimination policies. More importantly, most appraisers and subordinates believe that performance appraisals are necessary and benefit the organization and the individual. 137

This alternative would require legislative action and would be disastrous to the total human resource management strategy, as well as diminishing the professionalism of law enforcement in general.

### 3. Alternative: California Law Enforcement Organizations Adopt the Performance Appraisal System Outlined in this Project.

This alternative recommends a performance appraisal system that is relevant, sensitive, reliable, acceptable, practical and computerized. This system integrates individual and organizational needs of law enforcement in the year 2000.

#### ALTERNATIVE SELECTION

The recommended course of action is to adopt the performance appraisal system outlined in this project, and summarized in alternative 3, above. Relevant to this selection, a resource assessment was conducted and stakeholders identified. The objective of the proposed change to the performance appraisal system has been integrated into the mission statement, as well. To achieve that objective, certain strategic actions must be taken.

## STRATEGIC ACTIONS

1. Secure commitment of top management. Without a firm commitment from an agency's top management, there is no chance of effecting the change. This commitment must insure that there is a clear linkage between performance standards and organizational goals and that there is a correspondence between critical job elements identified through a job analysis and the dimensions to be rated on the appraisal. " It is management's responsibility to state as clearly as possible, what counts."
2. Establish performance standards which translate the job requirements identified through job analysis into levels of acceptable/unacceptable employee behavior. This should be accomplished by a task force consisting of top management, middle management, supervisors, and officers.
3. Provide for periodic maintenance and updating of job analysis, performance standards, and the entire appraisal system. Should the appraisal system be challenged in court, relevance of the system will be a fundamental consideration in the arguments presented by both sides. Both scientifically and legally it is the "sine qua non" of appraisal systems.<sup>138</sup> This can be done by periodic audits of the performance appraisal system, probably carried out by the personnel section.
4. A rating system must be established to distinguish who the high, middle, and low performers are. The goal is to be able to discriminate between mediocre and good performers. It is also necessary to identify individual who are not meeting performance standards, document that fact, and take necessary remedial actions to insure improvement. A task force should decide what type of rating scale the organization will use.

Critical job tasks and performance standards should be computerized. Numerical results and observable behaviors would then be put in daily, by each officer and supervisor. The computer would also randomly select ten to

fifteen percent of officer contacts and survey these clients as to how the officer performed. Additionally, court cases won or lost, property recovered, etc. would be recorded. At evaluation time, the above information would be taken from the computer and attached to the performance appraisal form. This computer printout would form the basis for the task rating.

5. A task force should then develop a form suitable for the organization. It is hoped that a somewhat standardized form, one that could be duplicated on a word processor, could be used by all of California law enforcement. This form should be as simple as possible to minimize paperwork, and should ultimately be approved by P.O.S.T. The following components are key to the success of the system, however, as mentioned previously, the "form" itself is insignificant:

- There must be a pre-conference held between the appraiser and the subordinate to explain and discuss performance standards, clarify any problems and relate expectations. The pre-conference should also be used to explain and give the self-evaluation form to the subordinate.

- There should be a self-evaluation of performance by the subordinate. This must be done before a final appraisal judgment is reached. Research strongly suggests that the more active the subordinate is and the more influence the subordinate has on the appraisal process, the more likely it is that the appraisal process will meet all of its objectives. <sup>139</sup>

- There must be mutual goal-setting. Goals should be established by subordinate and approved by the supervisor. Every employee should have at least one, but no more than two goals. There are too many organizational and individual demands that must continually receive attention and be met. Therefore, any more than two, is not realistic in our dynamic world of change. This goal or goals should be related to the subordinate's

development. In an information society, job skills will continually need updating.

- An action plan must then be developed for goal accomplishment.
- Target or follow-up sessions, suggested every 3 months, should be held to review progress, intensify effort, modify or delete goal(s) if circumstances are beyond the subordinate's control.
- An appraisal interview must be held to discuss the final appraisal. Mutual agreement or at least understanding should be reached. Additionally, pay and career development should be discussed. Even if the organization uses the assessment center to determine who is or is not promoted, career development and opportunities should at least be discussed. The performance appraisal thus becomes a key component in the organization's overall human resources management strategy.
- Strong consideration should be given to having the performance appraisal administered every 6 months. More frequent feedback is highly desirable in a constantly changing environment, both for the individual and the organization.
- A special location for the performance appraisal interview should be designated. It should be private, comfortable, pleasant and insure minimal interruption.
- The performance appraisal system must reduce or eliminate any halo effect, bias, or prejudice, be proven valid and reliable, meet the legal aspects of performance evaluation, include a method of guidance and development, and be quantifiable for computerization purposes and efficiency in processing.<sup>140</sup>

6. A training curriculum and orientation program for all employees should be developed. If subordinates are to become an active part of the appraisal process they, and not just the appraisers, need training and orientation.

Part of the training must include cultural awareness.

7. An assessment of the cost of the proposed change should be prepared. This should be done to estimate the cost of the training curriculum proposed and any additional employee time that will be utilized in the performance appraisal process. From this amount, the estimated cost saving of using a computerized system, behavioral descriptive statements and any existing training programs, should be deducted.

8. It should then be determined if funds are available to implement the suggested process or if a budget increase request is required.

9. The proposal should be presented to the employee organization(s) for review and input. Their input into the formulation and design of the proposed performance appraisal system, plus the obvious benefits to supervisors and subordinates should gain their support.

10. The proposal should then be presented to the personnel administrator authorized to change performance appraisal requirements/policy. If this authority is vested in the Chief of Police or Sheriff, etc., this step can be deleted.

11. The proposal next goes to the finance administrator. This would normally be accomplished via the budget process.

12. Lastly, the performance appraisal system change should be presented to the political entity stressing the advantages of the proposal in terms of objectivity, legal requirements, productivity, motivation, morale and organizational and individual goal attainment.

## STRATEGIC PLAN

### ADMINISTRATION AND LOGISTICS

Most law enforcement agencies presently have the resources to implement the recommended strategy. The computerized program suggested could be shared on a state-wide basis. Most law enforcement agencies are presently using some type of a computer system, at least for record keeping. By the year 2000, it is estimated that law enforcement agencies will have computerized all facilities and patrol vehicles. All officers will be computer literate and most will have some type of computer in their home. All reports will be done on portable computers. Therefore, the computerization of performance appraisals should not be a resource or logistical problem.

