

A Handbook for Human-Resource Planning
in Criminal Justice Agencies

Volume II
Diagnosing Human-Resource Problems

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School of Criminal Justice
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A HANDBOOK FOR HUMAN-RESOURCE PLANNING
IN CRIMINAL JUSTICE AGENCIES

VOLUME II

DIAGNOSING HUMAN-RESOURCE PROBLEMS

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EXECUTIVE SUMMARY

Criminal justice agencies usually allocate 80 percent or more of their resources to meeting personnel costs. Criminal justice is thus a labor-intensive field, with productivity vitally dependent on the efficient and effective employment of personnel. Human-resource planning can be an effective managerial tool for helping administrators reach decisions about how most efficiently and effectively to acquire and to employ personnel. Additionally, some aspects of human-resource planning are particularly useful in helping management to identify, to diagnose, and eventually to solve personnel problems.

This executive summary provides a brief overview of the contents and objectives of the Human-Resource Planning Handbook prepared by the School of Criminal Justice at Michigan State University. The Handbook describes numerous human-resource planning and analytical techniques useful in criminal justice agencies, gives directions for their use, and provides examples of their application in criminal justice agencies. Also, special techniques are provided to assist management in identifying, diagnosing, and eventually resolving personnel problems. The Handbook is designed to offer the criminal justice manager, personnel administrator, and planner a self-instruction guide on how to implement more effective means of planning for the agency's personnel component.

One way of visualizing the purposes and objectives behind the Human-Resource Planning Handbook is to consider the principal kinds of managerial questions that it attempts to provide answers for. A few of these questions are:

1. How can an agency examine what its personnel needs are?
How can these needs be substantiated or documented?
2. How can an agency validly determine and define the jobs required to achieve missions, goals, and objectives?
How can it determine whether job descriptions validly reflect the nature of work currently done in the agency?
3. How can an agency assess its current employees? How can it determine what kinds of employees should be hired (prior experience, education, training, skills, etc.)? How can employment qualifications be identified and substantiated or validated?
4. How can an agency assess its key personnel practices (for example, recruiting, selecting, training, and assigning personnel? What are the effects of these personnel practices on the agency's ability to maintain a stable supply of qualified personnel to fill the agency's jobs? What effects do current personnel practices have on employees' morale, employees' performance, and employees' attitudes?
5. How can an agency go about identifying and diagnosing personnel-related problems? What kinds of personnel

problems confront the agency? What are the causes of these problems? What kinds of effects do these problems have on agency productivity (efficiency and effectiveness)?

6. What kinds of analytical techniques are available to agency managers and planners who wish to diagnose not only existing personnel problems but also want to anticipate future personnel problems?
7. How can an agency go about identifying the major constraints posed by budget and outside decision makers that circumscribe the agency's ability to acquire needed personnel? How can an agency go about determining whether any of these constraints are manipulable-- removing them as constraints in acquiring and assigning needed personnel?

The Handbook variously deals with these and other prime questions facing administrators charged with managing personnel. However, the Handbook is not prescriptive in the sense that specific solutions are prescribed for specific kinds of human-resource problems facing the agency. For important reasons that are pointed out in Volume I and in the first part of Volume II, the choice of a solution to any given personnel problem is properly the responsibility of agency management. Identifying viable solutions for problems such as turnover, or insufficient staffing, or poor employee performance must be done by management working within the constraints faced by the agency.

Nonetheless, the Handbook, its techniques for problem diagnosis, and its explanations of other human-resource planning techniques, can help point personnel administrators and planners toward discovering a range of viable solutions for agency personnel problems.

Development of the planning handbook was supported with funds from the U.S. Department of Justice (LEAA) and was conducted in two phases. Phase I assessed criminal justice agencies' current capability and need of human-resource planning. Phase II, building on this assessment, focused on the development of an extensive handbook that would assist criminal justice agencies more fully to implement and to utilize human-resource planning techniques.

THE HANDBOOK

The Handbook is presented in three volumes (bound in eight parts for convenience in handling and use). A comprehensive index to the contents of these three volumes follows the executive summary. Used in conjunction with the index, the Handbook has been designed to allow managers and planners to choose those portions that are of most interest or are most needed.

VOLUME I of the Handbook provides an introduction to human-resource planning in agencies--what it is, how it is carried out, and how it can help the agency manager. The material in this volume is written to be of interest alike to agency top management, to agency personnel administrators, and to agency planners. One principal objective of Volume I is for managers and planners to acquire a common overview about the definition, purposes, and uses of human-resource

planning in agencies. When managers and planners do not share such a basic understanding, planning tends not to be fully or appropriately utilized.

VOLUME II is bound in four parts and presents a means for comprehensively identifying and diagnosing personnel problems. It is designed to be of primary interest to agency personnel administrators and planners. Problem diagnosis is a very crucial and very practical part of human-resource planning. It is crucial because without good diagnosis, solutions to personnel problems cannot be adequately planned. It is practical because it focuses on what every manager spends most of his or her time doing--identifying and dealing with conditions that negatively affect the agency's ability to meet its goals and objectives.

Practical tools are presented to help personnel administrators and planners conduct two types of diagnoses. The first type is an overall assessment of agency human resources--a general stocktaking whereby the agency takes an overall look at its organizational climate, its personnel practices, and its ability to acquire, to develop, and to employ personnel. Three ready-for-use diagnostic surveys are provided with directions: 1. an Organizational Climate Survey, 2. a Personnel Practices Survey, and 3. an Environmental Factors Questionnaire.

Analysis of results from administering these surveys will provide administrators with an overview of the agency's strengths and weaknesses regarding its personnel processes and its ability to identify and to deal with internal and external factors that affect its acquisition and use of personnel. This becomes essential background information for

later attempts to identify and to solve specific personnel-related problems.

The second type of diagnostic tool presented is a step-by-step procedure that can be followed to diagnose specific personnel problems more pointedly. For example, the agency may have identified turnover, or an inability to attract qualified personnel, or poor performance by employees as problems needing special attention. Comprehensive diagnoses of the causes and effects of problems such as these is crucial if effective solutions to them are to be found. The diagnostic model provided offers a way of marshalling key agency thinkers and key information for diagnosing problems and for eventually finding solutions.

VOLUME III is bound in two parts and is a resource guide intended primarily for use by agency personnel administrators and planners engaged in the more technical aspects of personnel administration and human-resource planning. Techniques such as job analysis, forecasting, selection validation, performance measurement (to name a few) are discussed. A common format is used throughout in presenting these techniques. First, the nature of the techniques and its prime uses are presented. This is followed by a consideration of the major technical and other supports required if the technique is to be used. Special attention is paid to factors that will limit an agency's ability to use a given technique, and alternatives are presented for these situations.

BASIC DESIGN-FEATURES OF THE HANDBOOK

A COMPREHENSIVE INDEX: Few users will have the time or the need to use all the material in these volumes and do everything that is recommended. A comprehensive index or catalogue of materials to be found in all of the volumes is provided. Agency administrators and planners may use this index or menu-system as a means of quickly finding the portions of the Handbook that will be of most help.

SELF-ADMINISTRATION: The materials have been written to optimize self-administration and self-learning, and to minimize the need for outside help. For example, the diagnostic surveys found in Volume II have been designed for administration and analysis in house. Of course, some concepts or techniques will remain difficult to grasp and will require additional reading or the use of consultants. For example, job analysis techniques discussed in Volume III are very complex and are generally out of the reach of most agencies to apply themselves without the help of outside experts. Nonetheless, the objective has been to maximize as much as possible an agency's ability to do human-resource planning using in-house resources.

PROBLEM-FOCUSED APPROACH TO PLANNING: With the exception of some of the sections of Volume I where many of the general concepts and ideas about human-resource planning are discussed, the Handbook is designed to help managers and planners identify and diagnose concrete personnel problems (e.g., turnover, poor employee performance, inability to attract qualified personnel, EEO and Affirmative Action suits, and so forth). The emphasis, therefore, is on dealing with specific problems

as opposed to discussing human-resource planning from a conceptual point of view alone.

VARYING LEVELS OF "BUY-IN": Agencies differ in their need for and their ability to undertake human-resource planning. Agency size, environmental constraints, money, technical expertise, and the nature of human-resource problems confronted by an agency all affect the level of planning needed and possible. Where possible, Handbook materials have been written to provide alternative levels and options in the use of planning-related analytical techniques. Thus, there are options presented--different levels and kinds of analytical activities possible. Managers and planners are free to buy in at the level deemed most feasible and valuable.

OUTSIDE CONSULTANTS: The handbook material, besides helping agencies become more informed about what can be done in-house, helps identify conditions under which outside help is needed, what should be expected of this outside help, and whom or what to look for. One central purpose has been to provide agencies with the information necessary to become more intelligent and critical consumers of work done by outside consultants. Sometimes, agencies have not been able to sufficiently direct consultants about what is needed or wanted. This has frequently been the case, for example, when agencies sought outside help in validating selection and promotional practices, or when conducting job analyses.

WHAT IS HUMAN-RESOURCE PLANNING?

In the most general terms possible, human-resource planning is the process of determining what an agency needs to do to ensure that it has the right number and kinds of people doing the right jobs, and doing those jobs well. To accomplish this, human-resource planning is composed of two distinct yet related activities. The first activity is called WORK FORCE PLANNING, while the second is labeled STAFFING-NEEDS PLANNING.

Workforce planning analyzes the agency's need for personnel--how many and what types of people. It also analyzes the required missions of the agency, determining the kinds of jobs that need to be done, and what qualifications people who hold these jobs need. Workforce planning is crucial, for without it agency management has little firm basis on which to justify the number and kinds of personnel hired or how they are hired, assigned, and employed.

Staffing-needs planning focuses on the various personnel administrative actions involved in acquiring, developing, and assigning agency personnel. The processes and policies associated with personnel administration (e.g., recruitment, selection, training, assignment, job design, compensation, and so forth) are closely tied to human-resource planning because personnel administrative actions put human-resource plans into operation. Just as there is a need to determine what kinds and how many people are needed (workforce planning), there is a need to determine and to plan the personnel actions required to acquire, to develop, and to employ personnel (staffing-needs planning).

Human-resource planning encourages and helps direct agency managers to take a "comprehensive" approach to personnel management and to the diagnosis of personnel problems. Factors affecting the need for and the availability of agency personnel are highly inter-related. So, too, the numerous steps in the personnel administrative process are interrelated and interdependent. Human-resource planning techniques help managers and personnel administrators to consider these factors in a more interrelated and systematic way.

WHY ENGAGE IN HUMAN-RESOURCE PLANNING?

Anticipating future requirements for manpower in the agency and forecasting future supplies of manpower are crucial to effective personnel management. Likewise, crime trends, budget forecasts, trends in the economy, population trends and the like greatly affect the need for personnel, and they also influence the availability of personnel. Thus, knowledge of current environmental conditions and impending changes in these conditions is vital to planning agency personnel policy. Current agency personnel policies in the areas of recruitment, selection, training, and so forth, produce certain kinds of results today that may or may not be appropriate or satisfactory in the future. Knowledge of both current results and likely future results produced by agency personnel administrative practice is, thus, also important. Planning-related analytical techniques provide the agency manager with powerful tools not only to analyze present conditions and effects, but also to anticipate future conditions and effects.

Besides making forecasts, human-resource planning also focuses on diagnosing personnel problems. A problem of poor agency performance or inadequate performance occasioned by insufficient, unqualified, or poorly utilized personnel requires agency managers first to diagnose the nature of and causes of the problem, and then to plan solutions. Several planning-related analytical techniques can help the manager in both of these endeavors. Additionally, human-resource planning not only helps to diagnose current personnel problems, but also to anticipate the emergence of personnel problems.

The kinds of personnel problems that will arise in an agency are numerous, and the combination of problems nearly infinite. So too, the causes of personnel problems will vary greatly from organization to organization. When we speak of personnel problems, we include conditions such as high turnover, poor employee performance, insufficient personnel, unqualified personnel, poorly trained employees, charges of discrimination in hiring and promotion, inability to attract qualified job applicants, constraints in assigning, reassigning, and promoting employees, and so forth. The numerous analytical techniques and tools described in the Handbook provide a basis for diagnosing the nature and causes of such problems and help identify and weigh potential solutions to them.

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VOLUME II, PART 1

DIAGNOSING HUMAN-RESOURCE PROBLEMS

In Volume I, planning was described as the determination of ends (what we want) and the determination of means for getting there. In addition, a number of important activities were associated with the general planning process. These included goal setting, problem formulation, forecasting, and problem resolution as important aspects of planning.

In the first part of Volume II, we focus attention on problem formulation as one of the most important parts of planning--especially important for organizational planning. We begin with some discussion of the terms problem identification and problem formulation. Although the meaning of these terms may seem to be obvious, their use in organizational planning is a bit more involved than might appear at first glance.

PROBLEMS AND PROBLEM FORMULATION

In an organizational setting, the determination of ends (what we want) can be restated in the form of two questions: "where are we now?" and "where would we like to be?"¹ Any discrepancy can be viewed as a problem or as an indication of a problem. The problem-solving applications of planning (often used in criminal justice agencies²) require that an agency secure an understanding of its current status with respect to a particular issue, specify its desired status, and

interpret any differences between the two as the problem to be dealt with. This process, broadly defined as problem identification, is a necessary and crucial first step toward problem solving.

The term problem identification has sometimes been used interchangeably with or replaced by the term problem diagnosis. Although there is a great degree of similarity between the two concepts, they are not quite the same thing. Since the focus of this volume is on problem diagnosis, the distinction between simple identification and the more complex diagnosis is discussed in greater detail below.

PROBLEM DIAGNOSIS

The major activity of diagnosis is the collection of data about how the system operates--what seems to be going well, what seem to be the causes of the problems, and what are the perceptions and feelings of people in the system?³

Some attention has been devoted in the literature to providing detailed definitions for diagnosis. In an abstract sense, we use it here to refer to any process for determining "what's wrong" (i.e., observable symptoms of a problem) and "why" (i.e., the underlying causes and relationships that lead to the problem). The "why" of the problem distinguishes diagnosis from simple identification. The process involved in systematically answering the "what's wrong" and "why" questions can be seen as involving the following basic steps:

1. Observation and description of the problem (i.e., its symptoms).
2. Examination of alternative factors that could have caused or contributed to the problem (i.e., the problem's underlying causes).

3. Analysis of how these factors interact with each other to cause the problem.
4. Analysis of the reasons that these factors interact in the way they do.⁴

Complete diagnosis encompasses an additional step in the planning process between initial problem identification and problem resolution. That step is problem formulation, which, as already pointed out in Volume I, may be the most important role for the planner to perform.⁵ Problem formulation goes beyond the identification of observable symptoms to clarification of the causes of symptoms. Although a given problem may be simply described in terms of its observable symptoms, it is understanding the causes of symptoms that makes problem diagnosis a valuable and essential undertaking.

Problem formulation addresses the "why" of a given problem by ascertaining and specifying the variety of possible causal relationships that account for or contribute to the problem (that is, we carefully consider alternative underlying causes). In this regard, problem formulation ideally does not limit itself to a single possibility or to the most obvious but identifies a number of relevant possibilities for further scrutiny. An open mind is required in diagnosis because what we may think or assume to be the cause of the problem may not be involved at all, or perhaps involved along with many other factors not previously known or considered.

Organizations are complex entities and, more often than not, the problems they encounter arise out of the complex interplay of numerous factors or causes. Thus, although it may appear obvious

that a particular factor or cause is involved, a planner is advised to be cautious about accepting the obvious too quickly. As organizations are complex systems, the usual situation is for us to find that a particular problem has multiple causes and that the problem itself has an effect on numerous other facets of organizational life. This view of a complex interdependence among parts of the organization has implications not only for understanding the causes of problems but in adopting solutions for these problems as well--altering conditions to address the problem will affect other components of the organization in unintended ways (some good and some not so good).⁶

Consider, for example, the problem of turnover--a subject that we will turn to frequently in this part to illustrate points. Turnover has multiple causes, some of which are not controllable by the organization (e.g., turnover due to retirement or death). Other factors potentially more controllable by the organization can also result in turnover problems (e.g., poor compensation, poor working conditions, job stress and work demands, poor supervision, poor interpersonal relations with co-workers). Some of these factors may normally be more important than others in affecting turnover levels. Grossly inadequate compensation when there are higher paying alternatives is often cited as one case in point. Yet, the other factors, if serious enough, can also increase the turnover level. With regard to a particular turnover problem, compensation may only be one of several contributing causes or only marginally involved. A too ready acceptance of the assumption that turnover is caused by

poor pay leads to poor problem diagnosis and, even more seriously, to ineffective solutions (increased compensation) that may carry unintended negative consequences (unaffordable wage costs for the agency).

Open-mindedness in problem formulation also requires that attention be paid to the fact that what is viewed as a problem by one person may not at all be relevant to someone else's view of what is problematic. There are alternative visualizations of what constitutes a problem, and the formulation process must be cognizant of these.⁷ For example, for the first-line supervisor, turnover can create severe difficulties: interrupted work schedules, the need to train green replacements, the need to reassign the work load among existing employees, and disruptions in completing tasks assigned to the unit. Yet, top management faced with budget cuts and removed by several organizational layers from the environment of work in the trenches, may view the attrition of personnel as the means (perhaps the only means) of reducing costs. Obviously, the conceptualization and relevancy of turnover as a problem by the first-line supervisor differs in important respects from top management's visualization of turnover as a problem. The formulation process that ignores these alternative visualizations too narrowly focuses the diagnosis process. One consequence of this can be the designing of solutions that do not meet management's understanding of what the problem is, what its consequences are, and what, if anything, should be done about it.

Suppose an agency is faced with pending budgetary cutbacks of a magnitude that will necessarily entail personnel layoffs and,

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therefore, probably adversely affect the services provided by that agency. In order to determine the best course of action (e.g., rethinking the range of services provided by the agency, restructuring jobs, or working relationships), the full extent of the problem that will be created by such cutbacks needs review. In other words, the problem to be dealt with has to be operationally defined before problem-solving efforts can be considered. Several questions could be asked.

1. What do the cutbacks mean in dollars and cents (i.e., how much must the budget be reduced)?
2. What services are likely to be affected (i.e., all of them, specific low priority ones, or any of them)?
3. How are those services currently being provided (i.e., what tasks are being performed, by how many people, with what specific qualifications)?
4. Are there alternative ways to provide those services at the same level of quality or quantity (as opposed to how they're currently being provided)?
5. What would be acceptable levels of reduction (in quality and quantity) in those services, and according to whose criteria?
6. Given all of the above, what would be the probable short-term and long-range effects (e.g., elimination of some services or poorer quality) on these services?

By answering these or other related questions in a systematic fashion, a planner is in essence redefining the problem in operational terms. On the basis of such an analysis, the agency is in a better position to contemplate certain options that might compensate for required layoffs, such as reassigning the remaining personnel, restructuring jobs, or combining tasks.

It is rare that a given organizational problem can be fully described, explained, or understood in a single way. A problem can have multiple interpretations, result from any number of potential or equally likely causes, and be understood from alternative vantage points or perspectives. This is important, because how a particular problem is perceived will affect how it will subsequently be treated or dealt with. Furthermore, how that problem is ultimately perceived will depend in large part on how it is initially constructed or laid out during diagnosis. This implies that the process of diagnosing organizational problems should go beyond mere problem identification to include a conscious search for alternative views of and causes of the problem.

An example may serve to illustrate some of these points further. Imagine an agency that ostensibly has a turnover problem as determined by the perceptions of its first-line supervisors. Recurrent complaints of "high turnover" made to the agency's top management may be loosely viewed as problem identification. However, before any corrective action can be taken or even considered, certain questions must be addressed. For instance, what actually is the annual turnover rate? Where does it occur, when, or in what units or shifts? What is an acceptable turnover rate for the agency--for example, what rate is covered (or necessitated) by the budget, or at what rate would agency effectiveness be diminished below acceptable levels? Is the turnover primarily due to discharges or to voluntary resignations, and are "bad" employees or "good" employees primarily involved? What are the underlying causes of turnover, particularly if most of those

who leave are "good" employees that the agency wishes to retain (low pay, working conditions such as assignment to third shifts, poor promotional opportunities)?

By answering questions like these, a manager or planner can better establish whether turnover is a problem and in what respects and by whose estimation and criteria. This provides alternative views of the actual extent of that problem as well as signals that what we initially understand to be the problem is in fact merely the symptom of some other more deeply rooted problem (for example, that turnover due to resignations is in fact a reflection of conditions such as dissatisfaction with compensation, assignment, or advancement). This kind of review normally leads to consideration of whether agency policies and practices themselves require review (e.g., the personnel policies that govern compensation, assignment, and advancement). For example, we might decide to consider revised pay scales or benefit plans, varying shift assignment schedules, and developing career plans. In effect, problem formulation viewed this way goes beyond the obvious to put the "real" problem into a context and thereby set the tone and direction for subsequent corrective action. This is the role of problem formulation.

PICTURING THE DIAGNOSTIC PROCESS

It is useful at this point to attempt a graphic depiction of the way in which problem diagnosis is initiated in organizations and what happens after this initiation stage. Figure 1 below shows three separate stages in the diagnostic process, beginning with an initial

triggering of a sense that something is wrong,⁸ followed by a decision to look further into this possible problem. The second stage involves gathering the kind of information necessary to analyze more fully the problem and subjecting this information to detailed analysis. The third stage begins with the construction of a specific diagnosis of the problem and moves into work to solve that problem. It should be pointed out that we have drawn a distinction throughout between activities related to problem diagnosis and those related to problem solution. In our view the diagnosis stage ends with completion of the top box in stage three and we move to a consideration of solutions. As we have previously pointed out, the materials in Volume II are primarily concerned with the diagnostic phase of activity.

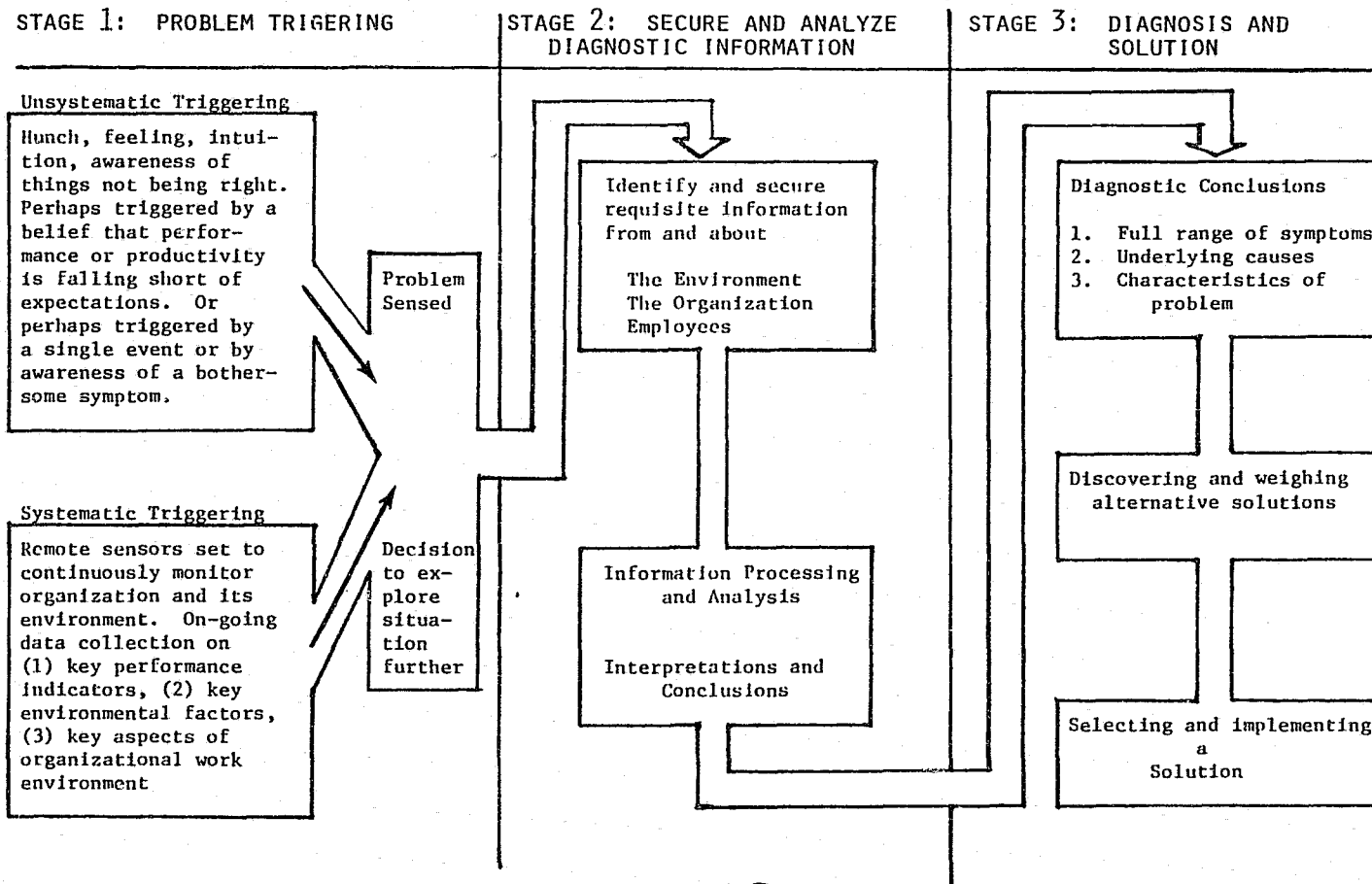
HOW MUCH OF A PROBLEM IS THE PROBLEM?

Not all problems are serious, and not all are worth remedial action. Some problems represent only minor irritations to the agency and the costs involved in attempting to remedy them might well exceed the costs of the problem itself. Some problems may well be temporary and go away by themselves. Thus, an important aspect of problem formulation is to assess by some set of criteria how serious the problem is and what action is thereby warranted--from doing nothing to undertaking a full-fledged planning and solution-implementation process.

One set of simplified criteria for determining the seriousness of a problem involves measuring its current magnitude, its rate of

FIGURE 1

INITIATION OF AND SUBSEQUENT STEPS IN THE PROBLEM DIAGNOSIS/PROBLEM SOLUTION PROCESS



change, and its seriousness.⁹ Magnitude can be measured in dollar costs or number of people involved or affected. Specifying a rate of change entails estimating future changes in the problem condition: will it stay about the same, get worse, or get better on its own? Seriousness could be measured by effects on agency accomplishment of missions and objectives, or effects on agency efficiency.

Problem formulation activities can provide valuable information about the seriousness of identified problems. But it is important, as will be explained later, that such initial appraisals of seriousness be relatively accurate. The premature dismissal of an identified problem, because it did not "seem" serious, can return to haunt a manager who, on the basis of incomplete diagnostic information, dismissed a problem as not serious when it was, or was to become, serious.

Logically, any identified problem requires solution because it would otherwise not be seen as a problem. Yet, for the reasons given above, and as agency resources and time to solve human resource problems are always limited, priorities often need to be set. Which problems most require attention, and which of these require attention most urgently? There is also the consideration that solutions to some problems lay wholly outside the control of the agency, or that the problems themselves appear insoluble, given current constraints and technical abilities. When there is sufficient evidence that there are no workable solutions, or that workable solutions are not available to the agency, the wisdom of continuing to bang one's head

against a particular problem by assigning precious time and resources to its resolution becomes questionable.

Thus, two central problem-formulation efforts are: (1) gauging the relative seriousness of problems that have been identified, and (2) determining whether anything should or can be done about them.

SETTING PRIORITIES FOR FULL-SCALE PROBLEM DIAGNOSIS

The priority-setting function of problem formulation deals not so much with how to solve problems as with how to go about addressing the problems. The options available for the planner include the following:

1. Do nothing--the problem may be judged a minor irritant and/or something nothing can be done about.
2. Do something.
 - a. Deal with the problem immediately in a routine manner--a routine manner by definition does not require additional in-depth planning per se.
 - b. Submit the identified problem to additional scrutiny to determine its saliency--initial problem-formulation information may not be considered sufficient to judge importance or seriousness.
 - c. Submit the problem to full-scale planning attention--problem-formulation information is sufficient to establish its seriousness, complexity, and the possibility of doing something about it, thereby warranting the planning and implementation of its solution.

The criteria for weighing these options are numerous, but there is no set of criteria that can tell an agency manager or planner that when certain conditions are met, resolution of the problem must be attempted by submission to a full-scale planning and implementation

effort. These are judgments that must be weighed individually by managers and planners within the environments of their own organization. Nonetheless, several questions can be stated to guide the manager and planner in determining whether the identified problem is worth additional examination or action and, if so, of what kind.

These questions include:

1. What resources are affected by the problem (e.g., number of people, dollar resources affected, etc.)? The more resources affected or potentially affected, the greater the potential for serious or wide-ranging impact.
2. What will the future condition and its underlying causes be if we do nothing deliberate to resolve it? Will it contract, expand, stay about the same in effect?
3. To what extent does the problem interact with and affect other issues or areas of agency functioning? The more wide-ranging the interaction, the broader the impact of the problem.
4. Are there possibilities of achieving improvements in the identified problem? Will the agency be able to or be permitted to implement the kinds of solutions that lead to improvements?
5. Does the problem have an impact on the strategic objectives of the organization? Although a problem may be pervasive throughout the agency, its effects may be minimal with regard to the strategic objectives of the organization.
6. Is the problem too sensitive to do anything about at the moment? Would trying to resolve the problem awaken sensitivities and occasion additional, more severe problems?
7. How much pressure is there within the organization and outside of it to do something about the problem? Who wishes to see the problem handled, and how important are they to the strategic objectives of the organization?¹⁰

These seven questions set the stage for determining whether further action needs to be taken on the problem (do nothing or do something). Assuming that we decide it is important to do something, three options are available (handling the problem in a routine, established manner; gathering additional information to aid in problem formulation; or submitting the problem to full-scale planning and solution implementation). Additional questions are available for deciding among these options:

1. What is the level of urgency confronting the agency to do something about the problem (pressures from both inside and outside the agency)? How much time is available for analysis, thought and full-scale planning?
2. Is the problem such that it can be handled through established operating procedures?
3. To what degree will attempts to implement solutions for the problem affect conditions or commitments elsewhere in the agency and with other agencies?
4. To what extent do the likely alternative solutions involve long-term resource commitments?
5. To what extent do the likely alternative solutions have irreversible future implications?

The answer to question one may preclude the opportunity of undertaking extensive planning-related action, assuming that the problem has been properly formulated and understood. However, answers to questions three, four, and five may require the agency and its planners seriously to consider the adoption of a full-fledged planning and implementation strategy. Specifically, implications of long-term resource commitments, wide-ranging effects on other agency policies and commitments, and the irreversibility of some solutions increase

the utility of the agency's undertaking a full-fledged look at the problem and its solution through a formal and in-depth planning exercise.

To the extent that problem formulation is able to uncover a clear understanding of the problem, its parameters and its causes, we can proceed in setting priorities for determining which problems require action and what kind of action is best. A particularly important part of this information gathering hinges, however, on our ability adequately to distinguish between symptoms and underlying problems. If these distinctions are not properly made, setting priorities for action is subject to dangerous error.

DIAGNOSING CURRENT PROBLEMS AND FORECASTING PROBLEMS

Generally, manpower-planning models have emphasized forecasting or "future thinking"; yet our discussion of problem diagnosis thus far may seem to imply that diagnostic processes are concerned only with existing conditions and problems. But as noted in Volume I, problem-focused human-resource planning need not be solely reactive to existing conditions. While there is a natural tendency in most agencies to understand existing problems better, diagnostic approaches should not ignore the future context in which problem resolution will take place. Also, problem diagnostic processes may specifically focus on identifying the emergence of future problems.

When dealing with current problems, the future is important because the solution to a problem today may not be adequate tomorrow. Or, worse yet, today's solution might create otherwise unnecessary

problems tomorrow. Thus, one important aspect of diagnosing future problems involves forecasting the future context within which the solutions to current problems will be implemented. Among other things, this involves analyzing trends in the underlying conditions that led to the problem in the first place. So, too, solutions often carry unintended future consequences. Formulating complete understandings of current problems by identifying the range of factors currently associated with the identified problem area is critical--not only for analyzing how alternative solutions will affect the problem area under examination, but also how these alternatives will affect related factors and conditions as well. In fact, it is in the nature of well-conceived diagnosis to anticipate consequences and to guide action that may be taken now, not only to resolve existing problems, but to avoid new ones. For example, it is commonly understood that criminal justice agencies compete with both public and private organizations for qualified applicants in the labor pool. Conditions may be such that the agency views itself as confronting only a moderate or a slight problem in currently competing with these other employers for qualified applicants. Although the problem may be slight or only a moderate one today, trends such as expansion of the local economy (and a tightening labor market), or other trends--say, an increasing inability of agency budgets to keep pace with private-sector wage scales--may lead to far greater difficulties in the future. This emergent problem may be compounded by other factors, such as a large retirement bubble's hitting the agency at about the same time that the labor market begins tightening.

Anticipating the emergence of such problems and casting solutions in terms of these future contexts is central to effective problem diagnosis. In the example above, the future will bring a tightening labor market and increased competition from other employers. At the same time the retirement bubble will increase the agency's need to attract qualified job applicants. Implications abound. The agency will need to increase training activities for new employees; the training may need to be more intensive because of there being fewer qualified recruits available and making application. If the quality and quantity of employees decreases, agency performance may also be expected to decline, leading to further pressures on employees and threats to the agency's reputation.

Certain features of effective problem diagnosis, as we have laid it out, necessarily have to do with this process of building future contexts. The analysis of trends in underlying causes of problems and symptoms is similarly future-oriented. The idea that effective problem diagnosis focuses on distinguishing symptoms and underlying problems further contributes to the notion that the objectives of problem formulation are not merely eventually to dispose of current difficulties but to understand and to treat the longer-term implications of the problem as well.

SYMPTOMS VERSUS PROBLEMS

The importance of making a distinction between a symptom and the problem it reflects may not seem immediately obvious (nor even meaningful) to some, but the failure to recognize this difference may, in

fact, have severe consequences for an organization. Perhaps this distinction and its importance can be most easily explained by way of a medical analogy. Although medical analogies applied to complex organizations are filled with conceptual difficulties, the medical analogy does at least help to introduce the fundamental distinction between symptoms and problems.

Imagine a situation in which a person is plagued by severe, recurring headaches. We might consider headaches to be problems in and of themselves, but in reality they are always caused by something else: so they could also be viewed as merely a symptom of some other unknown problem. If the headaches are considered to be the only "real" problem, then the easiest solution might be just to take aspirin. However, if they are caused by a more serious, hidden, and long term problem, then taking aspirin alone would not really help the situation much. The aspirin might temporarily alleviate the symptom (i.e., headaches), but it would not have any effect on the underlying cause (for example, an undiagnosed brain tumor). Proper diagnosis helps to uncover such a potential calamity and directs treatment to the underlying cause rather than to the symptom alone. Assume that a patient visits a doctor because of headaches. The doctor diagnoses the headaches as the symptom of something else and proceeds to analyze what that something else is. More symptoms are sought out and identified, a medical history obtained, lab tests conducted, a brain scan made, etc., all in an attempt to collect and to analyze bits of relevant and available evidence that might point to the actual underlying cause of the headaches. Only after that

underlying cause had been isolated would an appropriate treatment strategy be contemplated.

The important point to make about this example is that the apparent problem viewed at one level of analysis is actually the symptom of some other underlying problem that can only be understood at a different level of analysis. Ignoring this relationship between symptoms and problems not only renders diagnostic efforts relatively ineffective, it may be mortally harmful in the longer run.¹¹ Treating a symptom as if it were the problem can result in a situation where the real problem is merely smoothed over for a time, only later to appear in crisis proportions. Treating the headaches with aspirin will have no effect on a brain tumor that actually causes those headaches. Furthermore, failure to diagnose the brain tumor quickly may allow it to grow and to spread until it becomes a terminal problem.

Tracing a symptom back to a particular problem is fundamental to effective problem solving, but the actual process is often more complicated than the discussion so far may have implied. Two complications in particular should be discussed. First, it is quite possible that a problem can be traced back to a point that is beyond the scope of organizational control. For instance, a public agency like the state police may discover that problems in organizational efficiency and effectiveness can be traced back to insufficient staffing levels and poor job assignment procedures. Yet, funds to support increased staffing levels are not controlled by the agency, but by the governor and the legislature. Job-assignment procedures may be partially

outside the control of the agency as well, being specified in a union contract or by civil service. Solutions to the problem must either be built around these constraints or the constraints themselves manipulated or altered. Indeed, one important part of problem diagnosis involves not only determining the causes of symptoms, but which of these causes are manipulable by the agency and which are not. In this sense, problem diagnosis includes the determination of constraints that preclude various solutions.

The second difficulty in tracing symptoms back to underlying problems involves causal chains that may actually be causal "loops." For example, a sudden but temporary increase in agency turnover results in a decline in overall work output, which causes increased pressure from supervisors to pick up the slack. This may lead to low morale among employees, which in turn may result in more turnover (i.e., an escalating, self-perpetuating cycle). In such a case, identifying the "first cause" is not very helpful in determining where to start looking for solutions because it is no longer relevant. In order to deal with complicated situations like these, planners need to decide at what point in the causal chain or loop problem-solving efforts will have the most impact (or any impact at all, as the case may be) without causing additional or more serious problems. Second, the planner must determine how far back a particular symptom can be fruitfully traced.

To summarize the steps in a problem-focused approach to manpower planning, there are (1) problem (or symptom) identification, (2)

problem formulation, and (3) problem resolution. Putting this into perspective within the more limited context of a diagnostic approach as addressed in this volume, the issue at hand for a manager or planner is (1) to identify a particular problem through collection and examination of relevant information relating to its symptoms, (2) operationally to define the parameters of the symptom (those facets that can be measured), and (3) to ascertain the symptom's probable or possible underlying causes that are to be treated.

The final set of steps in problem formulation and resolution involves generating explicit alternative solutions and implementing them. Although problem formulation and diagnosis can help suggest possibly fruitful alternative areas to search for solutions, the final selection of solutions for implementation is not a role for planning and planners, but rather for policymakers. Ideally, planners propose alternatives while decision makers choose from alternatives.¹² This relationship between problem diagnosis and problem resolution is explored further as we relate the concept of organizational development to human resource problem diagnosis.

ORGANIZATIONAL DEVELOPMENT AND HUMAN-RESOURCE PROBLEM DIAGNOSIS

Organizational development can be described as "an effort . . . to increase organization effectiveness and health through planned intervention in the organization's processes . . ." ¹³ Intervention can be viewed as consisting of two major activities: diagnosis and problem solving.¹⁴ Yet, in many change efforts, the emphasis seems

to be on action instead of prior diagnosis.¹⁵ In some cases, the emphasis on action encourages the adoption of "canned" or predetermined problem-solving strategies. One observer has recently asserted that this leads to many failures in organizational development because the canned solution is adopted as a solution to a problem that has been inappropriately or inaccurately diagnosed.¹⁶

Problem-focused human-resource planning can be said to parallel a number of various activities that are commonly associated with the field of organizational development. In fact, the ultimate goals are the same for both human-resource planning and organizational development--namely, increased organizational health and effectiveness. Both are concerned with integrating the goals and objectives of the organization with those of its members.¹⁷ Furthermore, they share a concern for diagnosing organizational problems that are caused by or relate to the human resources of an organization. Indeed, problem-focused human-resource planning can be viewed in one sense as a subset of related activities that fall within the purview of organizational development.

PROBLEM DIAGNOSIS AND CANNED SOLUTIONS

Historically, a number of approaches to organizational development have stressed "canned" strategies or predetermined prescriptive solutions for organizational problems. Ideally, this is what practitioners in the field may want, but realistically it is not always feasible nor even practical. Organizations are generally complex, multifaceted entities composed of a large number of different

individuals, interacting in various ways, providing diversified services or products in a host of complicated situations and operating under a variety of constraints arising from internal as well as external influences. Given this perspective, it should be apparent that the combinations of problems that will arise within an organization are, for all practical purposes, infinite. So too, the causes of problems will vary from organization to organization. Thus, as canned solutions assume a particular set of causes for a problem, the canned solution loses its utility because the causes of particular problems differ from one organization to the next.

Although a particular solution or treatment strategy might work for one organization with a given problem, it may not for another. This is largely because of the uniqueness of each organization but also because of varying conditions and constraints that have an impact on organizations and influence their ability to resolve problems. The logical consequence of all this is that any organizational-development approach or strategy that prescribes "canned" or pre-determined solutions to organizational problems often needs to be specifically geared or modified for the organization to which it is applied, even after the problems are initially diagnosed. The solutions must be tailor-made or situationally specific to meet the unique needs or circumstances surrounding an organization.

Many existing approaches to organizational development attempt to provide general solutions to basic problems but lack sufficient detail for applying those treatment strategies to a given

organizational setting. This being the case, problem diagnosis can be employed as an important step in determining just how these solutions need to be modified.

Problem diagnosis performs two useful functions in organizational development. First, it can be used to identify and to formulate organizational problems that require treatment. Second, it can be used to develop insights into an organization's ability to deal with such problems and to implement solutions. In this regard it can be further employed either to suggest certain alternative techniques for consideration or else to provide the information necessary to modify a specific one so that it is appropriate for use within the organization.

Since there can be no standardized and detailed solutions for all possible problems related to human resources in all situations, it would seem that the answers, insofar as there truly are any, must be derived in large part by organizations themselves. As already mentioned, this implies a greater emphasis on accurate self-assessment, which many prescriptive planning models have underemphasized or ignored.

GENERAL VERSUS PROBLEM-FOCUSED DIAGNOSIS

General diagnostic assessments are tools for broadly monitoring and evaluating the human resource situation in the agency. They are a general stock-taking meant to provide an overall view of strengths and weaknesses in the agency's human resource situation and its management of human resources. Problem-focused diagnostic efforts, on

the other hand, are more narrowly focused on a particular issue or difficulty. Problem-focused diagnosis assumes that an issue or problem area has already been identified and is to be subjected to further analysis (detailed problem formulation). Part II of this volume provides a set of tools for organizing and conducting a general diagnostic assessment of the human resource situation. Part 4 of this volume provides a general model or framework that can be used to guide problem-focused diagnoses.

The overall stock-taking activity of general diagnostic assessment is based on a recognition that personnel problems are not usually isolated situations but are interrelated with a variety of factors and issues--it is often the case that several human resource problems and their associated symptoms are interrelated with one another. For example, high turnover may be related to problems of low morale and job satisfaction, to low compensation, to a highly competitive labor market, to poor recruitment and selection techniques, and so forth. A general stock-taking activity that provides the "big picture" of the agency's situation offers indicators of the broad range of agency strengths and weaknesses.¹⁸ These indicators can be sifted for general patterns of strength and weakness and can help in the preliminary identification of possible causal connections among apparently unrelated symptoms.

For example, we may be cognizant in very general terms that the job performance of employees has slipped during the last few years. Initially, this may be only an impression that is later substantiated

by a formal review of data and information from job-performance evaluations filled out by supervisors. We may not, however, be aware or conscious of several related problems that have developed (perhaps rather insidiously) over the same period of time: rising turnover rates, competition from surrounding agencies for qualified applicants, a decrease in per capita expenditures for training, and subtle but far-reaching changes in the nature or scope of the agency's missions and jobs. These problems may contribute in compound fashion to the initially identified problem of poor job performance. Higher turnover rates result in larger numbers of "green" employees; the cream of the labor market is siphoned off by surrounding agencies; training opportunities have decreased when they probably should have been increased; basic changes in agency missions and jobs have made it difficult for even experienced employees who performed the old job well to do the new job. All of these things can contribute to declining performance.

A general diagnostic assessment periodically conducted by the agency provides the foundation of data and information on which subsequent efforts to address specific problems (e.g., poor job performance) can be comprehensively undertaken. Comprehensiveness in problem identification, and problem formulation is central to subsequent problem resolution. Comprehensiveness here means that the problem is analyzed not simply within its immediately narrow confines but is viewed instead within the complex organizational environment of interacting forces. Without the big picture of organizational

strengths and weaknesses, contributing factors may be ignored and solutions to the problem may be eventually ineffective.

Thus, one function of general diagnostic assessment is to provide the framework within which subsequent efforts to diagnose particular or specific human-resource problems can be cast.

Another function of general diagnostic assessment is to monitor the agency's entire human-resource situation for emerging problem areas or weaknesses. This monitoring is intimately associated with the prime management responsibility of updating itself about changing conditions. The monitoring requires periodic and regular data collection to keep data current. The length of the intervals for conducting general agency diagnostic assessments depends a great deal on the health of the organization and on how quickly environmental factors appear to be changing. As a rule of thumb, but only that, we would suggest a general diagnostic assessment at regular intervals of every one or two years. This would coincide with agency budget cycles and with typical program planning efforts.

DIAGNOSIS AS AUDITING OR AS ASSESSMENT

Proper and systematic problem diagnosis can be greatly facilitated through the use of diagnostic questionnaires, particularly when an organization has to diagnose itself. Two types of diagnostic instruments can be distinguished: (1) auditing instruments, and (2) assessment instruments. The difference between these two is important, especially so here because the materials in this volume are

based on acceptance of the second option. The first option is dismissed as impractical and unworkable for reasons outlined below.

The concept of auditing has been given a number of definitions. It can refer to an "appraisal or investigation to determine adherence to prescribed procedures."¹⁹ It also can be viewed as a "systematic process of objectively obtaining and evaluating evidence regarding assertions about economic actions and events to ascertain the degree of correspondence between these assertions and established criteria" ²⁰ These broad definitions are most frequently associated with financial or economic matters in an organization. However, auditing can also pertain to general operations (which is more closely akin to our manpower-planning concerns). An operations audit is a technique for regularly and systematically appraising unit or function effectiveness against corporate and industry standards" ²¹

Despite some possibly subtle variations in defining the concept, auditing in any form involves at least one basic element (as expressed by terms like "prescribed procedures," "established criteria," and "corporate standards")--namely, the comparison of an existing condition to a predetermined view of what the condition should be. In other words, auditing evaluates the current state of the organization in light of some known criteria or standard for the organization. A very simplified example of this relates to budget audits. During a financial audit, the auditor may look at "the books" that reflect personnel costs for a given agency in a given

fiscal year. Then a comparison is made between these figures and the "authorized" personnel budget for that department, identifying any discrepancies such as cost overruns.

Unfortunately, in criminal justice there are few if any widely accepted standards that given states of the organization can be compared against, particularly for personnel. Hence the practicality of applying a full-scale audit approach to diagnosing problems is questionable at best. No general diagnostic model for manpower planning could reasonably be expected to prescribe the manpower-related standards that each and every agency should adhere to. Agencies, in our view, need to establish their own standards and criteria based on their own unique situations.

Assessment approaches to diagnosis fall short of auditing objectives by providing only a means for describing the current state of the organization. In other words, assessment provides for the first basic requisite of auditing--the collection and recording of relevant information. It does not provide a basis for analyzing that information according to fixed standards.

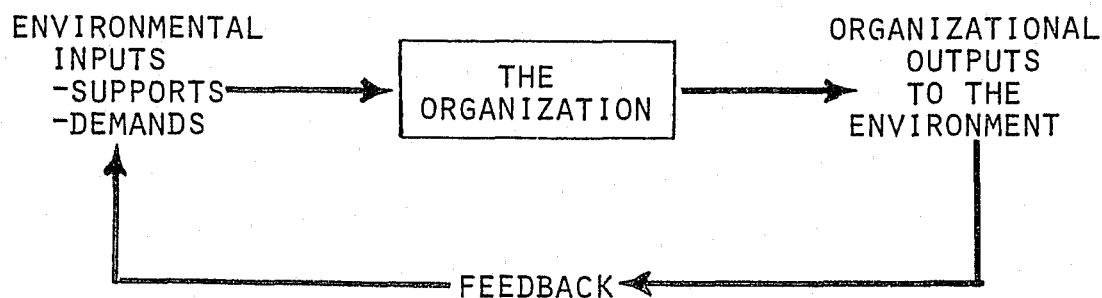
One assessment tool is a survey instrument designed to measure aspects of the current organization. It can provide a description of reality without the inclusion of value judgments or explicit standards (such as an audit would). Its primary purpose is to generate descriptive information that can subsequently be analyzed to identify and to formulate problems.

We have developed a number of such assessment tools (or more specifically, self-assessment tools) for agency use, and these are presented in Part II. In these tools we suggest how a specific response or combination of responses might be interpreted, but the final determination about whether there are specific problems needing attention rests in the hands of the agency management.

SOURCES OF AGENCY HUMAN-RESOURCE PROBLEMS

We have made the point earlier that organizations are complex phenomena. Diagnosing human resource problems therefore usually involves analysis of a complex web of interacting factors. Three principal factors act as the chief sources of these problems and are identified and discussed below: the organization, the organizational environment, and organizational employees.

Organizations themselves are not only complex things but they exist in complex environments and interact with their environments in manifold ways. Organizations are open systems, by which we mean that they are given support from and are subject to demands from the environment. And, in turn, organizations do things that affect the environment. Certain organizational outputs will cause the environment to react and to change the nature of its supports and demands. This reaction process is called feedback, and it is one of the essential components of the open-system model depicted below:



Environmental Sources of Problems

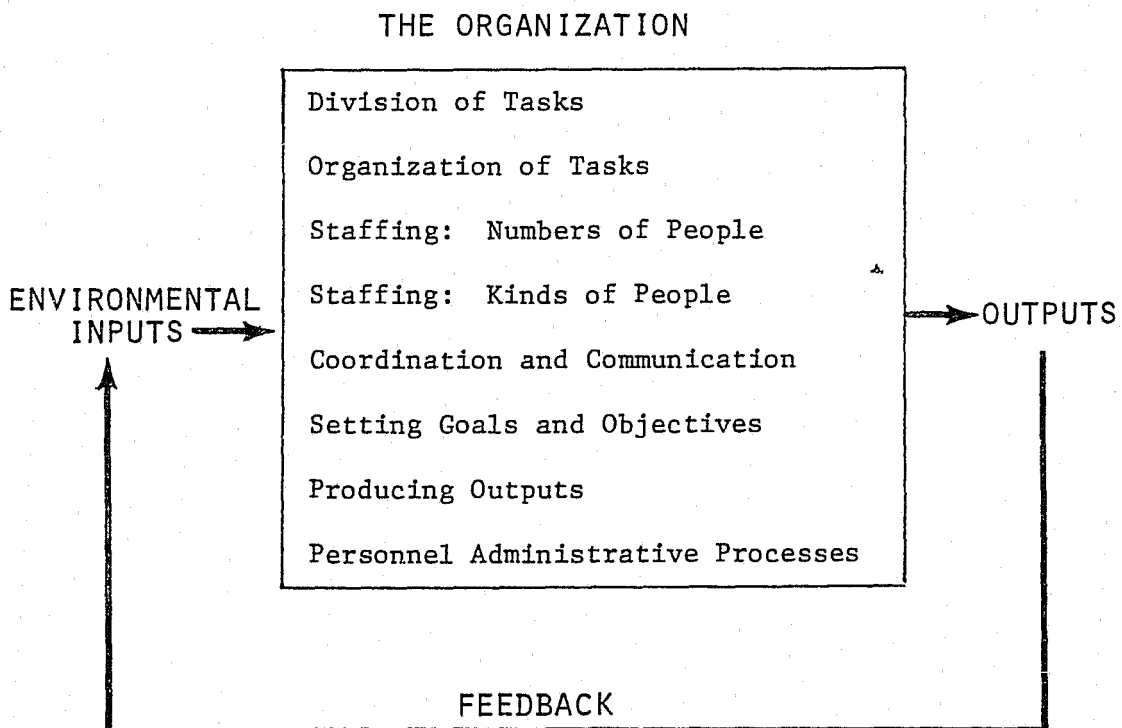
Obviously, one prime source of problems is the environment--the kinds of supports it makes available and the kinds of demands it puts on the organization. With regard to supports, there are three principal problem areas having potential for causing work-force disruptions in the agency. The first is budget support (the availability of funds to attract, to hire, and to develop personnel). The second is labor support (the availability of sufficient numbers and kinds of individuals for employment in the agency). The third is symbolic support. Symbolic support includes the value put on the work of the agency by the environment, and the regard in which the organization's goals and missions are held. These kinds of symbolic supports may be registered in public and political values directed toward the agency and in how the general public views organizational role incumbents. Symbolic supports can be a central lynchpin in the whole range of supports made available to the agency, because if the work and goals and objectives of the organization are held in high regard, budget and labor support will often be forthcoming.

Environmental demands likewise affect the manpower situation. Again, three issues are of prime importance. The first includes mission and goal demands by which the environment states its overall expectations for the organization. Some missions and goals can be symbolically oriented (e.g., keep the community safe and secure), others are less abstract (e.g., apprehend offenders, punish offenders). The mix of mission and goal expectations put on the agency will greatly influence the kind of work required of the agency and, hence, the numbers and kinds of workers required by the agency. The second kind of environmental demand has to do with service work-load expectations. The greater the work load, the greater the pressure put on the agency's resources. The third kind of relevant environmental demand has to do with expectations about the way the agency will do its work--especially what is expected of agency jobholders who interact with the environment. In criminal justice agencies, such required procedures center on due process and a balance between protecting the rights of society and the rights of the individual.

As the nature of these environmental demands vary, implications abound for the amount and type of work the agency is expected to do, as well as for how the agency is to go about doing its work. This naturally has implications for the number and kinds of workers required, and when there are changes in environmental demands, the organization is often confronted with realigning its numbers and kinds.

Organizational Sources of Problems

A second general source of problems confronting the management of agency human resources is the agency itself. How well the agency is internally organized, how well it divides its work into tasks and jobs, how it staffs these tasks and jobs with people, how well it coordinates and integrates the various tasks and people, and how well the organization reaches decisions--all these are particularly crucial issues. Failures in doing these things well may lead to problems. For example, if jobs are not appropriately designed and their nature communicated to employees, and if the agency's various jobs are not appropriately integrated and coordinated with one another, the performance of individual employees and that of the agency as a whole will suffer. These organizational sources of human resource problems can be seen as internal to the agency²² and can be summarized as follows:



Employee Sources of Problems

A third source of problems are the employees of the organization. Employees are simultaneously elements of the organization and elements of the environment.²³ Employees carry individual goals and abilities into the organization, and many of their personal goals and abilities are conditioned by their membership and experience in the environment. But when entering the organization, employees confront organizational expectations that they will do certain kinds of work and in certain ways. Ineffective mediation of differences between employee and organizational goals is an important source of problems. So too, employee motivation (or the lack thereof) can be an important source of problems. Research into employee behavior in organization has indicated that the motivation of employees is a complex issue.²⁴ Numerous factors influence motivation: rewards, relations with peer groups, self-esteem, autonomy, self-actualization, mastery in solving problems, and mastery in task accomplishment, for example. Failure to motivate can lead to employee dissatisfaction, and perhaps to poor performance. Lack of consensus between individual and organizational goals can likewise lead to dissatisfaction and a less than focused effort by employees to achieve organizational goals.

With the addition of employees as sources of problems, we are now also in a better position to understand another aspect of the interaction between the organization and its environment. Environments not only provide support in the form of budgets but in the form of labor pools the agency can draw from. These human resources

provide a key linkage between the organization and its environment because it is through the coordination of individual employees that organizations achieve transactions with their environments (produce outputs for and affect the environment).

In the expanded figure (Figure 2), all three of these sources of problems are displayed as interrelated and oftentimes overlapping factors. The point of the depiction is that as the organization, its environment, and its employees are in constant interaction with one another, a given problem may come from multiple sources. This is the point we have been making throughout this material, and it has been implicit in several of the examples discussed by us.

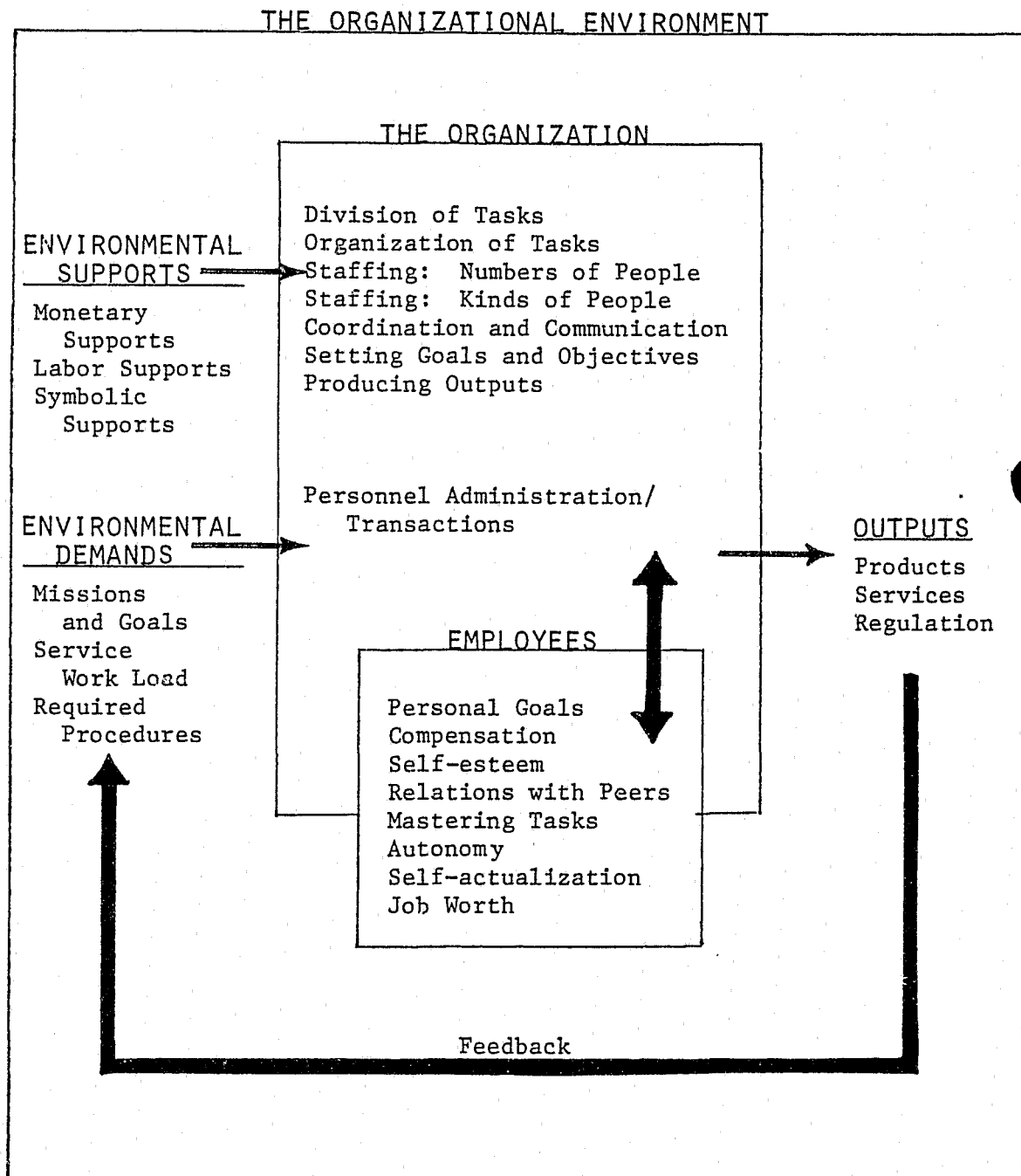
Figure 2 represents a general conceptual model for understanding the crucial factors involved in the diagnosis of human-resource problems. Because it is only a general model, however, the kinds of information required in organizational diagnostic efforts is not made all that clear. As we will see in the next section, where we discuss information for problem diagnosis, the model is basically sound but needs some graphic alteration to give us a better idea of the kinds of information we need to diagnose human-resource problems.

THE ROLE OF INFORMATION IN PROBLEM DIAGNOSIS

As the purpose of diagnosis is to identify and to formulate problems in a way that facilitates their ultimate resolution, a vital ingredient to this process that has not yet received much of our attention is the information upon which to base a diagnosis. Surely any rational or quasi-rational planning approach implies the

FIGURE 2

SOURCES OF AGENCY-HUMAN-RESOURCE PROBLEMS



collection of relevant data as one of its fundamental steps. Likewise, any form of decision making above the level of blind trial and error requires information, and problem solving itself is largely dependent on the acquisition of pertinent information.²⁵

Problem diagnosis involves the acquisition and analysis of relevant information in an effort to describe, to explain, and to understand organizational problems (i.e., to identify and to formulate). In this regard, information can be used to describe a certain phenomenon (e.g., a particular symptom or problem) as well as to specify the possible causal factors that produced it. Beyond this, information may be necessary to explain how these factors work or interact to cause the phenomenon. Finally, information may be required to provide an understanding of why these factors work and interact in the way they do.

Depending on the circumstances, a particular piece of information may provide insights into all of the above-mentioned issues: or conversely, several different bits of information may be required for each separate issue. However, the important point to make is that any systematic and thorough attempt to diagnose an organizational problem requires the examination of information in some form. If a problem is to be identified by any means other than conjecture, speculation, or subjective perception (dubious means at best), then some empirical and objective basis for ascertaining that problem is necessary.

It is important to note (at the risk of belaboring the obvious) that the acquisition and analysis of information has uses beyond the

problem-diagnostic stage of planning. For example, once a problem has been identified and formulated, much of the same information is useful in subsequent steps taken to solve it.

1. Specification of alternative solutions for consideration.
2. Development of selection criteria for comparing the alternatives.
3. Evaluation of the alternatives.
4. Selection of the most appropriate alternative.
5. Implementation of the alternative.
6. Feedback and evaluation of progress.
7. Revision or replacement of the alternative (if necessary).

Minimally, there are explicit information requirements in at least steps 1, 2, 3, and 5. However, since these steps go beyond the scope of problem diagnosis per se, the actual role of information during any particular step is of less importance here than the simple awareness that information does have a role. What is also important to point out is that information provides the ingredients rational and objective decisions are made of, including, especially, decisions about the nature and extent of organizational problems.

How much information we have and how that information is manipulated to reach decisions is crucial. Incomplete or sketchy information may support conclusions different from those resulting from more complete information. Suppose, for example, that a police department is not providing adequate in-service training on interpersonal relations, which results in poor contacts with the public. This problem

may go undetected until a citizen complains about inappropriate treatment. The complaint might constitute the first source of information that something is wrong. When we look closely at the single complaint, a few logical possibilities might emerge: the citizen was expressing "sour grapes," the officer had acted inappropriately, or there was an unfortunate misunderstanding. Further examination of the facts of the case might lead one to conclude which alternative was the most likely in this particular case.

However, the real problem (poor interpersonal relations as an agency-wide problem) has not yet surfaced from this single complaint. More information is needed, which eventually comes in the form of more complaints and perhaps negative media exposure. This new information can change the complexion of the initially conceived problem. If several similar complaints are made against different officers, then the importance of these several complaints becomes a more serious matter, thereby raising questions about the "sour grapes" or "misunderstanding" possibilities. Besides, the notion of a single "bad egg" in the department must be further questioned. In effect, new alternatives emerge--among others, the possibility that many or all of the officers have acquired some "bad habits" in how they deal with the public (i.e., they have an ineffective style of interpersonal relations). The point of this example is that the initial information provided some empirical basis for hypothesizing problems, which changed with the nature of the information obtained. In effect, information facilitated the diagnostic process by first widening the

range of potential options and then narrowing them down. To put it more simply, it provided some of the empirical elements needed for proper formulation of the underlying problem.

BASIC INFORMATION FOR MANPOWER-PROBLEM DIAGNOSIS

In Volume I, manpower planning was defined as concerning three matters:

1. Balancing the supply of people available to the agency against the agency's job-focused demand for people.
2. Understanding the employees' motivations, aspirations, and expectations.
3. Understanding what must be done to acquire, develop, and utilize employees.²⁶

This is a useful although somewhat vague starting point for understanding the data and information requirements for organizational manpower diagnosis. The first category implies several data and information needs, including the need for information about agency missions and goals, the characteristics of the agency's work force, the characteristics of the labor market the agency draws its employees from, the nature of work (jobs) performed by the agency, the amount of work done by the agency (work loads), turnover in personnel, and perhaps certain environmental data related to the state of the economy, budgets, population demographics, and others.

The second category is data and information related to employees' affective and evaluative views. This may include employee perceptions of the job, of the climate of the agency, of the importance of agency goals and missions and the level of performance in meeting

them, of the fairness employees are treated with and more particularly, of perceptions about the adequacy of employee training, career opportunities, compensation, and other personnel policies.

The third category includes data related to the actual (in contrast to perceived) personnel processes, procedures, and practices of the agency--what is done, how well it is done according to measurable criteria, and what needs alteration or improvement according to some valued goal and objective. These practices and procedures include recruitment, selection, development, assignment, promotion and many other such specific areas of agency activity focusing on the "management" of human resources.

In sum, an agency's particular manpower situation and the manpower problems it faces are dependent on supply-demand variables, on employees' motivations, aspirations, and expectations, and on the nature of agency personnel practices. Thus, data about these things appear at a commonsense level to be important to understanding and diagnosing various aspects of agency human resources. To the extent that an agency has data and information related to these things, manpower problem diagnosis can proceed on some informed basis; to the extent that such data and information is missing, the agency must rely on intuition, "theorizing," or even guesswork in formulating understandings of its human resource situation.

Similarly, requirements for diagnostic data can be viewed in relation to the elements of organizational human-resource planning as defined by the U.S. Civil Service Commission and as reported in

Volume I.²⁷ The Commission's "work force planning," defined as "determining the numbers and kinds of people that are and will be needed to perform the organization's work," requires data about missions, jobs, work loads, and a multitude of other issues. The commission's "staffing needs planning," which focuses on personnel management actions, requires data about recruitment, selection, development, and other personnel practices involved in securing the required agency work force.

FACTUALLY-BASED VERSUS EVALUATIVE INFORMATION

Another aspect of viewing data requirements for organizational manpower diagnosis is to distinguish data that are factually based and an objective representation of matters, from those that are based on value judgments and are evaluative. For example, we may have or secure factually-based information that established that turnover last year was 12.4 percent, or that new employees are now required to pass a written selection examination with a score of at least 80 percent. Such factually based information may be important in objectively describing the scope of turnover or in determining what one of the minimal standards is for initial employment. Thus, one dimension of a diagnostic data base is what may be called objective descriptions of current conditions.

A second kind of data, however, is not factually based but is rooted in people's attitudes, values, and preferences. These data can be called "value judgmental" as they have to do with people's judgments about what is good or bad, acceptable or unacceptable,

preferred or not preferred. For example, it may not only be important to know that turnover was 12.4 percent last year, but that we or others find such a turnover level to be acceptable or unacceptable, or good or bad for some set of reasons. Thus, having data about actual events and conditions and having data about people's attitudes about these things are both important to diagnostic efforts.

DISTINGUISHING FACTUAL FROM EVALUATIVE INFORMATION

Unfortunately, it is not always a simple matter to keep factually-based and value-judgmental data sufficiently clear and categorized as one or the other. There are several reasons for this. One has to do with making factual statements about people's values. For example, suppose we attempt to determine whether employees view their jobs as routine and unchallenging or as exciting and demanding. Through survey and interview techniques we may be able to establish factually that "X" percentages of employees see their jobs one way or the other. Although the basis of respondent views recorded in the questionnaire are essentially rooted in personal value judgments about what appeals to them in a job, we are reporting some objective or factual information about the distribution of these views.

Another issue is the knowledge base of those reporting factual information: whether the information being reported is based on verified empirical data, or on intuition, opinion, or guesswork. Putting aside questions about people's intentions to tell the "truth" or to deceive us, there is always a need to consider the source of the information. Specifically, is the person providing the

information or data likely to have reasonable access to the basic data, and is the person capable of analyzing it and reporting it objectively? Some people are in a better position to have access, knowledge about certain matters, and ability to report accurately. For example, although we may need to know whether or not job descriptions have been professionally validated, only certain people in the organization may know whether they have been, or even know what the question means. Nonetheless, many people in an agency may, if asked, be willing to venture an opinion or a guess about this based on their own job and their evaluation of it. Thus, the kind of information we seek must be from those who have a reasonable basis for providing it.

OPINION-BASED INFORMATION

There is also a distinction to be drawn between those who have access to and understand factually-based information and those who can reasonably be expected to have an opinion about things. Almost anyone in the organization can be expected to venture opinions or judgments about the various aspects of the organizational human-resource situation. Only certain individuals, however, can be reasonably expected to have detailed and factually-based information about specific human-resource conditions and practices. For example, many or most employees can express an opinion about whether or not a majority of agency employees think their jobs are routine or unchallenging. But only someone familiar with, say, valid survey results can report with authority how many or what proportion of employees report their jobs to be routine and unchallenging.

Naturally, people's opinions and views may be accurate reflections of reality. For example, an individual's opinion (perhaps only a guess) that most people see their jobs as routine might be confirmed by survey results that report 80 percent of the agency's employees do view their jobs this way.

But even if opinion data are not supported by "objective fact finding," people's opinions, no matter how poorly informed and inaccurate, can be important for diagnostic purposes. The perceptions of employees, accurate or not, do much to shape the agency's work climate and the problems it confronts. For example, if many employees hold that agency job assignment policies are capricious, it may greatly affect their attitudes and performance--even if assignment practices cannot objectively be shown to be capricious. These and similar kinds of sentiments relate to employee beliefs, perceptions, and attitudes and comprise important additional kinds of data and information for diagnostic purposes.

INFORMATION ABOUT PRIORITIES FOR CHANGE

Another kind of data important for diagnostic purposes is on people's views about the need for change. It is one thing accurately to describe a particular personnel policy or procedure in force, or to evaluate these policies and their effects negatively; it is quite another matter to measure preferences and priorities and to do anything about them.

Information about needed change is obviously different from factual information on present conditions, and it is also different

in an important way from people's evaluations of whether conditions are "good or bad," "acceptable or unacceptable." Evaluations of good or bad may or may not coincide with opinions that something ought to be done about these conditions, that the effort involved in mounting change is worth the time and expense. For example, agency promotion policies may be heavily weighted toward seniority considerations. The vast majority of employees within the organization may indicate dissatisfaction with this. Yet, only a small minority of employees may support changing promotional policies, giving more weight or exclusive weight to, say, validated promotional examinations. They may not see this as an acceptable alternative; or other problems having nothing to do with promotional procedures may be of greater concern and assigned a higher priority for "fixing."

In sum, several general statements can be made about the data required for organizational manpower diagnosis:

1. Some data are about accurate representations of current conditions, personnel practices, policies, and procedures.
2. Other data are about people's perceptions about these things, regardless of their accuracy in reality.
3. Some data will be about valuations of conditions and practices, about whether they are acceptable or unacceptable.
4. Some data will be about preferences for attempting to change these practices or to alter conditions.

Bound up in these categories are accompanying concerns for the accuracy with which the data reflect reality, with whether the data are recording factually-based or value-judgmental issues.

DESCRIPTIVE, EVALUATIVE, PRESCRIPTIVE INFORMATION

Building on the previous material, the primary kinds of data necessary for problem diagnosis are descriptive, evaluative, and prescriptive. Descriptive data provide objective views of what is. They may include, for example, answers to questions about whether the agency currently possesses turnover data in some particular form, or they may refer to information available to describe formal policies and procedures governing, say, current recruitment practices. Evaluative data focus on judgments about how good or bad, or effective or ineffective these practices are or the conditions that result. For example, evaluative data may indicate that the turnover data currently possessed is not accurate or useful. Or, evaluative data may represent judgments that present recruitment policies and procedures are ineffective in attracting qualified applicants. Prescriptive data are about the need to change current conditions. These data reflect people's preferences either to leave things the way they are or to seek change (e.g., in the level and quality of turnover data or in policies and procedures governing recruitment). Descriptive data provide an anchor against which evaluations and prescriptions can be reviewed and evaluated. It is also important to keep the distinction between evaluation and prescription separate because as has already been pointed out, an evaluation that something is not up to snuff may not necessarily imply a high priority to do anything about it.

Although not all personnel in the organization can provide all the kinds of diagnostic information needed, all employees have some information to provide. For our purposes, a distinction is drawn between those in the organization who have or are likely to have detailed and verified information permitting descriptions of current practices and conditions, and those who, although not having this kind of information, can nonetheless be expected to have descriptive, evaluative, and prescriptive opinions about these things.

Normally, top management and personnel and planning staffs are most likely to possess knowledge related to the availability of manpower data and to details of personnel practices, procedures, and policies. Surveys are usually efficient devices for securing this kind of information. The surveys (perhaps in a closed-ended format) can be used by top management and staff to summarize and to organize current knowledge about personnel practices. In a sense, such surveys become a simple descriptive device where notation is made that either we do or do not have this kind of data, or that we do or do not have this particular personnel practice, procedure, or policy. It is almost always the case that some combination of management and staff in the agency can provide such descriptive information from recall or from minimal search of records.

Knowing that an agency has certain kinds of data or that a certain practice is undertaken says nothing about the quality or the utility of the data or the practice. These are evaluative questions. It is comparatively easy to establish that certain data are on hand

or that a certain practice is undertaken, but qualitative evaluations of these things are much more complex and difficult to establish.

For example, it may readily be determined whether or not an agency has employed one of the standardized job analysis methods as a means of validating its job descriptions. It is quite another matter to determine whether this method has produced useful and valid information, and whether the information has subsequently been used to produce accurate and helpful job descriptions. Answering these questions authoritatively may involve complicated research and analysis on its own. The alternative is to ask for people's opinions about the quality of the particular kind of data or of the particular personnel practice. Although this would be less desirable than having "hard" evaluative data, it nonetheless provides some feedback about the perceived quality and utility of the data or the personnel practice. And it may well be the only option in most instances because agencies will not or cannot devote sufficient time and money to secure hard evaluative data.

Evaluative opinions may be solicited at a general level--about recruitment practices in general, selection practices in general, training practices in general, and so forth. Or, opinions may be solicited about specific recruitment, selection, and training practices. One option, the preferable one, is to solicit opinions at both the general and detailed level. Almost everyone in the organization can be expected to have opinions about general areas of personnel practice and procedure (e.g., recruitment, selection, and

training generally). It is likely, however, that only those management and planning staffs familiar with particular personnel procedures or with the availability of certain kinds of data will be in a position to venture a reasonably informed evaluative opinion about the details of procedures. Thus, evaluative opinions about details of recruitment or selection procedures should primarily be addressed to those who have been able to provide the requisite descriptive information on these things in the first place.

Although we have not yet spoken of the specific kinds of substantive issues that need to be addressed by prediagnostic checklists and surveys (but will shortly), we can summarize in the form of a chart (Figure 3) some of the points made in this section. Figure 3 indicates that we need descriptive information about current personnel policies, procedures, and practices; and we need information about the availability of manpower-planning-related data. We also need evaluative and prescriptive information about these things, as well as about views on the impact of environmental variables. Finally, the list distinguishes between management or staff sources of such data and all-employee sources of such data.

FIGURE 3

GENERAL TYPES OF INFORMATION BROADLY USEFUL
IN HUMAN RESOURCE PROBLEM IDENTIFICATION
AND PROBLEM FORMULATIONConcerning Personnel Practices, Policies, and Procedures:

1. Specific Practices--Descriptive. Inventory of specific current personnel practices, policies, and procedures provided by management and planning staffs through, for example, checklists. (E.g., does the agency currently advertise position openings in local newspapers?)
2. Specific Practices--Evaluative. Evaluations of these specific personnel practices, policies and procedures by management and planning staffs. (E.g., has advertisement in local newspapers been beneficial in attracting qualified applicants?)
3. Specific Practices--Prescriptive. Estimations by management and planning staffs of the need for change in these various specific personnel policies, procedures, and practices. (E.g., should this method of advertising position openings be altered or changed?)
4. General Evaluations of Practices. General evaluations by employees throughout the agency of the effect and the effectiveness of personnel practices, policies, and procedures within general categories of personnel actions (e.g., recruitment in general, selection in general, training in general, etc.)
5. General Priorities for Changing Practices. Estimations by employees throughout the organization of the need for change within the broad categories of personnel actions (e.g., recruitment, selection, training, etc.).

Concerning Data Available for Human-Resource Planning Purposes

6. Data Availability. Checklist inventories filled out by management and planning staffs on the current availability of manpower-planning-related data.
7. Quality of Specific Data. Evaluations by management and planning staffs about the utility of currently collected data.
8. General Evaluations of Agency Information. General perceptions of employees about agency awareness of key organizational conditions (e.g., whether the agency seems sufficiently informed about the actual nature of work done in jobs, or the performance of employees, or the knowledge and skills its employees have).
9. Priorities for Changes in Data Collection. Estimations by planning and management staffs about the need for additional or new data and the need to collect and store existing data differently.

Concerning Environmental Variables

10. Identifying Environmental Factors. Estimations by management and planning staffs of the environmental variables that affect (in varying degrees) the agency's human resource situation, and on the agency's ability to manage its human resources.
11. Evaluating Environmental Factors. Estimations by management and planning staffs of whether and how much the various environmental variables and factors positively or negatively affect the agency's being able to manage its human resource situation.
12. Priorities for Manipulating Environmental Factors. Judgments by management and planning staffs about which of these external variables and factors appear manipulable, which are not, and which of the manipulable variables require increased attention by the agency.

The use of the terms top management and planning staffs in Figure 3 requires some comment. Neither term can be defined with precision for the purpose of drawing appropriate samples for surveys and other methods of collecting data. For example, depending on the agency, management and planning staffs may be only the head of the organization and immediate subordinates (top management), or it may be these and others in staff support units. Management and planning staffs may be those in units so labelled, or those in planning, research, and personnel divisions, or they may be those who staff a general "administrative services" division (depending on the size of the agency and on its structure).

However, it is helpful to bear in mind that the terms top management and planning staffs refer to those who are most likely to have relatively accurate and detailed information about personnel practices, about planning-related data, and about environmental factors. Who these people are in any particular organization will differ from agency to agency. Yet, for the most part, these relevant individuals will be within the management and staff-support classifications. As a rule of thumb, questionnaires and interviews should be directed to as many personnel in these classifications as possible, permitting as wide a respondent pool as possible. This has several advantages, including the opportunity for comparison and summation of responses from many people for purposes of cross-checking responses for consistency.