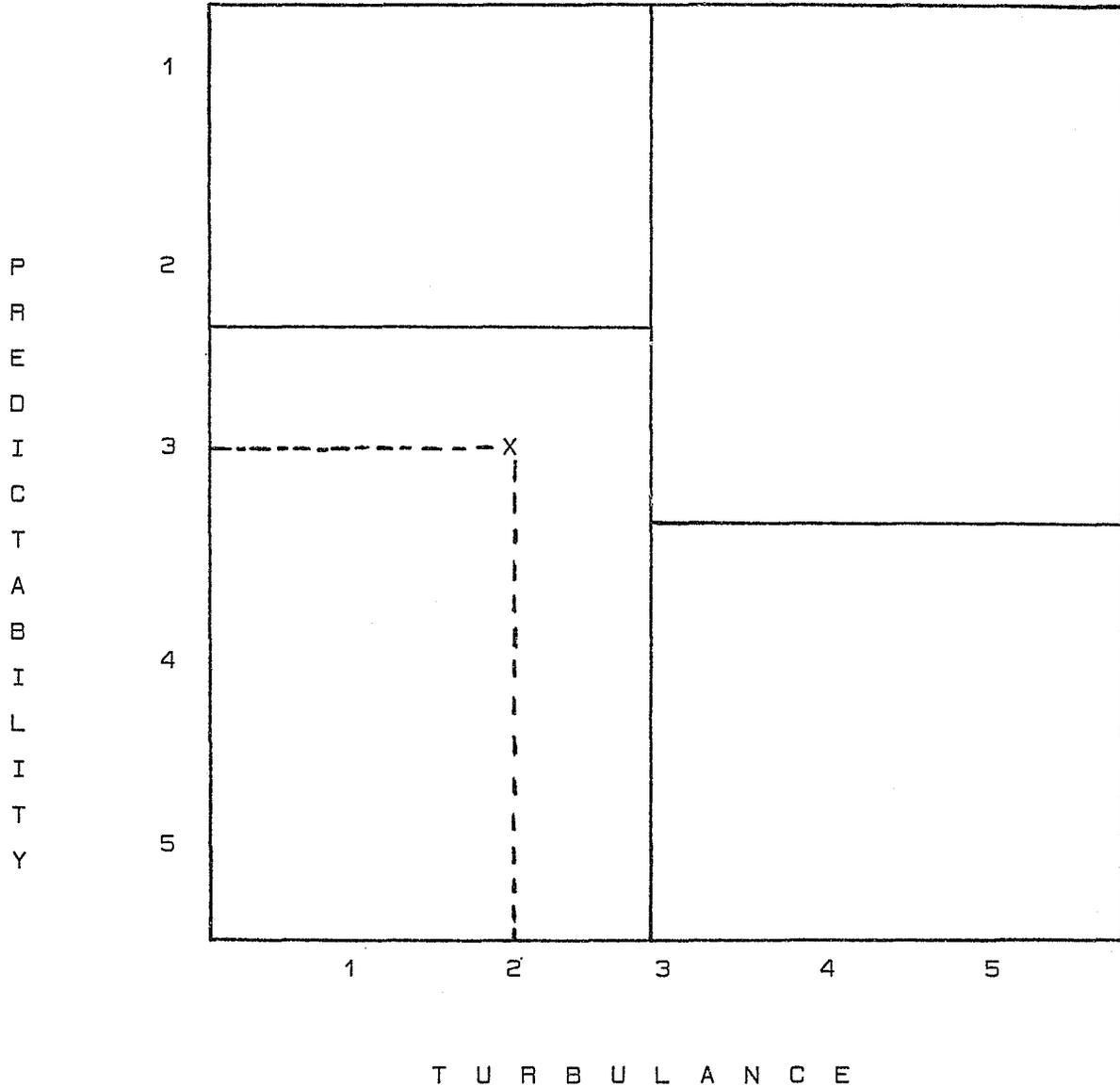
## STRATEGIC PLAN

### PLANNING SYSTEM

The planning system to be used for strategic and transition plan implementation is issue planning. The forecast for this human resource management issue indicates that the future offered predictable threats and opportunities, (3 on a rating scale) and we can expect occasional changes (2 on turbulence rating scale). See Exhibit 10.

EXHIBIT 10

PREDICTABILITY/TURBULANCE SCALE



PREDICTABILITY OF FUTURE

1. Recurring
2. Forecast by Extrapolation (Trends)
3. Predicable Threats and Opportunities
4. Partially Predictable - Weak Signals
5. Unpredictable Surprises

TURBULANCE - OR - NUMBER OF CHANGE

1. No Changes
2. A Few/Occasional Changes
3. Changes on a Regular Basis
4. Many Changes
5. Almost Continuous Changes

## STRATEGIC PLAN

### IMPLEMENTATION

The implementation plan will cover the negotiation strategy and tactics necessary to win stakeholder approval for the necessity to change the performance appraisal system.

#### NEGOTIABLE ISSUES

1. Computerization of the performance appraisal for subordinate development and measurement of productivity.
2. Target sessions - how often they should be held?
3. Performance appraisal - how often they should be conducted?
4. Number of goals - how many should be established and should there be a limit? Should it be a requirement that every subordinate have at least one goal?

#### NON-NEGOTIABLE ISSUES

1. Pre-conference between appraiser and subordinate. This is necessary to establish rapport between appraiser and subordinate. It also creates an environment of trust and openness that is so necessary for performance appraisal success.
2. Self appraisal. This is an absolute requirement for two purposes: If the subordinate compiles information before the actual performance appraisal form is completed, the subordinate and appraiser both will feel that work-planning took place. Additionally, self-appraisal procedures lead to greater feelings of ownership by the subordinate for the performance appraisal event. 141
3. Special location for performance appraisal interview. The importance of

performance appraisal interviews can be exemplified by creating a private, comfortable and pleasant environment.

4. Reward system for appraisers who effectively utilize the performance appraisal system to develop subordinates and integrate individual and organizational goals to fulfill organizational mission.

#### TRAINING OF APPRAISERS AND SUBORDINATES

Both must understand their roles in the performance appraisal process. Only through appropriate training can a performance appraisal system, which effectively balances results and behavior, become a viable tool so necessary for organizational and individual growth.

#### NEGOTIATION STRATEGY

In negotiating with each of the stakeholders, the broad strategy will be to explain and sell the plan in positive terms. In doing this, the long term benefits will be present, focusing on the increased service to the public, increasing professionalism, and striving for excellence in law enforcement. The short term benefits of increased communications, (feedback and expectations) mutual participation between appraiser and subordinate, and a more objective performance appraisal with minimum appraiser error, will also be stressed.

1. Top Management: The advocate of change within a department, ideally the Chief of Police or Sheriff, etc., must conduct an educational campaign within the organizational structure to inform all of the purpose of the proposed change. The strategy will be one of collaboration and cooperation. A task force consisting of a diagonal slice of the organizational chart will be formed to create a performance appraisal system recommendation within the parameters described in the plan. The tactic will be to present the details of the plan, highlighting the win/win situation for both appraisers and

subordinates. Also the long term and short term benefits of the plan will be stressed.

2. Police Supervisors. Police supervisors will be approached through a strategy of education and team development. The strengths of mutual participation in the performance appraisal process will be highlighted. The opportunities to reduce rater error and improve rating consistency will also be explored. the tactic will be to present the details of the plan, highlighting the win/win situation. It will be stressed that a subordinate's development and performance depend, to an extent, on the relationship with his or her superior.

3. Police Officer. This is the same as with the supervisors except what will be stressed in the tactical portion of the approach. For the police officers, it will be stressed that the primary purpose of performance appraisal is to give them the organization's official view of their work, their chances for advancement, and salary increases and ways they can improve their performance to better meet their own and the organization's goals.

4. Employee Associations/Organizations. The same educational approach should be made to the employee organizations as stated above. Additionally, a strategy of collaboration and cooperations should be used. Assistance should be solicited from the association. That assistance should be in the form of an association member, named by the association, to serve on the organization's task force. Involvement generates understanding, commitment and investment. As an alternative, if the employee association is non-existent, or ineffective, an informal leader among the officers may be requested to serve as a member of the task force. The tactic, here again, will be to present the details of the plan, highlighting the win/win situation. The professionalism and excellence of organizational personnel will benefit both the association and its members.

5. Personnel Director. The strategy to be used when negotiating with the personnel director, again, will be one of collaboration and cooperation. Emphasis will be placed on how the plan will benefit personnel operation: predict who in the organization is able to take on different and more challenging tasks, identify the current skill pool for future needs and ensure the two can be integrated properly when the time comes, enhance the human resource strategy of the organization by legally solidifying job descriptions and performance standards. The tactics will be to present the details of the plan highlighting the win/win situation. This win/win situation will be described in terms of the plan's provisions to document administrative decisions for protection against legal challenges, and its ability to identify those who can be trained and shifted to other areas of endeavor.

Additionally, the personnel director will be asked to form an audit team to test the plan and to see if it works and if any modification is necessary.

6. Finance Director. The same strategy and tactics as used for the personnel director will be used here, with additional stress being placed on the plan's ability to document administrative decisions for protection against legal challenges. Any method to avoid costly court battles will be embraced by the finance director.