We also need to discuss some of the underlying rationale for asking "all" employees to provide some of the requisite data and

information. A basic and often unavoidable fact of life in organizations is that managers operate with incomplete knowledge. Seldom are decisions made that are based on the facts necessary. Theoretically, capable decision makers consider all the information available and, indeed, will make sincere attempts to gather as many data as possible before making (and justifying) important decisions. Unfortunately, when dealing with organizational human-resource problems, an important source of information often ignored and underutilized are the people within the organization itself. This is especially problematic in large organizations: The larger the agency, the less likely that top-level management will be in touch with the operational details of that organization and the more removed that management becomes from the day-to-day activities and experiences of a majority of employees and the problems that relate to them. A logical consequence is that management can easily become uninformed or, perhaps worse yet, misinformed about developing human-resource problems within the organization. A problem that emerges within an organization is less likely to be corrected if management does not perceive it to exist, or if it is to be dismissed or misunderstood without accurate information. Unfortunately, when this happens the problem may continue to grow and perhaps eventually escalate to crisis proportions. By the time management realizes that it has misperceived or underestimated the original situation, it may be too late to deal with it efficiently.

For example, suppose that management sincerely believes that its employees are treated well and so assumes that the employees are basically happy. The ongoing complaints about bad working conditions made by some employees are generally treated as "sour grapes" and not representative of most employees. The complaints persist for a while and then diminish, reinforcing management's position that there were no real problems after all, and that the majority of employees are content. Unexpectedly, however, management is informed that a union is being organized. As it turns out, the employees have become so disgruntled with management's apparent indifference to their problems that they have decided to unionize to protect their own interests (which is what management thought it was doing all the time).

While this example may seem extreme, it is not really so far-fetched. The important point to be made is that even if management understands the value of reviewing the state of the organization as means of problem diagnosis, it often fails to take advantage of an important source of information that can significantly contribute to the quality of that diagnosis. To put it more pointedly, if management commonly ignores input from its employees, human-resource-related problem diagnosis is reduced to an incomplete and perhaps dangerously speculative process. Since human-resource-related problems by definition are related to the people in the organization, the information they can provide becomes a vital element of proper diagnosis. Therefore, any diagnostic approach to problem-focused

manpower planning would be remiss if it did not tap the views of people within the organization.

GATHERING DIAGNOSTIC INFORMATION

Considering the twelve types of information presented in Figure 1, there are several possibilities for collecting and gathering requisite diagnostic information. One option is to search existing departmental records--as might be done, for example, to determine the existence and nature of turnover data. Written agency personnel procedures and policies can be examined also for what might be done to determine the nature of official personnel procedures, practices, and policies. Survey questionnaire and interview techniques can be employed to sample people's opinions and perceptions. Judgmental and Delphi techniques can be used to gather and to weigh opinion data.

These and several other specific kinds of data collection techniques are discussed in Volume III. At one time or another, all of the techniques can be important and useful in providing the information necessary for problem diagnosis and for human-resource planning in general. Part 4 of the present volume (volume II) will discuss the application of these specific techniques to problem-focused diagnoses.

Of the various data-collection techniques often associated with diagnostic activities,²⁸ questionnaires and interviewing are particularly useful means for gathering and summarizing information about a wide range of issues, especially so if the objective is broad or

general diagnostic assessment. A survey or questionnaire approach for general diagnostic assessment is widely accepted as a useful means of collecting information,²⁹ as it can cover a broad range of issues and potential problems and is well suited for agency self-administration. Furthermore, survey questionnaires allow for anonymity in responses, thereby facilitating candor from respondents. Candor is crucial to the subsequent accuracy and validity with which problems are identified and formulated.³¹

The additional advantage of questionnaire surveys is that they can elicit summary information and viewpoints about various topics and are an alternative to other, perhaps more time-consuming methods of collecting information. For example, we may wish to know whether or not a specific kind of recruitment or selection procedure has been formally adopted. We may then wish to interview affected personnel to see whether or not the particular policy is actually in effect. Or we may wish to observe situations where the procedure would be operative to see firsthand whether or not the procedure is being utilized as intended in official agency policy.

When using survey questionnaire techniques, the objective is to select those knowledgeable and to ask them a series of questions about the particular personnel procedure. Assuming that they are informed and report truthfully, their answers to a few questions can be based on a summary of a great deal of information and data that they are either already aware of and have analyzed, or that they have access to and can readily summarize to answer the survey questions.

RELATING INFORMATION REQUIREMENTS TO THE BASIC DIAGNOSTIC MODEL

We now turn to a consideration of the basic information requirements for diagnosing human-resource problems by viewing these requirements within the context of the diagnostic and organizational models presented earlier in Figures 1 and 2. Figure 1 displayed the basic problem-diagnostic process. The second stage of that process identified information needs in the form of data about the organization, its environment, and its employees. The three information requirements can be broken down further, as we did in Volume I, into the following components:

1. Missions and goals. Initially set by the environment, later interpreted by the organization.
2. Crime data. A measure of the principal source of workload demand coming from the environment.
3. Economic and budget conditions. Measures of a key support coming from the environment.
4. Population characteristics. Basic characteristics of the service clientele and the environmental population. Basic population characteristics can be associated with the kinds of demands and supports coming from the environment.
5. Public and political values. Symbolic supports and demands coming from the environment.
6. Labor-market conditions. Environmental supports in the form of potential employees available to the agency.
7. Agency work loads. Specific demands for the agency to take activity, generated directly or indirectly out of the environment.
8. Job-focused data. Organizational design of tasks and jobs; organization and integration of these jobs; identification of numbers and kinds of employees needed.

9. Employee-focused data. Measures of organizational supply of numbers and kinds of employees.
10. Performance data. Organizational and individual employee outputs.
11. Personnel administration system. Data on processes and transactions between the organization and its employees, including organizational practices to secure, to develop, and to utilize personnel, and employee actions to remove themselves from the organization (turnover).

Figure 2 broadly depicted the sources of problems with regard to agency human resources and also depicted how these individual sources were intimately interrelated within our open system model of organizations. The three principal sources of problems were identified as the organization itself, the organization's environment, and organizational employees. There is a basic correspondence between the sources of problems displayed in Figure 2 and the specific kinds of data required for diagnostic purposes presented in the foregoing list: each of the kinds of data listed above relate to the organization, its environment, its employees, or to some combination of these three.

Fully to understand the importance of the various forms of information, however, it is necessary to be a little more explicit about the kind of organizational diagnostic model we have adopted. The basic model of organizations presented in Figure 2 blends the technical and social aspects of the organization. Organizations take the inputs from the environment (demands and supports), process these inputs, and turn them into things such as services for the environment (outputs). The process by which organizations

prescribe how this processing is to take place, attempting to minimize uncertainty and variance in organizational and individual behavior, is one technical aspect of the model. Examples are organizational efforts formally to define roles, jobs, and tasks, and the specification of recruitment, selection, assignment, and other procedures.

Another technical aspect of the organizational model is the attempt to standardize the measurement of performance and several other organizational characteristics. Developing standardized ways of measuring outputs and outcomes, productivity and employee performance, and standardizing data collection about organizational characteristics such as turnover, work loads, and the qualities of employees are examples of this technical aspect of organizations.

A final relevant technical aspect of organizations has to do with its prescribed transactions with the environment. Whom the organization is required to interact with and the prescribed bases of these interactions can in one sense be seen as technical aspects of the organization's technical relationship to its environment.

The social side of the organization involves, as one would naturally suspect, the individuals who fill the prescribed organizational roles. Several issues are relevant. One is the matter of employees' affective responses to the organizational environment, to their jobs, and to the nature of interactions between them and the organization as governed by personnel administrative practices. Other social issues are how far the employees and the organization

agree about goals, as well as how good the fit is between the technically prescribed jobs and tasks and how the employee views and performs those jobs and tasks. Another social issue is employee motivation, including how much they are motivated and by what. This brings to mind a set of motivational issues similar to those presented in Figure 2 (compensation, self-esteem, relations with peers, mastery of jobs and tasks, autonomy, self-actualization, and job worth). Employee perceptions about these things becomes an important piece of diagnostic information.

Finally, environmental relationships have a social aspect as well as a technical aspect. Although organizational interactions with key elements in the environment may be technically specified (e.g., with budget officials, with elected leaderships, with civil service), other factors govern these relationships as well. Social-environmental factors include matters of influence, hostility, normative support for the organization, and the qualitative aspects of the interaction between the environment and the agency.

Social-technical aspects of the organization broadly overlap with most, if not all, of the information requirements specified in our eleven-item list. For example, consider information about the personnel administration system. On the one hand, certain of the information required is technical--for instance, what the prescribed personnel administrative procedures are. On the other hand, certain of the information required is social--for example, what employee affective and behavioral responses to these prescribed procedures

are. Or, consider employee-focused data. On the technical side, organization prescriptions about the kind of data to be collected and kept on the qualitative characteristics of employees are based on the organization's technical analysis of jobs and the kinds of personnel required to fill them. On the social side, there are data coming from employees about the human aspects of their interactions with others in the organization.

SUMMARY

In this part of Volume II we have provided an overview of the human-resource problem diagnostic process. Particular attention was drawn to the difference between problem identification and problem diagnosis: the latter being a more involved and detailed process for describing both the nature of the problem and its causes. Attention was also drawn to the importance of distinguishing symptoms from underlying problems. Dwelling on symptoms alone makes for poor problem diagnosis and often leads to inadequate problem solution. A general model of problem diagnosis was presented. It begins with a sense of something being wrong (determined through either systematic or unsystematic problem sensing mechanisms). This sense that something is wrong is followed by a more detailed effort to uncover the exact nature of the problem (i.e., problem diagnosis proper). Full-scale problem diagnosis is sometimes expensive and time consuming. Additionally, not all apparent problems are of a serious enough nature to warrant full-scale problem diagnosis.

Several criteria were provided for deciding whether full-scale problem diagnosis is warranted. Additionally, problem diagnosis was distinguished from a "problem audit" and from activities associated with finding solutions to problems. Audits require standards against which to compare current conditions--these standards must be set individually within the context of each agency and its environment. Problem solution also requires a consideration of each agency's unique situation. However, competent problem diagnosis will often provide a range of possible solution alternatives because competent diagnosis helps us to focus on the causes of the problem.

Human-resource problems may originate in the environment, at the organizational level, or with employees. The key to discovering and understanding human-resource problems is to collect sufficient information from and about these three sources. The information required is descriptive, evaluative, and prescriptive about current personnel practices, environmental contingencies and constraints, and the agency work climate. Employees at all levels in the agency are prime sources for the requisite information.

Problem diagnosis can be general or it can be problem-focused. That is, certain forms of problem diagnosis are procedures for taking general stock of the agency's human resources. Other forms of problem diagnosis focus on a particular problem of agency human resources that has already been identified and singled out for further attention. Subsequent parts of Volume II provide surveys and models for conducting both forms of problem diagnosis.

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VOLUME II, PART 2, SECTION A
ORGANIZATIONAL CLIMATE SURVEY

(Pages 69 through 204)

This survey has been bound separately for individual use. It provides an Organizational Climate Survey for the gathering of information from agency employees. The information gathered from this survey provides important indicators of problems and strengths within the agency.

VOLUME II, PART 2, SECTION B
PERSONNEL PRACTICES SURVEY

(Page 205 through 346)

This section has also been bound separately for individual use. It contains the Personnel Practices Survey and accompanying guide for interpreting your responses to the survey. The Personnel Practices Survey is intended to provide you with a means of determining the present state of your personnel policies and practices. This is accomplished by your completing the self-administered survey provided and then comparing your responses to the subsequent interpretation guide.

VOLUME II, PART 2, SECTION C
ENVIRONMENTAL FACTORS QUESTIONNAIRE

(Pages 347 through 412)

The Environmental Factors Questionnaire has also been bound separately for individual use. This questionnaire concerns the circumstances or factors external to the agency, such as the state of the economy, social conditions, technological developments, political and public ideology, and local competition for criminal justice manpower, that may affect the agency and how it defines and pursues its goals and objectives. The questionnaire identifies five major areas for examination in assessing criminal justice manpower planning as affected by the agency's environment.

VOLUME II, PART 3

COMBINING RESULTS OF THE THREE DIAGNOSTIC SURVEYS

Although each of the diagnostic surveys (of climate, of personnel practices, and of environmental factors) can be analyzed separately for information, results from the three surveys can be (and often should be) combined to produce a coherent and complete picture of human resources and personnel practices in an agency. Narrative accompanies each of the surveys, explaining how they may be analyzed individually. We now turn attention to analysis that uses all three surveys.

Consider the following hypothetical situation. Results from the climate survey indicate a belief among employees that the agency's personnel-selection process does not result in the hiring of qualified people. Curiosity or concern about agency selection procedures could have been aroused through analysis of responses to the survey of personnel practices or of environmental factors. In this hypothetical situation, however, our initial concern is prompted by the findings of the climate survey.

One of the first steps we may take in examining these opinions is a thorough analysis of all thirteen questions in the section of the climate survey that deals with personnel selection. Further analysis may be conducted to see whether these negative opinions about selection come from employees in certain age groups, and so

forth. We may also search for any correspondence between employees' views about selection and their views expressed in other sections of the climate survey--say, views expressed about coworkers in the section about job knowledge and skills (e.g., Do those who negatively evaluate agency selection procedures also negatively evaluate the attributes of coworkers?). This process of looking for patterns of response across items and sections was described in the narrative accompanying the climate survey.

Although this kind of in-depth analysis of responses within the climate survey can by itself provide useful information about an agency's personnel-selection procedures, important additional diagnostic information can be secured from the surveys of personnel practices and environmental factors. For example, the eight questions in the personnel-practices survey that deal with personnel-selection procedures can be analyzed to supplement employee opinions with factual information about selection procedures and practices. (What selection procedures does the agency use, and what is their relative importance and their relative effectiveness in screening employees? What kind of selection tests does the agency use, and are these tests validated?)

The environmental-factors questionnaire can provide additional information about selection practices. Although numerous questions in the environmental survey touch on issues related to selection practices, several are particularly relevant. For example, questions 5 and 6 are about how much the selection process is affected by union contract provisions and by civil service regulations; question 14 is about ho

much decisional freedom the agency has in conducting selection processes; and questions 29, 30, and 31 are about the agency's ability to compete with other agencies in securing qualified personnel and in offering competitive salaries. Besides these questions that specifically deal with aspects of selection, other questions in the environmental survey provide a backdrop against which the agency can estimate its relationships with several outside agencies and actors that might influence or otherwise constrain agency selection procedures.

The point of this simple example is that information helpful to the identification and diagnosis of human-resource problems comes from all three surveys. This information needs to be pieced together to form a whole and a coherent picture for diagnostic purposes.

GENERAL POINTS ABOUT COMBINING INFORMATION

How one makes use of the wealth of information that will be produced by the administration of all three surveys is more a matter of common sense, intuition, and imagination than it is of following any detailed blueprint for analysis. Real progress in understanding problems and in discovering solutions will come from novel ways of piecing information together. The possible ways in which information from the three surveys can be pieced together to help identify and to diagnose human-resource problems in an agency are for all practical purposes infinite, and we cannot specify all. Yet a general set of directions and list of things to consider when combining information will be of value. General directions will not prescribe which questions from the three surveys ought to be examined when any particular issue

is being looked at, but will provide a set of guidelines for agency managers and planners. The general guidelines should give latitude to individual intuition and imagination in identifying and describing both the strengths and weaknesses of the agency.

In the material that follows, we provide several statements to help guide the combining of information. As a starting point, it is helpful to recall the distinctive contribution and purpose of each of the three surveys.

1. The climate survey gathers information from employees. Some of this information may be taken as factually oriented--as, for example, when employees are asked whether they have a written description of their job duties. Additionally, opinion data is collected about the nature of personnel practices and their effects, the work environment, and the overall climate of work within the agency. The principal objective of the climate survey is to secure the views of employees--the major objects of personnel actions and practices, and the ones most familiar with day-to-day work.
2. The personnel-practices survey gathers factual data about the actual nature of personnel practices--specifically, the present state of personnel policies and procedures. The objective is to secure an accurate description of the actual practices--practices that may or may not be in accord with what is "officially" believed done.

3. The environmental-factors questionnaire gathers information about the agency's interactions with outsiders (people and agencies) that affect the agency's ability to acquire, to assign, and to utilize personnel. The objective is to identify areas of contingency and constraint that have an impact on the agency's ability to manage its human resources.

The starting point for combining information is to hold in mind the distinctive but complementary information provided by these surveys. For example, assume that a question has been raised about the agency's training practices and procedures. The personnel-practices survey uncovers the actual nature of practice. The climate survey provides information about what is perceived to be the nature of and what are felt to be the effects of training practices. The environmental-factors questionnaire uncovers and examines the important external factors that constrain present policy and affect the agency's ability to alter that policy. This, then, is the primary purpose of combining information from the three surveys: (1) the examination of actual practice, (2) the examination of employees' perceptions of practices and their effects, and (3) the examination of environmental influences as these affect or constrain practice.

ALTERNATIVE WAYS OF VIEWING THE COMBINING PROCESS

Thus far we may have made the combining process sound a bit passive or, perhaps, reactive--as if the analyst sits back and waits to have his or her curiosity or concern pricked by some particular finding from one survey or another: Once jostled, the analyst begins

searching the other surveys for related information. This will often happen, and it matters little which survey provides the initial impetus to examine the issue further. Yet, the general stocktaking that is permitted by an administration of all three surveys allows a more active approach to the diagnosis of human-resource problems and combining information from the three surveys. When following this more active stocktaking course, analysts systematically sift through and analyze information from all three surveys, combining that information in a wide variety of ways to produce as complete and coherent a picture of agency human-resource practices and their effects as possible. But whether information from the three surveys is sifted and pieced together to deal with one issue of personnel practice or is analyzed and combined to serve as an overall review of personnel practice, some model or view of how the three surveys fit together needs to be kept in mind.

There are several ways of viewing how the three surveys fit together. Two ways seem particularly relevant, given the model of problem diagnosis adopted in these volumes. The first way is organizationally focused: in it the personnel-practices survey and the environmental-factors questionnaire together provide the core information, while the climate survey provides additional or ancillary information. With this approach, the core information provided by the personnel-practices and environmental-factors surveys is focused at the organizational level--on identifying key personnel practices in the agency and crucial organizational interactions with the environment.

The climate survey is used to fill in gaps--focusing particularly on individual perceptions about personnel practices and their organizational effects.

The alternative way of viewing relationships among the three surveys assumes that core information is provided by combining results from the climate and the personnel-practices surveys. To this core is added information from the environmental questionnaire. The core information provided through this approach is internally focused, using both agency assessments and employee assessments of agency practices and effects. Once this internally-focused assessment is complete, the analysis is opened to include environmental concerns--environmental contingencies and constraints that affect how the agency manages its human resources.

Both of these approaches have utility, and one is not necessarily better than the other. Indeed, analysts may wish to switch between using one or the other depending on the issue or issues being focused upon. In the material that follows, however, we have taken the second approach--in part, because the climate and personnel-practices surveys have a similar topical organization and thereby make beginning the combining process easier. Too, we think that analysis may be eased somewhat by initially keeping the focus internal (both the climate and personnel-practices surveys are internally focused).

COMBINING CLIMATE AND PERSONNEL-PRACTICE SURVEY RESULTS

One obvious starting point for combining information from the three surveys is to match employee-derived information from the

climate survey to organizationally-derived information from the personnel-practices survey. Both surveys were designed to ease, as much as possible, making such comparisons. For example, to many of the sections in the climate survey there is a corresponding section (similarly labelled) in the personnel-practices survey. There is not a perfect correspondence in section headings between the two surveys, however, because some issues could appropriately be explored in only one survey or the other.

Although there is not perfect correspondence in how the two surveys have been organized, the table below offers a general guide to the most obvious sets of comparisons to be made. Categories from the two surveys are joined by solid connecting lines, indicating that the section labels and the issues explored in these sections are closely related to one another. A few of the categories in the climate survey are not cross-referenced to the personnel-practices survey--indicating that these sections contain items peculiar to the objectives of the climate survey.

FIGURE 1
A COMPARISON OF CLIMATE SURVEY
AND PERSONNEL-PRACTICES SURVEY SECTIONS

<u>Climate Survey Sections</u>	<u>Personnel-Practices Survey Sections</u>
Missions & Goals	Goals & Missions
Jobs, Tasks, & Roles	Jobs, Tasks, & Roles
Job Knowledge & Skills	Question 8 in Jobs, Tasks, & Roles
Recruitment	Recruitment
Selection	Selection
Training & Development	Training
Assignment & Reassignment	Assignment
Employee Performance Appraisal	Performance Appraisal
Employee Discipline	Discipline
Compensation	Compensation
Employee Retention	Retention
Employee Relations	Collective Bargaining
Supervision	Supervision
Equal Employment Opportunity/ and Affirmative Action	Equal Employment Opportunity
Motivation & Job Dissatisfaction	
Promotion & Demotion	
Manning Levels	

There are of course many fruitful comparisons to be made other than those expressed by the connecting lines in Table 1. For example, question 4 in the performance-appraisal section of the personnel-practices survey should be examined in relation to responses in the "promotion and demotion" and "compensation" sections of the climate survey. Or consider that some of the questions in the climate survey section about job knowledge and skills concern employee opinions about the abilities and performance of coworkers, while some of the questions in the personnel-practices survey section about performance appraisal are about how employees' abilities, knowledge, and performance are gauged by the agency. Further, responses to some questions in the climate survey in the section about job knowledge and skills can often be profitably compared to responses to questions in the performance-appraisal section of the personnel practices survey.

Table 1 is intended only to give analysts a start in the business of cross-referencing responses from the two surveys. In many instances, limiting comparisons to a one-on-one cross-referencing of similarly headed sections will mean that much useful information will be lost. The need for cross-referencing outside of the major points of comparison suggested in Table 1 will vary greatly from agency to agency because of each agency's unique needs and problems. And the types of comparisons possible are far too numerous to catalogue here. Although the useful starting point for combining information lies within the major comparisons expressed in Table 1, the key to effectively combining information from the two surveys is eventually being able to search beyond secti

headings to the individual items in each survey, looking for as much related information on a given topic as possible. For example, although there are sections called "compensation" in both surveys, there are also questions elsewhere in both that relate to compensation (e.g., question 10 in the "employee retention" section of the climate survey, and question 4 in the "performance-appraisal" section of the personnel-practices survey, to name a few).

Perhaps the best example of a need to go beyond simple one-to-one comparisons has to do with communication with employees and with employees' input into personnel decision making. The entire first section of the personnel-practices survey addresses the nature of agency policy and practice in these vital areas. In the climate survey, no similar section is devoted to employee communication and input; yet, nearly every section in that climate survey contains questions about how informed the employees feel about a personnel practice, how great is their input into setting various kinds of personnel policy, and how far they feel that policy in these personnel-practice areas has been communicated to them. In comparing employees' opinions to actual practice in the areas of employee communication and input, many questions from several sections of the climate survey will have to be cross-referenced to questions in section 1 of the personnel-practices survey.

In sum, the two surveys--the one of the organizational climate and the other of personnel practices--will provide an overall description of the internal atmosphere of the agency, including employees' perceptions and a more objective assessment of actual practice. When

combining information from these two surveys, one of the prime objectives is to uncover areas of correspondence and areas of disagreement between employee perceptions and agency assessments. Employee misperceptions may be identified--employees found to be mistaken or not properly informed about some matter of policy or practice. Incongruities may be uncovered between agency views about practices and their effects, and employee views about these practices and their effects. Areas of intense employee dissatisfaction may be identified, along with the "offending" practice or policy. Agency misperceptions may be identified--the agency made aware of areas in which official personnel policy and actual personnel practice diverge, with negative consequences for the work environment.

As a general way to start combining information from the climate and personnel-practices surveys, it may be helpful to follow the steps presented below.

1. Undertake a separate and complete review of responses in both surveys, following suggestions for analysis that have been provided in the narrative accompanying each survey.
2. Identify issues that seem of particular importance or interest to you and the agency. Your attention may be drawn to some issues because of responses in the climate survey or in the personnel-practices survey, or in both. For example, responses from the climate survey may lead you to identify promotional practices as needing further

attention. Responses from the personnel-practices questionnaire may suggest anomalies or raise questions about the manner in which the agency evaluates employee job performance. Responses from both surveys may raise concerns about the validity of procedures for selecting employees.

3. Compile a list of these general areas of concern and begin searching both surveys for items that shed light on the issues. For example, consider the topic of performance appraisal. Examine responses from the performance-appraisal sections in both surveys. Then look through the rest of both surveys for questions that further illuminate aspects of performance appraisal. Some questions may not be directly related to performance appraisal, but may shed additional light on other issues or steps in the personnel administrative process that are associated with performance appraisal. For example, we may want to consider responses to the following climate survey and personnel-practices items:

- "My job is too complicated--it almost seems as if I am expected to do everything." (Climate Survey: jobs, tasks, and roles--question 9)
- "Salary raises in this agency fail adequately to distinguish between those doing a good job and those doing a poor job." (Climate Survey: compensation--question 10)
- "What is the relative importance of merit pay in determining salary increases?" (Personnel Practices Survey: compensation--question 3)

Although none of these questions deal directly with performance appraisal, all may be relevant to an overall examination of the topic. Employees' perceptions that their jobs are too complicated may tip us off to considering how jobs have been defined, what is expected of employees, and whether expectations about performance are realistic. If the agency intends that salary raises reflect performance to some degree, but employees believe that they do not, we may be led to review the performance-appraisal system as well as the compensation system.

ADDING INFORMATION FROM THE ENVIRONMENTAL-FACTORS QUESTIONNAIRE

The environmental-factors questionnaire focuses attention on contingencies and constraints imposed on the agency from the outside. These contingencies and constraints help define how much latitude the agency has had in setting current personnel policy and practice, as well as how much latitude will be available to the agency to effect changes in these policies and practices. Among the principal issues explored: Which agencies and individuals in the environment are principally involved in imposing contingencies and constraints? And what is the degree of contingency or constraint imposed by them on various personnel practices?

When examining any particular issue of personnel practice or policy, it is useful to include information about environmentally induced contingencies and constraints that bound the area of practice or policy. An overall review of responses to the environmental

questionnaire can give us an overview of agency relationships with others--particularly of the quality of these relationships, the amount of information exchange, and the degree of flexibility or latitude that the agency is given in setting and administering its personnel policy. Also, however, portions of the environmental questionnaire can shed light on particular areas of personnel policy or practice--contingencies and constraints imposed on specific personnel policy and practice.

Once pertinent issues have been identified through an analysis of responses in the climate and personnel-practices surveys, information about environmental factors related to these issues should be added to the analysis. For example, assume that, from findings in the climate and personnel-practices surveys, agency promotional practices seem problematic. Several questions in the environmental questionnaire will add extra information relevant to further analysis of these promotional practices. For example, question 5 is about how much promotional practices are affected by union contract provisions, question 6 is about how much promotional practices are affected by civil service policies, and question 14 is about how much decision-making authority is retained by the agency in making promotions.

When adding information from the environmental-factors questionnaire to information generated from the other surveys, it may be helpful to consider the following questions and the kinds of answers to them provided through the environmental questionnaire;

1. What outside agencies and individuals have been identified as having a strong influence on agency personnel policy and practice?
2. What is the quality of interaction with these outside forces? How much exchange of information relevant to decision-making about personnel policy takes place with these outside forces? How much decisional flexibility is allowed, or how much constraint is imposed by the outside forces?
3. Does the agency regularly receive sufficient information from the environment about factors relevant to personnel decision-making (e.g., information about competitive wage and salary scales)?
4. How much are particular areas of personnel decision making (e.g., recruitment, selection, promotion, compensation) individually subject to environmental influence? Which environmental factors and forces are most important in each area of practice? What is the relative degree of constraint imposed in each area of practice?

With the addition of information from the environmental-factors questionnaire, any particular area of personnel practice (say, selection) can be examined with the use of employee perceptions about it, agency assessments of actual practice, and assessments of environmental contingencies and constraints that affect it. In this way,

personnel practice and the effects of practice are examined both from internal and external perspectives.

EXAMINING THE RELATIONSHIPS AMONG AREAS OF PERSONNEL PRACTICE

Personnel administration can be viewed as a logical sequence of highly related and interdependent events or practices. As implied by the organization of the climate and personnel-practices surveys, an analysis of missions and goals is important to establishing which jobs are necessary for the agency to do. An analysis and description of these jobs is important to uncovering what the essential knowledge and skills of job holders should be. This information is in turn crucial for determining what recruitment and selection practices should be followed and what training policy should be set. Basic information about job knowledge and skill requirements and about the qualifications of employees (secured from selection tests, training records, and performance evaluations) will provide grist for making decisions about assignments, promotions, and compensation.

These and other kinds of interdependencies among areas of personnel practice and policy suggest the importance of systematically examining information beyond that related to the particular area of practice under review. For example, if performance evaluation is initially singled out as requiring further analysis, we may wish to consider that problems with the performance-appraisal system are related to inadequate job descriptions, to inadequacies in supervision, to poor selection and training policies, and so forth. All three surveys provide information relevant to these other areas of personnel practice. The point is

that when combining information from the three surveys, combining should extend to any and all areas of personnel practice deemed important to fully diagnosing the issue at hand.

SUMMARY

The key to making effective use of information gathered from the three diagnostic surveys is first to understand their respective and distinctive contributions, and then to search through each for information relevant to the area of personnel practice being examined. As pointed out earlier, there are no specific directions to be given about which questions ought to be combined when examining particular issues or when engaging in general stocktaking. There are only general guidelines to be held in mind to guide the effort. One key suggestion is thoroughly to search all three surveys for information, looking beyond the gross comparisons suggested by Table 1. Another is to think about how areas of personnel practice are interdependent and affect one another. This last point is one that was addressed in Part I of this volume under the heading, "symptoms versus problems." The need to analyze interdependencies among areas of personnel practice and policy was also addressed in the narratives accompanying the climate and personnel-practices surveys. Finally, a thorough review and understanding of results from all three surveys is essential if the combining of information is to move beyond elementary analyses to more complete and helpful ones.

VOLUME II, PART 4

A PROCEDURE FOR PROBLEM DIAGNOSIS

In this part of Volume II, we offer a specific procedure and model for problem diagnosis. In Part 2 of Volume II, we presented several surveys that could be used to conduct an overall assessment (or stocktaking) of the agency work force. If you have already tried this stocktaking procedure, you have probably identified one or more conditions that may represent potential problems for your agency and that require further examination. The process of further examining these troublesome work-force conditions is problem diagnosis.

The material that follows is organized into four sections. The first section presents a general model for problem diagnosis. The second section summarizes material found in Volume I and the first part of Volume II concerning the relationship between planning and the diagnosis of work-force problems. The third and fourth sections build on this and discuss some of the sources of diagnostic information, including information from the Climate, Personnel Practices, and Environmental Factors Surveys. In the final section, we present a group-process method for diagnosing specific work-force problems.

A GENERAL MODEL FOR PROBLEM DIAGNOSIS

The Management and Behavioral Science Center of the Wharton School conducts training sessions for public and private agency executives on problem formulation, during which they stress a process

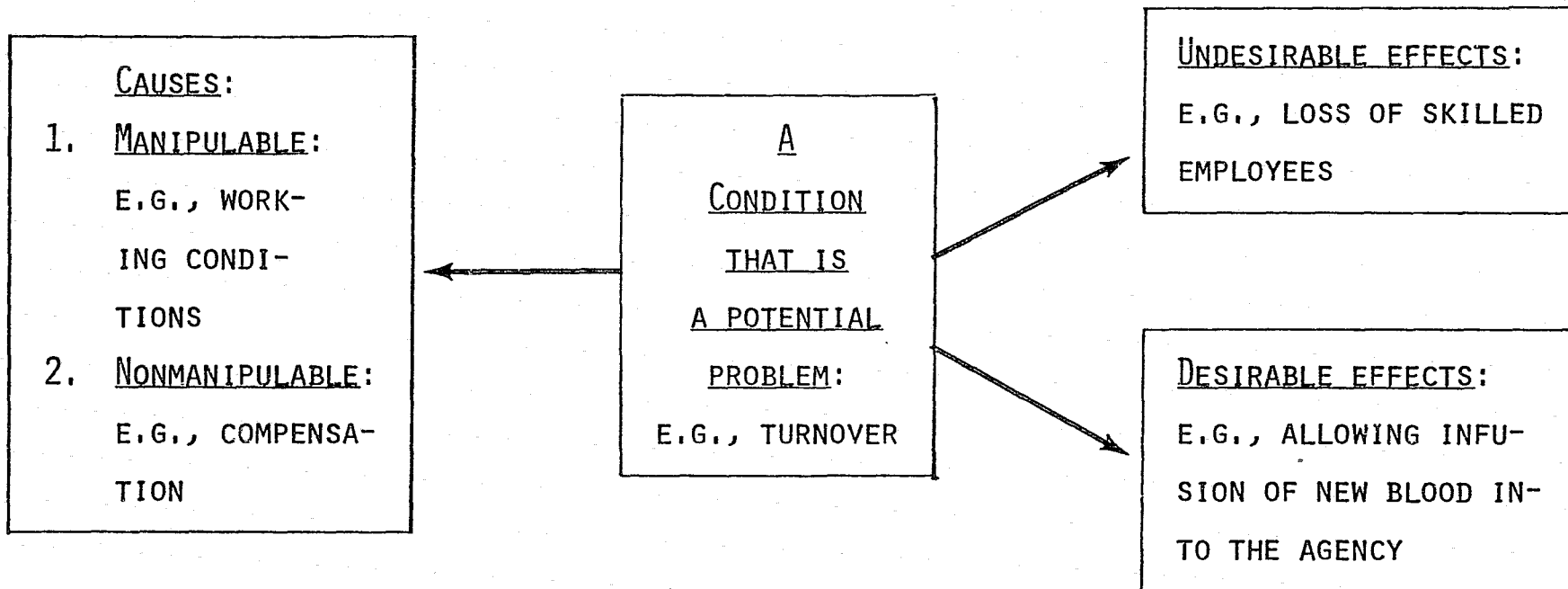
called "problem setting." Problem setting is much like what we have been referring to as problem diagnosis. At base, the problem setting or diagnostic process warns us not to assume too readily that a certain work-force condition is necessarily a problem, or that it is a problem we should or can do something about. That kind of determination needs to be made within individual agency contexts and will depend on the agency's unique situation and environment.

The basic problem-setting or problem-diagnostic model adopted by us includes assessing the effects of a given condition and the causes of the condition. In Figure 1, we present a general view of the model, a view that will be expanded in later figures.

The key to understanding this general model for problem diagnosis is that inquiry and analysis is prompted by a condition. Whether the condition is a problem and warrants action to solve it depends on the effects it produces. Whether remedial action is feasible depends on whether the causes are manipulable. The broad stocktaking associated with the Climate, Personnel Practices, and Environmental Questionnaires will no doubt have identified work-force conditions that potentially pose serious problems for the agency. Some of these conditions identified may carry immediately obvious negative effects. Others may have effects that are less obvious.

The objective behind the problem-diagnostic model presented in Figure 1 is systematically to identify and to evaluate both effects and causes of the conditions. Effects may be of two types: (1) desirable effects and (2) undesirable effects. So too, causes can

FIGURE 1



be divided into two kinds: those that are manipulable and those that aren't. It makes little difference whether effects or causes are considered first. In practice, however, we have found it easier for people to begin by listing effects. And, as we shall soon see, beginning with effects can make problem diagnosis a more efficient process.

A little further on, we address how to go about identifying effects and causes, but there are a few more things that should be understood about the general diagnostic model first. Although there may be several desirable and undesirable effects, not all of these effects are necessarily of equal importance. For example, one undesirable effect of a 10 percent turnover level may be additional training costs for new recruits. Another undesirable effect may be that a high percentage of this turnover is occurring in a particularly sensitive and important agency division (e.g., in a prison's reception and diagnostic unit). The concentration of turnover there seriously disrupts the quality of reception and diagnostic decisions, and this has a ripple effect throughout the institution. The effects of added training costs may well be less severe than the effects on reception and diagnostic performance. Thus, undesirable effects need to be weighed, and so do the desirable effects. Effects are not equal in their impact.

Another point about the general model is that causes are inter-related and often the result of a chain of events. As noted in Volume I, it is uncommon to find a problem or condition emanating from a single cause. For example, a turnover level of 10 percent may

be the joint product of low compensation levels, unattractive working conditions in the reception and diagnostic unit, competition from outside employers, poor promotional or career opportunities, and poor recruitment, selection, and assignment. Or, the turnover level may be due to a retirement bubble passing through the agency. Although these causes may jointly influence the turnover level, some may have more impact than others. Thus, not all causes are of equal importance, and what's more, particularly important causes (say inadequate compensation) may not be within the agency's ability to alter.

Thus, the basic diagnostic model has three analytical activities associated with it: (1) identifying and describing conditions, (2) identifying and weighing effects, and (3) identifying and assessing causes. We can look at these three activities as comprising the basic steps involved in problem setting or problem diagnosis.

THE DETAILED PROBLEM-DIAGNOSTIC MODEL

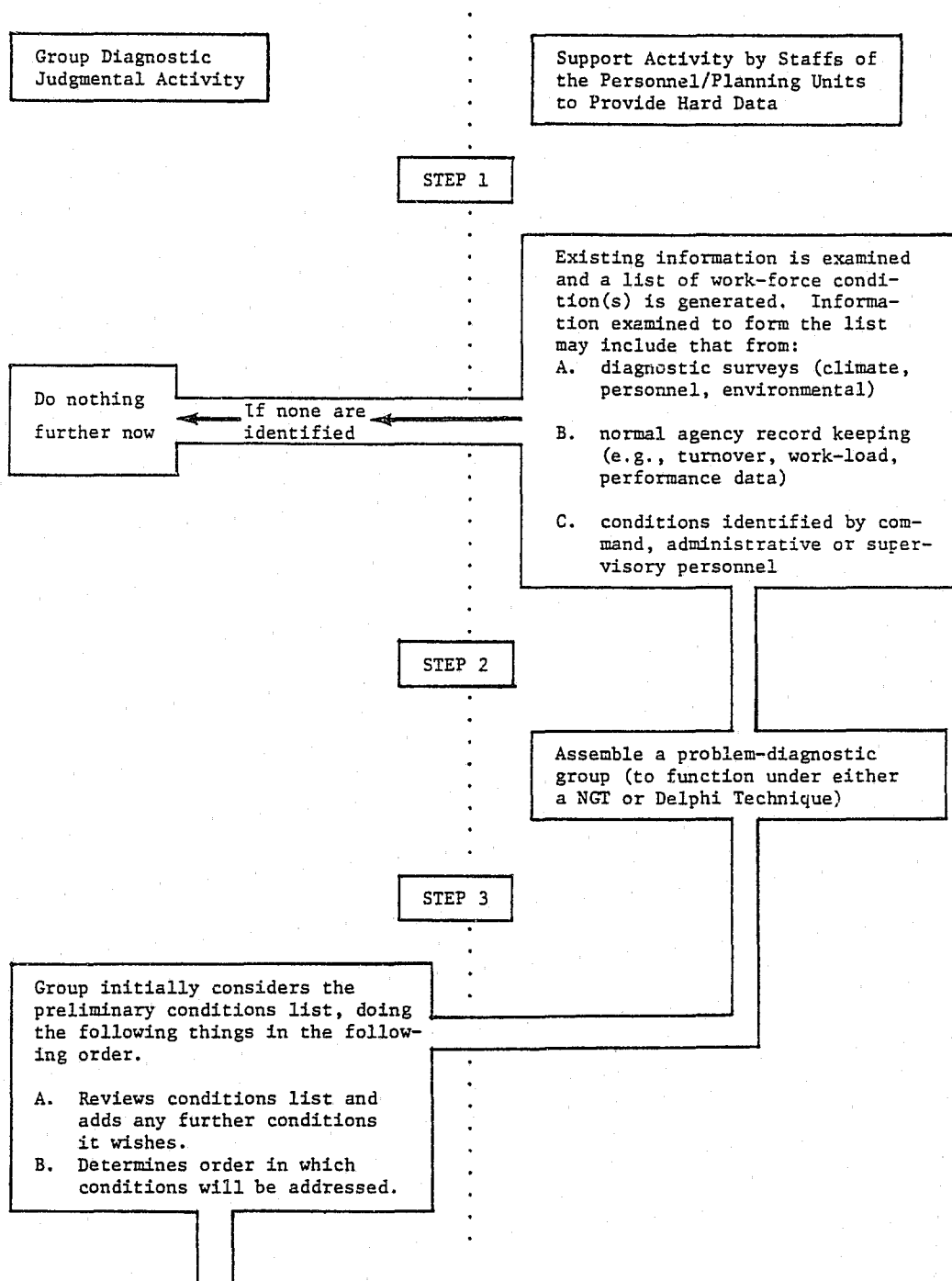
The purpose of viewing problem diagnosis as presented in Figure 1 is to guide information collection, keeping separate the information related to conditions, to effects, and to causes. The key to successful problem diagnosis is securing valid and reliable information. All things considered, we want hard data supporting assertions about conditions, effects, and causes. Yet, hard data are not always available, which makes it difficult sometimes to know exactly what the condition is or what its effects and causes are. Sometimes, judgment and intuition are the only bases on which we can proceed.

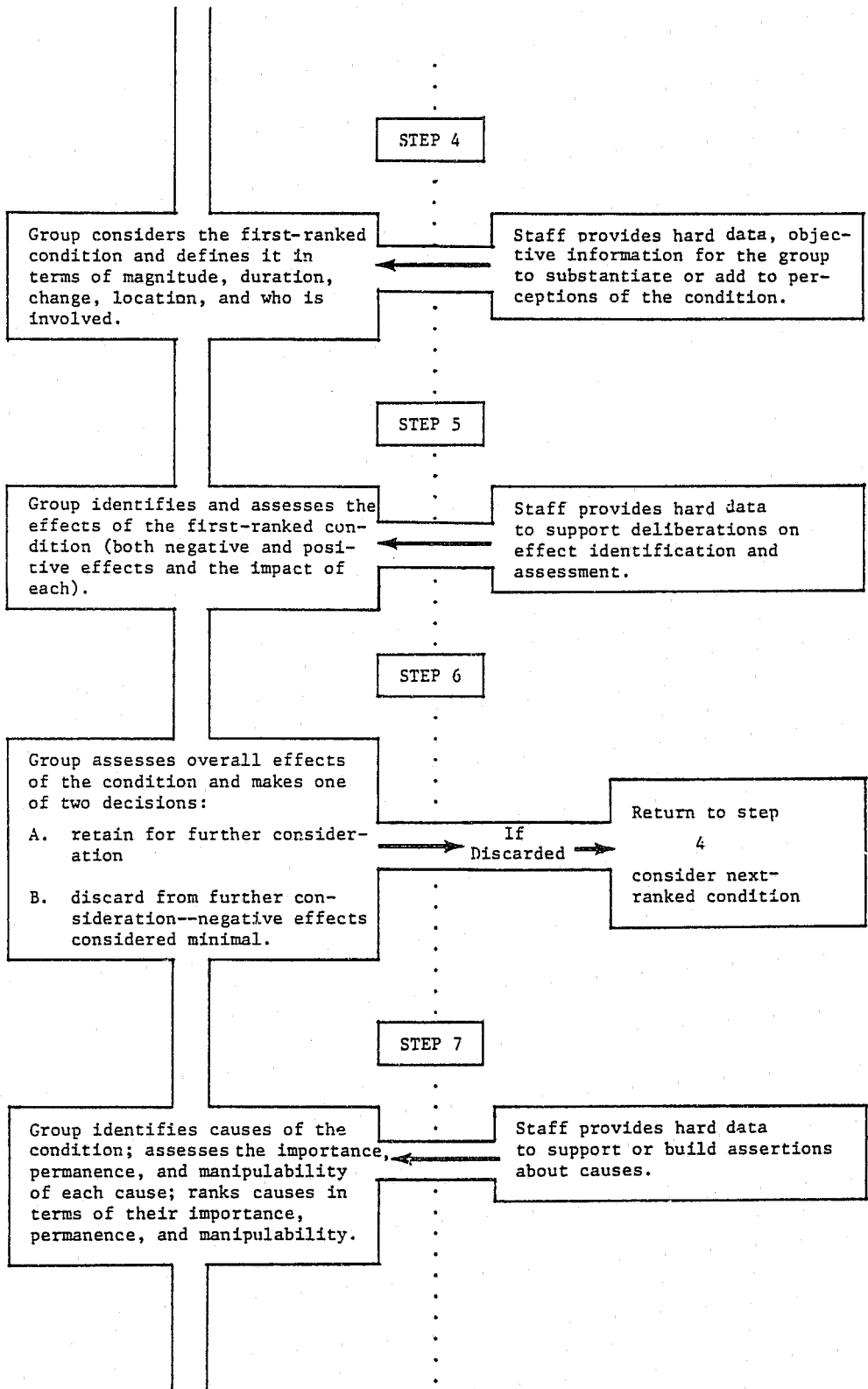
A point we have made throughout is that the involvement of several people in problem diagnosis widens the flow of information further than if only one person were involved. Too, we have noted that diagnosis, especially the identification and assessment of effects and causes often relies heavily on judgment and intuition. Groups and certain kinds of group-judgmental processes, are particularly useful in not only widening the judgmental base but in testing the saliency of individual judgments through the test of group consensus building. The Nominal Group Technique (NGT) and the Delphi Method are two particularly well-known and well-established means of building group consensus. They are described in greater detail later.

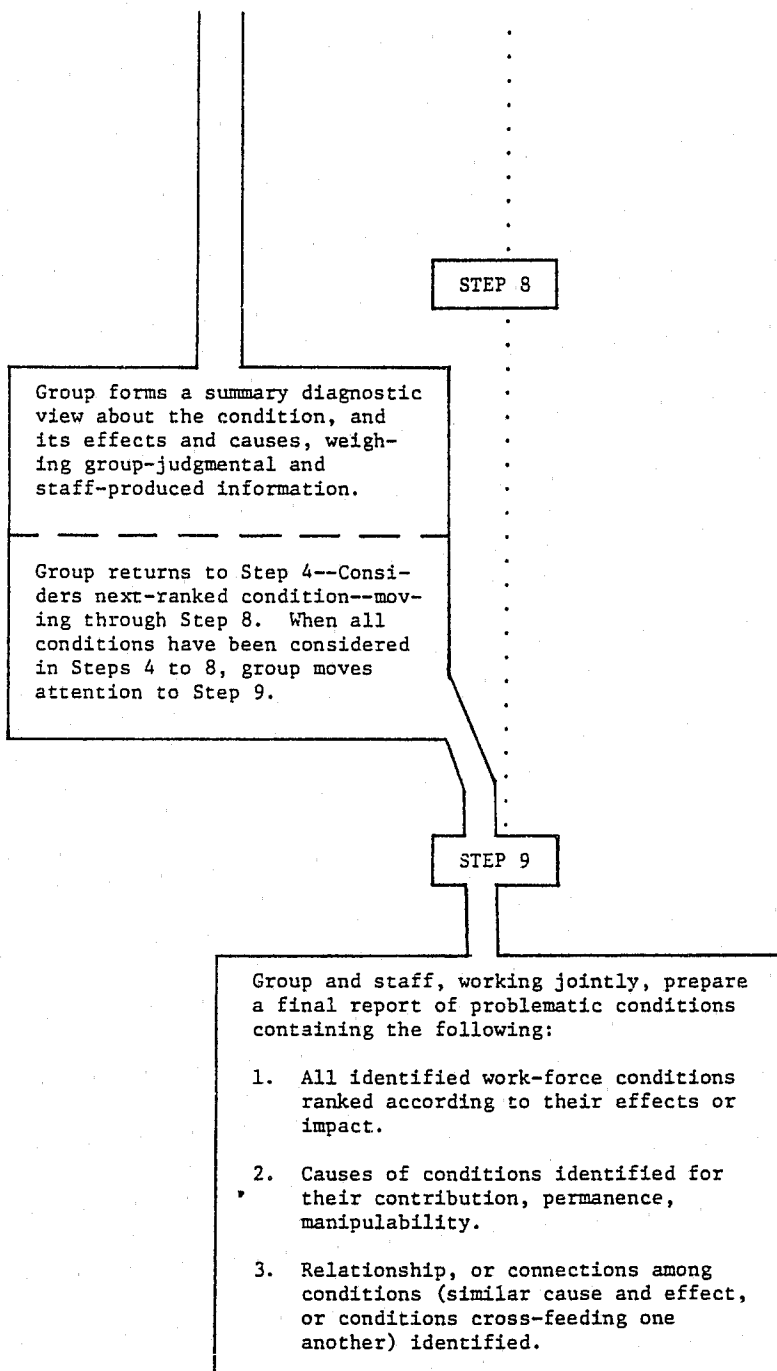
In Figure 2, we present a general set of steps that can be followed to blend group judgment with hard data when diagnosing particular work-force conditions. The interaction between hard data and group judgments is assumed to be reciprocal. That is, hard data provide a means of testing group-derived judgments and assumptions; alternatively, hard data can be used to help fill out and form group understandings about conditions, effects, and causes.

Figure 2 indicates that the assembly and presentation of hard data is a function of the personnel or planning units. Indeed, the initial decision that there are work-force conditions requiring diagnostic attention is based (presumably) on these staff support units' having analyzed data from the diagnostic surveys as well as from normal agency records. Once the diagnostic group is assembled and begins to state its assumptions about conditions, causes, and effects

FIGURE 2
GROUP PLANNING STAFF
PROBLEM DIAGNOSTIC PROCESS







these same units provide the documentation (insofar as possible) to build, to substantiate, or to deny these assumptions.

PROBLEM DIAGNOSIS AND HUMAN-RESOURCE PLANNING

Some idea of the goals to be attained or problems to be solved guides almost any effort at planning. The consideration of goals may only be implicit and founded on numerous assumptions, but even implicit goals and values can guide the definition of problems and the selection of means for achieving them. How do we know what our problems are unless we know what our goals are and which are threatened? For example, a police-department planner may spend considerable time developing an understanding of the various goals and missions pursued by the agency and thereby attain some reasonable knowledge about the relative priorities assigned by the agency to law enforcement (which crimes in particular), to crime prevention, and to other service missions. Knowledge of these goals and their relative priorities can help in identifying the principal objectives to be pursued; and, later, this can serve as a guide for prioritizing which problems need most attention, or need it most quickly, and why. Clearly, defining goals and attempting to locate goal consensus is important, but often we cannot do much more than make general statements about goals from which the processes of problem definition and the discovery of alternative solutions can proceed. Problem-oriented planning can often provide additional help in making general statements about goals more explicit, concrete, and understandable.

The tough business of defining organizational goals is often given practical help in organizational planning when a problem is defined as the difference between preferred states and actual states. In a way, the goal is defined as resolving the differences. We may not agree exactly what the goal is, but we have a sense that something is wrong--that there is a problem. Planning can proceed by attempting to define the "generally perceived" problem and in locating and evaluating alternative solutions to it.

For example, we may agree that giving the public prompt service is one of the goals of criminal justice agencies--say, police departments. Few would argue that this is not a reasonable goal, but there might be considerable argument about what the goal means operationally. Does it mean disposing of all service requests or calls for assistance within a certain amount of time? And, if so, what amount of time? Problem-oriented planning can take the general goal of prompt service as a given and begin to analyze those situations that would not qualify as providing service promptly. Possibly, the problem-oriented approach to planning will be tripped by frequent public complaints about the length of time it takes to provide certain kinds of services (e.g., the amount of time involved in responding to calls for emergency services). Thus, although we may find it hard to agree on exactly what the goal of prompt service delivery is, we may find it easier to consider what it is not--examples of instances involving the tardy delivery of services.

There are drawbacks to associating planning with problem solving. First, it means that planning runs the risk of being almost entirely

reactive, awaiting the emergence of a problem rather than anticipating or forecasting the problem. Second, solutions generated for the identified problem may, in the absence of clearly understood organizational goals and future conditions, turn out to be shortsighted. For example, attempting to solve a turnover problem through significant salary increases may later return to haunt the agency in the form of long-term and unaffordable personnel costs.

These are potentially severe shortcomings, but when the opportunity for planning is severely limited, it may be the only basis on which planning can take place. Furthermore, planning does have a legitimate set of functions in dealing with organizational problems. These functions may be divided into three categories. First, the planning apparatus may consist of an ongoing monitoring system with sensors set to detect emerging problems, particularly those kinds that do not readily make themselves obvious. A second part of the planning process concerns itself with defining the nature of these problems in terms of criteria such as magnitude, cause, and duration. A third part of the planning process may be directed toward developing and recommending means for dealing with the problem. Therefore, "problem-focused" planning need not be only reactive and it need not be shortsighted.

Not all problems are serious and not all require remedial action. Some problems represent only minor irritations to the agency, and the costs involved in attempting them might well exceed the costs of the problem itself. For example, moderately low levels of "coverage" during shift changes in police agencies may be remedied

only through complex scheduling procedures or overtime costs. Some problems may well be temporary and go away by themselves. One set of simplified criteria for determining the seriousness of a problem involves measuring its current magnitude, its rate of change, and its seriousness.

Magnitude can be measured in dollar costs or number of people involved or affected. Rate of change is concerned with estimations of future changes in the problem condition: will it stay about the same, get worse, or get better on its own? Seriousness could be measured in terms of effects on agency accomplishment of missions and objectives, or effects in terms of agency efficiency.

Problem formulation can provide valuable information about the seriousness of identified problems. It is important, however, that such initial appraisals of seriousness be relatively accurate. The premature dismissal of an identified problem, because it did not "seem" serious, can return to haunt a manager who on the basis of incomplete diagnostic information, dismissed a problem when it was, or was to become, serious.

Logically, any problem identified is by definition a problem: but a solution may not be required or feasible. For the reasons given above, and as agency resources and time to solve human resource problems are always limited, priorities often need to be set according to which problems most require attention, and which of these require attention most urgently, and which are solvable. Thus, three central activities are associated with problem formulation: (1) gauging the relative seriousness of problems that have been identified,

(2) determining whether anything should be done about them, and (3) assessing whether anything can be done.

PRIORITIZING PROBLEMS

Priority-setting in problem formulation is not so much a matter of how to solve problems, but how to go about addressing them. The options available for the planner include the following:

1. Do nothing--the problem may be judged a minor irritant and/or one nothing can be done about.
2. Do something about the problem, or at least give it further consideration:
 - a. Deal with the problem immediately in a routine manner--a routine manner by definition does not require additional in-depth analysis and planning per se.
 - b. Submit the identified problem to additional scrutiny to determine its saliency--initial problem formulation information may not be considered sufficient to judge importance or seriousness. A few pieces of crucial information are missing and can be gathered relatively quickly and easily.
 - c. Submit the problem to full-scale analysis and planning attention--problem formulation information is sufficient to establish its seriousness, complexity, and the possibility of doing something about it, thereby requiring a more in-depth and time-consuming look.

The criteria for weighing these options are numerous, but no set of criteria exist that can tell an agency manager or planner that when certain conditions are met, resolution of the problem must be attempted by submission to a full-scale planning and implementation

effort. These are judgment calls that must be weighed individually by managers and planners within the environments of their own organization. Nonetheless, seven criteria can be stated in the form of questions that guide the manager and planner in determining whether an identified problem is worth additional examination or action, and if so, what kind. These seven questions provide the basis for determining whether further action with regard to the problem needs to be taken (do nothing or do something). The relative importance of each question in making such a determination will vary from agency to agency.

1. What and how many resources are affected by the problem?
2. What will the future condition and its underlying causes be if we do nothing deliberate to resolve it?
3. To what extent does the problem interact with and affect other issues or areas of agency functioning?
4. Are there possibilities of achieving improvements with regard to the identified problem?
5. Does the problem affect the strategic objectives of the organization?
6. Is the problem too sensitive to do anything about at the moment?
7. How much pressure is there within the organization and outside of it to do something about the problem?¹⁰

Assuming that we decide it important to do something, three options are available (handling the problem in a routine and established manner, gathering some additional information to aid in problem formulation, or submitting the problem to full-scale planning and to

the implementation of a solution). Additional criteria (also in the form of questions) are available for deciding among these options. These additional questions would have to be asked only if we have previously decided that something needs to be done.

8. How urgent is it that the agency do something about the problem?
9. Is the problem such that it can be handled through established operating procedures?
10. How much will attempts to implement solutions for the problem affect conditions or commitments elsewhere in the agency and with other agencies?
11. How much do the likely alternative solutions involve long-term resource commitments?
12. How far do the likely alternative solutions have irreversible future implications?

The answer to question eight may preclude the opportunity to undertake extensive planning-related action, assuming that the problem has been properly formulated and understood. But answers to questions ten, eleven, and twelve may require the agency and its planners seriously to consider the adoption of a full-fledged planning strategy. Specifically, implications of long-term resource commitments, wide-ranging effects on other agency policies and commitments, and the irreversibility of some solution options increase the utility of the agency's undertaking a full-fledged look at the problem and its solution through a formal and in-depth planning exercise.

SECURING INFORMATION ON CONDITIONS, EFFECTS, AND CAUSES

Up to this point, we have concentrated on presenting the general diagnostic model for examining a specific work-force problem. One of the assumptions of this model is that hard data undergird not only the description of conditions but also the identification and assessment of effects and causes. In the material that follows, we pay particular attention to where such information can be found and to the processes best utilized in amassing and summarizing it.

STEP 1: IDENTIFYING AND DESCRIBING THE CONDITION

The center box in Figure 1 concerns the condition we have identified as warranting further attention. There are better and worse ways of defining such conditions, and there are several common traps we fall into when attempting concisely to state the nature of the condition that seems to pose a problem for us.

The idea is to state the condition as objectively as possible and in such a way that it can be supported by facts. Too often we ignore this requirement, with the consequence that the problem and its solution are confused. For example, we may state that "our problem is that compensation levels need to be increased in order to deal more effectively with turnover." Yet, we have not determined whether the turnover level is a problem or whether compensation levels are causing the problem. The Wharton School succinctly states the most common difficulties in putting what the problem is:

1. We frequently state problems in terms of preferred solutions, e.g.

"The problem is I need more budget"
 "The problem is I need more staff"
 "The problem is I need more competent staff"

These are not problems. They are the speaker's belief about what would constitute a preferred solution to what the problem is.

2. We frequently state problems in such a way as to make it impossible for us to resolve them . . . [we] provide an explanation (excuse) for our failure to resolve them, e.g.,

"Sales are down for everyone--the market is off"
 "The problem is the economic downturn"
 "The problem is the Judges' sentencing decisions"
 "The problem is the community's refusal to accept halfway houses"

[These are potential causes of a problem, not a description of it.]

3. The statement of a problem often includes unwarranted and untested assumptions, e.g.,

"The problem is I need more authority"

This assumes that the speaker already knows . . . the extent of his authority and that it is inadequate. It also assumes that more authority will enable him/her to deal effectively with whatever the actual problem is.

We are often limited by self-imposed, untested assumptions, e.g.,

"My boss would never let me try that"

If one acts and is rebuffed, at least one learns what the real limits are, whereas failure to act because of one's perceptions is self-sealing. Obviously, the testing of limits involves risks and must be undertaken strategically.

4. Our concept of a problem is often based on inadequate evidence, guesses, hunches, intuitions, biases, rumors, and personal value perspectives. [e.g., "We have a turnover problem because we don't pay our people enough." This may or may not be true. Employees may be leaving not for higher pay, but for any number of other reasons. We have not bothered to consider the causes of turnover in a careful and objective manner.]

5. Frequently, we optimistically overstate the consequences of "solving the problem" we have identified, forgetting that organizations are difficult to change . . . [e.g., we may find that employees' not doing their jobs well can be traced to their using outmoded procedures. Yet, the formal agency adoption of new procedures may be resisted by people who prefer to do it the old way.]

So much for what you don't want to do when stating a condition or a problem objectively. The question is, how should it be stated? One way is to consider the magnitude, duration, rate of change, location of the condition, and who is involved in it. For each of these we should attempt to base our judgments on verifiable information rather than on guesses or subjectively grounded views. To the extent that our information is objective and empirically supported, we have the capability of stating the condition concisely and precisely.

DESCRIBE A CONDITION
THAT IS A POTENTIAL
PROBLEM IN TERMS OF
ITS:

1. MAGNITUDE
2. DURATION
3. RATE OF CHANGE
4. LOCATION
5. WHO IS INVOLVED

Below we briefly consider each of the descriptive terms listed above:

1. Magnitude: How may the size or scope of the condition be stated? Is annual turnover at 5 percent, 10 percent, 20

percent, or what? What percentage of employees indicate dissatisfaction with their jobs--10 percent, 40 percent, 50 percent, 80 percent? Or, for example, assume that the agency is unable to attract sufficiently qualified job applicants. How many job applicants are not qualified and how far do they fail to meet qualifications? The consideration of magnitude means that we attempt to describe the size of the condition in objective measurable terms.

2. Duration: Is the condition of recent origin or is it something that has persisted in the agency for some time? For example, is the current turnover level a long-standing one? Has job dissatisfaction traditionally run at current levels? Knowing something about duration will be useful later when we begin looking for effects and also for understanding the relative "permanence" of the condition and its underlying causes.
3. Rate of Change: Is the condition something that is growing, decreasing, or staying about the same? Knowing something about this gives us an initial feel for trends with regard to the condition. If there is change toward decrease, some preliminary assessment to account for this change may be ventured here.
4. Location: Where in the agency is the condition manifested? Is the identified turnover rate prevalent throughout the organization or centered in certain units or divisions? Is job dissatisfaction prevalent throughout or concentrated in certain units?
5. Who is involved: What people within the organization and what types are associated with the condition? Although location gives us an organizational reference for pinpointing the condition, this question allows us to attach the condition to people more directly--to certain individuals or types of individuals in various job classifications.

These terms above help us initially to concentrate on defining the condition itself. So far, we have not identified effects that the condition produces, nor have we begun to identify its causes.

STEP 2: IDENTIFYING AND WEIGHING EFFECTS

When identifying effects, we engage in the activity most closely concerned with determining whether there is a problem worth attending

to. If a condition produces no recognizable negative effects, we may have little reason to take time to alter it. Under the general diagnostic model, both desirable and undesirable effects are identified. And although we will initially have selected the condition for further examination because it appeared to have potentially negative consequences for the agency, it is often true that a given condition has both good and bad associated with it. For example, at first blush, turnover may be viewed as an unwelcome organizational condition, negatively affecting agency performance, employee morale, and stability. Yet, as previously noted, turnover is the principal mechanism allowing the agency to infuse new blood into itself or to change the composition of its work force. Thus, turnover has positive consequences. If we think only of negative effects when there are positive ones as well, we may be led to change the offending condition--thereby losing the good along with the bad, and leading to dangerous and unintended consequences.

There is the difficulty that effects may not be apparent or manifest because the condition is relatively new. For example, the agency may just now be entering a phase of heightened turnover. Effects on performance or on employee morale may not yet be apparent, but can be predicted. Thus, we take note of what was said earlier that duration must be taken into consideration when describing a condition. A fairly new condition may not have yet produced pronounced effects, but may in the near future. To ignore the condition and not to treat it as a potentially serious problem because it has not yet produced negative consequences courts serious consequences of

its own. Thus, in the consideration of effects, attention should be devoted not only to those that are manifest but also to those that seem to be highly likely and on the horizon.

One obvious approach to uncovering effects is to ask the question directly: "What are the effects, results, or consequences of this condition?" Alternatively, the question can be put more indirectly by asking ourselves what would change if the condition were different (e.g., turnover drop to 1 percent instead of being at 10 percent, or job dissatisfaction recorded among only 5 percent of the work force instead of among 50 percent). This latter approach is a form of counter-factual reasoning and provides us with an important tool in assessing effects; (namely, if little or nothing would seem to change with an alteration of the condition, the condition would appear not to produce significant effects on its own). If time permits, it is usually useful to undertake both approaches to identifying effects. One group of individuals might be asked to list desirable and undesirable effects. Another group, working independently, might be asked to list what would be different if the condition altered. The lists can be compared for similarities and dissimilarities.

Using a group instead of just one person increases the amount of information brought into the diagnostic process. However, it is not just the amount of information that increases, but the kind as well, because people have different perspectives, and the full range of effects is better identified through a number of perspectives. Of

course, each participant in the group problem-diagnostic process brings his or her own perspective; but, too, there are others not a part of the group who may add additional information about effects. We can think of these others as "stakeholders," and the group can attempt to identify how these others might view the condition and its effects. For example, consider the condition where the vast majority of employees in an agency indicate substantial job dissatisfaction. Important stakeholders whose perspectives need to be considered might include supervisory and command personnel, co-workers, the individual employees themselves, and perhaps other agencies.

STEP 3: IDENTIFYING AND ASSESSING CAUSES

Once conditions and effects have been identified and assessed, attention needs to be directed toward causes. Multiple causes or factors contributing to the condition will usually be identified. Often several factors will be related, and further analysis will indicate that there are other causes further back for these. Although we discussed this process of looking for causal chains in the first part of Volume II, it is worth recalling here that the principal objective of looking for causes is eventually to isolate those that have created the condition and are manipulable. Searching too far back for the first or ultimate cause of some condition may provide us with information but not with much we can use. For example, consider the problem of high turnover. Ultimately, we may search back to the fact that a very large percentage of current agency employees were initially hired during a short period of time and are now all coming

due for retirement. Although we have identified an important cause of our current turnover condition, it is a factor that is not manipulable.

Multiple causes are typical. For example, consider a condition of low morale among patrol officers in a law-enforcement agency. The causes may be several. Low compensation levels or shortage of manpower leading to a sense of "underpay and overwork" may be causal factors. Judicial procedures and rules giving protections to the accused may seem unduly to thwart apprehension and conviction, leading to the view among officers that the job is made more difficult or impossible by the system itself. Public hostility directed toward the police, either generally, or in certain geographical areas, may lead to a sense of low job status. Assaults on the police and agency restrictions on how police may handle dangerous or threatening situations may lead to a sense of diminished safety in doing the job. Boredom, especially during times of routine patrol may also contribute to low morale.

All of these factors, and perhaps many more, may pertain as "causes" of low morale, and the agency may seek to eliminate or to minimize them. Yet, some of these causes are not manipulable at all, and others may be only marginally manipulable. For example, changing judicially guaranteed rights of the apprehended and accused so as to make the job of apprehension and conviction easier are not within the control of the agency. But the training of officers more fully to appreciate the reasons for the guarantees and how the job can be done

within them may serve to reduce their effect on morale. Low compensation and staffing levels may be wholly outside the range of agency influence. But public relations programs to improve the image of the police among the general public may eventually lead to more positive public attitudes toward the police and, perhaps, to a higher sense of job-related worth among officers.

The point is, however, that before any of these "solutions" can be considered, the full range of probable causes needs to be identified. Because each of several causes normally accounts in varying degrees for a given condition, it is wise to structure the cause-identification process in such a way that the first order of business is to test as many potential causes as possible. Later, certain of these can be eliminated if they come to seem, on reflection, to be unsubstantiated or of little consequence. The remaining causes can be assessed for manipulability and analyzed for purposes of finding solutions.

WEIGHING EFFECTS AND CAUSES

As previously noted, effects and causes are not of equal importance; effects may be either desirable or undesirable; the agency's ability effectively to deal with causes will vary. In the short sections below, we consider the process and steps involved in reaching judgments about these matters.

EFFECTS

Once a list of potential or probable effects has been produced, each effect should be evaluated, using the following questions as a guide for the evaluation.

1. Is the effect predominantly desirable or undesirable? In most cases, the answer will be obvious. Based on the determination about desirability, two lists of effects can be developed (one predominantly desirable and the other predominantly undesirable).
2. What is the relative impact of these effects on the agency? Not all positive effects have an equally positive impact, and not all negative effects have an equally negative impact. General criteria such as magnitude and duration can be used in making these evaluations. So, too, how these effects produce additional negative or positive consequences can be analyzed (e.g., the condition of low morale may lead to high absenteeism, and this in turn to a lowering of agency performance).
3. Overall, and taking all of the effects and their weights into consideration, does the condition produce effects that are more negative than positive (or vice versa) and to what degree?

Answering these questions about effects helps us to begin the process of determining whether the identified condition presents a problem or set of problems worth further analysis and possible solution. There are numerous ways of organizing and tabulating such information. Figure 3 is a summary work sheet that can be used to tabulate the basic information needed about effects. Two types of summary information are entered on the form: (1) What are the positive and negative effects? (2) How big is each effect?

Determining how big the effect is neither an easy nor a wholly objective process. Indeed, judgment and intuition, along with hard

FIGURE 3

WORK SHEET FOR
LISTING AND WEIGHING THE EFFECTS

Condition:

Effects	Impact on agency performance and in terms of magnitude, duration, number of people involved, critical agency units affected				
	Wide-ranging and/or strongly negative impact	Moderately negative	Limited Impact (- or +)	Moderately positive	Wide-ranging and/or strongly positive impact
Negative Effects					
1. _____	()	()	()		
2. _____	()	()	()		
3. _____	()	()	()		
4. _____	()	()	()		
5. _____	()	()	()		
6. _____	()	()	()		
Positive Effects					
1. _____			()	()	()
2. _____			()	()	()
3. _____			()	()	()
4. _____			()	()	()
5. _____			()	()	()
6. _____			()	()	()

data are normally mixed when making these determinations. Securing hard data about the effects on the agency is often particularly difficult, although we will be suggesting some means for doing so in an upcoming section. With or without hard data, however, judgments must be made about impact. Figure 3 provides a five-position scale for summarizing judgments about each effect listed. The scale runs from "wide-ranging and/or strongly negative impact" to "wide-ranging and/or strongly positive impact." "Wide-ranging" impact may or may not coincide with "strongly negative" impact. For example, the effect may be concentrated in only a small segment of the agency; yet, its consequences there may be very damaging, and perhaps eventually for the agency as a whole. Likewise, a wide-ranging effect may be one felt throughout the entire agency but only moderately negatively. In the gauging of impact, therefore, care should be taken to consider both the breadth of impact and its degree of negative consequences.

Several criteria can be used in reaching these judgments about impact. Below, we state some of the more important of these criteria as questions that might be posed about each effect. Some of these criteria are similar to those used in describing the parent condition; now, however, we apply them and others to describing concretely the effects produced by the condition.

1. How pervasive is the effect in the agency (how many people or organizational units are affected)?
2. How much is the effect registered in particularly sensitive or important units or jobs in the organization?

3. Is there evidence that the job performance of personnel has been effected, and, if so, how and how much?
4. Does the effect appear to be growing in its impact, staying about the same, or decreasing? If there is evidence that current negative or positive effect is moderate or slight, but that the effect will grow in force in the near future, we may wish to up our assessment of its impact.
5. Is there evidence that agency performance and goal attainment is being disrupted because of this effect, and, if so, how much?

Obviously, the questions have been stated in general terms and will have to be adapted to each agency's environment and particular situation. Implicit in the questions as a group, however, are two underlying criteria that form the basis for assessment: Is performance affected by the effect, and how much? In many cases, empirically establishing with virtual or near certainty that there is a connection between the effect and performance will be difficult. Judgment and intuition will have to supplement the assessment process in these situations. The difficulty with judgment and intuition, however, is that the often limited data and information we base these judgments on may well lead to under- and overassessments of effects (to inaccurate assessments and inappropriate weight being assigned a given effect). Thus, judgment and intuition about impact should not substitute for hard data, but rather supplement only where and to the extent necessary.

Another difficulty confronted when attempting to weigh the effects of a certain condition is the problem of comparability of effects. In particular, one thing that should be avoided in filling

out Figure 3 is the idea that impact weights for each effect can be summed and averaged to produce an overall "impact score" for the condition being examined. This might be possible if all effects were of equal importance. But they rarely, if ever, are. For example, suppose that Figure 3 is filled out for a particular condition with the following results: Negative effect No. 1 is rated strongly negative. The rest of the negative effects are considered to have only limited impact. The first positive effect is rated moderately positive in impact, as is the second; the rest of the positive effects are rated as having minimal or limited impact. The arithmetic average in this situation would be "limited impact."

Yet for the "average" to yield a valid conclusion, effects (both negative and positive) would have to be of roughly equal importance--a condition rarely achieved or validly assumed. If effects are of unequal importance (the usual case) an "averaging" of effects is meaningless or at least highly misleading. Even more damaging, average ratings may mask the fact that there is substantial variation among effects--especially that there are some effects that are clearly desirable while others are clearly not so. For these reasons, our work sheet (Figure 3) does not request that an overall or average rating of impact be mathematically calculated. Rather, it makes for a kind of summary. As such, it will be used later when we attempt to decide whether negative effects, balanced against positive effects, are substantial enough to warrant our doing something about the condition (searching for causes of the condition and for solutions).

CAUSES

Once causes have been listed, an assessment process similar to the one undertaken for effects is started. The objective is to determine how much each identified cause contributes to the condition, and also to make some initial determination about the agency's ability to manipulate or to change the cause. There are several questions that need to be answered as a part of the cause-assessment process. The first question entails making some estimate of the relative importance or impact of each cause identified. Unfortunately, this is not easily done because we often lack sufficiently valid and reliable information on which to base an understanding of cause and effect.

As a result this becomes the toughest part of problem diagnosis, and the one most often dependent on judgment and intuition rather than on hard evidence. Nonetheless, some estimate of the relative contribution made by each of multiple causes should be ventured. In the absence of complete information, estimates can be attempted through analysis of existing information and group judgment. Together, information and judgment can be used to produce a ranking (likely to be crude) of the causes according to their assumed contribution to the identified condition. (We consider some of the sources of information in the next section.)

The second question is whether or not the condition is considered to be temporary or permanent. For example, we may believe that one cause of a low level of morale is a recent and massive agency reorganization. In time, things may settle down and the

climate of reorganization become a thing of the past and its unsettling effects no longer a contributing factor to low morale. Or, consider once again a turnover condition that is due in large measure to a retirement bubble that will shortly pass through, and matters return to a "normal" state. Where causes are important, but temporary and will subside, there may be little reason to attempt a manipulation of them.

The third question that needs to be dealt with in assessing causes concerns manipulability. We may find that one cause is particularly important and that it is a relatively permanent condition that will not go away naturally. Yet, and unfortunately, we may also find that the causative factor cannot be dealt with effectively that it cannot be manipulated, minimized, or eliminated as a contributing factor to some condition. It is rarely true that a particular factor is totally manipulable or totally not so. Rather, there are usually shades of manipulability dependent on a number of issues.

1. How far does the agency have decision and policy-making authority over the causal factor.
2. In the absence of decision-making authority, how much influence does the agency have over those who do exercise such authority?
3. If manipulation involves resources, are resources sufficient, and can they be committed?
4. If manipulation involves securing the cooperation of people and groups, can this be achieved?
5. To what degree is consensus among people (both inside the agency and outside it) important to dealing with the causal factor?

Obviously, if decision-making authority or influence is limited, if resources are unavailable, if cooperation and consensus among important people and groups cannot be secured, manipulability is limited. Alternatively, the less any one or more of these things act as barriers to effective action, the greater the manipulability.

Being able fully to estimate how manipulable a given causal factor may be requires us to move into the process of generating alternative solutions and weighing each of these alternatives according to their cost and net benefit. Although we must do this eventually, the objective during the problem-diagnosis stage is a good deal more limited. Part of defining a problem is understanding not only what the problem is but where we may be limited in doing anything about it. Thus, estimates of the manipulability of causal factors during the problem diagnosis phase are just that--estimates that we will consider more fully if and when planning turns to the generation of solutions.

Figure 4 provides a means for summarizing answers to these key questions about causes. The figure is a summary work sheet similar in purpose to the work sheet (Figure 3) provided for the assessment of effects. The objective in filling out Figure 4 is to provide an overview of the relative importance of causal factors, their permanence or temporariness, and their manipulability. Ultimately, this information becomes the basis for determining whether particular causes account for enough of the target condition that they are worth doing something about. This information also provides the basis for considering whether the benefits from manipulating given causal factors can offset the costs of doing so.

Condition:

FIGURE 4

WORKSHEET FOR ASSESSING CAUSES

Causes	Degree of Contribution to the Condition			Degree of Permanence		Opportunity for Manipulation		
	High	Medium	Low	Long-range continuation and not self-correcting in foreseeable future	Temporary and self-righting in the near term	High	Medium	Low
1. _____	()	()	()	()	()	()	()	()
2. _____	()	()	()	()	()	()	()	()
3. _____	()	()	()	()	()	()	()	()
4. _____	()	()	()	()	()	()	()	()
5. _____	()	()	()	()	()	()	()	()
6. _____	()	()	()	()	()	()	()	()
7. _____	()	()	()	()	()	()	()	()
8. _____	()	()	()	()	()	()	()	()

SOURCES AND TYPES OF DIAGNOSTIC INFORMATION

The objective behind any diagnostic effort is to secure valid and reliable information about a problem. Information is rarely perfect or complete in any inquiry, and probably never so in the diagnosis of work-force problems. Thus, when we seek information for diagnostic purposes, we do so with the recognition of this inherent limitation. The objective, nonetheless, is to secure as many hard data or as much objective information as possible so as to permit accurate description of conditions, effects, and causes.

There are many sources of diagnostic information. Information can come from normal agency records as well as from special efforts directed toward uncovering and diagnosing work-force conditions. An example of one such special data-collection effort is administration of the three diagnostic surveys (climate, personnel practices, and environmental) presented earlier in this volume. The normal agency collection of data on work load, disciplinary action, or employee performance (to name a few) provide an existing data base that can be tapped for diagnostic purposes. These and other types of data form the basis for accurately gauging conditions, effects, and causes.

Assembling information for diagnostic purposes begins with identifying the information that seems most crucial or essential, concentrating on those features directly related to the problem or condition being considered. For example, consider the condition of turnover. Obviously, we ought to seek objective information about the current turnover level, about trends in turnover, about specific turnover levels in various agency divisions or job classifications, and so

forth. (See relevant portions of Volume I and III for a discussion about how to assemble such data.) The objective is to state as precisely as possible the magnitude, duration, rate of change, location, and who is involved--and to do so in objectively measurable terms. Although people may be willing to venture opinions based on assumptions about these things, the objective of information collection is to test these assumptions against hard data. Normal agency personnel records can be a source of such hard turnover data, offering us the opportunity to state the turnover condition with some precision and objectivity.

In the identification and description of work-force conditions, the central question is always one of determining whether the "facts" can be found to support our descriptions; usually, several kinds of facts, assembled from many sources must be fit together to produce a complete picture. For example, agency personnel records should tell us what the turnover rate has been and what it currently is in various units and in various job classifications. We might use these data to construct trend lines, extending these trend lines so as to estimate future turnover levels. However, these records and trend lines will not tell us about people's intentions to stay or to leave the agency. Estimates of intentions may be possible through a survey of employees, perhaps done regularly. (A question in The Climate Survey is one example of seeking such information about intentions.) Hard data from agency records, coupled with opinion data gathered through employee surveying, can provide both accurate descriptions

of the current situation as well as opinion-based estimates of the future turnover situation.