Budget approval should be requested. Depending on fiscal status and acceptance or resistance met, a few alternatives are available and include:

- The implementation plan could be offered in the form of a "pilot project" or,

- A unit or units of the organization could use the plan for 6 months or a year to allow for an evaluation of the effectiveness of the proposed change. This alternative would allow for the budget process to work, or at

least a change to find alternative funding for the proposal.

7. Political entities. The strategy when negotiating with any political body should be one of collaboration and cooperation. Through sound administrative decisions, legal challenges with regard to race, age, and sex discrimination are reduced and costly court battles avoided. Additionally, promotion, punitive action, transfer, and termination policies are less likely to be appealed or go to court.

The tactics will be similar to those previously described above, except the win/win situation will be described in terms of benefits to the community through a professional law enforcement organization that is able to integrate organizational goals with individual skill levels.

## TRANSITION MANAGEMENT PLAN

### CRITICAL MASS

The critical mass, those who could make or break the plan, are identified as follows:

1. Top Management
2. Police Supervisors
3. Police Officers
4. Employee Association(s)
5. Personnel Administrator
6. Finance Administrator
7. Political Entity

Exhibit 11 assesses the current level of commitment each of these critical mass players has toward the plan for performance appraisal. The chart also indicates the desired commitment for each player, necessary to allow the plan to work.

**Top management** must be committed to making the change happen. If there is no a clear vision of the desired objective at this level, the remainder of the department will not see the proposed change as being important and will view the change only as another futile attempt to change appraisal forms. The Chief of Police, Sheriff, Director, etc., is the critical player and must be committed to making the change happen. This can be accomplished by frequent inquiries and instinctive skills to persuade dissenters. The top department executive can further make change happen by recognizing and rewarding those who effectively utilize the performance appraisal system and should remain in the "make-change-happen" position.

Most **police supervisors** dislike paperwork and confrontations with

EXHIBIT 11

COMMITMENT ANALYSIS

Critical Mass Player	Block Change	Let Change Happen	Help Change Happen	Make Change Happen
Top Management				⊗
Supervisors		X→	→○	
Officers		X→	→○	
Employee Association(s)	X→	→○		
Personnel Administrator		X→	→○	
Finance Administrator	X→	→○		
Political Entity		⊗		

X = PRESENT POSITION

○ = DESIRED POSITION

subordinates. They realize, however, that performance appraisals are necessary within an organizational setting. Although they will not openly block nor ardently support change, their degree of enthusiasm and commitment to the performance appraisal process is critical if the plan is to be fully effective. Police supervisors must be moved from a "let change happen" to a "help change happen" position. To do this, police supervisors must be fully represented on the task force and be fully trained and oriented to the plan and recommendations made by the task force.

Police officers, usually skeptical of any change, will no doubt remain in the "let change happen" column. They will remain in this position by proper training and orientation, which stresses employee development and professionalism, and appropriate representation on the department's task force.

Employee organizations may at the present time, view any attempt to change the process as an attack on their membership and an issue that is subject to collective bargaining. If this perception is allowed to form, the association could use their influence both internally as well as externally to attempt to block any proposed change. The employee associations must be moved from the "block change" to the "help change happen" position. To accomplish this move, the association should be educated as to the benefits of the change to their members, and be actively involved on the task force formed to implement the proposed change. If this tactic is not successful, departments could offer a trade. For the association going to a "let change happen" position, a desired benefit could be given elsewhere. The critical player in this element is usually the president, director, or executive director in large organizations.

The personnel director will fall into the "let change happen" or "help change happen" position. It is desirable that the personnel director be in

the "help change happen" position. Any process that will reduce legal challenge, identify resources for training and placement and provide better qualified personnel, if not discriminatory, should receive the support of the personnel department. Depending on the entity involved, this critical player could be an individual such as a personnel director or city manager, or a group such as a civil service commission, state personnel board, etc.

Most financial administrators want to see a short term cost benefit analysis attached to any new proposal. Succinctly, improvement in the performance appraisal system does not lend itself to a dollar-value, cost benefit. This point would be magnified if fiscal constraints are in place such as in the past with California's proposition 13, and legislation which limits employee salaries and benefits. Here again, the tactic would be to sell the finance department on the long term benefits of employee development and the increased quality of service to the public. Also the point that the plan has the potential to decrease costly court battles can be made. If all else fails, an attempt to gain enough money for a pilot project, or divert funds from with the department's existing budget, should be made. As with the personnel director, depending on the entity involved, the critical player could be either an individual or a group. The finance director must be moved from the "block change", to the "let change happen" position to make the plan successful.

Politicians would support the proposal if they were properly briefed by the head of the department. The reduction of personnel litigation will be a strong selling point. Additionally, the theme of employee development and professionalism are strong selling points with any political body. The critical player here could be an individual belonging to the state legislature, county board of supervisors, city council, police commission, or it could be several individuals, or entire groups. In any event, the head of

the department should not only brief the entity initially, but keep them informed of progress, benefits, etc., to keep them in the "let change happen" position.

#### MANAGEMENT STRUCTURE

The transition toward this change should be managed by a project manager. This project manager should be a member of top management, have an extensive background in both line and staff functions and preferably have expertise in human resource management. If no one is available with this expertise, additional educational preparation must be undertaken.

The project manager should also chair a departmental task force to design the performance appraisal system in accordance with the strategic plan. This task force would utilize a diagonal slice to obtain membership from throughout the organization. However, at least fifty percent of the task force should be comprised of police sergeants and officers. This will insure proper representation and feedback from key people that will be most involved in the appraisal process.

The project manager's mission is best accomplished by: communication, negotiations, and the development of challenging assignments. The manager particularly needs to have role adaptability in order to interact with people both within and without the system, and to be sensitive and flexible in order to secure project needs from other groups.

There is a definite need to get continuing input from many different levels, cultures and functions within the organization. The project manager, should therefore, be relieved of all other duties so that full attention can be devoted to the project. The project manager should report directly to the head of the department giving a clear indication to the organization that the project has the support and backing of the department head. It is imperative

that the project manager convey the department's strong commitment to change.

The above is the most appropriate management structure because the person selected will be able to devote their full time and energy to the project. This will give the project its proper priority and install the project manager as a champion of the change. Also, by having a project manager who can cross lines of authority and responsibilities through key organizational individuals assigned to the task force, the project manager can exercise project control and ensure the project stays on course and that necessary resources are effectively deployed and utilized.

### TECHNOLOGIES

There is an initial need for education intervention to occur at all levels in the organization to identify short and long term issues, goals, strategies, action plans, and alternatives.. An overview of existing problems, along with anticipated problems during future years should also be provided. This educational process should concentrate on the intent of the proposed change, a mutual evaluation process, and the benefits of the change to both the organization and the individual. Stated in other words, employee development, increased morale and productivity, individual freedom and control, and more commitment to goals, values, and mission. It will also be used to inspire organizational pride and to gain support for the strategic plan by all stakeholders identified in the plan.

The next intervention technology will be team development through team building sessions at all levels within the organization. The following steps should be taken:

1. A presentation should be made to units, describing the desired future, fine-tuning the focus and scope of the strategic plan, while reducing the objectives to a point where all participants can agree, understand and

support the plan.

2. Surveys to determine the existing attitudes and beliefs should be done.

3. Several meetings with respective units should be held, with the following being accomplished:

- Utilizing teamwork and participative management, the participants will be asked to identify and prioritize problems they see confronting their areas of operation and their ability to carry out the strategic plan. Once this is done, the results of the survey are given and the staff is asked to compare the problems pointed out by the survey with those identified during the problem census.

- Employees are most likely to agree that the criteria of the job are fair and realistic if they have a chance to participate in their establishment. Individual employees should be given the opportunity to review, discuss, comment on, suggest and agree to accept the goals and standards established for their job. Understanding and acceptance are both extremely important.

4. Presentations in team building, communications and problem solving should be offered. At this point, the units are involved in creating specific solutions to resolve areas of concern identified at previous sessions.