When moving to a consideration of effects produced by certain work-force conditions, the objective of information gathering is the same: Support any assumptions about effects with hard data--don't assume that certain effects in fact follow from certain causes. For example, if we believe that current turnover levels are affecting employee and agency performance, the question becomes one of determining whether any hard evidence can be assembled to support this assertion. Perhaps we find that job performance tends to be lower in units and job classifications with high turnover levels. Although such a finding would not establish with certainty that turnover is causing a decrease in performance, we have, nonetheless, collected information that there may be a relationship between the unit's performance and its turnover level. On the other hand, if we found performance to be high in units with high turnover, our assumptions about the relationship between performance and turnover would need to be given careful reconsideration.

The point is this. Something cannot be a cause unless it exists. This may sound so simple a point as not to warrant statement. Yet, we often fail to test our assumptions about causes against the facts. If employees do not register dissatisfaction with compensation to any measurable degree, and if departing employees are not generally leaving for higher paying jobs, compensation would hardly seem to be a major contributing cause of turnover. Perhaps other factors

contribute more--for example, working conditions (which hypothesis needs equally to be tested against the facts). If we do not test our assumptions about causes, and if they are not in fact accurate, we may be led to diagnose problems improperly and ultimately be misled about the saliency of various solutions.

INFORMATION ABOUT CAUSE AND EFFECT

One of the principal objectives confronting any diagnostic effort is to establish cause-and-effect relationships conclusively. Unfortunately, this is at once the most important and the most difficult part of collecting and analyzing information. Often, the best we can do is assemble evidence rather than proof of such relationships. Proof in any scientific sense requires many things: that the cause precede the effect, that the relationship being hypothesized makes logical or theoretical sense, that we collect data that demonstrate an association between the cause variable and the effect variable, that other potential causes have been controlled for, and that we repeatedly find the same or similar associations in our data.

It is rare that all or even most of these conditions are met during the conduct of problem diagnosis, and without each condition's being met, we have evidence only pointing toward a cause-and-effect relationship. In reality, when collecting information about causes of work-force conditions, we are able only to collect evidence that the identified problem condition is the result of some one or some set of causal factors. Sometimes the evidence is strong, but usually it is only moderate or weak. For example, we may hypothesize that

turnover is caused by low compensation levels. This may make logical sense, and we may indeed find and analyze data that indicates that people are leaving the agency for higher paying jobs elsewhere and that there is substantial dissatisfaction with existing compensation levels. Yet, we do not know from this whether other factors such as working conditions are equally important or more important in causing people to leave. It may be coincidence and a product of the local labor market that departing employees secure higher paying jobs. The question is still open whether employees left because of low pay. They may well have left because they were dissatisfied with working conditions or with poor supervision, or for a raft of other contributing reasons.

Thus, we must be careful to draw a distinction between something's potentially being a cause and its in fact being a cause. Declaring the existence of a potential cause is much more easily done than actually establishing the causal connection. Establishing causal connections is guided by research design and concern over validity and reliability. (All of these issues are discussed in several sections of Volume III, and we suggest that they be considered.)

Judgment and intuition are often substitutes for proof of cause-and-effect relationships. Indeed, when proof is lacking, we have no choice but to exercise judgment based on the available evidence. The stronger the evidence, the better grounded our judgments can be. Of principal importance in securing good evidence is being able objectively to establish that a set of causal conditions exist in the first place. It is crucial, therefore, that we test our assumptions about the effects and the causes of a work-force condition by establishing

their existence and nature with some certainty. Below, we consider some of the principal sources of information that can provide the data and information for such "reality" tests.

SOURCES OF INFORMATION

Although we discuss sources of planning and diagnostic information at great length in Volumes I and III, we will briefly summarize the chief sources of planning and diagnostic data here. We strongly recommend that the pertinent sections of Volumes I and III be read along with our comments below.

As noted in Volume I, planning-related data may be classified into two broad categories: environmental data and organizational data. Information from existing agency records, information produced through surveys, and information coming from external agency sources are the principal (most often used) sources of problem diagnostic information.

Important organizational data include work-load data, job-focused data, employee-focused data, performance data, and personnel system data. Work-load data are normally a part of existing agency records. These data on work loads can be supplemented with information from surveys that seek to tap employee perceptions and affective responses about work loads. Similarly, employee-focused and performance data are a normal part of agency records, and these data can also be supplemented with survey data. Some forms of personnel system data will exist as a normal part of agency documentation (for example, turnover data and personnel-procedures data). Other

personnel system data will have to be gathered and culled from surveys such as the personnel practices survey provided in the previous section of this volume. Job-focused data may exist as a normal part of agency documentation in the form of job descriptions or reports emanating from previously conducted job analyses. In the absence of these, civil service or jurisdictional personnel units may have such documentation. Finally, such information may be secured through the conduct of job analyses.

Environmental data includes information on missions and goals, crime, economic and budget conditions, population characteristics, public and political values, and labor-market conditions. With few exceptions, data and information about these things will be found outside the agency, in other public and private organizations. One exception concerns missions and goals; normally, and although missions and goals reflect external demands put on the agency, organizations will have or will put together their own views about missions and goals. So too, law-enforcement agencies keep their own crime data. These can be supplemented with aggregated UCR data and with victimization survey data. Obviously, UCR and victimization survey data come from sources outside the agency. The remaining forms of environmental data come from sources outside the agency. For example, data on economic and budget conditions come from jurisdictional budget offices, from chambers of commerce, and from a host of private organizations such as banks. The essential point about securing environmental data is that agencies need to build linkages to these

external sources. Regularly receiving relevant reports and information from these sources provides the agency with useful and available environmental data for diagnostic purposes.

DATA STORAGE FORMATS

Obviously, critical to securing hard and useable information for diagnostic purposes is the way that data are formatted and stored. Particularly when attempting to cull information from existing data sources, aggregation and disaggregation capabilities are of prime concern. For example, if the agency keeps turnover data but does not store these data according to work unit or work classification, we will be unable to disaggregate overall turnover statistics to the level of individual work units or job classifications.

The problem-diagnostic model presented earlier proposes that conditions and effects be described in terms of certain key variables: magnitude, duration, rate of change, location, and who is involved. If gross statistics are kept, magnitude can be estimated. However, to answer the rest of our concerns, data on conditions and effects must also be kept according to time of occurrence (for measuring duration and rate of change). They need also to be kept according to agency unit (for location) and according to people involved (who is involved). For example, each instance of turnover should be recorded under the individual's name, job classification, agency unit, and date of separation. With data stored this way, gross turnover statistics for the agency as a whole can be compiled; and, also, gross statistics can be broken down and used to assess duration, rate of

change, location, and who is involved. Data not stored in a fashion allowing for disaggregation by time, individual, and work unit cannot be effectively used to describe conditions and effects as required by the diagnostic model.

DIAGNOSTIC SURVEYS AS A SOURCE OF INFORMATION

The three diagnostic surveys presented earlier (Climate, Personnel Practices, and Environmental) also provide a wealth of information for diagnostic purposes. The climate survey in particular allows for the tapping of employees' perceptual and affective responses about work-force conditions. Too, many items in The Climate Survey solicit employee opinions about the effects of these conditions; and in some cases employees are asked to venture opinions about the causes of various conditions. For example, the section on turnover asks employees to identify both effects and presumed causes of current turnover levels. Although The Climate Survey taps opinions rather than facts, climate survey results can be examined as part of the process of identifying conditions that may pose potential problems as well as identifying possible effects and causes.

The Personnel Practices Survey requires factual information about the nature and bases of personnel actions in the agency. Whether the rules governing personnel actions and personnel administrative procedures are informal or are formally stated, the Personnel Practices Survey asks respondents to consider what actually takes place. Analysis of responses to the Personnel Practices Survey can help in establishing whether a particular personnel practice assumed

to be a cause of a particular work-force condition is actually practiced in the agency. Too, as the Personnel Practices Survey is organized roughly to follow the stages of personnel administration, responses to the survey can be analyzed to trace through causal chains, identifying one or more areas of practice that may account for a particular work-force condition.

The Environmental Survey provides summary information on the nature of relationships between the agency and its environment. Factors addressed in the Environmental Survey include the amount of and the nature of interactions between the agency and other public agencies and actors. The impact of environmental variables such as crime, the economy, budgets, and so forth on work-force conditions are also examined. Responses in these areas can be assessed to provide additional input to the process of defining both effects and causes.

GROUP PROBLEM DIAGNOSIS

Group information gathering, information assessment, and decision making are not without problems. Groups are notorious for wasting time, for being dominated by a few vocal individuals, for getting side-tracked, and for reaching decisions that sometimes appear idiotic on reflection. The well-known cartoon of a camel that has been designed by a committee reflects this distrust of group processes: The camel has three legs instead of four, its humps are on the bottom, and its head is at the wrong end. Presumably the group process for reaching consensus produced a few consensual errors. Yet, groups need not be unproductive or error ridden in their decisions.

making. The key to effective group process is organization, structure, and focus, the objective being to balance between maximizing the range of information considered and keeping the process focused. Structure and focus are not synonymous with premature closure of debate or inappropriate screening out of information or viewpoints.

The most widely known and used group processes in management are the Nominal Group Technique (NGT) and Delphi. Although there are many variations on these basic techniques, and there are other kinds of group processes, these two are relatively easy to comprehend and to use and are well suited for use with problem diagnosis. The Nominal Group Technique structures the group process in face-to-face settings. The Delphi Technique structures a group process in a situation where members do not meet face-to-face, are guaranteed anonymity, and exchange information through an intermediary. Each method has particular advantages and disadvantages. We will discuss these along with a description of each technique in a moment.

GROUP COMPOSITION

Both NGT and Delphi assume that group members are "experts" in some important respects (experts in the sense of being particularly informed and experienced about the issues that will be addressed by the group). The diagnosis of work-force problems requires a breadth of information that is best provided by a various membership. In one sense, therefore, the greater the number and kinds of people involved in the group process, the wider the range of expertise. Counterbalancing this, however, is the need to keep groups to a

manageable size. Those experienced with group dynamics suggest that the optimal size of a group is from six to twelve people. Below six, information tends to be lost, while above twelve, efficiency tends to fall off dramatically.

Each agency will need to determine who is best suited for group membership on the basis of the issues being discussed and the identification of individuals in the organization who are particularly informed or expert. Below, we suggest one general composition model for groups diagnosing work-force problems. This model can be adapted to fit the needs or environment of any particular agency. Nonetheless, there are substantial reasons (as indicated) for adopting a group composition model as follows:

1. One or two members of top management--individuals immediately below the level of agency head. This will permit direct access to the agency head in reporting group findings and recommendations. Also, this permits group access to information about the agency environment--information often best found at top management levels.
2. One or two individuals from the personnel and planning units of the agency. These individuals are likely to be the ones most informed about specific personnel practices and to have access to hard data about the agency work force and its performance.
3. One or two individuals from the middle-management or supervisory ranks. These individuals, occupying the crucial middle strata of organizations, are in particularly advantageous positions to bring both a downward-looking and an upward-looking perspective to the diagnostic process.
4. One or two individuals from the basic employment ranks. These individuals, performing at the basic service or work level, provide first hand information and perspective about problems that develop as the work force attempts to meet the agency's basic service missions.

5. Heads of major agency units or subdivisions. These individuals may be included generally, or as needed if work-force problems in a particular division or unit are being identified and assessed.
6. A representative of an employees' union or association. This widens further the perspective and information brought to bear from the lower levels of the agency.

Other individuals in the agency, not necessarily occupying these positions, may provide specific helpful information and perspective. And group membership may be deliberately changed regularly or as the issues being addressed warrant. The objective is to gain access to as much relevant information as possible about work-force conditions that may pose problems, and to understand as best we can what the effects and causes of these conditions are. Thus, it is less important that individuals occupying specific organizational positions be selected than it is that those with the most relevant information, or access to it, are chosen. The six recommended categories above generally provide the kind of people needed, but not necessarily. In a given organization, others in different positions may be better suited. In any case, when putting the group together, bear in mind the idea of keeping group size between six and twelve.

BASIC STEPS IN ORGANIZING GROUP PROBLEM DIAGNOSIS

The Group Facilitator. Someone has to organize the group and to provide a direction and set of objectives for it. Groups operating without a clear set of objectives and agenda and without a set of deadlines generally fail. An agenda for work-force-problem diagnosis can be structured following the dictates of the basic diagnostic model

presented by us in Figures 1, 3, and 4. The role of groups in the diagnostic process is pictured in Figure 2. That is, we begin with the identification of conditions, then move to the identification and weighing of effects, and finally to the identification and assessment of causes. In all of these steps, the facilitator seeks to broaden the information brought to bear and to achieve some group consensus about accuracy, priorities, and weights assigned to conditions, effects, and causes.

Choosing the Group Technique. The options we offer include the Nominal Group Technique (NGT) and the Delphi Technique. The advantage of NGT is that members may interact directly in a variety of ways. The disadvantage involves prima donna behavior--one or two individuals dominating in controlling information and determining the content of decisions and priorities. The advantage of Delphi is that membership anonymity tends to encourage both individual initiative in volunteering information and openness in accepting new ideas. The disadvantage of Delphi is that someone must act as mediator in passing information among participants; the mediator may exercise bias in doing so. More importantly, however, the exchange of viewpoints is limited to what is written down and transmitted among participants. Time to complete the group process is also increased with Delphi.

Although both methods have advantages and disadvantages, both have proven to be highly successful techniques for efficiently and effectively controlling group information gathering and decision making. The basic steps in each of these techniques are presented below.

NOMINAL GROUP TECHNIQUE

Step 1. The group is assembled, explained the purpose of the exercise, and given a question to answer. For example, the question may be: "What are the two or three most serious work-force conditions or problems facing this agency?"

Step 2. Group members are given time independently and silently to compose an answer, and to write it down.

Step 3. Answers are collated, redundancies eliminated, and the composite list of answers becomes the grist for further group discussion.

Step 4. One by one, each answer on the composite list is discussed. Answers are clarified, questions asked about each, and individuals may indicate agreement or disagreement with each.

Step 5. A preliminary ballot is taken on which each member is asked to prioritize a set number of the answers (e.g., "list the most important" or "list the three most important"). Priority setting may use criteria such as accuracy, saliency, and efficacy. Balloting is done silently, individually, and in writing.

Step 6. The vote is tabulated and reported to group members. Discussion ensues about the voting pattern and what it seems to mean. Additional discussion may take place whereby participants attempt further to influence group views before a final vote.

Step 7. A final vote on priorities is taken and tabulated. Voting is silent and independent. This becomes the final list of group-judged priorities.

DELPHI TECHNIQUE

Step 1. A list of individuals is identified. Group members are not told who other members are. A facilitator individually informs each member about what the purpose of the exercise is and provides a question or questions to be answered.

Step 2. Group members, working individually, provide answers to the question(s). Answers are returned to the facilitator.

Step 3. The facilitator collates answers, eliminating redundancies. A list of all answers to all questions is returned to each individual. Participants remain anonymous.

Step 4. Each individual is asked to rank order or to vote on the composite list of answers. They may also provide rationales for their vote. Votes and rationales are returned to the facilitator.

Step 5. The facilitator compiles the votes and rationales. A tally of the votes and accompanying rationales are returned to each individual. Participants remain anonymous.

Step 6. Participants are asked to reconsider their votes and rationales on the basis of the composite results. A new vote is taken and additional rationale or comment is requested of each individual. Participants return votes and rationales to the facilitator.

Step 7. The facilitator compiles the final vote on each question and adds a composite of participant comments. Final results may be returned to participants for their information.

APPLYING GROUP PROCESSES TO FIGURE 2

In Figure 2, there are several points at which group assessment and judgment are required. Specifically, they are required in each of the Steps 4 through 9 in the figure. The NGT and Delphi techniques are applicable in their entirety to each of these steps. That is, the seven steps in the NGT method or the seven steps in the Delphi method apply at each stage of the diagnostic process laid out in Figure 2. It is also possible to mix the NGT and Delphi methods as we move from Step 4 to Step 5 to Step 6 and so forth in Figure 2. For example, we may utilize a Delphi technique to complete Step 4 in Figure 2 and then utilize a NGT technique for the remainder of the Steps (5 through 9).

The decision about which group technique to use and at which stage is something to be determined by the agency. In choosing a technique, however, the advantages and disadvantages of each as earlier laid out by us should be considered. In particular, it should be recalled that NGT is particularly susceptible to having a few individuals control the information gathering and assessment. This may be particularly problematic when the issue being discussed is sensitive and some group members may feel too ill at ease to voice their views frankly. On the other hand, Delphi restricts the amount of interchange; this may be undesirable in situations where the issue being discussed is very complex and requires frequent and multiple interchanges among group members. The point is, however, that either method is acceptable and will help to control the group process.

MOVING BEYOND DIAGNOSIS

Once diagnosis has been completed, several key pieces of information should be available: (1) the nature of the condition or problem, (2) the effects the problem has on the agency and its personnel, and (3) the factors that have caused the problem and which of these factors are manipulable. Armed with this information, managers and planners are ready to identify alternative solutions and move toward the implementation of one or more of them.

The specification of solutions is a responsibility of management working within the agency's capabilities and constraints. Although we cannot specify solutions in this Handbook, we can specify a general set of questions, the answers to which will help guide the solution-generation process. These questions include:

1. Which of the factors causing the identified problem appear manipulable, and which of these are likely, if altered, to have the most beneficial effect on reducing the problem?
2. For each of the factors identified above, what are the alternative means available for eliminating or lessening the impact of these factors?
3. For each of the alternative means (possible solutions) identified above, what resources and technical expertise are required for implementation? Are agency resources and technical capability such to permit implementation of the alternative?
4. For each of the alternative means (possible solutions) identified above, are there any constraints or prohibitions imposed by the environment that would preclude implementation of the alternative?
5. Are any of the alternative solutions technically infeasible?
6. Are any of the solution options precluded by environmental forces? Are any unaffordable? Or, do any have only a minor or negligible effect on reducing the problem and its consequences?

Once these questions have been answered, one or more solution options can be chosen. Before implementation, however, one task remains: Review the selected solution option(s) to determine whether, on balance, the costs involved in implementing the solution are outweighed by the benefits achieved in problem reduction. This final determination is crucial because it informs us whether implementing the solution carries enough potential payoff. If not, perhaps there is nothing worth doing at the present.

In attempting to find solutions, a combination of group process and staff work can be used just as it was for problem diagnosis. Similar advantages pertain in doing so. Especially when engaging in attempts to isolate the various costs and probable benefits from each solution option, group give-and-take can be very informative. This is similarly true when attempting to identify possible external or internal resistance that might develop over certain solution options.

The key point, however, is that proper identification of solutions requires accurate problem diagnosis. Without good problem diagnosis, solutions will very likely be misdirected and ineffective. Furthermore, good problem diagnosis is very often suggestive of the necessary directions that solutions must take.

VOLUME II, PART 5

THE DIAGNOSIS OF HUMAN-RESOURCE PROBLEMS: AN EXAMPLE

This section of Volume II provides an illustration of the model for diagnosing human-resource problems presented and discussed in the previous section. The purpose of this illustration is to provide staff of planning units or personnel units with an example of a step-by-step application of the procedure. The steps will trace through an example from a state-level adult corrections agency.

We will first outline the basic characteristics of a fictional state-level corrections agency. We will describe the types of institutions under the agency's control and the approximate numbers and types of prisoners within the institutions. We will tell the numbers and types of personnel and characteristics of the personnel system. Finally, we will outline the administrative structure.

After describing this fictional agency, we will develop a detailed diagnosis of its problems. The process will center on the issue of turnover among correctional officers--an issue traditionally of serious concern to correctional administrators. The process will follow the nine-step diagnostic model and begin by looking at turnover from a commonsense or intuitive perspective. Then we will further define what about turnover is a problem, and give examples of how the staff of the personnel or planning unit interact with a "nominal group." We will illustrate the effects and causes of turnover and

come to sample conclusions about the importance of turnover as a problem. Finally, we will summarize some conclusions about turnover and offer possible solution strategies.

In order to make this illustration as realistic as possible, material has been drawn from actual experience in several state-level agencies, previous case studies, and empirical research that has examined the problem of turnover in state corrections agencies. The illustration is a composite, and is not intended to represent some actual agency, its personnel, or operations.

DESCRIPTION OF THE STATE DEPARTMENT OF CORRECTION

The State Department of Correction is a cabinet-level agency located in a moderate-sized industrial state. The director reports to the governor of the state, and the agency is under the administration of the executive branch of the government. The basic goals of the agency are twofold. First, the agency is responsible for housing and maintaining custody of all felons sentenced to the state's institutional system. Second, the agency is responsible for the rehabilitation or correction of these convicted criminals such that when they return to society after their prison sentences they live as law-abiding citizens.

The Department maintains eleven prisons or, as they are locally referred to, "correctional facilities." Four of these facilities are maximum-security institutions, four are medium-security, two are minimum security, and the remaining facility is for women. One of the four maximum-security facilities, Southern, is in a large city.

The other three maximum-security facilities are located in rural areas fairly far from any large city. All of the maximum-security facilities are large fortress-like prisons built in the mid to late 1800s.

On the other hand, the medium- and minimum-security facilities are much smaller and located near small to medium-sized cities in the state. Besides where they are and how big they are, how new these facilities are makes a difference--they were all built since the late 1940s.

Convicted felons who are sentenced to the State Department of Correction have been convicted of a wide variety of crimes (of course), but most are in for serious property crimes or crimes of violence. Repeat violent-offenders are generally sent to the maximum-security facilities, while most of those encountering the correctional system for the first time, or those convicted of minor offenses, are sent to the medium-security facilities. The minimum-security facility is generally reserved for those of minimum risk who are approaching the end of their sentence.

Overall, in 1981 the State Department of Correction housed about 10,000 convicted felons (known as "clients" by the Department) on any given day. This average daily population is about 3,000 over normal bed capacity although the biggest over-crowding is at two of the maximum-security prisons, Northern and Western.

The State Department of Correction is supposed to meet its goals of custody and rehabilitation with a legislatively appropriated budget of about \$110 million per year (1981). Most of this appropriation goes toward payroll commitments, which total about \$75 million. This

figure includes salaries, wages, and overtime. An additional \$15 million is allocated for employee benefits. The remainder of the \$110 million is for inmate services--maintenance, training, administration, and so forth.

There are about 4,000 authorized personnel positions within the Department, although in 1981 only about 90 percent of these positions were filled. Half of the employees are guards or correctional officers; 1,400 are treatment and prison-industry personnel; and the remainder are administrative personnel.

Ninety percent of the employees of the Department are appointed under civil service rules and regulations. These requirements and appointment lists are developed by a separate State Department of Civil Service, although the ultimate employment decision rests with the individual institutional wardens. The remaining ten percent of the employees are administrative appointments, generally at the upper level of the agency.

Correctional officers and the prison-industry personnel are represented by a national union. This union has been granted exclusive collective-bargaining rights for these employees. Treatment personnel, on the other hand, are not represented by a union.

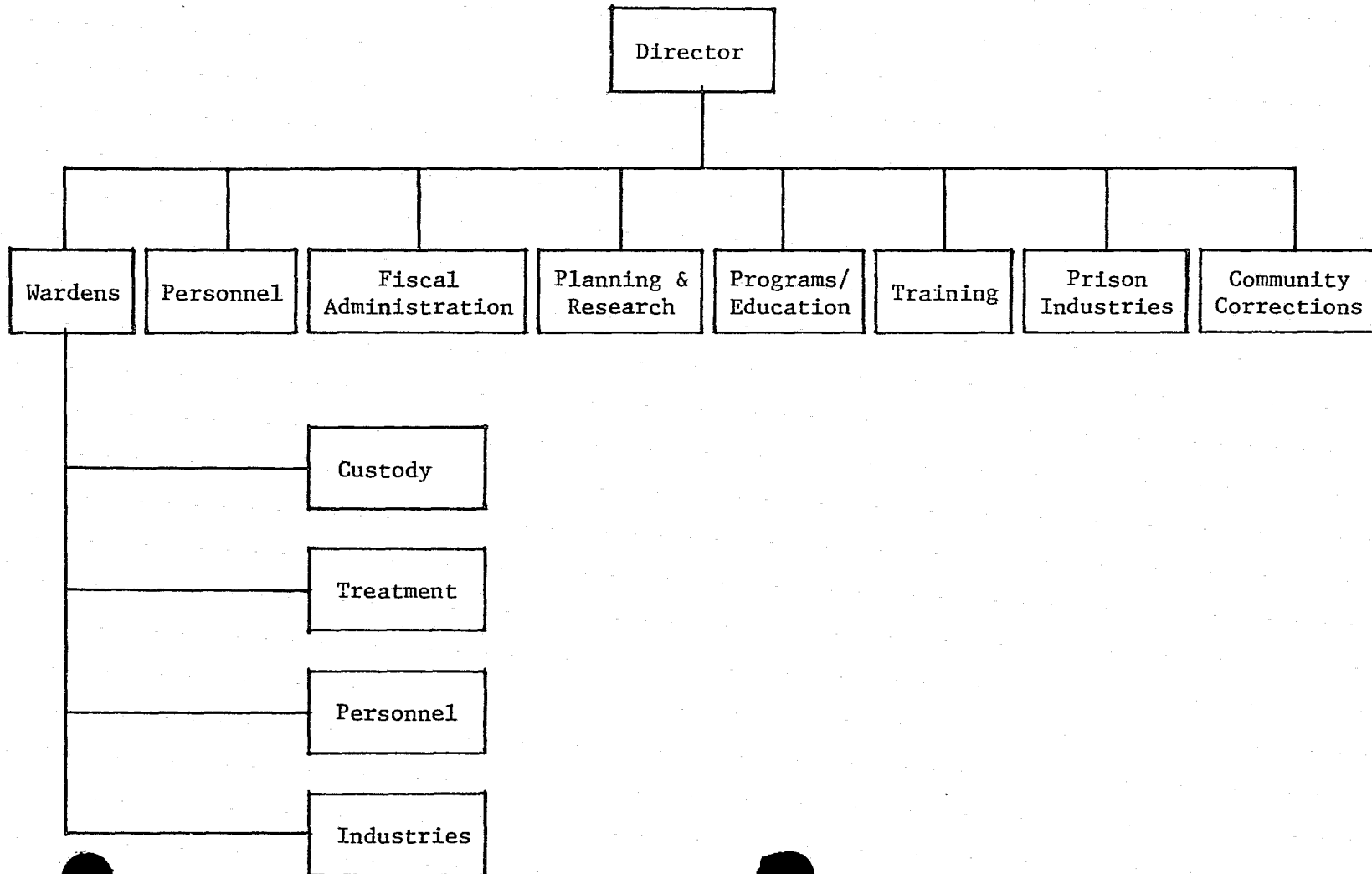
As a result of vigorous union activity to increase wages during the past five years, correctional officers and prison-industry personnel enjoy salary and benefit levels roughly comparable with other state agencies such as mental health or juvenile services. The treatment staff, while not being formally represented, get salaries and benefit

comparable to other state employees' of similar qualifications. As can be seen in the following organizational chart, the Director of the Department of Correction has eight basic organizational units subordinate to him. As can be seen in this chart, the major units under the director are broken down into main-office administration and the individual institutions. Main-office administration includes several subunits: the Personnel Office is primarily responsible for recruitment and for the handling of personnel problems such as grievances and union relations, all under the guidance and regulation of the State Department of Civil Service. Fiscal Administration prepares, audits, and monitors all agency money. Planning and Research prepares long-range plans, does program evaluations, and conducts specific research projects. Programs and Education supervises and gives technical assistance to local institutions in their educational and other types of rehabilitative programs. The Training Unit conducts initial pre-assignment training for all new employees. Prison Industries provides supervision and guidance of individual institutional programs in order to make the Department as self-sufficient as possible. Besides, by providing meaningful work and training, industries are also supposed to help rehabilitate inmates. Community-Based Corrections is only a small unit within the Department, but nonetheless this unit supervises and administers a number of halfway houses and pre-release centers. Finally, individual institutions are under supervision of separate wardens.

Under the wardens are such individual units as Personnel, Industries, and so on. This is particularly important since the warden of each

FIGURE 1

ORGANIZATIONAL CHART



institution reports directly to the director and is not administratively responsible to any other unit or individual. Furthermore, each warden technically has individual ability to operate local personnel systems independently, at least as far as is allowed by civil service regulation and the policy of the director. This is important since the individual wardens can directly influence the types of personnel selected for their own institutions.

In order to identify and to assess current operational and policy problems within the organization, the director conducts bi-weekly administrative meetings. These administrative sessions include heads of the various organizational units, except for the institutional wardens.

They are not regularly included because of the costs and time associated with travel from the different facilities--most are quite distant from the main office located in the state capital. Instead, the director holds a separate meeting once a month with the wardens. Occasionally, other key administrative personnel are included in these warden meetings, depending on the nature of the issues to be discussed by the director with the wardens.

PROBLEM IDENTIFICATION

Over the past few years the director had voiced concern about growing violence during the summer months. This violence had taken the form of increased inmate assaults, particularly in the maximum-security institution. Because of these increases, he had come under pressure from the legislature and the media to improve the situation. So, early in 1981 he decided to focus one of his monthly meetings on making preparations

within the various facilities to improve the situation that coming summer. He felt this issue was particularly important since a number of his administrative and supervisory staff had suggested that if something were not done in preparation for the summer, a major riot was not only possible but likely. So, to open discussion with the wardens, the director began his February meeting by asking, "What can we do to reduce the violence we've been having in the summers?"

The initial discussion focused on a number of possible preparations that different wardens viewed as important. For example, one of the wardens suggested that increased security would be necessary, which he felt meant increasing custodial staff and reducing the number of correctional officers on vacation. Another suggested that in-service training of officers was important, particularly in riot control and surveillance procedures. Others suggested reducing overcrowding, transferring troublesome inmates, increasing recreational opportunities, and so on.

But the discussion turned away from such ideas when one of the medium-security wardens pointed out that not all of the institutions experienced such violence. He noted, for example, that his institution had few such problems. It seemed that Northern accounted for most of the violence. Northern's warden agreed, but commented: "What do you expect? On any shift during the summer, as many as 25 percent of my guards don't even bother showing up for work. Not only that, but I lose a large proportion of new officers after they've barely begun working. They just up and quit on me. With these absenteeism and turnover problems, my supervisors can't even insure that our custody positions will be

filled for a shift. If we can't man the positions, it's not surprising that custody suffers and violence increases at Northern, is it?"

Another warden from a medium-security facility pointed out that there were probably a lot of other factors that contributed to the violence. That is, absenteeism and turnover could not by themselves explain the assaults. However, he also felt that turnover and absenteeism were quite serious problems for the agency and that something should be done about them.

The discussion then moved from violence itself to a more specific discussion of the conditions of turnover and absenteeism. Several of the wardens expressed concern about serious understaffing due to absenteeism. Furthermore, most, although not all, of the wardens were very much concerned with turnover in that they felt that, nearly as soon as they broke in new guards, these employees would resign and go on to other positions elsewhere in the community. It was also agreed among the wardens that if these personnel problems could be alleviated, much of the violence itself would subside. That is, they felt that violence in and of itself was not the problem so much as maintaining experienced staff who would consistently show up for their assigned shifts. Indeed, if this were possible, adequate security could be maintained and violence would be reduced. Some of the wardens suggested that because of the turnover problem they often had very inexperienced officers manning very sensitive positions. Without officers with the necessary experience, security was often lacking and assaults and other misbehavior by prisoners was all the more likely.

The meeting concluded with the director agreeing that it was possible that a goodly share of the violence problem was traceable to the absenteeism and turnover conditions. He would have the personnel and planning units of the main office check into the situation more fully to see what, if anything, could or should be done about turnover and absenteeism, and to determine how serious a problem they were.

At the next scheduled main office bi-weekly meeting the director summarized the discussion that he had had with the wardens and asked his other unit supervisors whether they thought further investigation of the perceptions of the wardens was really warranted. The training unit supervisor was the first to concur that turnover was a serious problem. He concluded: "That's one of our biggest problems. We go to all the time and trouble to get new officers trained for the job, send them off to the institutions, and before we know it, they quit. We seem to be spinning our wheels in training. What we need is better selection of new officers so that we won't be wasting so much time and money training people who will never use what we teach them."

The supervisor of the Personnel Unit disagreed with the training supervisor, insisting that he was trying to recruit the best-qualified people he could--but the real problem was that they weren't adequately prepared for what they were going to be asked to do in the institutions, which meant they became frustrated or disillusioned, and quit. A heated debate followed between these supervisors about who was really at fault for absenteeism and turnover.

The debate was interrupted by the supervisor of the planning unit:

"Before we try to fix blame here, I suggest we try to figure out whether turnover and absenteeism are really problems. If so, we can get to causes and effects afterwards--not now!" The director concurred and suggested that the personnel and planning units get together and begin analyzing whether these two conditions really were problems, as suggested by the wardens, and if so, lay out a strategy to find out how they could be solved. Their initial conclusions would be presented at the next scheduled main-office meeting in two weeks.

As can be seen thus far in the illustration, the identification of absenteeism and turnover as agency problems was intuitive. The wardens and director looked at these conditions on the basis of experience and vague notions of cause and effect. Yet their understanding of these conditions was not documented or substantiated. From such a point, then, the diagnosis model may be implemented, to move from intuition to realistic assessment.

STEP 1: EXAMINING EXISTING INFORMATION

After this meeting, the supervisors of the planning and personnel units met to map a strategy for documenting turnover and absenteeism more specifically, with the objective of presenting hard information at the main-office meeting, in two weeks. At that point a strategy for group input into problem diagnosis could be devised and implemented if further diagnosis seemed unwarranted. It was further decided that the supervisor of the planning unit should act as spokesman and group facilitator, if

that were later necessary, since the personnel unit supervisor had already become emotionally involved in the discussion with the supervisor of the training unit.

At this point, then, the two supervisors were entering into the human-resources problem-diagnosis model at step one, condition identification. In order accurately to identify absenteeism and turnover as conditions, three sources of information would have to be tapped: results of the diagnostic surveys, existing agency records, and opinions of administrative and supervisory staff in the various institutions.

The two supervisors first turned to the results of the climate survey that had been recently administered. Overall, personnel in the Department had suggested under the Manning Level section of the survey that there might be some problems with absenteeism. In particular, a significant proportion of those surveyed had indicated that staffing levels were not sufficient to accommodate fluctuations due to sickness and other absence (Question Number 3).

In addition, the survey results suggested that turnover might be a problem worth further investigation: A significant proportion of the employees responded to the Employee Retention portion of the climate survey by suggesting that turnover did cause serious problems for their work units. Good people were leaving, performance was being threatened by turnover, and many additional employees were considering leaving the agency.

So, looking just at the summary results of the climate survey, personnel throughout the Department had voiced some concern about low

manning levels due to absences and about the effects of turnover on performance and the retention of personnel.

Existing agency reports about absenteeism and turnover were summary in nature in that they were only tabulated yearly for the annual report. However, more detailed data existed: each time an officer was absent from work, an entry was made in his computerized personnel file. This entry cited the day, the institution, and the reason for absence, whether it be for vacation, illness, or something else. Entries were also made whenever officers terminated their employment. This entry cited the day, the institution, and the reason for termination, either resignation or firing. Regretably, exit interviews were not conducted, and so the actual reasons for resignations were generally not available. Summary breakdowns of absenteeism and turnover could be developed through computer-programming efforts by the planning and research staff. However, since it had not yet been decided to enter into full-scale diagnosis of problems, it was decided that the yearly reports, which were readily available, should be relied on. About turnover, the 1980 yearly personnel report stated that 22 percent of the correctional officers left employment. The reasons for leaving the job, however, included retirement, resignation, and firing as well. Besides, this turnover varied considerably from institution to institution. For example, the minimum-security facility reported that only 6 percent of its officers had left employment during 1980, while at Northern 56 percent had left for one reason or another. Past yearly personnel reports showed, too, that turnover overall had risen sharply in the past few years and appeared to be the highest during the years

when the institutions experienced the most violence and disturbances.

On the other hand, absenteeism appeared to have remained relatively constant over the past few years, at an approximate rate of about 10 percent on any given shift (again according to the yearly personnel reports). However, there was some variability in that on the average the medium and minimum-security facilities reported only about 5 percent absenteeism per shift, while the maximum-security facilities went much higher--as high as 21 percent at Northern.

The last sources of information were the administrative and supervisory staffs at the various institutions. Since the personnel and planning units were only concerned at this point with identifying the conditions of turnover and absenteeism, it was decided that a simple telephone survey of a sample of administrators and staff would be sufficient to provide additional insight into these conditions. Thus, members of the planning and research staff called each of the facilities and briefly interviewed institutional staff about their concerns with turnover and absenteeism. The interviews were open-ended in the sense that the planning and research staff merely asked each of the institutional staff the following questions: "How extensive are turnover and absenteeism at your facility?" and "How do turnover and absenteeism affect the day-to-day operation of your facility?"

After completing the interviews, the planning and research staff compiled the various comments into summary statements about the perceived volume of turnover and absenteeism, as well as the perceived impact of these two conditions. It was found that most of the administrators and

supervisors at the institutions felt that absenteeism was unnecessarily high at their facility. Turnover was not seen as much of a problem at some medium-security facilities, but among personnel at the other facilities it was considered far too high, particularly at the maximum-security facilities. Both turnover and absenteeism were thought seriously to affect proper custody and security levels at the institutions. They also suggested that having a continuous influx of new and inexperienced workers made security and custody far harder than it would be with more experienced officers.

Interviews were also held with the main office program director and the training director to gain their perceptions about turnover and absenteeism. The program director could not specifically speak to the volume of turnover or absenteeism at the facilities but she was very much concerned that where there was much turnover or absenteeism, they might seriously affect the ability of educational and counseling personnel to run their programs. As an example, she suggested that when there weren't enough officers to provide security in the school programs, the programs had to be cancelled for the day, since the teachers were unprotected. Nor could the training director specifically address the question of volume, but he felt that turnover had serious consequences for his unit too, in that they had continuously to schedule and to operate training sessions for new employees--at great expense.

After compiling these various pieces of information, the planning director and the personnel director summarized the conditions of absenteeism and turnover as follows:

Absenteeism levels have remained fairly constant over the past few years although there has been some variation from institution to institution.

Absenteeism is thought to have serious consequences in institutional security and custody.

Absenteeism is thought to have serious consequences in the operation of rehabilitative programs.

Turnover levels have risen dramatically in recent years and appear to be highest during the years when there have been institutional disturbances.

Turnover is thought to have serious consequences in institutional security and custody.

Turnover is thought to have serious consequences in the training of new personnel and in the operation of rehabilitative programs.

After compiling and analyzing this preliminary information about the conditions of absenteeism and turnover, the two supervisors came to the view that a much more detailed and intensive full-scale problem diagnosis should be launched. The one obvious question that they faced, though, was that of existing agency resources: Did they and the rest of the main office have enough resources to explore these two conditions more fully? The personnel supervisor pointed out that the planning and research staff were available for detailed analysis; and the current personnel record-system could provide most of the necessary information. So, he felt that the main office would not have to commit major new resources for further problem diagnosis. The planning director also noted that if these conditions were linked to violence in the facilities, as was suggested, then the possible costs associated with a full-scale diagnosis were far outweighed by the possible benefits from avoiding such problems. So, the two supervisors decided that the main office

had sufficient resources and that there was a high enough likely payoff for them to recommend full-scale diagnosis.