5. Other presentations such as goal setting, decision making or delegation of activity may be inserted or deleted, depending on organizational needs.

When team building has been completed at all organizational levels, the following can be expected: 1. The strategic plan for the project will have been thoroughly reviewed and evaluated, and 2. By clearly identifying management roles, lines of authority, communications and the decision-making process, the organization will have achieved greater uniformity in its approach to the project and greater effectiveness in its overall management effort. Team building will also help to ensure commitment to the plan by the entire organization and ensure its implementation.

## CONCLUSIONS

For a very long time, performance appraisals have been the subject of much discussion, apprehension and even fear. In looking for answers to the many controversies surrounding this issue, the bulk of performance appraisal research has concentrated on evaluation forms, rating scales, and the like. In so doing, these efforts have unwittingly contributed to the problem. Organizations searching for a proposed "ideal" appraisal, have changed their forms as often as every six months, only to find themselves no better off. Recent studies, however, including the one done as a part of this project, support the idea that the infamous "form" is of little significance and that the key to an effective process, is the inclusion of certain vital components, such as:

1. The development of meaningful job descriptions and the identification of critical job tasks through job analysis - this contributes to the process being fair and consistent;
2. The determination of performance standards, and the level at which an employee must perform a critical job element to satisfy these standards;
3. Subordinate input, which includes a self-appraisal and is considered prior to the finalization of the process;
4. Mutual goal-setting and pre-determined "target" or follow-up sessions to discuss goal progress;
5. An appraisal conference wherein a minimum of employee strengths, weaknesses, career development, pay and the supervisor's expectations are discussed; and
6. A final agreement or understanding between the supervisor and the subordinate. If both individuals have similar perceptions relative to all

aspects of the entire evaluation process, then the desired outcome has been achieved.

Other crucial performance appraisal elements that must be present in order to have an effective system include:

1. Top management's commitment to the entire process;
2. Rater motivation stemming from some type of recognition or reward for doing effective evaluations, or sanctions for doing less than effective ones;
3. Training primarily intended to reduce rater error by enhancing the rater's ability to adequately do effective appraisals, and orientation for employees to reduce misunderstanding;
4. An organizational climate that fosters trust and openness in the workplace.

In addition, it has been suggested that to be the most useful, the performance appraisal process should be computerized. This allows for rapid and accurate retrieval of data, and can accommodate client input regarding service rendered by the employee. Another benefit of using this modality is the resultant objectivity of this approach.

Producing effective performance appraisals is a difficult and complex task for any organization. This is particularly true for law enforcement agencies, due in part, to the very nature of the job performed. (Police work has a high degree of uncertainty and complexity and a wide range and variance in the tasks to be accomplished.) Nevertheless, considering the above findings, if the agency, regardless of size, is desirous of having an effective system, it can be accomplished.

The value and importance of performance appraisals can be argued and debated, but evaluations cannot be taken lightly, nor viewed as casual activities. To do so not only threatens the legal well-being of the organization, but gives a distinct message that the organization is not

interested in the needs of its employees. Furthermore, appraisers and subordinates alike, indicate that the performance appraisal is a valuable tool and can be of benefit to both the organization and the individual. It therefore behooves each organization to commit the needed time and money to make the process worthwhile for all.

Although various trends and events including , but not limited to: anticipated technological advances, continued efforts toward designing fair and consistent appraisal processes, increased unionization in the service-oriented organizations, cross culture integration, a drastic decline in economic conditions or the invention of a super revolutionary communication approach, will certainly shape the performance appraisal system, it was determined that no one trend no event will dramatically influence the issue.

The scenarios given are all alternative futures and are actually possible to one degree or another. They are descriptions of possibilities based upon forecasted future trends, events, and possible organizational decisions. It is hoped that law enforcement agencies will elect to implement the necessary interventions to create a best scene scenario.

Although specifically designed for law enforcement agencies, the policies, procedures, strategic and transition management plans provided in this project, can be utilized by any organization to move its performance appraisal system from its present to future state. If these efforts are to be successful, however, it should be kept in mind that the system must: be relevant, with a clear linkage between performance standards and organizational goals; be sensitive, and determine levels of performance by translating job requirements into levels of acceptable and unacceptable performance; be reliable, and have a consistency of judgment wherein independent evaluators agree closely in their judgments of the relative job

performance effectiveness of a given individual; be acceptable, to those who will use it; benefit the organization and the individual, helping both to achieve their goals; and must be practical, not just as an administrative requirement or convenience, but with both appraisers and subordinates being motivated to cooperate and make it work.

Performance appraisals are and will continue to be an important aspect of any organization's structure where there is a need to identify and document work performance, and with careful attention to the process involved, an effective performance appraisal system is not only possible, but can be designed in such a way so as to meet the needs of the individual and the organization.

APPENDIX A

QUESTIONNAIRE - RANKING QUESTION REGARDING  
PERFORMANCE APPRAISAL ELEMENTS  
THREE HIGHEST - MOST IMPORTANT

Element	Percent & Numerical Rating	
	1987	2000
Individualized work process	18% - 1	
Written appraisal documentation	15% - 2	
Work-planning/ goal setting by supervisor and subordinate	14% - 3&4	19% - 1
Climate of trust and openness		18% - 2
Focus on the individual's development	14% - 3&4	14% - 3

APPENDIX A (CONTINUED)

QUESTIONNAIRE -RANKING QUESTION REGARDING  
PERFORMANCE APPRAISAL ELEMENTS  
THREE LOWEST - LEAST IMPORTANT

Element	Percent & Numerical Rating	
	1987	2000
Pay	27% - 12	22% - 12
Subordinate active in the PA process	18% - 11	
Subordinate career planning	13% - 10	
Written appraisal documentation		14% - 11
Conflict resolution		13% - 10

APPENDIX B

**QUESTIONNAIRE**

**What System of Performance Appraisal  
Will Be Used by Law Enforcement Agencies  
in the Year 2000?**

GENERAL STATISTICS

1. 140 questionnaires were mailed or handed to California law enforcement administrators, Lieutenants and above.
2. 127 questionnaires were returned, for a return rate of 91 percent.

**NOTE:** Some responders did not answer all the questions, nor all portions of some questions, which explains why there is a slight variance in totals.

1987

1. Performance appraisals are administered every TOTAL 127
- a. 3 months - 8 - 6%
  - b. 6 months - 25 - 20%
  - c. 12 months - 94 - 74%
  - d. Other: (12 month plus short quarterly - 2)  
(12 month with 90 day follow-up - 1)  
(12 month plus 4 month status - 1)
2. The performance appraisal format is TOTAL 127
- a. Written - checkoff boxes only - 1 - 1%
  - b. Written combination - 112 - 88%
  - c. Written - narrative only - 12 - 9%
  - d. Other: Written, checkoff and interview - 1 - 1%  
Verbal/written - 1 - 1%  
(Narrative with numbering values - 1)
3. Pre-conference TOTAL 127
- a. Yes - 51 - 40%
  - b. No - 72 - 58%
  - c. Other: Up to supervisor - 1 - 1%  
Unknown - 1 - 1%
4. Special location TOTAL 124
- a. Yes - 25 - 20%
  - b. No - 97 - 78%
  - c. Other: Any quiet/private area - 2 - 2%
5. Length of conference portion TOTAL 125
- a. 10-20 minutes - 59 - 47%
  - b. 20-40 minutes - 45 - 36%
  - c. 40-60 minutes - 8 - 6%
  - d. Other: Varies - 10 - 8%  
As long as it takes - 2 - 2%  
N/A - 1 - 1%
6. Self appraisal portion TOTAL 126
- a. Yes - 24 - 19%
  - b. No - 101 - 80%
  - c. Other: Up to supervisor - 1 - 1%
7. Is there goal setting? TOTAL 127
- a. Yes - 93 - 73%
  - b. No - 30 - 24%
  - c. Other: Varies - 4 - 3%