The future implications of a full-scale diagnosis were somewhat less clear, however. Even if they did proceed with the analysis, they were unsure whether or not any problems could ultimately be resolved. For example, as the personnel supervisor pointed out, if it were found that turnover was a serious problem caused primarily by perceptions of poor salaries among officers, the department could not take it upon itself to raise salaries to alleviate the problem. However, the planning supervisor suggested that it was still worth investigating the conditions more fully, that causes could be more systematically identified--some of which might be internally derived and controllable, and hence subject to alteration.

In addition, both supervisors felt that the problem diagnosis could have important consequences not only for the individual institutions but also for other key administrative elements in the department. For example, the Training Unit and the Budget Office, as well as other external units such as Civil Service might well benefit from such a full-scale investigation. The kinds of information that would be generated from this process could point out possible improvements in these other areas even if it was found that turnover and absenteeism were not serious problems at all.

On the agency's two primary goals, it was apparent from the telephone interviews at least that turnover and absenteeism might be having a detrimental effect. A large cross-section of the personnel in the

agency had suggested that these conditions were seriously affecting security and custody in particular. Also several people had mentioned that the inexperience of the staff was having a negative impact on rehabilitative programming. So, full-scale analysis might lead to improved agency effectiveness in attaining its goals. If absenteeism and turnover could eventually be reduced as a result of the diagnosis process, then security and custody might be improved and rehabilitative programs could be operated more consistently.

Given the proposition that these conditions might be linked to institutional violence, it was also apparent that diagnosis of these conditions as potential problems implied that some solution to them was urgent, since spring was approaching and most violence occurred during the summer months. Again, however, it was unclear whether or not turnover and absenteeism were the only things contributing to the violence. This would be sorted out more thoroughly as a part of the diagnostic process.

The full-scale diagnosis was not without negative implications. The Personnel Supervisor was particularly concerned with the union leadership's sensitivity to the control of absenteeism. Some union members in the past had suggested that because of the union contract, members had the right to use their allotted number of sick days, whether they were sick or not, without interference from the administration. Full-scale diagnosis might be perceived by the union as a threat to their position concerning the contract. For example, past attempts to reduce "malingering" by certain officers had been met with grievances and threatened job actions by the union.

The planning supervisor also noted that full-scale diagnosis leading to problem solution might create other irreversible problems for the department. In particular, he was quite concerned that if turnover could be brought down to low levels, the department might end up with a sizable number of poor employees who normally would have left. That is, some of those who quit are employees the agency wants to leave. If the diagnosis and resulting solutions meant that these people stayed with the department longer, another problem would be created, one that could become very serious in itself. While the agency did not have hard data on this potential problem, it was possible that lazy or otherwise poor performers would be retained and they might create additional problems for the agency.

On balance, however, the two supervisors decided that they should recommend a full-scale diagnosis for the following major reasons:

(1) summary information appeared to suggest that there might be significant costs associated with turnover and absenteeism; (2) both of the agency's primary goals--custody and rehabilitation--might be threatened by these conditions; (3) the agency had the resources and the expertise available to enter into full-scale diagnosis; (4) there were public relations advantages to such a diagnosis, for if violence could be reduced, media and legislative pressures might let up; and finally, (5) employee performance might be improved and stabilized. These advantages far outweighed the possible negative outcomes of the process, principally union sensitivity and retention of poor employees.

At the next staff meeting, the planning supervisor recommended that full-scale diagnosis should be approved and implemented as soon as possible.

Given the apparent importance of looking more intensely at these conditions, the rest of the staff of the main office readily agreed with this recommendation, as did the director. The director gave orders to proceed immediately and to utilize whatever agency resources were necessary to bring the diagnosis to a timely conclusion. He also told the two supervisors that he would inform the institutional wardens at their next meeting that a full-scale diagnosis was underway and would ask them for their complete cooperation with the investigation efforts of the planning and personnel offices. Complete diagnostic reports were to be presented at the first main staff meeting after the diagnosis was finished. However, "this diagnosis should proceed as quickly as possible, given possible implications for the summer."

At this point, problem diagnosis has proceeded from mere intuitive discussion to a preliminary identification of two conditions that could be problems for the agency. The planning and personnel units had examined existing agency information, producing summary results from the surveys and from administrative data sources. As a result, the decision had been made to proceed with full-scale analysis. Thus, the diagnostic process was poised to enter into the second step of the model.

STEP 2: ASSEMBLING THE "NOMINAL GROUP"

After completing the first step of the diagnostic model--identifying conditions as potential problems--and having received approval to proceed, the personnel and planning supervisors next had to assemble a problem diagnosis group (step 2).

The first question the two supervisors had to resolve before actually assembling such a group was what type of group technique should be used. At least two types of group techniques (discussed in the previous section) are available under the human-resource planning model: the nominal-group technique and the delphi technique. Since there appeared to be some urgency for resolution, it was decided that a nominal group was preferable because it would allow for a number of key personnel to be assembled in a short time, and for a wide range of inputs to be obtained relatively quickly.

The type of group technique having been decided, the next question was: who should be members of this diagnostic group? The personnel supervisor recognized that both he and the planning supervisor had to be included in the group. Furthermore, he reiterated his opinion that the planning supervisor should be the group facilitator because of his previous conflict with the training supervisor. The planning supervisor agreed but also noted that since the training supervisor had previously offered important input on these conditions, particularly concern over the impact of turnover, he should also be included. The personnel supervisor agreed but noted that several claims had been made about fiscal outcomes and effects of these conditions, none of which had been substantiated with hard data. Perhaps then, a member of the budget office should also be included as a member of the group. Not only that, but since the union leadership might be sensitive, the personnel supervisor suggested that a union official be included in the group. It was hoped that union input from the beginning of the process would minimize resistance to the restrictions later to be adopted.

Furthermore, since the problem conditions were initially identified by the wardens, it was decided that at least two wardens should be included. It was apparent that absenteeism and turnover were much greater at Northern, and so the perceptions of Northern's warden were thought to be very important. However, since there also appeared to be some significant differences between institutions, another warden from a medium-security facility would be included as well.

The personnel supervisor pointed out, however, that while the wardens' perceptions would certainly be worthwhile, another prime source of information about possible causes and effects of these conditions would be the first-line supervisors. The sergeants and lieutenants had to deal with these two conditions daily and thus might have more insight into them. Thus, two first-line supervisors were to be chosen, one from Northern and another from a medium-security institution. These two first-line supervisors were chosen because of their previous input in personnel matters and their reputations for being outstanding supervisors in their institutions.

A wide variety of other people were discussed as potential members of the problem-diagnosis group, but since the group had already grown to nine people, it was felt that further members would make the group too large. So the following personnel were to comprise the nominal group for the further diagnosis of the conditions of turnover and absenteeism:

Personnel Supervisor
Planning and Research Supervisor
Training Supervisor
Northern Correctional Facility Warden
Medium-Security Correctional Facility Warden
Union President
Budget Analyst
Second-Shift Lieutenant (Northern Correctional Facility)
First-Shift Sergeant (Medium-Security Correctional Facility)

It was felt that this group of personnel represented most of the levels of the Department and could be thought of as having the best combination of expertise and experience with turnover and absenteeism.

Next, the planning supervisor, acting in the role of group facilitator, contacted each of the members of the group personally. The objective was to describe the purpose of the group, the expectations about what was to be accomplished, and why each of them had been chosen. In addition, they also were given the opportunity to ask any initial questions they might have about the diagnostic process and their individual responsibilities in that process.

After this initial personal contact, a memorandum was prepared under the department director's signature telling each of the members the time and place of the first meeting at the main office. The memorandum also repeated the purpose of the group meetings and described what was supposed to be accomplished during the first meeting. Attached was a several-page summary report of the previous findings from the diagnostic surveys: the summary of year-to-year trends in turnover and absenteeism, and the summary report of the telephone survey.

After the members of the group got the memo some problems emerged. Several responded that the day and time set aside for the meeting was

inconvenient to them for a variety of reasons. For example, the Northern warden said he could not come that day since he sat in on parole hearings at that time. The union president also was quite firm about having the day changed since that was one of his days off. The budget analyst said he couldn't see what he could possibly have to say about personnel matters. It was apparent then that there was some resistance among several members about participating.

However, the director thought that this diagnosis was of significant importance to the overall agency. After he was told about these responses, he sent out a second memo telling the members that this assignment was to take precedence over all other duties. Reimbursement would be made for lost days off, alternates were to be appointed to fulfill normal duties and, in short, the members were to attend all regularly scheduled meetings. Absences were only excusable by the director's personal approval. Ordering the members to attend the meetings of course could seriously reduce voluntary contributions in the meetings. However, the planning supervisor felt that he could encourage participation through facilitation efforts on his part.

After the director's intervention, open resistance disappeared, although the planning supervisor was still very much concerned about potential resistance once the meeting took place. However, now that the second step of the model was complete (that is, the group was assembled), the process proceeded to the third step. In the third step the group would have to decide what precisely the characteristics of turnover and absenteeism were. Then, and perhaps more importantly, they would have

to decide which of the two conditions were most important and required further diagnostic treatment. This then, was to be the purpose of the first meeting.

Thus, the problem-diagnostic process had moved from initial identification of conditions to formally choosing a group technique and who would make up the group. According to the model, the process should now enter the next step: group consideration of conditions.

STEP 3: GROUP CONSIDERATION OR CONDITIONS

The group facilitator was the planning supervisor. He began the first meeting by briefly summarizing why the group had been formed and what was to be accomplished. Then he reviewed the summary information that had already been sent to the members. Since absenteeism and turnover were distinct conditions, he felt that they should be treated separately in the initial discussion. To begin discussion he focused on absenteeism as a potential problem: "On the basis of the information thus far provided, along with your own experience, do you think absenteeism is an important problem facing the department?" A brief discussion among the members of the group followed, but it was apparent that most of the members had given little thought to the reasons why they felt absenteeism was or was not a problem. So the planning supervisor asked the group to cast silent votes on their position and then to indicate in detail why each had voted in that manner.

A silent vote was taken: four of the members thought absenteeism was a problem, four that it was not. One person abstained. To lead

off the discussion the planning supervisor first outlined his reasons for voting yes. The primary reason why he had voted yes was that the survey information had shown absenteeism made staffing custody positions difficult. This appeared to further jeopardize custody and security, which could increase the likelihood of violence. However, he also noted that the summary information showed that absenteeism varied somewhat from institution to institution and might be a major problem for only some of the facilities.

The warden of the medium-security prison responded to the planning supervisor's comments by agreeing that there was variability from facility to facility. In fact, he felt that absenteeism was really not much of a problem at his facility at all. His officers appeared to work regularly, and they were able to fill all posts on any shift. The sergeant from this prison affirmed this perception. He said that with one or two exceptions, he had had little trouble with officers' being unduly absent from the job. So since these two members of the group saw no negative outcomes due to absences at their facility, they both had voted no--absenteeism, they thought, was not a problem.

The Northern warden, on the other hand, was very much disturbed about the high levels of absenteeism in his facility. Since routinely he was shorthanded because of people calling in sick or devising some other excuse, he thought of absenteeism as a serious problem. The Northern lieutenant agreed: "Half the time I have to keep a number of officers from the previous shift on the job overtime in order to staff my custody positions at a minimum level."

The personnel supervisor noted that overtime concerns were part of the reason that he too had voted yes. In particular, the use of overtime to staff existing positions was very expensive for the department. With a lower level of absenteeism, a large savings could be made in the department budget because salaries were the biggest item on the budget--and besides, officers who worked overtime were paid at time and a half.

The budget analyst pointed out that an audit had not been done recently to see what savings could be made through reducing absenteeism. In other words, from a strictly budgetary perspective, he didn't really know whether absenteeism was a problem, and so he had abstained from voting. The argument he was making was that people were basing their opinions on hearsay and common sense again. There was a lot more to assessing the costs of these conditions than most of the other members of the group thought. For a full understanding of the costs of these factors, a detailed analysis of negative and positive costs needed to be made.

The training supervisor had also voted no, since absenteeism did not directly affect his unit. Furthermore, he felt that through the appropriate selection of personnel this condition could be eliminated anyhow.

Finally, the union president said that little could be done about absenteeism. "It's part of the contract that correctional officers can take off as many sick days as they've earned. The administration has no business trying to force them into coming to work if they're sick. If a large number of officers are sick at such facilities as Northern,

maybe the administration should look into why that's happening instead of trying to take away rights granted under the contract."

The personnel supervisor responded that taking away employee benefits was not the purpose of the diagnostic group nor of the administration in general. All that the administration was trying to do was see whether absenteeism was a problem for the agency.

After this discussion, the planning supervisor then turned the group's attention to the issue of turnover, asking for an initial discussion on whether turnover was a problem for the agency. After brief discussion, he called for a vote. This time the vote was six yes, two no, and one abstention.

The planning supervisor started the discussion by pointing out that turnover had risen significantly in recent years and appeared to be related to disturbances in some of the institutions. Because of the concerns raised in the telephone survey, too, he had voted yes about turnover being a major problem.

The Northern warden agreed with the planning supervisor about the increases in the levels of internal violence. Furthermore, he also pointed out that because of the high levels of turnover in his facility, the average tenure for cell-block officers was now only about fifteen months on the job. Having inexperienced officers in the blocks could be disastrous. "That was one of the reasons for Attica. The older, experienced officers got out of the cell blocks, leaving only the younger and newer guards in charge. That, if you remember, was one of the things the Commission cited as contributing to the riot there back in the early seventies. "

The Northern lieutenant agreed, saying that his day-to-day job was much harder with the high levels of turnover--he just didn't have as many good men to go around and often had to rely on people with little or no experience to man difficult positions. He told about something that had happened the summer before, when he had to put a brand new officer in charge of the food line in the dining hall. The new man had no experience working in the food line and really didn't know how to manage the large number of prisoners there. As a result, some of the prisoners began taking advantage by cutting into line, which led to several fights breaking out. This, he concluded, could all have been avoided if he could have put a veteran officer in such an important position.

The sergeant, on the other hand, said he had not experienced such problems with turnover--and that is why he was one of those who voted no. He said that his staff had significant experience on the job and that he had very little trouble assigning senior officers to the more difficult posts.

The medium-security warden had also voted no to the question. His rationale was similar to the sergeant's. While there was some turnover, it did not really, in his opinion, seriously affect his day-to-day operation.

The personnel supervisor suggested, though, that turnover was indeed a serious problem when viewed from an agency-wide perspective rather than from that of just a single warden or first-line supervisor. At the main office it was quite costly and time consuming for the personnel office

continually to recruit and to try to fill vacant positions. In fact, he noted that at any given time they were always about 10 percent below filling all of the allotted positions, despite ongoing recruitment efforts. The training supervisor noted that he had to run ongoing basic training classes, which were a big expense because of the high levels of turnover. The union president thought that turnover was a problem too for some of the officers. But he suggested that these high levels of turnover were probably due to administrative inaction and inappropriate policy--that being what should really be investigated.

Finally, the budget analyst said that he had abstained again: because while everyone had suggested there were large costs associated with this turnover level--recruitment training, and so on--no one had presented any facts to substantiate these claims. "We should really look at the books first before we go on jumping to these conclusions."

After discussion of both votes, the planning supervisor concluded that most members of the diagnostic group viewed turnover as a more important problem than absenteeism. The group was asked to consider this summary view.

This time the budget analyst began the discussion by reiterating that he could not really tell whether either one was a problem without a more intensive investigation into the direct and indirect costs associated with each. The personnel supervisor, though, thought that turnover was more important in that recruitment was made far more difficult if experienced personnel could not be retained. The planning supervisor pointed out that turnover had continued to increase while in fact absenteeism had remained fairly constant from year to year.

The Northern warden pointed out that the staffing problems resulting from turnover were far more important, since even if he were short-handed, he would rather have staff that was experienced. The lieutenant joined with the warden and suggested that if violence was to be reduced the department should pay close attention to how good and experienced officers could be retained. The training supervisor also suggested that turnover was most important since absenteeism did not directly affect his unit anyhow. The union president reiterated the union's position that absenteeism was not a problem, and so turnover was the thing the group should more fully look into. Finally, the warden and sergeant from the medium-security facilities reluctantly agreed that turnover was more important but again pointed out that it was a problem in only a limited number of institutions. Thus, in their opinion, further investigation should be focused on those institutions only.

At this point, the group had begun to narrow the definition of turnover by insisting that the group look at this condition somewhat more narrowly and precisely. The planning supervisor called for another vote: "Should we look at the condition of turnover itself more intensely at this point?" The vote demonstrated group consensus that turnover was perceived to be the most important condition thus far. "What then do we need to know to define the condition of turnover within the department," continued the planning supervisor. He was asking the group to outline the types of information necessary to going on to the next step of the diagnostic model: step 4--definition.

The personnel supervisor also called for a narrower view of what was being called turnover. In his opinion more needed to be known about the types of turnover the agency actually experienced. That is, was most of the turnover due to retirement, firing, or resignation?

The medium-security warden reiterated that more needed to be known about where and over what period turnover had been high throughout the agency. The planning supervisor added that he thought a more detailed month-to-month trend analysis should be made to define turnover more accurately. The union president added that he thought more needed to be known about the factors contributing to turnover and which types of personnel were more frequently involved. Finally, the budget analyst suggested that more needed to be known about the costs of the condition in order to define it properly. However, the planning supervisor pointed out that the real costs were in the effects, or outcomes on performance produced by the condition and that such information should be reviewed as a part of step 4.

In summary, then, the group suggested that in order to define turnover more accurately, they needed to know what types of turnover were being encountered by the department, where the turnover was most serious, who was involved, what the detailed trends had been and how long there had been such turnover. In other words, more needed to be known about the magnitude, duration, and location of turnover. The members of the group who had the information and expertise to evaluate the information for the group were the supervisors of the planning unit and the personnel office. The planning and personnel supervisors informed th

group that they would collect this information in time for another meeting to be scheduled as soon as possible. At the next meeting, then, the group could more specifically define turnover on the basis of this additional information. In the meantime, the planning supervisor instructed the rest of the members of the group to give some serious thought to what might be the specific and overall effects of turnover in the department and to think about the kinds of information that would be needed to understand effects more fully.

The diagnostic process had moved from the initial identification of some conditions to a decision to look more intensely at a single condition--turnover. To proceed, however, the group needs more information on magnitude, duration, change, location, and who is involved. Following collection and analysis of this information by the planning and personnel staffs, the group would then reconvene and proceed to the next step of defining the condition.

STEP 4: DEFINING THE CONDITION

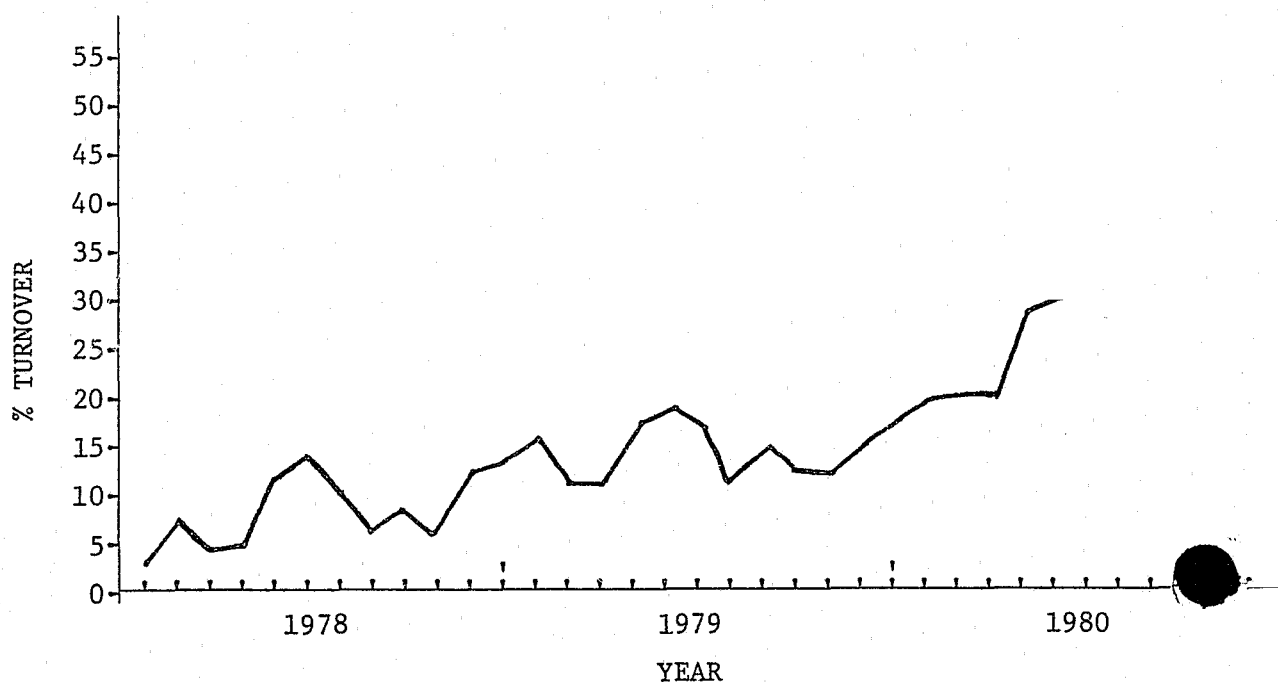
After the meeting, the planning and personnel supervisors decided that they should direct the planning and research staff to initiate computer programming to evaluate the trends in volume and proportion of turnover for the entire agency. They were directed to break down these data findings by type of institution, and by type of personnel involved in turnover. The personnel supervisor also noted that breakdowns should first look at the different types of turnover to see what form was really most prevalent. That is, were there more resignations, firings, or retirements?

The planning and research staff completed these tasks in a little over a week, coming to several conclusions in the process. First they found that retirement turnover had remained relatively constant over the past three years, and that there was little variation from institution to institution. Likewise firings, in that they were rather uncommon, comprised only a small proportion of the turnover in any of the facilities. Voluntary resignation made up the biggest part of turnover. So it was concluded that the focus should be on them.

In looking at the month-to-month trends for the entire agency, it was found that while there was some variation from month to month, the trend had consistently been rising for the past three years, as can be seen in the following figure.

FIGURE 2

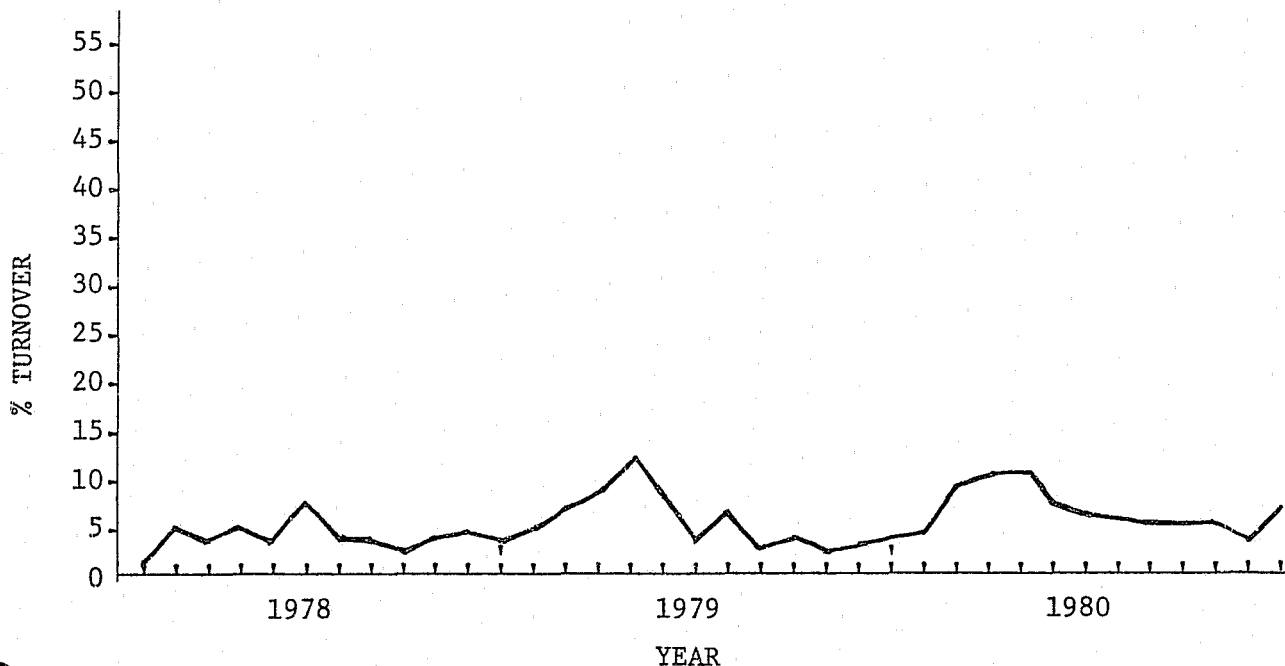
TURNOVER - ALL INSTITUTIONS



From this analysis of month-to-month trends, too, it was clear that turnover was typically higher during late spring and early summer than other times. Resignations had risen from about 5 percent of employees three years back to over almost 25 percent of the employees in 1980--a jump from about fifty employees a year to several hundred.

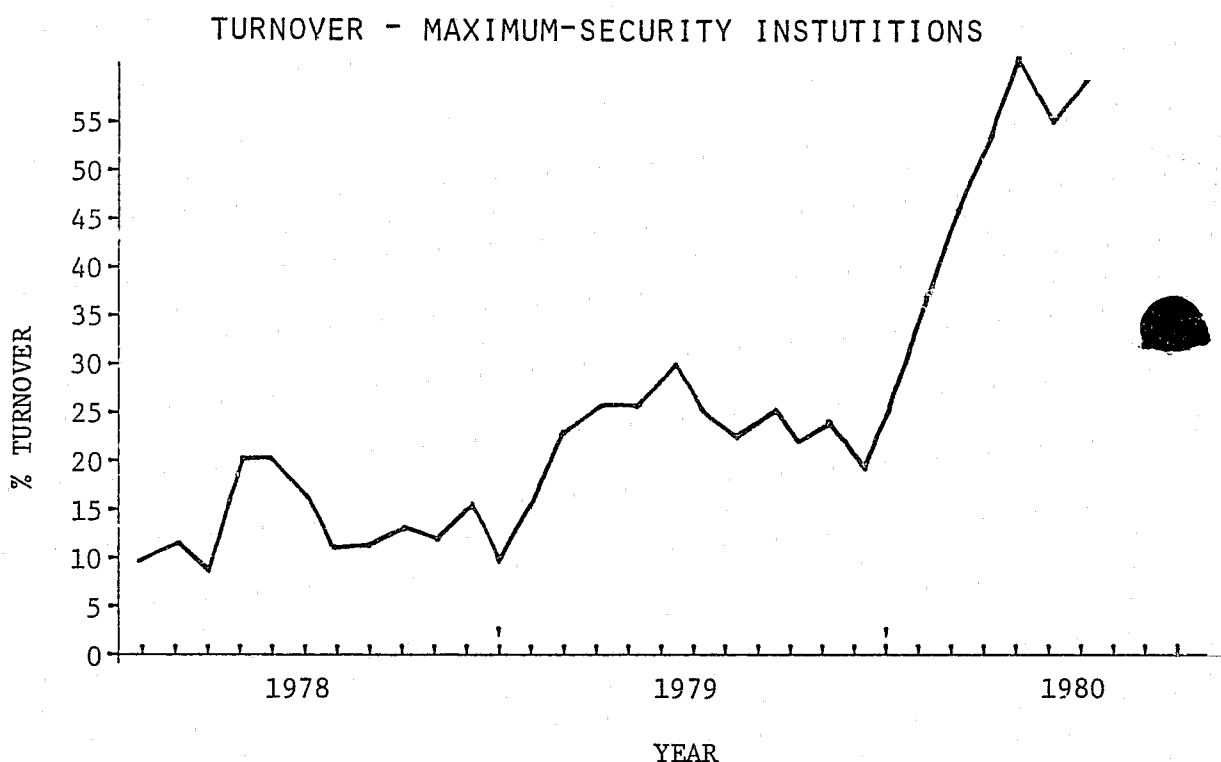
In breaking down these turnover trends by institution, it was discovered that turnover in minimum- and medium-security facilities had not changed much in recent years. For these institutions, as can be seen by the second trend graph, the turnover had increased slightly overall, but there was not much difference between the rate three years ago and the 1980 rate.

FIGURE 3
TURNOVER - MEDIUM-SECURITY INSTITUTIONS



On the other hand, in the maximum-security institutions the change over recent years was much more dramatic. Turnover in the maximum-security facilities had risen from about 3 percent three years back to over 50 percent last year. And again the levels of turnover were much higher during late spring and early summer.

FIGURE 4



It seemed clear that turnover was much more a serious situation in the maximum-security prison, as had been suggested by the medium-security warden. Further, the trends clearly indicated that the summer months were most serious.

Analysis was next focused on determining the types of individuals involved in turnover--who were the employees who resigned? The plan staff analyzed data on those who left on a year-to-year basis, looking

at race, age, residence, and education. Using the cross-tabulation analysis (discussed in the climate survey narrative) they developed the following general breakdowns.

FIGURE 5

TURNOVER BACKGROUND

		resign	stay
RACE	White	40%	70%
	Non-White	60%	30%

		resign	stay
PRIOR RESIDENCE	Urban	67%	30%
	Rural	33%	70%

		resign	stay
EDUCATION	High School	20%	60%
	1-2 Yrs. College	45%	20%
	2-4 Yrs. College	35%	20%

		resign	stay
AGE	20-30	75%	20%
	31-40	15%	20%
	41 and Over	10%	60%

As can be seen, over the past three years a much higher proportion of minority employees left than did whites. Further, employees who left tended to be younger, generally in their mid-twenties. Those coming from urban areas were also consistently more likely to leave, and those who had two years or more of college education.

In sum, the more detailed analysis of agency records suggested that analysis of turnover should focus on voluntary separations. Further, it appeared that overall the trend had been toward increasing numbers of

resignations throughout the department over the past three years. The maximum-security institutions accounted for most of the turnover, and the increasing trend had been much more dramatic there than at the other facilities. Minority employees were more likely to leave, as were the more highly educated, those from urban areas, and those who were comparatively young. This then summarized planning-staff analysis of existing agency records to define the condition of turnover in the department more specifically.

At the next meeting of the diagnostic group, the planning supervisor presented these findings and asked for discussion of them. The medium-security warden was first to respond by saying that he had previously noted that turnover was really a problem of the maximum-security facilities. The Northern warden agreed but pointed out that most of the inmates were housed in the maximum-security facilities, and most of the correctional officers were employed there as well. Thus in his opinion turnover was still a major problem for the agency as a whole. The lieutenant again noted that he found the difference in the summer months very interesting, given the increases in violence during those months when turnover was highest. The personnel supervisor said he was particularly concerned with the findings that minority employees left more often--this having serious implications for affirmative action efforts. The training supervisor was quite surprised with finding that the more educated left more often. However, the sergeant pointed out that many of the tasks the officers were called upon to perform were very dull--for example, sun tower duty--so perhaps less-educated

employees were better able to tolerate boredom. In addition, the training supervisor pointed out that the more educated probably were better able to find alternative types of employment. The Northern warden also said that he was not surprised by the finding that a large proportion of those who left the maximum-security facilities were from urban areas. Since most of the maximum-security facilities are located in rural areas, those types might have had a hard time adjusting to such a new environment.

After reaching consensus that these facts presented a relatively objective picture of turnover, the group agreed to move on to step five on the diagnostic model: identifying and assessing effects of the condition.

STEP 5: IDENTIFYING EFFECTS

The planning supervisor opened the meeting to general discussion of the possible effects of the condition of turnover as had been defined by the group. First he suggested that the group should focus on the negative effects of turnover, since a number of them had already been mentioned by the group. He then suggested that the group also look at possible positive effects of turnover.

The lieutenant from Northern spoke first, noting that a major effect of turnover was that the inexperienced were left in charge of sensitive positions, which resulted in serious threats to security and custody within his facility. The Northern warden agreed, going on to suggest that he felt the incidence of disturbances and riots ultimately could be directly tied to the high turnover rates. "We didn't have such

problems with disturbances until a few years ago when turnover began to rise." But the planning supervisor pointed out that again there was no clear evidence that turnover and violence were causally related--they only seemed to go hand in hand.

The sergeant noted that if he were in charge of a shift where people continually left and he had always to deal with new officers, the morale of his staff would undoubtedly decline. He felt that an additional effect might be poorer attitudes and reduced performance among the remaining officers. However, this also was only an opinion based on conjecture rather than hard evidence.

The training supervisor again pointed out that he felt his unit had unnecessarily to expend resources on the continual training of new officers. In his opinion, if the rate could be reduced, the costs for the training operation could be reduced, too. The personnel supervisor agreed that there were significant costs associated with such a condition for his unit as well. In his opinion it was very expensive continually to recruit new employees, especially minority employees. Furthermore, high levels of turnover often meant significant costs--overtime payments to keep experienced officers in key positions.

On the positive side, however, the budget analyst noted that there were some budgetary effects that had yet to be considered. For example, he pointed out that when turnover was high, the department had some flexibility with respect to its budget. Long-term retention of employees meant long-term fixed costs for the department, in retirement contributions, disability payments, and the like. When turnover was high,

less money had to be spent on these, and this was good for the budget.

The warden from the medium-security prison suggested that there were other positive effects as well. He suggested, for example, that some of his new employees were really poor performers on the job and created more problems for his facility than was acceptable. He concluded that some of those who left really deserved to be let go, and the department benefited from losing them. Another benefit, this one suggested by the union president, was that turnover often meant an infusion of "new blood" and greater promotional opportunities for those who remained. That is, the department benefited by losing some employees who would otherwise just become part of the "old guard." Turnover meant that new people with new ideas and ways of doing things could continually be brought into the agency. He agreed, nonetheless, that the major negative effect was the potential loss of control and security that turnover could mean.

The planning supervisor noted that all of these potential effects were really only opinions by the group. It was obvious to him that more information needed to be collected and analyzed if conclusions were to be reached about the possible effects suggested. In summarizing the discussion of effects he suggested that several questions needed to be answered through hard data before firm conclusions about the effects of turnover could be drawn: (1) How is turnover actually related to security, violence, and the performance and attitudes of remaining employees? (2) What are the actual costs associated with training, overtime, and recruitment? (3) Are poor employees instead of good ones

being lost, and does new blood appear really to be beneficial, and how? (5) What are the budgetary advantages of the present situation? In other words, before the importance of the effects of turnover could be assessed, the group needed additional pieces of information.

Before the next meeting, the planning unit would more fully investigate the security and violence effects and the effects of new blood. The personnel unit would develop cost estimates on recruitment and would investigate whether it was good employees who were being lost. The training unit would develop estimates of costs associated with extra training resulting from high turnover. Finally, the budget unit would look more specifically into the cost savings resulting from turnover as defined and would also substantiate overtime costs. This information would form the basis for discussion in the next meeting when the group could specify and rank the importance of these proposed effects on the basis of hard data rather than opinion alone. Also before the next meeting the group would give some thought to possible causes of turnover so that once effects had been ranked and defined, attention could turn to identifying causes of turnover and to what might be done about it.

After the meeting, the planning and research staff began to investigate the relationship between turnover and levels of violence. It was felt that since reports about inmate assaults were readily available, they would provide a good measure of inmate violence that could then be compared to the volume of turnover on a month-to-month basis. Utilizing the techniques of correlation presented in Volume III, the section o

data, the planning staff found that within the maximum security facilities there was a moderate time relationship between inmate assaults and turnover ($r = +.5$). So there was some data support for concluding that violence and turnover were in fact related. However, this did not establish a causal connection between turnover and violence, and further, since the correlation was relatively low, many other factors were also probably contributing to the violence.

To address the other data concerns raised by the group, the planning staff could not rely on hard data currently available in the agency. Instead the climate survey, which had recently been administered, could provide some insight into these concerns. Looking at the question of the impact of turnover on performance, the planning staff found that 60 percent of the officers in the maximum-security facilities felt that turnover seriously affected their performance (Climate Survey: Employee Retention Question 5). Furthermore almost 75 percent of the officers surveyed felt that turnover caused serious problems for their work unit (Employee Retention Question 1). So, at least some opinion information collected from officers corroborated a view that turnover affected performance on the job.

In looking at the issue of losing good employees, it was also found from the climate survey that a majority of the officers surveyed from maximum-security institutions did in fact feel that the best people were leaving the organization, with 66 percent of those surveyed agreeing (Climate Survey; Employee Retention Question 3). Furthermore, controlling for rank it was found that among first-line supervisors 81 percent felt

that the best people were leaving. So again some support was for the idea that it was good people who were being lost, particularly in the view of first-line supervisors.

The unit had somewhat more difficulty uncovering and analyzing data on the attraction of new blood to the agency. However, in looking at the results of the climate survey, they did find that a majority (65 percent) of the officers felt that the agency currently was not doing a good job recruiting the right kinds of people for the job. Not only that, but 60 percent of those surveyed felt that the job of correctional officer was not attractive enough for the agency to recruit qualified new people. So the survey did give some indication that perhaps the agency was not able to recruit qualified new blood.

The personnel unit, in investigating the costs associated with recruiting and hiring new employees, found that it cost the agency about the equal of one year's starting salary to recruit and to hire a new employee--about \$13,000. The training unit found that about a similar amount was entailed for training each new employee, when actual training costs as well as salaries during training were computed. Thus, for each employee lost to turnover, the agency had to spend about twice the annual starting salary to hire and to train a replacement. This, it was learned, was fairly typical of a variety of organizations, according to other research. Given that the recent volume of turnover was about 100 officers per maximum-security institution per year, the department was faced with annual personnel replacement costs alone of \$4,000,000.

Overtime costs could be traced to short staffing because of turnover meant that the Department had to spend an additional \$1,000,000 per year just to keep crucial positions staffed. However, it was discovered that these overtime costs were partially offset by the savings in regular salaries and fringes, which would have had to be paid if it were not for the current levels of turnover.

The budget office on the other hand found that turnover was somewhat advantageous for purposes of financial flexibility. In particular, since the Department continuously had about a ten percent vacancy rate, they had some flexibility with several hundred thousand dollars a year. The advantage of this flexibility was that it gave some leeway for staying within budget limitations each year. Besides, a small portion of this saving could be used in other areas--for example, training. Furthermore, if turnover were significantly reduced, the Department could expect to pay significantly more into retirement funds and disability insurance which would increase fixed costs.

Overall, however, the planning supervisor found that the negative costs associated with turnover significantly outweighed the savings that might result from continued high levels of turnover in the maximum-security institutions. In addition, there was some evidence that turnover was related to violence, that good employees were being lost, and that good new blood was not necessarily being brought into the agency.

At this point, then, the planning and other staff had compiled hard data about the perceived effects of the condition of turnover. Some of the perceptions had been substantiated, while others had not--which is

the major advantage of incorporating data analysis along with personnel opinions. The supervisor was then ready to report back to the diagnostic group so that the group could assess the effects found and be able to decide whether or not to continue with the diagnostic process.

STEP 6: ASSESSING EFFECTS

At the next meeting of the diagnostic group the planning supervisor summarized these findings to the group and opened the meeting for discussion. He pointed out that the group should think about whether or not continued diagnosis was warranted on the basis of the findings to that point.

The Northern warden felt that goal disruption--that is, not being able to maintain custody and control--was probably the most serious effect--one having wide impact. Most of the other members agreed with the warden. The training supervisor thought that decline in employee performance was probably a related effect. That is, it appeared that overall employee job performance, as measured in a variety of ways, was hindered by not having experienced workers on the job. A number of others in the group suggested that costs were probably also an important negative effect. The group was unsure about turnover's effect in producing violence--there being only some evidence to suggest a direct connection. After lengthy discussion, consensus was reached that there was at least enough evidence to suggest that the two were related in some measure.