8. How are goals established? TOTAL 127
- a. Supervisor - 12 - 9%
  - b. Subordinate - 3 - 2%
  - c. Supervisor and Subordinate - 86 - 68%
  - d. No goals - 25 - 20%
  - e. Other: Depends on supervisor - 1 - 1%
9. Goals reviewed TOTAL 127
- a. Every 3 months - 23 - 18%
  - b. Every 6 months - 28 - 22%
  - c. Every 12 months - 44 - 34%
  - d. Other:
    - Every month - 1 - 1%
    - Every 2 months - 1 - 1%
    - Ongoing - 1 - 1%
    - With each evaluation - 1 - 1%
10. Used for promotion purposes TOTAL 127
- a. Yes - 86 - 68%
  - b. No - 41 - 32%
11. Used for firing TOTAL 126
- a. Yes - 110 - 87%
  - b. No - 15 - 12%
  - c. Other: Uncertain - 1 1%
12. Pay discussed TOTAL 126
- a. Yes - 39 - 31%
  - b. No - 87 - 69%
13. Components present 127 POSSIBLE
- a. Subordinate's development - 120 - 95%
  - b. Constructiveness - 91 - 72%
  - c. Subordinate's input - 87 - 70%
  - d. Problems and solutions - 110 - 87%
14. Job descriptions used as tools TOTAL 126
- a. Yes - 68 - 54%
  - b. No - 58 - 46%
15. Measurable standards TOTAL 127
- a. Yes - 107 - 84%
  - b. No - 20 - 16%

16. Clear and well defined 127 POSSIBLE
- a. Job procedures - 95 - 75%
  - b. Goals - 61 - 48%
  - c. Priorities - 47 - 37%
  - d. Responsibilities - 106 - 83%
  - e. Job descriptions - 61 - 48%
17. Climate of trust and openness TOTAL 127
- a. Yes - 100 - 79%
  - b. No - 24 - 18%
  - c. Other: Unknown - 1 - 1%  
Both - 2 - 2%
18. Supervisors rewarded TOTAL 127
- a. Yes - 51 - 40%
  - b. No - 76 - 60%
- If YES, how: 49 ANSWERS
- Reflected in supervisor's evaluation - 30 - 61%
  - Verbal recognition - 11 - 22%
  - Written memo, etc. - 4 - 8%
  - Bonus points - 1 - 2%
  - Own satisfaction - 1 - 2%
  - Organization benefits - 1 - 2%
  - "Atta Boys" - 1 - 2%
19. Trained and oriented TOTAL 125
- a. Yes - 65 - 52%
  - b. No - 60 - 48%
20. When is PA completed TOTAL 126
- a. Prior to subordinate's input - 58 - 46%
  - b. Following subordinate's input - 60 - 47%
  - c. Other: After department head review - 2 - 1.5%  
After supervisor and subordinate comments added - 1 - 1%  
After signed off by employee - 1 - 1%  
After subordinate input addendum - 1 - 1%  
Depends - 2 - 1.5%  
After Chief of Police approval - 1 - 1%
21. Protect legally TOTAL 126
- a. Yes - 90 - 71%
  - b. No - 22 - 17%
  - c. Other: Unknown - 12 - 10%  
Perhaps - 1 - 1%  
Hope so - 1 - 1%

22. Outcomes

127 POSSIBLE

- a. Improved performance - 101 - 80%
- b. Increased productivity - 88 - 69%
- c. Increased motivation - 80 - 70%
- d. Increased hostility - 53 - 42%
- e. Decrease in morale - 45 - 35%
- f. Other: Varies - 4 - 3%
  - Apathy - 2 - 1.5%
  - Increased communication - 2 - 1.5%
  - Little affect - 2 - 1.5%
  - Increased documentation - 1 - 1%
  - Goal direction - 1 - 1%
  - Identification of training needs - 1 - 1%
  - Mgt./Sup. eval. of past performance - 1 - 1%
  - Doc. for civil service review - 1 - 1%
  - Unknown - 1 - 1%

23. System ever evaluated

TOTAL 124

- a. Yes - 89 - 72%
- b. No - 35 - 28%

How often:

83 ANSWERS

- At inception - 1 - 1%
- New system - 2 - 2%
- Currently - 7 - 8%
- Ongoing - 6 - 7%
- 6 months ago - 1 - 1%
- 1 year ago - 12 - 15%
- 18 months ago - 3 - 4%
- Quarterly - 1 - 1%
- 2 years ago - 15 - 18%
- 3 years ago - 4 - 5%
- 4-5 years ago - 3 - 4%
- 5 years ago - 7 - 8%
- 5-6 years ago - 6 - 7%
- 7-8 years ago - 3 - 4%
- 10 years ago - 12 - 15%
- As needed - 1 - 1%
- Unknown - 2 - 2%

By Whom:

- Individual - 10
- Department Executive - 2
- Personnel - 9
- Consultant - 3
- Management Staff - 18
- Department - 2
- Research and Planning - 1
- Department and City Staff - 1
- In-House - 2
- Personnel and Police Management - 3
- Civil Service Commission - 1

City Executive Committee, then Employee Groups - 1  
Committee/Task Force - 11  
All Supervisors and Police Association Representatives - 1  
Personnel Director, POA Representative and Supervisors - 1  
Staff and Consultant - 1  
Employees and Management - 2  
City Hall - 1  
2 Staff Officers - 1  
USC Public Administration Department - 1  
City Attorney - 1  
Employee Relations - 1  
Personnel and Consultant - 1  
Regional Office

24. Ranking - See other tally

25. Number of employees

TOTAL 127

- a. Less than 25 - 9 - 7%
- b. 25-100 - 30 - 23%
- c. 100-1000 - 63 - 50%
- d. Over 1000 - 25 - 20%

2000

1. Performance appraisals are administered every TOTAL 118
- a. 3 months - 17 - 14%
  - b. 6 months - 40 - 34%
  - c. 12 months - 56 - 47%
  - d. Other: Ongoing - 2 - 2%
    - Monthly - 1 - 1%
    - Every 6-12 months, depending on standard - 1 - 1%
    - Continuous dialogue - 1 - 1%
    - (Short review every 4 months - 1)
    - (12 months with follow-up at 90 days - 1)
    - (Career employees every 3-5 years - 1)
2. The performance appraisal format is TOTAL 118
- a. Written - checkoff boxes only - 4 - 3%
  - b. Written combination - 82 - 70%
  - c. Narrative only - 21 - 17%
  - d. Other: Video - 2 - 2%
    - Statistical and subjective from supervisors -  
(E Mail and Computers) - 1 - 1%
    - Composite - 1 - 1%
    - Computer - 6 - 5%
    - Heavily Statistical - 1 - 1%
    - (b. above with clear goals/targets for next rating  
period - 1)
3. Pre-conference TOTAL 117
- a. Yes - 98 - 84%
  - b. No - 17 - 14%
  - c. Other: Unknown - 1 - 1%
    - Possibly - 1 - 1%
4. Special location TOTAL 118
- a. Yes - 57 - 48%
  - b. No - 60 - 51%
  - c. Other: Conference may no longer be conducted in the  
traditional sense - 1 - 1%
5. Length of conference portion TOTAL 114
- a. 10-20 minutes - 27 - 23%
  - b. 20-40 minutes - 46 - 40%
  - c. 40-60 minutes - 28 - 25%
  - d. Other: Vary - 6 - 5%
    - Open - 3 - 3%
    - As long as it takes - 2 - 2%
    - May occur freq. with short duration - 1 - 1%

6. Self appraisal portion TOTAL 118
- a. Yes - 99 - 84%
  - b. No - 18 - 15%
  - c. Other - Unknown - 1 - 1%
7. Will there be goal setting? TOTAL 118
- a. Yes - 114 - 96%
  - b. No - 3 - 3%
  - c. Other: Unknown - 1 - 1%
8. How will goals be established? TOTAL 118
- a. Supervisor - 3 - 2%
  - b. Subordinate - 1 - 1%
  - c. Supervisor and subordinate - 111 - 94%
  - d. No goals - 2 - 2%
  - e. Other: Unknown - 1 - 1%  
(Probably MBO format - 1)
9. Goals reviewed TOTAL 118
- a. Every 3 months - 59 - 50%
  - b. Every 6 months - 38 - 32%
  - c. Every 12 months - 6 - 5%
  - d. NA - 2 - 2%
  - e. Other: Unknown - 1 - 1%  
Ongoing - 3 - 2%  
Vary - 1 - 1%  
As needed - 2 - 2%  
Every 4 months - 2 - 2%  
Every month - 4 - 3%
10. Used for promotion purposes TOTAL 118
- a. Yes - 109 - 92%
  - b. No - 8 - 7%
  - c. Unknown - 1 - 1%
11. Used for firing TOTAL 118
- a. Yes - 108 - 92%
  - b. No - 8 - 7%
  - c. Other: Unknown - 2 - 1%  
(Much union involvement)
12. Pay discussed TOTAL 118
- a. Yes - 81 - 69%
  - b. No - 37 - 31%

13. Components present TOTAL 118
- a. Subordinate's development - 113 - 96%
  - b. Constructiveness - 102 - 86%
  - c. Subordinate input - 108 - 92%
  - d. Problems and solutions - 108 - 92%
  - e. Other: All above for manager only - labor will have a report card - 1 - 1%
14. Job description used as tools TOTAL 118
- a. Yes - 102 - 86%
  - b. No - 16 - 14%
15. Measurable standards TOTAL 118
- a. Yes - 113 - 96%
  - b. No - 5 - 4%
16. Clear and well defined TOTAL 118
- a. Job procedures - 102 - 86%
  - b. Goals - 107 - 91%
  - c. Priorities - 106 - 90%
  - d. Responsibilities - 110 - 93%
  - e. Job descriptions - 88 - 75%
17. Climate of trust and openness TOTAL 118
- a. Yes - 109 - 92%
  - b. No - 8 - 7%
  - c. Other: Very cut and dried - 1 - 1%
18. Supervisors rewarded TOTAL 115
- a. Yes - 91 - 79%
  - b. No - 24 - 21%
- If YES, how: 74 RESPONSES
- Reflected in sup.'s evaluation - 45 - 61%
  - Pay/incentive bonus - 5 - 7%
  - Pay and promotion - 4 - 6%
  - Promotion - 3 - 4%
  - Merit - 1 - 1%
  - Verbal praise - 4 - 6%
  - Longevity - 1 - 1%
  - Recog. outside PA - 1 - 1%
  - Positive reinforcement - 1 - 1%
  - Extra time off - 2 - 3%
  - Self satisfaction - 2 - 3%
  - Certificate/award - 1 - 1%
  - Written commendation - 3 - 4%
  - Should be part of sup.'s role anyway - 1 - 1%

19. Trained and oriented TOTAL 118
- a. Yes - 112 - 95%
  - b. No - 6 - 5%
20. When is PA completed? TOTAL 117
- a. Prior to sub. input - 14 - 12%
  - b. Following sub. input - 92 - 78%
  - c. Other: Upon completion of goals - 1 - 1%
    - Contact all parties - 1 - 1%
    - Vary - 1 - 1%
    - Ongoing - 4 - 3%
    - After mgt. review - 1 - 1%
    - After/during interview - 2 - 2%
    - After Chief of Police signature - 1 - 1%
21. Protect legally TOTAL 118
- a. Yes - 100 - 85%
  - b. No - 12 - 10%
  - c. Other: Uncertain - 4 - 3%
    - Depends - 2 - 2%
22. Outcomes TOTAL 118
- a. Improved performance - 102 - 86%
  - b. Increased productivity - 100 - 85%
  - c. Increased motivation - 92 - 78%
  - d. Increased morale - 81 - 69%
  - e. No change - 14 - 12%
  - f. Other: Termination of incompetents - 1 - 1%
    - Increased accountability - 1 - 1%
    - Increased involvement - 1 - 1%
    - Enhanced mobility for high performers - 1 - 1%
    - Better use of human resources - 1 - 1%
    - Adversary relationships (sups. & subs.) - 1 - 1%
    - Pay benefits - 1 - 1%
    - Goal setting - 1 - 1%
    - Increased hostility - 1 - 1%
    - Increased doc. of perf. against agree upon standards - 1 - 1%
    - Increased communication - 1 - 1%
    - Increased credibility - 1 - 1%
23. System be evaluated TOTAL 106
- a. Yes - 102 - 96%
  - b. No - 3 - 3%
  - c. Other: Unknown - 1 - 1%

## How often:

When needed - 7 - 8%  
 Every 3 months - 3 - 3%  
 Ongoing - 12 - 13%  
 Every 6 months - 3 - 3%  
 Every year - 33 - 36%  
 Periodically - 4 - 4%  
 Every 2-3 years - 18 - 19%  
 Every 3-5 years - 1 - 1%  
 Every 5-6 years - 10 - 11%  
 Every 10 years - 1 - 1%

## By whom:

Police services - 1  
 Department - 2  
 Management - 2  
 Department and City staff - 1  
 Chief - 1  
 All levels - 13  
 Management and Personnel - 1  
 Managers and consul. - 2  
 Department Directors - 1  
 Labor negotiations - 1  
 City Attorney and Management Staff - 1  
 Union, OER, Personnel and Planning - 1  
 Commanders with line input - 8  
 Executive/Top Management - 1  
 Pers. with input all levels - 1  
 Chief's aide with computer readouts - 1  
 City Admin, Chief and Lt. - 1  
 Task Force/Committee - 10  
 \*Command College attendee - 1  
 Admin. personnel - 1  
 Division Commander - 3  
 Command levels - 4  
 Sup. Staff - 1  
 Staff - 3  
 Consultant - 6  
 Div. Human Res. - 1  
 Personnel - 8  
 Agency and union - 1

24. Ranking - See other tally

25. Number of employees

TOTAL 118

- a. Less than 25 - 6 - 5%
- b. 25-100 - 21 - 17%
- c. 100-1000 - 64 - 54%
- d. Over 1000 - 26 - 22%
- e. Other: N/A - 1 - 1%

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

1353 Monument Hill Road  
El Cajon, CA 92020  
(619) 440-8415



January 27, 1987

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear \_\_\_\_\_:

I am working on a Command College Independent Research Project and have selected the topic: What method of performance appraisal will be used by law enforcement in the year 2000?

According to several authors, a major problem facing law enforcement is that it appears to lack an effective performance appraisal process. It has been reported that the customary appraisal process is biased, inaccurate, and leads to much employee disappointment, largely due to the negative reinforcement it gives employees.

If the performance appraisal is not effective with today's work force, what about the year 2000? Indications are that the work force of the year 2000 will be more ethnically complex, have more distinctive socio-economic classes, be better educated, particularly in the fields of communication and computer literacy, be more technically oriented, older and more harried. The values, norms, and attitudes of this new work force, when coupled with the values, norms, and attitudes of the present work force will create a major challenge in terms of productivity and motivation for law enforcement organizations.

Performance appraisals are intended to improve a subordinates performance, control results, set goals, reward, motivate, coach and give feedback to the subordinate and help the supervisor decide on questions of transfer, promotion or termination, and generally improve communications.

Can an effective process be designed? I hope so, with your help.

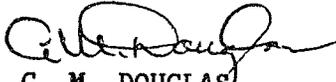
Please take 10-15 minutes to complete the attached questionnaires. Your response will be used to identify areas of concern with the performance appraisal process in regards to the present and future work force.

Page 2  
January 27, 1987

Please return your response in the self-addressed stamped envelope by February 15, 1987.

If you have any questions, please contact me at (619) 440-8415. Your assistance is appreciated.