It had been thought that new blood would be found to be an important

positive outcome, but the input from the planning unit did not support such a conclusion. This then left the only possible positive outcome as budgetary flexibility. However, discussion pointed out that this flexibility, although probably helpful, was hardly of major proportions.

FIGURE 6

WORK SHEET FOR LISTING AND WEIGHING THE IMPACT OF EFFECTS

Effects	Impact on agency performance as measured by magnitude, duration, number of people involved, critical agency units affected				
	Wide-ranging and/or strongly negative impact	Moderately negative	Limited impact (- or +)	Moderately positive	Wide-ranging and/or strongly positive impact
Negative Effects:					
Goal Disruption	(x)	()	()		
Violence	()	(x)	()		
Costs	()	(x)	()		
Performance	()	(x)	()		
_____	()	()	()		
Positive Effects:					
Budget Flexibility			()	(x)	()
New Blood			(x)	()	()
_____			()	()	()
_____			()	()	()
_____			()	()	()

After reviewing the entire list of effects and their rated impacts on the agency, group consensus developed that, on balance, effects were serious enough in a negative sense to warrant investigation into the causes of turnover and into the means for reducing it. In other words, the group had come to the conclusion that turnover was not merely a neutral condition in the agency but in fact a major problem.

STEP 7: IDENTIFYING CAUSES

The union president was the first and most vociferous discussant of the causes of turnover. He suggested that turnover was really the fault of the administration, suggesting that the officers were not paid enough, that their working conditions were poor, and that administrative policies were such that inmates were treated better than the officers.

The sergeant added that he too thought that some inmates were treated better than the officers but that he felt it was not so much the fault of the higher administration as it was of some first-line supervisors. He saw great inconsistency in supervision and how officers were treated. For example, he pointed out, some other sergeants he knew gave orders to officers that were directly opposite to the orders he gave, and, in some instances, these orders were contrary to departmental policy. Also, some sergeants treated officers under them "like dirt". It was his view that many officers quit because they couldn't tolerate such inconsistency and such poor treatment.

The lieutenant suggested that the general lack of promotional opportunities might be an important factor contributing to turnover. The union president believed that the availability of promotions was not all that important a factor compared to the general lack of recognition from superiors. Besides, the union president viewed promotions as based on favoritism anyhow. The training supervisor stated his position that poor employee selection was the primary cause of turnover.

The budget analyst, however, suggested that perhaps turnover was really not caused by any of these things at all. Instead, when the economy was good and other jobs readily available, turnover could be expected to be high since people naturally wanted to move on to better jobs. So the larger environment was a potential cause of turnover, and one beyond the control of the agency. For example, in some rural areas the environment contained no significant alternatives to prison work (except farming and tourism in the summer) while in the larger cities, private business could often attract people away from corrections work.

Again the planning supervisor closed the discussion of the causes of turnover by pointing out that they were relying on opinion and experience again, and that before formally they outlined the possible causes and their importance, more hard data were required. He volunteered the planning unit staff to investigate the relationship between turnover and factors such as the economy, salary levels, working conditions, supervision, recognition, administrative policies, and

worker selection. After gathering hard data, questions about causes could be taken up by the group again.

In order more intensely to investigate the relationship between turnover and the various causes suggested, the planning unit had to rely primarily on the climate and personnel surveys. The only other variable that required additional data collection was the state of the economy. The planning unit first looked at the economy as a cause. Correlating various economic indicators such as unemployment and state business indicators with the monthly levels of turnover over the past three years, they found that there was only a weak relationship ($r = +.3$). So while the economic conditions might contribute to some turnover, they certainly did not explain much of the recent rapid growth in turnover in the maximum-security facilities.

In order to look at the relationship between turnover and the various other factors, the unit then utilized Question 8 in the retention portion of the Climate Survey as an indicator. That question asked whether employees were considering leaving the organization. They then looked at the relationship between intentions to leave and responses on other Climate Survey questions: salary (Questions 9 and 12), working conditions (Motivation Question 5 and 9), supervision (Supervision Questions 5, 10, 15 and 23), recognition (Supervision Question 13, Employee Relations Questions 16 and 7, and Employee Performance Question 8), policies on promotion (Employee Performance Questions 1, 11, and 14, Promotion Questions 1, 5, and 11) and recruitment (Recruitment Question 8 and Selection Question 10).

After the cross-tabulating of the responses on these various questions with the question about whether employees were considering leaving the organization, the following basic facts were uncovered:

The majority of those who were considering leaving the agency said they were dissatisfied with their salary, with their job and working conditions, and with the recognition received from supervisors. Those considering leaving also found supervision to be inadequate in a variety of ways.

On the other hand, the majority of those who indicated that they were not planning to leave the agency said they were satisfied with their salary, with their job and working conditions, and with supervision and recognition.

No relationships were found between intentions to leave and views about the recruitment and selection processes. None also was found with respect to attitudes about promotional opportunities or promotional procedures (there was no consensus, for example, that promotions were based on favoritism).

The planning supervisor began the next diagnostic group meeting by summarizing his unit's findings on the factors that had been previously identified by the group as potential causes of turnover. He then opened the meeting to discussion in light of the newly collected information. The additional question raised at this point had to do with whether any of the causes appeared manipulable in such a way as to reduce turnover levels.

The medium-security warden pointed out that while it was interesting that the state of the economy might be related to turnover, the Department could do nothing about the economy. The personnel director also pointed out that findings relating turnover to dissatisfaction with salaries presented a similar difficulty: The salary scales were determined by the legislature on the basis of guidelines drawn up by the Department of Civil Service. The Department could do little now

to change current salary levels, particularly since they were intended to be comparable to salary levels in other state agencies such as mental health and juvenile services. The department might undertake a long-term campaign to improve salary levels, but certainly nothing could be changed in the immediate future. Besides, the warden also really wasn't convinced that salaries were a major problem, given recent successes in winning wage increases and achieving parity with other state workers.

The Northern warden also felt that the relationship between turnover and working conditions was not very helpful either. His institution had been built over a hundred years ago, and the working conditions obviously reflected the age of the institution. The union president agreed adding that what was really needed was a policy of building new and smaller facilities to replace the maximum-security units. However, the budget analyst pointed out that the Department had proposed this repeatedly but had been unsuccessful in the past in securing funding approval. So for the short term at least, the Department was saddled with its present facilities.

However, the training supervisor suggested that much could be done about supervisory behaviors and personal recognition. He pointed out that training seminars could be developed by his unit to improve and to make more consistent the supervisory activities of sergeants and lieutenants. Both the sergeant and lieutenant in the group agreed and stated that such training would be welcomed by most first-line supervisors throughout the Department. This they thought was probab

a very easily manipulated cause of turnover even though it may not be as important for some officers as the other reasons identified.

The union president felt that the findings about promotional opportunities and policies were interesting. Other policies, though, should also be carefully evaluated to eliminate inconsistency and overlap. The union president pointed out, for example, inconsistent policies for the use of firearms by tower guards. The Northern warden agreed, saying that an overall review of the policy manual had not been done for years.

Following additional discussion and review of the data from the Climate Survey and additional data from the Personnel Practices Survey on supervisory training, compensation practices, and promotional practices, consensus was reached that probably the most important causes of turnover were administrative policies, supervision, working conditions, and recognition; of medium importance were salary and the economy; of low importance were selection and promotional opportunities.

FIGURE 7

WORKSHEET FOR ASSESSING CAUSES

Causes	Degree of Contribution to the Condition			Degree of Permanence		Opportunity for Manipulation		
	High	Medium	Low	Long-range continuation and not self-correcting in foreseeable future	Temporary and self-righting in the near future	High	Medium	Low
Policies	(x)	()	()	(x)	()	(x)	()	()
Recognition	(x)	()	()	(x)	()	(x)	()	()
Supervision	(x)	()	()	(x)	()	(x)	()	()
Salary	()	(x)	()	(x)	()	()	()	(x)
Working Conditions	(x)	()	()	(x)	()	()	()	(x)
Selection	()	()	(x)	(x)	()	()	()	(x)
Economy	()	(x)	()	()	(x)	()	()	(x)
Promotional Opportunities	()	()	(x)	()	()	()	()	()

The personnel supervisor felt that little could or should be done about selection. First of all little or no relationship had been found between selection attitudes and attitudes about leaving the job. Secondly, selection was primarily controlled through the Department of Civil Service and although the Department of Correction could influence them to change selection procedures, the real problem, if any, was probably in the available pool of candidates wishing to work as correctional officers.

The consensus reached then was that supervision and policies were not only among the most important causes of turnover but that they were among those that probably were the easiest to manipulate. Administrative policies were also important, and although they needed more study, they too, it was felt, could be easily manipulated by the agency. The other reasons for turnover, though, were less likely to be affected by the agency and thus probably could not contribute significantly to future solution strategies.

Having then rated the various causes and investigated their possible manipulation, the personnel director moved to the next step of the model by trying to summarize the group's diagnostic conclusions up to this point in the process. In other words, the process was now moving into Step 8--summary view.

STEP 8: SUMMARY VIEW

The planning supervisor then concluded the meeting by summarizing the actions of the diagnostic group to date. This summary formed the basis of a final report to the director at the next bi-weekly staff meeting.

The diagnostic group had identified turnover as a significant problem facing the Department of Correction. Turnover as a problem had been defined as voluntary resignations by correctional officers. Turnover was most serious at the maximum-security institutions and had significantly risen over the last three years. Those who left tended to be the more educated, those of minority races, younger officers, and those formerly residing in urban areas.

Turnover appeared to have serious consequences for the maximum-security institutions. Security and custody were jeopardized by turnover, and some officers' performance appeared to suffer. Turnover resulted in significant overtime, training, and recruitment costs. These costs, however, were somewhat offset by budget flexibility advantages and savings in salaries, retirement, and disability-fund contributions. Overall, though, the most important effect that turnover had on the agency was that of goal disruption, in that custody and security appeared to be under serious threat as a result.

Turnover appeared to be caused by a number of factors. Economic conditions in the community, such as competition from outside employers and dissatisfaction with salary and working conditions, all appeared to contribute to turnover. But the Department could do little to manipulate these causes. On the other hand, supervision, recognition, and administrative and work policies were also linked to turnover. The Department did have the ability and resources to effect changes in these areas. Supervisory behavior could be improved through training, and policy review might lead to eliminating overlapping or confusing policies. Overall, the group felt that supervision and recognition were among the most important causes of turnover and the ones most easily manipulated by the agency.

The group felt that the problem of turnover could be at least partially dealt with. Because of the serious effects that turnover had on the agency, it was felt that solution was not only necessary but urgently needed before the summer. Significant resources would

have to be applied in order to minimize the turnover problem, in that new training for supervisors would have to be developed and a detailed review of administrative policies would be necessary. While solution might be costly, in comparison to no action the solution could be well worth the investment--more secure custody and reduced personnel costs, in particular.

It should be recognized, however, that the cause-and-effect evidence related to turnover was merely correlational in nature. That is, the various effects and causes of turnover as identified had not been experimentally identified. Thus, any number of confounding variables could affect turnover and its outcomes. Nonetheless, the evidence did logically point toward a strategy for beginning to deal with the turnover problem. The key point being that it would be a beginning in what was likely to be a long-term effort to reduce the occurrence of a problem with serious effects.

At this point the personnel director prepared a final summary report for review by the director completing the model diagnostic process (Step 9--final report).

CONCLUSIONS

The purpose of this illustration has been to provide an example of the application of the human-resources problem--diagnostic procedure. The illustration began with a commonsense or "gut-feeling" approach to identification of agency problems. The initial concerns of violence, absenteeism, and turnover were turned over to an agency's personnel and planning units for more intensive examination. Using the diagnostic

model previously outlined, a nominal group went through the entire diagnostic procedure in a step-by-step manner. Through group discussion and data input from various agency units, particularly the planning and research unit, the group went from condition identification through recognition of turnover as the most pressing problem for the agency and onto detailed definition of the problem, listing and weighing of effects and finally listing and weighing of causes. This step-by-step procedure then led logically to possible solution strategies.

The advantages of this procedure are basically fourfold, as can be seen in the illustration. First, this procedure allows and indeed even encourages, a wide range of inputs from various key personnel in the agency. Union perspectives, staff perspectives, and supervisory perspectives can be included, along with the viewpoints of the higher levels of the agency's administration. The large number of views can serve more accurately to identify and to diagnosis conditions as problems, and as a check to the dominance of one person's ideas.

Secondly, this process encourages basing problem diagnosis on detailed hard data, as well as on opinions and judgments. Indeed, opinions are regularly challenged through the collection of hard data. That is, the planning and personnel units continually had to substantiate or to negate opinions by members of the group through more detailed data analysis by utilizing agency records and survey information.

By proceeding step by step and utilizing empirical information in addition to opinions, the group is better able accurately and fully develop a sense about problems: a full description of the problem,

its effects and its causes, that goes far beyond what often happens in agencies when describing problems. For example, problems are often described as they were earlier in the example in which the wardens described agency problems only on the basis of their own individual experience.

Finally, because of the logical step-by-step process, the diagnosis of problems logically leads to ideas about possible solutions to problems. Furthermore, it also leads to ruling out certain potential solution strategies inappropriate either because they probably could not be implemented or would not work.

It should also be apparent that while the diagnostic process is to be preferred over gut-feeling diagnosis of problems, there are also some drawbacks to be considered prior to implementation. First of all, such a process can take quite a lot of time. In the illustration, the nominal group met four different times. Such a number of group members means that a number of other tasks normally done by group members are not being done. Also, as was illustrated, other problems can arise in the group--interpersonal conflicts, or dominance by certain members. For example, early in the process, the planning and training supervisors had troublesome personal conflicts. Also throughout the process the union president attempted simply to uphold the union positions regarding the issues. Thus, careful facilitation may be necessary in order to overcome these differences and to forge consensus within the group.

It should also be recognized that this diagnostic process must often rely on correlational rather than causal types of information

in coming to conclusions about causes and effects of problems. That is, while it was suggested that turnover in this case was related to supervisory behavior, that does not necessarily mean that it is an actual cause or one of a number of causes. However, given the reality of organizational conditions and information, correlational information may be the best that can be hoped for.

Lastly, this type of analysis can lead to questions that simply may not be answered by the group or by the planning and personnel units. That is, some information may not be maintained by the agency, and gathering such information may be beyond the capability of the group members. For example, in the illustration it was earlier recognized that information from exit interviews would be of significant help in defining and diagnosing the problem of turnover. However, exit interviews were not conducted in this fictional agency and thus obviously such information was not available. At the same time, discovering such important information to be missing might lead to a decision to collect that information in the future (e.g., to the decision that henceforth we will conduct exit interviews).

In conclusion, the human-resource diagnosis model does provide a logical method to define and to diagnose organizational problems. While not a perfect process, it nonetheless moves away from traditional approaches by gaining wide varieties of inputs and by utilizing hard data to support or to reject group conclusions. As a result, problems can be more accurately and completely identified and solutions to organizational problems can be made more apparent to the organizatio

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A Handbook for Human-Resource Planning
in Criminal Justice Agencies

Volume II
Part 2, Section A
Organizational Climate Survey

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School of Criminal Justice
Michigan State University
August, 1982

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ACQUISITIONS

A HANDBOOK FOR HUMAN-RESOURCE PLANNING
IN CRIMINAL JUSTICE AGENCIES

VOLUME II
PART 2, SECTION A
ORGANIZATIONAL CLIMATE SURVEY

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EXECUTIVE SUMMARY

Criminal justice agencies usually allocate 80 percent or more of their resources to meeting personnel costs. Criminal justice is thus a labor-intensive field, with productivity vitally dependent on the efficient and effective employment of personnel. Human-resource planning can be an effective managerial tool for helping administrators reach decisions about how most efficiently and effectively to acquire and to employ personnel. Additionally, some aspects of human-resource planning are particularly useful in helping management to identify, to diagnose, and eventually to solve personnel problems.

This executive summary provides a brief overview of the contents and objectives of the Human-Resource Planning Handbook prepared by the School of Criminal Justice at Michigan State University. The Handbook describes numerous human-resource planning and analytical techniques useful in criminal justice agencies, gives directions for their use, and provides examples of their application in criminal justice agencies. Also, special techniques are provided to assist management in identifying, diagnosing, and eventually resolving personnel problems. The Handbook is designed to offer the criminal justice manager, personnel administrator, and planner a self-instruction guide on how to implement more effective means of planning for the agency's personnel component.

One way of visualizing the purposes and objectives behind the Human-Resource Planning Handbook is to consider the principal kinds of managerial questions that it attempts to provide answers for. A few of these questions are:

1. How can an agency examine what its personnel needs are?
How can these needs be substantiated or documented?
2. How can an agency validly determine and define the jobs required to achieve missions, goals, and objectives?
How can it determine whether job descriptions validly reflect the nature of work currently done in the agency?
3. How can an agency assess its current employees? How can it determine what kinds of employees should be hired (prior experience, education, training, skills, etc.)? How can employment qualifications be identified and substantiated or validated?
4. How can an agency assess its key personnel practices (for example, recruiting, selecting, training, and assigning personnel? What are the effects of these personnel practices on the agency's ability to maintain a stable supply of qualified personnel to fill the agency's jobs? What effects do current personnel practices have on employees' morale, employees' performance, and employees' attitudes?
5. How can an agency go about identifying and diagnosing personnel-related problems? What kinds of personnel

problems confront the agency? What are the causes of these problems? What kinds of effects do these problems have on agency productivity (efficiency and effectiveness)?

6. What kinds of analytical techniques are available to agency managers and planners who wish to diagnose not only existing personnel problems but also want to anticipate future personnel problems?
7. How can an agency go about identifying the major constraints posed by budget and outside decision makers that circumscribe the agency's ability to acquire needed personnel? How can an agency go about determining whether any of these constraints are manipulable-- removing them as constraints in acquiring and assigning needed personnel?

The Handbook variously deals with these and other prime questions facing administrators charged with managing personnel. However, the Handbook is not prescriptive in the sense that specific solutions are prescribed for specific kinds of human-resource problems facing the agency. For important reasons that are pointed out in Volume I and in the first part of Volume II, the choice of a solution to any given personnel problem is properly the responsibility of agency management. Identifying viable solutions for problems such as turnover, or insufficient staffing, or poor employee performance must be done by management working within the constraints faced by the agency.

Nonetheless, the Handbook, its techniques for problem diagnosis, and its explanations of other human-resource planning techniques, can help point personnel administrators and planners toward discovering a range of viable solutions for agency personnel problems.

Development of the planning handbook was supported with funds from the U.S. Department of Justice (LEAA) and was conducted in two phases. Phase I assessed criminal justice agencies' current capability and need of human-resource planning. Phase II, building on this assessment, focused on the development of an extensive handbook that would assist criminal justice agencies more fully to implement and to utilize human-resource planning techniques.

THE HANDBOOK

The Handbook is presented in three volumes (bound in eight parts for convenience in handling and use). A comprehensive index to the contents of these three volumes follows the executive summary. Used in conjunction with the index, the Handbook has been designed to allow managers and planners to choose those portions that are of most interest or are most needed.

VOLUME I of the Handbook provides an introduction to human-resource planning in agencies--what it is, how it is carried out, and how it can help the agency manager. The material in this volume is written to be of interest alike to agency top management, to agency personnel administrators, and to agency planners. One principal objective of Volume I is for managers and planners to acquire a common overview about the definition, purposes, and uses of human-resource

planning in agencies. When managers and planners do not share such a basic understanding, planning tends not to be fully or appropriately utilized.

VOLUME II is bound in four parts and presents a means for comprehensively identifying and diagnosing personnel problems. It is designed to be of primary interest to agency personnel administrators and planners. Problem diagnosis is a very crucial and very practical part of human-resource planning. It is crucial because without good diagnosis, solutions to personnel problems cannot be adequately planned. It is practical because it focuses on what every manager spends most of his or her time doing--identifying and dealing with conditions that negatively affect the agency's ability to meet its goals and objectives.

Practical tools are presented to help personnel administrators and planners conduct two types of diagnoses. The first type is an overall assessment of agency human resources--a general stocktaking whereby the agency takes an overall look at its organizational climate, its personnel practices, and its ability to acquire, to develop, and to employ personnel. Three ready-for-use diagnostic surveys are provided with directions: 1. an Organizational Climate Survey, 2. a Personnel Practices Survey, and 3. an Environmental Factors Questionnaire.

Analysis of results from administering these surveys will provide administrators with an overview of the agency's strengths and weaknesses regarding its personnel processes and its ability to identify and to deal with internal and external factors that affect its acquisition and use of personnel. This becomes essential background information for

later attempts to identify and to solve specific personnel-related problems.

The second type of diagnostic tool presented is a step-by-step procedure that can be followed to diagnose specific personnel problems more pointedly. For example, the agency may have identified turnover, or an inability to attract qualified personnel, or poor performance by employees as problems needing special attention. Comprehensive diagnoses of the causes and effects of problems such as these is crucial if effective solutions to them are to be found. The diagnostic model provided offers a way of marshalling key agency thinkers and key information for diagnosing problems and for eventually finding solutions.

VOLUME III is bound in two parts and is a resource guide intended primarily for use by agency personnel administrators and planners engaged in the more technical aspects of personnel administration and human-resource planning. Techniques such as job analysis, forecasting, selection validation, performance measurement (to name a few) are discussed. A common format is used throughout in presenting these techniques. First, the nature of the techniques and its prime uses are presented. This is followed by a consideration of the major technical and other supports required if the technique is to be used. Special attention is paid to factors that will limit an agency's ability to use a given technique, and alternatives are presented for these situations.

BASIC DESIGN-FEATURES OF THE HANDBOOK

A COMPREHENSIVE INDEX: Few users will have the time or the need to use all the material in these volumes and do everything that is recommended. A comprehensive index or catalogue of materials to be found in all of the volumes is provided. Agency administrators and planners may use this index or menu-system as a means of quickly finding the portions of the Handbook that will be of most help.

SELF-ADMINISTRATION: The materials have been written to optimize self-administration and self-learning, and to minimize the need for outside help. For example, the diagnostic surveys found in Volume II have been designed for administration and analysis in house. Of course, some concepts or techniques will remain difficult to grasp and will require additional reading or the use of consultants. For example, job analysis techniques discussed in Volume III are very complex and are generally out of the reach of most agencies to apply themselves without the help of outside experts. Nonetheless, the objective has been to maximize as much as possible an agency's ability to do human-resource planning using in-house resources.

PROBLEM-FOCUSED APPROACH TO PLANNING: With the exception of some of the sections of Volume I where many of the general concepts and ideas about human-resource planning are discussed, the Handbook is designed to help managers and planners identify and diagnose concrete personnel problems (e.g., turnover, poor employee performance, inability to attract qualified personnel, EEO and Affirmative Action suits, and so forth). The emphasis, therefore, is on dealing with specific problems

as opposed to discussing human-resource planning from a conceptual point of view alone.

VARYING LEVELS OF "BUY-IN": Agencies differ in their need for and their ability to undertake human-resource planning. Agency size, environmental constraints, money, technical expertise, and the nature of human-resource problems confronted by an agency all affect the level of planning needed and possible. Where possible, Handbook materials have been written to provide alternative levels and options in the use of planning-related analytical techniques. Thus, there are options presented--different levels and kinds of analytical activities possible. Managers and planners are free to buy in at the level deemed most feasible and valuable.

OUTSIDE CONSULTANTS: The handbook material, besides helping agencies become more informed about what can be done in-house, helps identify conditions under which outside help is needed, what should be expected of this outside help, and whom or what to look for. One central purpose has been to provide agencies with the information necessary to become more intelligent and critical consumers of work done by outside consultants. Sometimes, agencies have not been able to sufficiently direct consultants about what is needed or wanted. This has frequently been the case, for example, when agencies sought outside help in validating selection and promotional practices, or when conducting job analyses.

WHAT IS HUMAN-RESOURCE PLANNING?

In the most general terms possible, human-resource planning is the process of determining what an agency needs to do to ensure that it has the right number and kinds of people doing the right jobs, and doing those jobs well. To accomplish this, human-resource planning is composed of two distinct yet related activities. The first activity is called WORK FORCE PLANNING, while the second is labeled STAFFING-NEEDS PLANNING.

Workforce planning analyzes the agency's need for personnel--how many and what types of people. It also analyzes the required missions of the agency, determining the kinds of jobs that need to be done, and what qualifications people who hold these jobs need. Workforce planning is crucial, for without it agency management has little firm basis on which to justify the number and kinds of personnel hired or how they are hired, assigned, and employed.

Staffing-needs planning focuses on the various personnel administrative actions involved in acquiring, developing, and assigning agency personnel. The processes and policies associated with personnel administration (e.g., recruitment, selection, training, assignment, job design, compensation, and so forth) are closely tied to human-resource planning because personnel administrative actions put human-resource plans into operation. Just as there is a need to determine what kinds and how many people are needed (workforce planning), there is a need to determine and to plan the personnel actions required to acquire, to develop, and to employ personnel (staffing-needs planning).

Human-resource planning encourages and helps direct agency managers to take a "comprehensive" approach to personnel management and to the diagnosis of personnel problems. Factors affecting the need for and the availability of agency personnel are highly inter-related. So, too, the numerous steps in the personnel administrative process are interrelated and interdependent. Human-resource planning techniques help managers and personnel administrators to consider these factors in a more interrelated and systematic way.

WHY ENGAGE IN HUMAN-RESOURCE PLANNING?

Anticipating future requirements for manpower in the agency and forecasting future supplies of manpower are crucial to effective personnel management. Likewise, crime trends, budget forecasts, trends in the economy, population trends and the like greatly affect the need for personnel, and they also influence the availability of personnel. Thus, knowledge of current environmental conditions and impending changes in these conditions is vital to planning agency personnel policy. Current agency personnel policies in the areas of recruitment, selection, training, and so forth, produce certain kinds of results today that may or may not be appropriate or satisfactory in the future. Knowledge of both current results and likely future results produced by agency personnel administrative practice is, thus, also important. Planning-related analytical techniques provide the agency manager with powerful tools not only to analyze present conditions and effects, but also to anticipate future conditions and effects.

Besides making forecasts, human-resource planning also focuses on diagnosing personnel problems. A problem of poor agency performance or inadequate performance occasioned by insufficient, unqualified, or poorly utilized personnel requires agency managers first to diagnose the nature of and causes of the problem, and then to plan solutions. Several planning-related analytical techniques can help the manager in both of these endeavors. Additionally, human-resource planning not only helps to diagnose current personnel problems, but also to anticipate the emergence of personnel problems.

The kinds of personnel problems that will arise in an agency are numerous, and the combination of problems nearly infinite. So too, the causes of personnel problems will vary greatly from organization to organization. When we speak of personnel problems, we include conditions such as high turnover, poor employee performance, insufficient personnel, unqualified personnel, poorly trained employees, charges of discrimination in hiring and promotion, inability to attract qualified job applicants, constraints in assigning, reassigning, and promoting employees, and so forth. The numerous analytical techniques and tools described in the Handbook provide a basis for diagnosing the nature and causes of such problems and help identify and weigh potential solutions to them.

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VOLUME II, PART 2, SECTION A
ORGANIZATIONAL CLIMATE SURVEY

In this section, we provide an Organizational Climate Survey. The survey gathers information from agency employees. Organizational climate surveys provide important indicators of problems and strengths in the agency. In Part 1 of this volume, Figure 1 indicated the important role that problem triggering or problem sensing has in diagnostic efforts. Based on initial problem sensing, decisions can be made about whether there is a potential problem and whether it requires further analysis and resolution.

Problem triggering or sensing can be done either systematically or unsystematically. Systematic triggering mechanisms are best thought of as regularized attempts broadly to survey the organizational climate for potential problem areas as they develop and to identify them before they come to have major consequences. A broadly-based organizational climate survey (such as the one we provide in this section), regularly administered, offers one means of systematically monitoring the organization for the purpose of identifying emerging or existing human resource problems.

We have divided this section and our presentation of the climate survey into four parts. (1) We lay out the rationale for collecting information from employees. (2) We then provide directions for administering the organizational climate survey. (3) We then present

the climate survey. (4) And finally, we provide a guide for interpreting responses to the survey.

RATIONALE AND DESCRIPTION

Organizational climate surveys gather information about employee perceptions and viewpoints and provide a means for securing information from them for use in the human resource planning and management process. Too often, organizations ignore or miss the opportunity to tap employee sources of information because there is no systematic, easily administered, or convenient means of doing so.

Yet, employees are one prime source of information about work and personnel problems that develop. All employees, whether at the bottom, top, or in the middle of the organizational ladder, have important perceptions and insights (albeit from differing perspectives) about the effects of personnel practices--effects of these practices on the work environment and jobs, on employee morale, and on the quality of organizational life. Some effects employees may view as positive and job enhancing while others they may view as negative and job or work detracting.

Employees may also be a source of information about needed changes in or alternative approaches to personnel management--new or changed practices that may measurably affect agency service and productivity. Thus, organizational climate surveys help us to identify possible problems and, very importantly, they can help point us toward the kinds of additional information that we need for further problem diagnosis.¹ This last point will become clearer later on

when we give some guides for interpreting information from organizational climate surveys.

THE INFORMATION GOAL OF A CLIMATE SURVEY

The goal of a general organizational climate survey is to monitor the condition and environment of agency human resources. Such broad monitoring corresponds to the general stock-taking we discussed in Part 1 of this volume. The goal or objective becomes one of scouting or reconnaissance, generally probing all relevant organizational features as closely as is possible. The objective, therefore, is one of determining the lay of the land, and the questions we ask are directed toward discovering potential problem areas or soft spots that require further and more detailed examination and analysis. The organizational climate survey presented later in these materials has been designed broadly to survey or to scout the agency human resource situation.

KINDS OF EMPLOYEES AND KINDS OF INFORMATION

It would be a mistake to assume that all employees can provide all types of information necessary for identifying and diagnosing human-resource problems. There are line employees, first-line supervisors, middle-level managers, top management, personnel administration staff within the agency, and perhaps outside consultants or experts. Each of these brings a different perspective to bear on managing agency human resources. And some of the kinds of information brought by each into the decision-making process are unique.

For example, it is likely that only the agency's personnel-administration staff will know exactly how a particular area of personnel administration is handled (e.g., the details of the selection process--test administration, test scoring, and the like). Line employees themselves, however, are a prime source from which to secure affective responses to various personnel practices.

The point is this: Although employee perceptions, viewpoints, and preferences are a critical information ingredient in the management of agency human resources, they are but one of many important ingredients, and it is useful to look not just at perceptions or attitudes, but also at employee behavior. Nonetheless, the manager who ignores employee viewpoints and preferences runs the risk of being ignorant about existing or emerging problems as well as ignorant or misinformed about the organizational climate as perceived by employees. And, as organizational climate tends to be subject to dramatic change in the short term, managers need regularly to and frequently to monitor it.

LEVELS OF QUESTIONS

There are three possible levels at which employees can be asked to provide information. The first is the personal level--for example, what the employee thinks of his or her job, whether he or she has been given adequate training and instruction to do the job, what the employee's level of job satisfaction is, and so forth. At this level, employees are being asked to respond only about themselves and their own particular job and their work environment.

The second level of question is focused on the work group or work unit. At this level, individual respondents are asked to report about conditions within their immediate work unit, the assumption being that frequent contact and interchange with co-workers in the basic work group provides the respondent with some basis for generalizing about the work climate beyond the personal level.

The work unit is sometimes hard to define with precision, but generally it refers to a group of people who have frequent (perhaps daily) contact, who also share and cooperate in certain kinds of duties (e.g., patrol officers on the day shift in the third precinct, or reception and diagnostic personnel in a particular prison).

The third level of question is about the agency. At this level employees are asked questions about the organization as a whole (e.g., how good supervision in the agency is, how high job satisfaction is, how clearly jobs have been defined, and so forth). The assumption made about questions at this level (often a bad assumption) is that the employee is informed about conditions outside his or her immediate work group and can make generalizations about the agency as a whole.

Third level information is the most problematic. In large organizations especially, employees are often not clear about what is happening in other work units. But even if they are, there is a natural tendency to weight more heavily personal and work-unit experiences, allowing these to color perceptions about the agency as a whole. There is also the problem of variation within agencies,

from person to person and from work unit to work unit. This variation makes it exceedingly difficult, if not impossible, for an individual to make generalizations about the organization as a whole.

The organizational climate survey we developed minimizes the number of questions framed at the third level. Our questions concentrate at the first two levels--asking employees about themselves and about the climate in their work unit. This taps personal and direct experience and knowledge bases on which employees can provide information. Yet, we can still draw a general picture of the agency's work climate. By aggregating individual employee responses and by analyzing the amount of variation and the "average" response of employees to first- and second-level questions, we can derive third-level questions and answers of a sort. Then, through aggregation, we can piece together a general picture of the organizational climate. We will say more about this when providing directions for interpreting responses to the organizational climate survey.

COMMITMENT TO USING CLIMATE-SURVEY INFORMATION

Gathering climate information from employees and doing nothing with it can have negative consequences, sometimes more negative than not collecting the information in the first place. When employees are asked their viewpoints, expectations are usually aroused that the agency will do something with this information--that it will at least give employees' views consideration. If there is no evidence that the agency has analyzed and considered findings from such surveys, the situation may be exasperated by the following kind of employee

view: "We the employees have informed management of a problem area and they (agency managers) do not appear to have even given our views consideration." This can have a negative effect on employees' views about the organization and about management as well as have subsequent negative effects on employee morale.²

This is not to say that management must agree with employees that there is a problem requiring immediate attention; rather, the important thing is that management must commit itself to and publicize its willingness to consider employee responses, along with other sources of information. Management need not and should not guarantee agreement with employee viewpoints or promise to act solely on the basis of these viewpoints. Making these things clear to employees will encourage them to give their survey responses more serious consideration. And it will help to prevent any inappropriate expectations about the eventual effects or action that may or may not be taken on the basis of their survey responses.

CLIMATE SURVEYS YIELD PERCEPTUAL INFORMATION

The information gathered through the administration of employee opinion surveys is usually "soft" information, meaning that the surveys tap perceptions and viewpoints rather than necessarily hard or empirically verifiable and objective information. Organizational climate surveys also deliberately tap employees' subjective responses and attitudes, including opinion data about what employees consider to be good or bad, preferred or unpreferred.

The interpretation of results from such surveys is somewhat problematic and subject to several caveats. For example, although employees may indicate displeasure with a particular personnel policy or procedure and want to see it changed, this alone is not an overriding indication that management should change the policy or the procedure. Also, employee perceptions and opinions may not be supportable by the facts: employee perceptions may be inaccurate. Nonetheless, and whether accurate or not, employees have perceptions and these influence their work behavior and, consequently, agency productivity. Furthermore, employee perceptions may accurately reflect and identify a situation or condition previously unknown to management.

The interpretation of employee survey data is difficult when there is no standard, normative or otherwise, to weigh the survey findings against. This is particularly a problem when the organization administers an attitude or opinion survey on a one-shot basis. In such cases, it is very hard to decipher the policy implications, if any, of the findings. What, for example, does it mean if 65 percent of the employees indicate that they are generally dissatisfied with their jobs?

WAYS OF INTERPRETING CLIMATE-SURVEY FINDINGS

In reality, there are only two ways of providing a standard against which to interpret findings from an organizational climate survey. One option is to compare survey findings to results obtained from administering the same survey in other similar organizations

(external comparisons). Some existing climate surveys have a substantial data base associated with them, based on administrations of the survey in a wide variety of organizational settings. Another option is to compare findings to results obtained in previous administrations of the survey within the same agency (internal comparisons).

The problem with external comparisons is one of finding a meaningful set of "other" agencies for comparison purposes.³ As no two organizations are ever alike in all important respects, comparisons among agencies require very careful and sometimes prohibitively complex analysis to determine the validity of comparing the agencies in the first place. The second option, internal comparison using results from previous administrations within the same agency, is an appropriate alternative.⁴ When doing this, we compare findings from the same agency, albeit in differing time frames, and we may be able to avoid some of the problems encountered in trying to find a similar enough outside agency for comparison purposes. That is, when comparing an agency to itself in another not too distant time, we assume that some of the more serious problems of noncomparability are avoided (e.g., radical differences in agency size). Of course, and as we will see, there can remain significant problems of noncomparability even when comparing the agency to itself. We take note of these in a later section on interpreting climate survey responses.

The organizational climate survey that we provide in the materials that follow has not yet been administered in a wide variety of criminal justice agencies and, therefore, results from repeated

administrations are not available for purposes of external comparison. As we will explain in the section dealing with interpreting the findings of such surveys, only the "internal organizational" comparison method can be used to interpret findings from our survey. We will propose repeated administration within the organization as one means of establishing a standard. We will also provide some guidance on criteria that can be used to interpret findings from only a single administration of the climate survey.

KINDS OF INFORMATION PROVIDED BY A CLIMATE SURVEY

Problems of interpretation notwithstanding, several kinds of useful information can be provided by a carefully constructed and interpreted employee survey. Among the major kinds of information are the following:

1. Effects of personnel practices and policies. Here, we may ask employees directly to indicate the kinds of effects various personnel policies have (e.g., whether training provides employees with sufficient job-related skills). Or we can take a more indirect approach. For example, employees through contact with co-workers and new employees in particular are often in a position to note qualitative changes over time in the job-oriented capabilities of newly recruited and hired employees. With care, we may be able to use such information to reach judgments about the qualitative effects of recruitment, selection, and training practices.
2. Job-enhancing and job-detracting features of the work environment. Here we are concerned with uncovering practices, conditions, or situations that affect the employee's ability to do the job. For example, employee views may single out assignment and reassignment practices or certain aspects of supervision as negatively or positively affecting job performance.

3. Identification of major problem areas and priorities for change. Although employees may note several areas or issues that present difficulties for them, some areas they may consistently single out as particularly problematic.
4. General attitudes toward the organization's work environment and about organizational goals. Here we are concerned with employee morale and motivation--things that may measurably affect performance.

Although these are the primary categories of information obtained through a survey of employee opinions, the specific information generated is largely dependent on the focus of the questions in the survey. Opinion surveys may be broadly focused, covering a wide range of personnel administrative and organizational climate issues, or they may be narrowly focused, limited to a specific area of personnel practice (e.g., recruitment, selection, promotion, or compensation). When considering the use of an opinion survey, agencies need first and carefully to consider several issues: (1) What is the information of interest and why?, (2) Who is suited to provide the information?, and (3) What needs to be considered in interpreting the survey results? Failure adequately to treat these three questions threatens the validity and utility of employee opinion surveys.

THREATS TO GETTING THE RIGHT INFORMATION

Knowing what information we want to collect and why is an essential first step in properly focusing an opinion survey. Without a firm grasp on the kinds of issues to be explored, there is no basis on which to decide what questions to ask employees. The subsequent survey may well produce mounds of information not related to our interests.

Another threat to getting any useful information is improper construction of the survey's questions. Confusingly worded questions, double-barreled questions, and leading questions will confuse employees about what we are trying to find out. A raft of poorly worded and misleading questions may lead respondents to give up on trying to provide considered responses and they may decide then not to take the survey seriously.

Ultimately, confusingly worded questions threaten the validity and reliability with which the responses can be interpreted. This is because some employees may interpret a confusing question one way and thus answer one particular way, while other employees may interpret the question another way and answer another particular way. When it comes time to interpret all employee responses, there is no way for us to know who interpreted the question which way, or if all respondents interpreted it differently from how we intended.