Sincerely,

  
C. M. DOUGLAS  
Assistant Chief  
Inland Division

Attachments

PERFORMANCE APPRAISAL - YEAR 1987  
QUESTIONNAIRE

Please indicate your perceptions of your department's performance appraisal system, in its present state, by circling the appropriate responses:

1. Performance appraisals are administered every
  - a. 3 months.
  - b. 6 months.
  - c. 12 months.
  - d. Other: \_\_\_\_\_
  
2. The performance appraisal format is
  - a. Written - check-off boxes only.
  - b. Written - combination of check-off boxes and narrative.
  - c. Written - narrative only.
  - d. Other: \_\_\_\_\_
  
3. Is a "Pre-Conference" meeting held?
  - a. YES
  - b. NO
  
4. Is there a special location designated for the appraisal conference?
  - a. YES
  - b. NO
  
5. Approximate length of conference portion of appraisal process is
  - a. 10-20 minutes.
  - b. 20-40 minutes.
  - c. 40-60 minutes.
  - d. Other: \_\_\_\_\_
  
6. Is there a self-appraisal portion of the evaluation process?
  - a. YES
  - b. NO
  
7. Is goal-setting a part of the performance appraisal process?
  - a. YES
  - b. NO
  
8. How are goals established?
  - a. By the supervisor.
  - b. By the subordinate.
  - c. By the supervisor and the subordinate.
  - d. Goals are not established.
  
9. Are goals reviewed
  - a. Every 3 months?
  - b. Every 6 months?
  - c. Every 12 months?
  - d. Not applicable.
  
10. Is the performance appraisal utilized for promotion purposes?
  - a. YES
  - b. NO

11. Is the performance appraisal utilized for firing purposes?
  - a. YES
  - b. NO
  
12. Is pay discussed during any part of the appraisal process?
  - a. YES
  - b. NO
  
13. Are any of the following components present during the appraisal process? (May circle more than one.)
  - a. Emphasis on subordinate's development.
  - b. Constructiveness during the interview.
  - c. Subordinate participation and input throughout process.
  - d. Job-related problems and their solutions discussed.
  
14. Are job descriptions utilized as tools in the appraisal process?
  - a. YES
  - b. NO
  
15. Are measurable or observable standards a part of the appraisal?
  - a. YES
  - b. NO
  
16. In general, which of the following elements are clear and well-defined in the job environment? (May circle more than one.)
  - a. Job procedures.
  - b. Goals.
  - c. Priorities.
  - d. Responsibilities.
  - e. Job descriptions.
  
17. Is there a climate in the workplace that fosters trust and openness?
  - a. YES
  - b. NO
  
18. When performance appraisals are done effectively and efficiently, are supervisors rewarded?
  - a. YES
  - b. NO

IF YES: How is this done? \_\_\_\_\_

\_\_\_\_\_
  
19. Are supervisors and subordinates thoroughly trained and oriented to the performance appraisal system before they are involved?
  - a. YES
  - b. NO
  
20. When is the performance appraisal process completed?
  - a. Prior to subordinate input.
  - b. Following subordinate input.
  - c. Other: \_\_\_\_\_
  
21. Does the performance appraisal system protect you legally?
  - a. YES
  - b. NO

22. Which of the following are outcomes of the performance appraisal system? (May circle more than one.)
- a. Improved performance.
  - b. Increased productivity.
  - c. Increased motivation.
  - d. Increased hostility towards management.
  - e. Decrease in employee morale.
  - f. Other: \_\_\_\_\_

23. Has the performance appraisal system ever been evaluated?
- a. YES
  - b. NO

IF YES: How long ago? \_\_\_\_\_  
By Whom? \_\_\_\_\_

24. Please rank the following performance appraisal elements, in degree of CURRENT importance, with -1- being the most important and -12- being the least important.

- \_\_\_\_\_ A climate of trust and openness in the workplace.
- \_\_\_\_\_ Work-planning/goal-setting by the subordinate and the supervisor.
- \_\_\_\_\_ Individualized work review process.
- \_\_\_\_\_ Job content. (Well-defined procedures, goals, priorities and responsibilities.)
- \_\_\_\_\_ Focus on the individual's development.
- \_\_\_\_\_ Pay discussion.
- \_\_\_\_\_ Written appraisal documentation.
- \_\_\_\_\_ Subordinate input.
- \_\_\_\_\_ Problem-solving.
- \_\_\_\_\_ Conflict resolution.
- \_\_\_\_\_ Subordinate career-planning.
- \_\_\_\_\_ Subordinate is an active participant in defining the appraisal process and outcomes.

25. Number of employees currently in your organization:
- a. Less than 25
  - b. 25 - 100
  - c. 100 - 1000
  - d. Over 1000

PERFORMANCE APPRAISAL - YEAR 2000  
QUESTIONNAIRE

Please indicate your perceptions of your department's performance appraisal system, in its future state, by circling the appropriate responses:

1. Performance appraisals will be administered every
  - a. 3 months.
  - b. 6 months.
  - c. 12 months.
  - d. Other: \_\_\_\_\_
  
2. The performance appraisal format will be
  - a. Written - check-off boxes only.
  - b. Written - combination of check-off boxes and narrative.
  - c. Written - narrative only.
  - d. Other: \_\_\_\_\_
  
3. Will a "Pre-Conference" meeting be held?
  - a. YES
  - b. NO
  
4. Will there be a special location designated for the appraisal conference?
  - a. YES
  - b. NO
  
5. Length of conference portion of appraisal process will be
  - a. 10-20 minutes.
  - b. 20-40 minutes.
  - c. 40-60 minutes.
  - d. Other: \_\_\_\_\_
  
6. Will there be a self-appraisal portion of the evaluation process?
  - a. YES
  - b. NO
  
7. Will there be a goal-setting as part of the appraisal process?
  - a. YES
  - b. NO
  
8. How will goals be established?
  - a. By the supervisor.
  - b. By the subordinate.
  - c. By the supervisor and the subordinate.
  - d. Goals are not established.
  
9. Will goals be reviewed
  - a. Every 3 months?
  - b. Every 6 months?
  - c. Every 12 months?
  - d. Not applicable.
  
10. Will the performance appraisal be utilized for promotion purposes?
  - a. YES
  - b. NO

11. Will the performance appraisal be utilized for firing purposes?
  - a. YES
  - b. NO
  
12. Will pay be discussed during any part of the appraisal process?
  - a. YES
  - b. NO
  
13. Will any of the following components be present during the appraisal process? (May circle more than one.)
  - a. Emphasis on subordinate's development.
  - b. Constructiveness during the interview.
  - c. Subordinate participation and input throughout process.
  - d. Job-related problems and their solutions discussed.
  
14. Will job descriptions be utilized as tools in the appraisal process?
  - a. YES
  - b. NO
  
15. Will measurable or observable standards be a part of the appraisal?
  - a. YES
  - b. NO
  
16. In general, which of the following elements will be clear and well-defined in the job environment? (May circle more than one.)
  - a. Job procedures.
  - b. Goals.
  - c. Priorities.
  - d. Responsibilities.
  - e. Job descriptions.
  
17. Will there be a climate in the workplace that fosters trust and openness?
  - a. YES
  - b. NO
  
18. When performance appraisals are done effectively and efficiently, will supervisors be rewarded?
  - a. YES
  - b. NO

IF YES: how is this done? \_\_\_\_\_

\_\_\_\_\_
  
19. Will supervisors and subordinates be thoroughly trained and oriented to the performance appraisal system before they are involved?
  - a. YES
  - b. NO
  
20. When will the performance appraisal process be completed?
  - a. Prior to subordinate input.
  - b. Following subordinate input.
  - c. Other: \_\_\_\_\_
  
21. Will the performance appraisal system protect you legally?
  - a. YES
  - b. NO

22. Which of the following will be outcomes of the performance appraisal system? (May circle more than one.)
- a. Improved performance.
  - b. Increased productivity.
  - c. Increased motivation.
  - d. Increased morale.
  - e. No change.
  - f. Other: \_\_\_\_\_

23. Will the performance appraisal system be evaluated?
- a. YES
  - b. NO

IF YES: How often \_\_\_\_\_  
By Whom? \_\_\_\_\_

24. Please rank the following performance appraisal elements, in degree of FUTURE importance, with -1- being the most important and -12- being the least important.

- \_\_\_\_\_ A climate of trust and openness in the workplace.
- \_\_\_\_\_ Work-planning/goal-setting by the subordinate and the supervisor.
- \_\_\_\_\_ Individualized work review process.
- \_\_\_\_\_ Job content. (Well-defined procedures, goals, priorities and responsibilities.)
- \_\_\_\_\_ Focus on the individual's development.
- \_\_\_\_\_ Pay discussion.
- \_\_\_\_\_ Written appraisal documentation.
- \_\_\_\_\_ Subordinate input.
- \_\_\_\_\_ Problem-solving.
- \_\_\_\_\_ Conflict resolution.
- \_\_\_\_\_ Subordinate career-planning.
- \_\_\_\_\_ Subordinate is an active participant in defining the appraisal process and outcomes.

25. Number of employees anticipated in your organization:
- a. Less than 25
  - b. 25 - 100
  - c. 100 - 1000
  - d. Over 1000

APPENDIX C

NOMINAL GROUP PARTICIPATION LIST

Nominal Group Technique members were as follows:

- Clarence M. Douglas - Moderator  
Asst. Chief, California Highway Patrol
  
- Darwin Sinclair  
Chief of Police, El Cajon City Police Department
  
- Jim Marooney  
President, El Cajon Limited - Mercedes Benz, El Cajon
  
- Mari Dee Viery  
Director of Human Resources, El Cajon A.M.I. Hospital
  
- John Carpenter  
Director of Public Safety, San Diego State University
  
- Neil McKay  
District Manager, Southern California Auto Club, El Cajon
  
- Bob Hill  
Chief, Inland Division - California Highway Patrol
  
- Jay Redding  
Sergeant, El Cajon Area - California Highway Patrol

**DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**

Inland Division Headquarters  
847 East Brier Drive  
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February 4, 1987

Thank you for agreeing to assist me in forecasting the method of performance appraisal law enforcement will be using in the year 2000.

We will be meeting in the executive conference room at the El Cajon Police Department, 100 Fletcher Parkway, El Cajon, California, at 1:30 p.m. on February 10, 1987.

According to several authors, a major problem facing law enforcement is that it appears to lack an effective performance appraisal process. It has been reported that the customary appraisal process is biased, inaccurate, and leads to much employee disappointment, largely due to the negative reinforcement it gives employees.

If the performance appraisal is not effective with today's work force, what about the year 2000? Indications are that the work force of the year 2000 will be more ethnically complex, have more distinctive socioeconomic classes, be better educated, particularly in the fields of communication and computer literacy, be more technically oriented, older and more harried. The values, norms, and attitudes of this new work force, when coupled with the values, norms, and attitudes of the present work force, will create a major challenge in terms of productivity and motivation for law enforcement organizations.

Performance appraisals are intended to improve a subordinate's performance, control results, set goals, reward, motivate, coach and give feedback to the subordinate and help the supervisor decide on questions of transfer, promotion or termination, and generally improve communications.

Can an effective process be designed? I hope so, with your help.

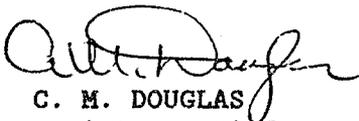
I will ask you, as a member of a panel of experts, to identify, via a brainstorming session and nominal group technique, what trends law enforcement should be monitoring, then to determine the most important four of five of those trends and forecast what you and the group feel would be a valid trend projection for the next 14 years.

After that, again using the aforementioned techniques, identify future events that could affect those trends that we would be monitoring. I would then like to attempt to use the group to evaluate the probabilities of those impacts/changes occurring and to evaluate the inter-relationships of those events and figure final probabilities.

In summary, what I want to do is use the information you provide in this session to chart out the trends law enforcement should be monitoring and the probability of the certain events occurring and then, by using this data, develop a future scenario, strategic plan, and transition management plan to move the organization to the desired state.

In closing, I again thank you for agreeing to assist me in this important project. See you on Tuesday February 10.

Sincerely,



C. M. DOUGLAS  
Assistant Chief  
Inland Division

## APPENDIX D

### NGT TRENDS AND EVENTS

The following trends and events were identified at a brainstorming session of the NGT group, February 10, 1987:

#### TRENDS

1. Increase in computer technology - job elimination - new level of knowledge
2. Legal process expansion
3. Employee organization demands
4. Budget restrictions
5. Staff reduction (budget)
6. Employee union demands
7. Activities in workplace - more leisure (Japanese philosophy)
8. Public vs. private service providers
9. Reduction in first-line supervisors
10. Areas of responsibilities and density
11. Expectations of work force due to impact of computers and schools - structured appraisals
12. Changing ration and ethnic change (male vs. female)
13. Better education - employees
14. Effectiveness of communication and transportation systems
15. Increase of training time
16. Cross cultures impact
17. Better trained management
18. More bureaucratic behavior
19. Objective system of performance appraisal - consistent, fair

#### APPENDIX D (CONTINUED)

20. Age of work force
21. Literacy and academic competency of work force
22. Periodic process interview
23. Program changes in west coast law enforcement
24. Impact of parents and teachers on work philosophies
25. Illegal immigration
26. Society will experience mounting debt
27. Continuing population shift in United States from the north and the east to the south and the west
28. Increased litigation against organizations for discrimination and sexual harassment
29. Change ration of females vs. males in work force
30. Employee self-discipline

#### EVENTS

1. Depression
2. Purging of upper management
3. Oil crisis
4. Cap on salary and benefits (California Proposition 61)
5. Regionalization of police
6. Technological breakthrough (robotics and computers)
7. Major geological disaster
8. Elimination of ethnic laws (reverse of civil rights)
9. Quota system in hiring
10. War
11. Major terrorist activity

APPENDIX D (CONTINUED)

12. Job action
13. Employee sabotage
14. More jobs than employees
15. Major increase/decrease of employees in an organization
16. Mobile work force in various organizations (with professional licensing.

LAW ENFORCEMENT  
METHODS OF PERFORMANCE APPRAISAL  
FOR THE YEAR 2000

TREND EVALUATION FORM

TREND STATEMENT	LEVEL OF THE TREND (Ratio: Today = 100)			
	5 Years Ago	Today	"Will be" in 1992	"Could be" in 2000
		100		
		100		
		100		
		100		
		100		

LAW ENFORCEMENT  
METHODS OF PERFORMANCE APPRAISAL  
FOR THE YEAR 2000

EVENT EVALUATION FORM

EVENT STATEMENT	PROBABILITY		YEAR MOST LIKELY TO HAPPEN
	By 1992 (0-100)	By 2000 (0-100)	

## END NOTES

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<sup>5</sup>Ibid., p. 325.

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<sup>7</sup>Edward E. Lawler, III, Alan M. Mohrman, and Susan M. Resnick, "Performance Appraisal Revisited," Organizational Dynamics 13 (Summer 1984): 20.

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- <sup>28</sup>Zemke, p. 30.
- <sup>29</sup>Booth, p. 60.
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- <sup>34</sup>Zemke, pp. 28-9.
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- <sup>36</sup>Jay Matley and Richard Greene, "Readers Say 'Thumbs Up' To Performance Appraisals," Chemical Engineering Journal (September 1984): 54.

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<sup>43</sup>Cascio, p. 369.

<sup>44</sup>"How'm I Doing," p. 91.

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<sup>50</sup>Soderberg, p. 29.

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<sup>69</sup>Ibid., p. 39.

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