Proper item construction can be a complicated business. Volume III discusses some of the problems with and approaches to the construction of survey questions in greater detail.

Another threat to getting the right information, sometimes any information, is the inability to identify the employees who have the information or who have access to the base data. If an employee is requested to answer a question about which little or nothing is known, no answer or a made-up answer will be forthcoming. There must thus be a correspondence between the type of questions chosen for the survey and the type of employees chosen to provide the answers. Good

questions asked of the wrong people nonetheless provide bad information or no information. This is one reason why we have striven to minimize the number of third-level questions in our climate survey.

Another threat is an employee's fear in responding. Although we may have good questions and although we may have picked employees who are able to provide answers, they may either ignore certain questions or deliberately give misleading or inaccurate answers because they fear the consequences of answering frankly. This problem can be a particularly serious one in employee opinion surveys because the survey items regularly request employees to venture personal opinions, to make evaluations of agency practices, supervisors and co-workers, and to indicate things that are wrong.

Most people have learned from experience that not everyone accepts criticism and negative evaluation well. When criticism is focused on supervisors or management, or on the agency controlled by management, there is a natural inclination to fear retribution. One means of countering this in survey research is to guarantee respondent anonymity. The guarantee of anonymity may not eliminate fear in answering honestly, but it may somewhat lessen the fear of reprisal.

Unfortunately, having employees anonymously fill out surveys has a serious drawback: there is no way to contact these employees directly for further information and elaboration and to match that information to their survey responses. With some kinds of opinion surveys this may not be all that damaging because we are only after

general indicators of opinions, viewpoints, or perceptions. In other instances, however, especially when we may want to or need to pursue some issues in greater depth, a follow-up questionnaire or more intensive interview process with employees who have answered certain ways is impossible. Some organizations attempt to bridge the dual needs of eliminating fear of reprisals and follow-up questioning by hiring outsiders to collect the information. Although these outsiders know who individual respondents are and can thus conduct follow-up sessions with them, respondent identities are kept secret from the agency and its management.

Perhaps what is most important for organizations, however, is to establish a mode of operation that does not penalize employees who speak out and offer constructive opinions. Creating a climate of open exchange without fear of retribution is probably the single most important means available of countering fear of retribution as a threat to getting useful and valid survey information.

Responses by employees to an opinion survey sometimes reflect deliberate attempts to deceive. Deliberate deception is hard to compensate for, and the detection of deception, although not always impossible, is not easy. Survey research is generally conducted under the assumption that respondents are not attempting deliberate deception. Such an assumption is more practical than it is sound.

Survey questionnaires generally only allow for marginal checks of deception, and there is usually no way of proving or disproving the existence of deception. About the only way to determine possible

deception is to measure the consistency with which a person answers multiple questions about a given topic or issue. The use of multiple, or "double-checking" questions is based, however, on the rather weak assumption that people who tell the "truth" will be more consistent in their responses than will people who attempt to deceive. Aside from the questionable nature of this assumption, multiple "double checking" items are really measuring only consistency, because a skilled deceiver can be expected to deceive consistently.

Nonetheless, consistency-checking items can be very important to subsequent efforts to interpret the nature of and the strength of employee viewpoints and opinions. The pattern of response to a given topic or issue across several questions may help measure not only the consistency of opinions and their direction, but may provide us with a means for determining how "mixed" the viewpoints of a particular employee are. For example, an employee's viewpoint about agency affirmative action policies may be honestly mixed. On the one hand, the employee may support agency affirmative action policies in general but feel very negatively inclined if those affirmative action policies impede his or her promotional opportunity. A series of questions that attempt to assess the agency's attempts at affirmative action may thus produce conflicting results that are not the product of any deliberate effort to deceive but reflect an honestly mixed viewpoint--a mixed viewpoint that the agency should note.

ORGANIZATION OF AND ISSUES RAISED IN THE CLIMATE SURVEY

Our organizational climate survey differs in focus from other climate surveys--the difference being that we have designed this one to focus on human-resource issues in the organization. There are, of course, many other kinds of issues and problem areas---equipment maintenance, facilities management, and so forth. We focus instead on personnel issues and the work climate, considering other issues and problem areas only as they directly affect agency human resources and their performance.

The climate survey contains 264 questions in a closed-ended format to permit relative ease in completing the survey and convenience in tabulating and summarizing survey responses. The first 11 questions gather respondent background information. The remaining 253 questions are divided among seventeen categories of personnel issues. These categories comprise the principal areas of concern for a climate survey focused on manpower or human resource issues. These seventeen categories are:

MISSIONS AND GOALS
JOBS, TASKS, ROLES
JOB KNOWLEDGE AND SKILLS
MANNING LEVELS
RECRUITMENT
SELECTION
TRAINING AND DEVELOPMENT
ASSIGNMENT AND REASSIGNMENT
PROMOTION AND DEMOTION

EMPLOYEE PERFORMANCE
APPRAISAL
EMPLOYEE DISCIPLINE
COMPENSATION
EMPLOYEE RETENTION
EMPLOYEE RELATIONS
SUPERVISION
EEOC AND AFFIRMATIVE ACTION
MOTIVATION AND JOB
SATISFACTION

DIRECTIONS FOR ADMINISTRATION OF THE ORGANIZATIONAL CLIMATE SURVEY

These directions apply to the administration of the organizational climate survey presented in the next part. The survey has 253 substantive items arranged across seventeen categories of personnel-related issues. Preceding these questions are a number of questions geared toward gathering basic background information about the employee-respondent. This background information becomes important when, after administration, we begin to analyze and to interpret the survey responses.

The survey may be administered to all agency employees at all levels and in all units or divisions. However, the survey need not necessarily be administered to everyone. The agency may elect to draw an appropriate sample of employees, broadly representative of various employment classifications and agency units. A sampling technique as discussed in Volume III may be used to select the sample. Or, the agency may decide that it prefers to administer the survey to certain employees only (those in a particular employment classification or a particular organizational unit).

BASIC STEPS IN SURVEY ADMINISTRATION

There are several sequential steps involved in the administration of a climate survey. Each of these steps is laid out below with some accompanying narrative.

Step 1 A decision is made to administer the organizational climate survey. This decision should include determination of the

purpose behind administering the survey, the amount of time allowed for the administration and interpretation of responses, and the preparation of a report about findings and implications. Such determinations should finally be made by the agency head, perhaps in consultation with subordinates. Commitment of the agency head to the administration of an organizational climate survey is important to eventual successful administration.

Step 2 Somebody should be assigned responsibility to oversee the administration process and given sufficient authority, time, and other organizational supports to complete the project. The individual or individuals assigned this responsibility may be either agency staff or outside consultants hired to perform the tasks.

Step 3 A timetable should be set specifying deadlines for the completion of various phases in the administration of the survey. Work schedules and deadlines should be set for completion of each of the remaining steps.

Step 4 A list of names and addresses or work locations of individuals who will be given the survey should be compiled. If sampling is to be used instead of giving the survey to everyone in the agency, the sampling method should first be decided upon (see Volume III for directions on sampling). The sample should then be drawn and the list of names and addresses assembled.

Step 5 The style of survey administration should be determined. Three basic options are available. Employees may be given a copy of the survey at their place of work and asked to fill the survey out

when they have time, returning the survey to designated individuals or designated places by a certain date. Or surveys may be sent by mail to employees' homes with a request to return them by a specified time. Or employees may be scheduled to appear at a "testing" center in manageably sized groups to fill the survey out while there. The third option offers the greatest control over making sure that all respondents complete the survey in a timely manner. It has the additional advantage that if the questionnaire and answer sheet are printed separately, the questionnaire can be retained for repeated use. This reduces the number of questionnaire copies required. The primary disadvantage associated with the third option is that respondents may not feel "comfortable" in a test center environment when answering. However, this is not usually a serious problem.

Step 6 Enough copies of the survey should be reproduced to permit timely and efficient administration. Care should be taken that the copies are readable and of high enough quality so as not to distract respondents from filling out the survey. The number of survey copies required is dependent not only on the number of respondents to be administered the survey, but also on the style of administration, as discussed above.

Step 7 The survey is administered. Logistics involved in distributing the survey, securing returns in a timely fashion, and related matters such as planning follow-up contacts are provided for. If the survey is to be administered in a "testing" center, space is secured, respondents scheduled, and an individual(s) assigned to see the administration through.

Step 8 Survey responses are coded. The coding of responses can be considerably eased if machine-scored answer sheets are used for the survey. Subsequent analysis of the survey results is eased if the answers are machine scored and machine stored (on a computer). More is said about coding in the section on interpretation following the climate survey.

Step 9 Preliminary descriptive analysis is undertaken. This is usually focused on what is called "one-variable analysis." Frequency distributions are produced for each question (how many people answered each way on each question). We might also calculate some basic statistics for each question, such as the mean (\bar{X}) or average response for each question. On the basis of this simple analysis, certain questions might be picked out for further analysis. We will discuss some of the criteria for picking such questions in the part of this material that deals with interpreting climate survey responses.

Step 10 More complex analysis is undertaken. Usually, this involves two-variable and multi-variable analysis. For example, cross-tabulations (see Volume III) might be run to compare responses on two or more questions. We might compare, for example, how people in the various organizational units answered particular questions. Such comparisons allow us to decipher whether there are patterns of responses across apparently related questions, and patterns of responses according to various employee background characteristics (e.g., age, work unit assignment, educational level, etc).

Step 11 Conclusions and interpretations are drawn about these findings. Areas requiring further diagnostic analysis are noted, potential problem areas are identified, and recommendations are made about the additional kinds of information that ought to be secured in undertaking further diagnostic efforts.

ADAPTING THE CLIMATE SURVEY TO A PARTICULAR AGENCY

Our survey should not be administered without a careful consideration of each question and its applicability to the particular agency it will be administered in. We strongly recommend that a few people in the agency review each question and comment on those questions that may be irrelevant or have no meaning for the agency. Irrelevant items can be reworded or eliminated. Also, the agency may wish to add certain questions of its own to reflect particular interests or issues. Care should be taken in constructing such additional questions (see Volume III on rules for question construction). Too, when adding items, care should be taken not to make the survey too long. This would increase the likelihood of a poor return rate and ill-considered responses.

GENERAL POINTS ABOUT SURVEY ADMINISTRATION

One of the keys to successful survey administration is that neither too much nor too little time be given respondents to fill the survey out and to return it. Too little time may well result in poor return rates and ill-considered responses by those who do complete the survey. Too much time may lead respondents to put the

survey aside to do at a later time, then forgetting about it. For most situations, we would recommend about a week as a deadline. If the survey is to be administered in a "test center," the elapsed time from first to last administration session should be as short as possible--optimally about one week.

The climate survey as we have structured it assumes that respondents are exercising individual judgment. Respondents should be requested not to arrive at decisions jointly, conferring with employees about how to answer a particular question. They should be instructed to reach their own judgments.

Before the actual administration of the climate survey, a letter or memo from the agency head should be sent to all respondents. This letter should advise that the survey is on its way. Besides, however, the letter should make it clear that the survey results will be given careful consideration by agency management and that the employees should give the survey questions their best serious effort.

When using the mail or take-home version of survey administration, some respondents will need a reminder to return their survey. After the deadline has passed, a reminder letter can be sent to those who have not yet responded as this is often successful in increasing the return rate.

Finally, if respondent identities are to be kept anonymous, make this very clear in both the introduction to the survey and in the letter from the agency head preceding administration of the survey. There are three options with regard to identifying or not identifying

respondents: (1) Respondents are requested to supply their name (no anonymity). (2) A respondent's name is matched with an identifying number and only the number appears on the survey. One person in the agency, or someone outside the agency, can be charged with recording the return of surveys; and he or she can be directed to keep respondent names confidential. (3) The survey may neither request the respondent's name nor use an identification number. In this third option, however, there is no opportunity of keeping track of who has returned their survey, nor can there be a follow-up survey or interview of employees that matches the follow-up responses to their responses on the initial survey.

O R G A N I Z A T I O N A L C L I M A T E S U R V E Y

DIRECTIONS

This survey contains 264 questions. The first eleven questions ask you to provide background information. The remaining 253 questions ask for your opinions about a variety of matters in your agency. PLEASE ANSWER EACH QUESTION. FOR EACH QUESTION, PICK THE ANSWER THAT COMES CLOSEST TO YOUR VIEWS, EVEN IF NO ANSWER EXACTLY FITS YOUR VIEWS.

CHECK OR FILL IN THE APPROPRIATE BOX FOR EACH QUESTION. DO NOT WRITE IN THE BLANKS AT THE FAR RIGHT-HAND SIDE.

Example

The price of gasoline is too high.

Strongly Disagree ———
 Disagree ———
 Neutral ———
 Agree ———
 Strongly Agree ———

() () () () () (1)

Answer filled in Leave Blank

KEY TERMS

There are certain terms used throughout this survey that are intended to have a particular meaning. Below, is a list of the most important of these terms and their associated meanings.

SUPERVISOR	Your supervisor is the person you report to or are responsible to in the chain of command. Your supervisor is your most immediate superior.
MANAGEMENT	Management is a general term meant to identify all those who occupy positions above your supervisor. This includes the agency's top management.
WORK UNIT	Your work unit is a general term meant to identify the part of the agency to which you are assigned. You may think of your work unit as composed of those people who report to and are responsible to the same supervisor as you. Examples of work units in criminal justice agencies include the day shift in the 3rd precinct patrol unit or those assigned to night shift jail security.

RESPONDENT BACKGROUND INFORMATION

1. Name (optional) _____ (1) _____
2. Age (check appropriate category). (2) _____
- a. _____ 18-23
- b. _____ 24-29
- c. _____ 30-35
- d. _____ 36-41
- e. _____ 42-47
- f. _____ 48-53
- g. _____ 54-59
- h. _____ 60-65
3. Please indicate the approximate number of years you have been employed in this agency. (Check the appropriate category.) (3) _____
- a. _____ Less than one year
- b. _____ One to three years
- c. _____ Four to five years
- d. _____ Six to ten years
- e. _____ Eleven to fifteen years
- f. _____ Sixteen to twenty years
- g. _____ More than twenty years
4. Please check the category below that comes closest to your current job title. (4) _____

NOTE: Each agency should construct a list of its current job titles. Care should be taken to have the list be inclusive of all major categories of job titles.

5. Check the category below that comes closest to indicating the amount of time that you have had in your current job title. (5)___
- a. ___ Less than one year
 - b. ___ One to three years
 - c. ___ Four to five years
 - d. ___ Six to ten years
 - e. ___ Eleven to fifteen years
 - f. ___ Sixteen to twenty years
 - g. ___ More than twenty years
6. Check the category below that comes closest to indicating the amount of formal education you have completed. (6)___
- a. ___ High school
 - b. ___ One year of college
 - c. ___ Two years of college
 - d. ___ Three years of college
 - e. ___ Four years of college
 - f. ___ More than four years of college
7. Check the category below that indicates the highest educational degree you have obtained to date. (7)___
- a. ___ High school
 - b. ___ Associate arts or equivalent
 - c. ___ B.A., B.S., or equivalent
 - d. ___ M.A., M.S., or equivalent
 - e. ___ Doctorate

8. Check the category below that comes the closest to indicating the number of training programs related to your job that you have attended in the last three years. Count both agency programs and those put on outside the agency. (8)___
- a. ___ None
 - b. ___ One
 - c. ___ Two or three
 - d. ___ Four or five
 - e. ___ More than five

9. Sex. (9)___
- a. ___ Male
 - b. ___ Female

10. Please indicate your current work unit assignment. (10)___

Note: Agency should develop a list of current work units or divisions in the agency. This list may specify major agency divisions only, or that plus shift breakdowns. A third option is to identify work units in greater detail, going beyond major organizational divisions.

11. Check the category below that comes closest to indicating the amount of time you have been assigned to your current work unit. (11)___
- a. ___ Less than one year
 - b. ___ One to two years
 - c. ___ Three to five years
 - d. ___ Six to ten years
 - e. ___ More than ten years

MISSIONS, GOALS, OBJECTIVES

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. This agency has clearly defined missions and goals.	0	0	0	0	0	(12)___
2. I have found that this agency's missions and goals often conflict as I attempt to do my job.	0	0	0	0	0	(13)___
3. This agency's goals and objectives are reasonable.	0	0	0	0	0	(14)___
4. This agency does a good job of achieving its missions and goals.	0	0	0	0	0	(15)___
5. I have been encouraged by my supervisor to offer suggestions about what the agency's missions and goals should be.	0	0	0	0	0	(16)___
6. Agency goals and objectives have been clearly communicated to me.	0	0	0	0	0	(17)___
7. I have a clear understanding of this agency's missions and goals.	0	0	0	0	0	(18)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. I think that my job is important to achieving agency goals and objectives.	0	0	0	0	0	(19)___
9. I personally agree with the agency's goals and objectives.	0	0	0	0	0	(20)___
10. This agency's goals and objectives are consistent with the needs of the general public that we serve.	0	0	0	0	0	(21)___
11. Agency employees have had input into setting agency goals and objectives.	0	0	0	0	0	(22)___

JOBS, TASKS, ROLES

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. My job assignment and duties seem irrelevant to the agency's missions, goals, and objectives.	0	0	0	0	0	(23)___
2. The work effort required in my job is so demanding that I hardly ever accomplish what is expected of me.	0	0	0	0	0	(24)___
3. People in my work unit think that their jobs are routine and unchallenging.	0	0	0	0	0	(25)___
4. All of the jobs in my work unit have written job descriptions.	0	0	0	0	0	(26)___
5. There is a written description of my job and it is generally accurate about the kinds of duties and tasks that I actually perform.	0	0	0	0	0	(27)___
6. I have detailed written procedures available to me that help clarify how my job should be done.	0	0	0	0	0	(28)___
7. It isn't clear to me what I am supposed to do in my job.	0	0	0	0	0	(29)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. I suspect that supervisors in my work unit don't know what people under them really do in their jobs.	0	0	0	0	0	(30)___
9. My job is too complicated--it almost seems as if I am expected to do everything.	0	0	0	0	0	(31)___
10. I have been given sufficient authority to complete my job duties.	0	0	0	0	0	(32)___
11. This agency does not regularly collect information about the actual activities I perform in my job.	0	0	0	0	0	(33)___
12. It appears that those in the organization who make decisions about how jobs are defined and grouped understand what the jobs are really like.	0	0	0	0	0	(34)___
13. I have not been given an opportunity by the agency to say which tasks and activities should be a part of my job.	0	0	0	0	0	(35)___
14. My job gives me a sense of accomplishing something important.	0	0	0	0	0	(36)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
15. In my work unit, the assignment of tasks and activities is done logically and sensibly.	0	0	0	0	0	(37)___
	:	:	:	:	:	
	:	:	:	:	:	
	:	:	:	:	:	
	:	:	:	:	:	
16. In the past, when something about my job seemed to be changing, I have been able to talk to my supervisor, or someone higher up, about it.	0	0	0	0	0	(38)___

JOB KNOWLEDGE AND SKILLS

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. The jobs in my work unit have written descriptions of the kinds of knowledge and skills needed by the people who fill them.	0	0	0	0	0	(39)___
2. The knowledge and skill requirements set by this agency for jobs accurately reflect what people need in order to do their jobs well.	0	0	0	0	0	(40)___
3. When filling job vacancies, this agency seems to be very careful to fill its positions with people who are qualified in job-related knowledge and skills.	0	0	0	0	0	(41)___
4. Supervisors in this agency have a good idea of the kinds of knowledge and skills needed by people working for them.	0	0	0	0	0	(42)___
5. My supervisor is aware of the deficiencies in knowledge or skill of the people who work under him/her.	0	0	0	0	0	(43)___
6. I have confidence in my co-workers' knowledge of the job.	0	0	0	0	0	(44)___
7. My co-workers are competent in doing their jobs.	0	0	0	0	0	(45)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. When I have a problem trying to figure out how to do a certain thing, my co-workers can provide good advice.	0	0	0	0	0	(46)___
9. This agency doesn't seem to care very much whether people hired for jobs have necessary knowledge and skills.	0	0	0	0	0	(47)___
10. The people in my work unit who perform poorly or inadequately in their jobs do so because they do not have enough knowledge or skills to do the job.	0	0	0	0	0	(48)___
11. The agency has consulted me to get my views about the kinds of knowledge and skills required to do my job.	0	0	0	0	0	(49)___
12. When I was assigned to my present job, I was given a fairly good idea of the kinds of knowledge and skills I would need to do the job well.	0	0	0	0	0	(50)___
13. I have the knowledge and skills necessary to do my job well.	0	0	0	0	0	(51)___

MANNING LEVELS

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. This agency has enough personnel to accomplish its goals and missions.	0	0	0	0	0	(52)___
2. The management of this agency has a realistic idea of what the agency's manpower needs are.	0	0	0	0	0	(53)___
3. Staffing levels in my work unit are sufficient to accommodate moderate fluctuations due to sickness, vacations, holidays, turnover, etc.	0	0	0	0	0	(54)___
4. I have been consulted by management for my views about needed manpower levels in my work unit.	0	0	0	0	0	(55)___
5. The management of this agency adjusts staffing levels among work units or shifts to accommodate changes in work loads.	0	0	0	0	0	(56)___
6. Staffing levels <u>by shift</u> in my work unit adequately reflect actual manpower needs.	0	0	0	0	0	(57)___
7. My work unit needs more people assigned to it.	0	0	0	0	0	(58)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. This agency could meet its goals and missions just about as well with fewer employees overall.	0	0	0	0	0	(59)___
9. My work unit is over-staffed.	0	0	0	0	0	(60)___
10. The management of this agency seems to be aware of the amount of work assigned to my work unit.	0	0	0	0	0	(61)___

RECRUITMENT

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. In this agency's recruitment advertisements the jobs are accurately described (for example, experience requirements, educational requirements, location, nature of the job, and salary are given).	0	0	0	0	0	(62)___
2. This agency has a good program for recruiting women.	0	0	0	0	0	(63)___
3. This agency has a good program for recruiting minority-group job candidates (e.g., blacks or Hispanics).	0	0	0	0	0	(64)___
4. There aren't enough people in the area who are qualified for work in this agency.	0	0	0	0	0	(65)___
5. People who apply for jobs in this agency do so without much idea what the work is like.	0	0	0	0	0	(66)___
6. Jobs in this agency do not appear attractive to those who might be qualified to apply.	0	0	0	0	0	(67)___
7. This agency has a fairly good idea about the kinds of people needed for its jobs.	0	0	0	0	0	(68)___

8. This agency appears to do a good job of attempting to recruit the right kinds of people for jobs.

Strongly Disagree _____
Disagree _____
Neutral _____
Agree _____
Strongly Agree _____

(69) _____

SELECTION

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. Only people with adequate levels of knowledge and skills required to do a job are hired by this agency.	0	0	0	0	0	(70)___
2. This agency does a good job of hiring people who are well qualified for the jobs they are expected to do.	0	0	0	0	0	(71)___
3. Selection tests and procedures are secondary to personal friendships and politics in determining who gets hired.	0	0	0	0	0	(72)___
4. This agency carefully tests the job-related knowledge and skills of people who apply for jobs.	0	0	0	0	0	(73)___
5. This agency has a clear policy and set of procedures for determining how candidates for jobs are to be screened.	0	0	0	0	0	(74)___
6. This agency's hiring practices discriminate against white men.	0	0	0	0	0	(75)___
7. This agency's hiring practices discriminate against women.	0	0	0	0	0	(76)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. This agency's hiring practices discriminate against minority groups (e.g. blacks or Hispanics).	0	0	0	0	0	(77)___
9. People in my work unit have been asked their opinions by management about the kinds of people who ought to be selected for jobs in their area.	0	0	0	0	0	(78)___
10. The people who do the hiring for this agency don't seem to select the right people.	0	0	0	0	0	(79)___
11. The hiring procedures used by this organization are fair.	0	0	0	0	0	(80)___
12. This agency's selection procedures fail to keep pace with important changes in jobs that require a different kind of employee than the kind we have traditionally hired.	0	0	0	0	0	(81)___
13. Most of the time it seems that this agency doesn't really care about the kinds of people it hires.	0	0	0	0	0	(82)___

TRAINING AND DEVELOPMENT

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. The <u>amount</u> of formal preemployment training given to new employees assigned to my work unit is sufficient.	0	0	0	0	0	(83)___
2. The <u>quality</u> of formal preemployment training given to new employees assigned to my work unit is sufficient.	0	0	0	0	0	(84)___
3. This agency's formal preemployment training is relevant to what new employees do in their subsequent jobs.	0	0	0	0	0	(85)___
4. New employees assigned to my work unit have too little training to even begin doing the job.	0	0	0	0	0	(86)___
5. On-the-job training is provided to new employees in my work unit.	0	0	0	0	0	(87)___
6. On-the-job training is sufficient to guide new employees in doing their jobs.	0	0	0	0	0	(88)___
7. This agency provides employees with opportunities for speciality or advanced training.	0	0	0	0	0	(89)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. There are opportunities available for in-service training that would be helpful to me in doing my job.	0	0	0	0	0	(90)___
9. This agency encourages employees to undergo training above and beyond that which is required.	0	0	0	0	0	(91)___
10. This agency provides incentives such as financial compensation to its employees for outside training or education.	0	0	0	0	0	(92)___
11. My supervisor is committed to the concept of employee professional development.	0	0	0	0	0	(93)___
12. My supervisor actively assists employees in developing their skills and abilities.	0	0	0	0	0	(94)___
13. Specific training needs have been identified by the agency for my job classification.	0	0	0	0	0	(95)___
14. This agency provides employees with opportunities for the training they need to do their jobs.	0	0	0	0	0	(96)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
15. I have been asked by my supervisor or someone higher up to identify training needs in my work unit.	0	0	0	0	0	(97)___
16. The various agency training programs are updated to keep pace with changes in job duties.	0	0	0	0	0	(98)___
17. I have received adequate training to do my present job.	0	0	0	0	0	(99)___
18. Additional training would help me do a better job.	0	0	0	0	0	(100)___
19. The training that I have received in this agency has been related to the actual work I am expected to do.	0	0	0	0	0	(101)___
20. Employees who have been chosen to receive advanced or specialty training have been the ones who need it.	0	0	0	0	0	(102)___

ASSIGNMENT/REASSIGNMENT

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. Job reassignment procedures followed in this agency are generally fair.	0	0	0	0	0	(103)___
2. This organization uses employee preferences as one factor in assigning people to jobs.	0	0	0	0	0	(104)___
3. In this organization, job reassignments are made according to set procedures and policies.	0	0	0	0	0	(105)___
4. In this organization the assignment of employees to jobs often seems to be made without considering the employees' qualifications for the jobs.	0	0	0	0	0	(106)___
5. In this organization, the opportunity to transfer from one job to another is generally based on whom you know rather than who is best suited for the job.	0	0	0	0	0	(107)___
6. Job reassignments in this agency often seem to be made helter-skelter.	0	0	0	0	0	(108)___
7. Employees often don't know from one day to the next what their job assignment will be because job reassignments are often made on short notice.	0	0	0	0	0	(109)___

15. This agency has done a good job of meeting my preferences for job assignments.

Strongly Disagree _____
Disagree _____
Neutral _____
Agree _____
Strongly Agree _____

0 0 0 0 0 (117)_____

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. Our promotional process discriminates against white men.	0	0	0	0	0	(125)___
9. Our promotional process discriminates against women.	0	0	0	0	0	(126)___
10. Our promotional process discriminates against minorities (e.g., blacks or Hispanics).	0	0	0	0	0	(127)___
11. In this organization, demotions are handled by clearly understood procedures.	0	0	0	0	0	(128)___
12. In this organization, when there are demotions, they are for legitimate reasons.	0	0	0	0	0	(129)___
13. In this organization, people are often demoted for political reasons.	0	0	0	0	0	(130)___

EMPLOYEE PERFORMANCE APPRAISAL

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. When employees in my work unit are evaluated, it is done fairly and equitably.	0	0	0	0	0	(131)___
2. When employees in my work unit are evaluated, the evaluations are based on the types of tasks an individual is supposed to perform in his/her job.	0	0	0	0	0	(132)___
3. A general problem in my work unit is that supervisors do not know which employees are doing a good job.	0	0	0	0	0	(133)___
4. I have never been told by management or my supervisor whether or not I am doing a good job.	0	0	0	0	0	(134)___
5. The only time I get any kind of performance-evaluation feedback is when I have done something wrong.	0	0	0	0	0	(135)___
6. My job performance is regularly evaluated by my supervisor.	0	0	0	0	0	(136)___
7. I have a fairly clear understanding of what is expected of me in my job.	0	0	0	0	0	(137)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. My supervisor regularly communicates to me how I am doing my job.	0	0	0	0	0	(138)___
9. The performance evaluations done about me in my job have been fair.	0	0	0	0	0	(139)___
10. Employees in this agency have little or no input in setting performance-evaluation criteria.	0	0	0	0	0	(140)___
11. In this organization, whether you get a poor performance evaluation is of little consequence.	0	0	0	0	0	(141)___
12. Evaluations of employees in this organization accurately reflect their actual job performance.	0	0	0	0	0	(142)___
13. Many employees in this organization get poor performance evaluations because the measures used to gauge employee performance are inappropriate ones.	0	0	0	0	0	(143)___
14. The "real" performance standards for positions in the agency are different from those "officially" developed by the agency's top management.	0	0	0	0	0	(144)___

	Strongly Agree	Neutral	Disagree	Strongly Disagree	
15. In this agency, the job evaluations are used as a basis for salary increases and/or promotions.	0	0	0	0	(145)___
16. The performance evaluations used by this agency provide good information for pointing out job-related strengths and weaknesses of individual employees.	0	0	0	0	(146)___
17. This agency attempts to use performance evaluation as a means for improving employee job performance.	0	0	0	0	(147)___
18. In my work unit, standards of employee performance are unreasonably low.	0	0	0	0	(148)___
19. Around here it is often hard for me to know whether I am in fact doing a good job.	0	0	0	0	(149)___
20. My superior or supervisor demands standards of performance that are unreasonably high.	0	0	0	0	(150)___
21. My supervisor compliments me when I do a good job.	0	0	0	0	(151)___

22. The managers and supervisors of this agency demand realistic standards of employee performance.

Strongly Disagree _____
Disagree _____
Neutral _____
Agree _____
Strongly Agree _____

(152) _____

EMPLOYEE DISCIPLINE

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. Disciplinary actions against employees in my work unit follow fair and impartial procedures.	0	0	0	0	0	(153)___
2. Disciplinary action is often taken against employees in my work unit for trivial or unimportant infractions of the rules.	0	0	0	0	0	(154)___
3. If the agency initiates disciplinary action against an employee, it is justified.	0	0	0	0	0	(155)___
4. Rules of conduct are made clear to all employees.	0	0	0	0	0	(156)___
5. When employees have disciplinary charges proposed against them, they have ample and fair opportunity to present their views.	0	0	0	0	0	(157)___
6. When employees have disciplinary charges taken against them, it is made clear what they are supposed to have done wrong.	0	0	0	0	0	(158)___
7. The disciplinary penalties given to employees fit the infraction.	0	0	0	0	0	(159)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. My supervisor is willing to discuss with me job and conduct rules I feel are unfair or inappropriate.	0	0	0	0	0	(160)___
9. The management of this agency has shown itself willing to get rid of or to change job and conduct rules that are not really important to doing the job well.	0	0	0	0	0	(161)___
10. This agency has a large number of rules and regulations that have nothing to do with doing the job well.	0	0	0	0	0	(162)___
11. This agency spends too much time disciplining people for unimportant infractions.	0	0	0	0	0	(163)___
12. When this agency disciplines an employee, it is because he or she has violated a rule that seriously affects doing the job well.	0	0	0	0	0	(164)___
13. This agency's approach to discipline is highly legalistic and doesn't sufficiently consider extenuating circumstances.	0	0	0	0	0	(165)___
14. I never know from one day to the next whether my supervisor is going to discipline me for some trivial matter.	0	0	0	0	0	(166)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
15. My supervisor is too lenient with people who violate rules.	0	0	0	0	0	(167)___
16. When my supervisor hands out penalties, some people get off lightly while others are treated harshly, even for the same kind of infraction.	0	0	0	0	0	(168)___
17. If I violate a rule of the job or of conduct, whatever disciplinary action my supervisor takes or recommends will probably be fair.	0	0	0	0	0	(169)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. Employees who voluntarily leave the organization do so primarily because they are dissatisfied with their pay.	0	0	0	0	0	(177)___
9. My wage fairly compensates me for the job that I <u>actually</u> do.	0	0	0	0	0	(178)___
10. Salary raises in this agency fail to adequately distinguish between those doing a good job and those doing a poor job.	0	0	0	0	0	(179)___
11. I am satisfied with the retirement benefits offered by this agency.	0	0	0	0	0	(180)___
12. I am satisfied with the wage I receive.	0	0	0	0	0	(181)___
13. I am satisfied with the fringe benefits I receive.	0	0	0	0	0	(182)___

EMPLOYEE RETENTION

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. The number of people voluntarily leaving the organization is causing serious problems for my work unit.	0	0	0	0	0	(183)___
2. This agency does the best it can to keep good people from leaving.	0	0	0	0	0	(184)___
3. The best people are leaving this agency.	0	0	0	0	0	(185)___
4. This agency does not seem to care whether good people leave.	0	0	0	0	0	(186)___
5. Turnover is seriously threatening performance in my work unit.	0	0	0	0	0	(187)___
6. There are many employees in my work unit who want to leave the agency the first opportunity they get.	0	0	0	0	0	(188)___
7. The number of people who voluntarily leave this agency will increase in the future.	0	0	0	0	0	(189)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. I am giving serious consideration to leaving this agency.	0	0	0	0	0	(190)___
9. The reasons that people leave this agency are, for the most part, outside the agency's control.	0	0	0	0	0	(191)___
10. Inadequate compensation accounts for why people voluntarily leave this agency.	0	0	0	0	0	(192)___
11. Poor working conditions account for why people voluntarily leave this agency.	0	0	0	0	0	(193)___
12. Incompetent supervisors account for why people voluntarily leave this agency.	0	0	0	0	0	(194)___
13. The unattractive nature of the job itself accounts for why people voluntarily leave this agency.	0	0	0	0	0	(195)___

EMPLOYEE AND UNION RELATIONS

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. My supervisor is willing to listen to employee complaints or grievances.	0	0	0	0	0	(196)___
2. Agency management is generally willing to discuss and resolve employee grievances in good faith.	0	0	0	0	0	(197)___
3. This agency seems to be genuinely interested in treating its employees fairly.	0	0	0	0	0	(198)___
4. I am treated fairly by my supervisor.	0	0	0	0	0	(199)___
5. In this agency employees and management tend to work cooperatively toward achieving agency goals and objectives.	0	0	0	0	0	(200)___
6. A union is or would be helpful in this agency in protecting employees from unfair management practices.	0	0	0	0	0	(201)___
7. My supervisor encourages two-way communication between employees and him/her.	0	0	0	0	0	(202)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. To the extent that we have labor problems in this agency, they are caused by the supervisors.	0	0	0	0	0	(203)___
9. To the extent that we have labor problems in this agency, they are caused by bad working conditions.	0	0	0	0	0	(204)___
10. To the extent that we have labor problems in this agency, they are caused by excessive work loads.	0	0	0	0	0	(205)___
11. To the extent that we have labor problems in this agency, they are caused by insufficient wages.	0	0	0	0	0	(206)___
12. To the extent that we have labor problems in this agency, they are caused by the lack of job security.	0	0	0	0	0	(207)___
13. To the extent that we have labor problems in this agency, they are caused by the unavailability of promotional opportunities.	0	0	0	0	0	(208)___
14. To the extent that we have labor problems in this agency, they are caused by inappropriate activities of a union.	0	0	0	0	0	(209)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
15. To the extent that we have labor problems in this agency, they are caused by agency management having a negative attitude toward unions.	0	0	0	0	0	(210)___
16. My supervisor discussed new ideas, programs or rules with employees before putting them into effect.	0	0	0	0	0	(211)___
17. Employees in my work unit feel that they can discuss complaints with their supervisor without fear of reprisal or retribution.	0	0	0	0	0	(212)___
18. Important communications in this agency are made available to employees through such means as memos, bulletin-board postings, and policy and procedures manuals.	0	0	0	0	0	(213)___
19. I trust the management of this agency.	0	0	0	0	0	(214)___
20. Agency management seems genuinely concerned about the welfare of its employees.	0	0	0	0	0	(215)___
21. Agency management attempts to respond to employee complaints or grievances.	0	0	0	0	0	(216)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
22. Management responses to employee complaints and grievances are usually appropriate.	0	0	0	0	0	(217)___
23. I fear the possibility of reprisal or retribution from management if I complain about things in the agency.	0	0	0	0	0	(218)___
24. Wage scales and benefit plans should be negotiable through collective bargaining and union contract.	0	0	0	0	0	(219)___

SUPERVISION

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. Supervisors in this agency generally do a good job of managing employees.	0	0	0	0	0	(220)___
2. Supervisory personnel in this agency are skilled in properly scheduling and assigning personnel who work under them.	0	0	0	0	0	(221)___
3. This agency's supervisors have difficulty in coordinating employees' use of regular working hours.	0	0	0	0	0	(222)___
4. Employees in this agency often do not know which supervisor they are supposed to report to.	0	0	0	0	0	(223)___
5. If supervisors did a better job, more work would get done in this agency.	0	0	0	0	0	(224)___
6. In this agency, the work of employees is too tightly controlled by supervisors.	0	0	0	0	0	(225)___
7. In this agency, most employees clearly know which supervisor they are responsible to.	0	0	0	0	0	(226)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
15. My supervisor is often a source of help in solving job-related problems.	0	0	0	0	0	(234)___
16. My supervisor attempts to keep too tight a control on employees under him/her.	0	0	0	0	0	(235)___
17. My supervisor doesn't push people hard enough to do a good job.	0	0	0	0	0	(236)___
18. My supervisor is actually a hindrance to my doing a good job.	0	0	0	0	0	(237)___
19. My supervisor does a good job of scheduling work for the employees assigned to him/her.	0	0	0	0	0	(238)___
20. My supervisor keeps us up to date about new information related to the job.	0	0	0	0	0	(239)___
21. My supervisor encourages me to provide information about problems that develop with the job.	0	0	0	0	0	(240)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
22. My supervisor attempts to provide me with a rationale for the orders and instructions he/she gives.	0	0	0	0	0	(241)___
23. My supervisor does not know what my job really entails.	0	0	0	0	0	(242)___
24. My supervisor is not afraid to speak to upper management about the needs of employees or to support employees under him/her.	0	0	0	0	0	(243)___

EEOC/AFFIRMATIVE ACTION

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. Management in this agency supports equal employment opportunity.	0	0	0	0	0	(244)___
2. This agency has effectively pursued affirmative action.	0	0	0	0	0	(245)___
3. This agency could do better with regard to equal opportunity employment goals.	0	0	0	0	0	(246)___
4. There is genuine equal opportunity in this agency.	0	0	0	0	0	(247)___
5. Minorities hired by this agency are less qualified than the non-minorities hired.	0	0	0	0	0	(248)___
6. This agency's affirmative action policies have resulted in discrimination against white men.	0	0	0	0	0	(249)___
7. This agency should try harder to achieve affirmative action.	0	0	0	0	0	(250)___

8. Women hired in this agency are less qualified than the men hired.

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
	0	0	0	0	0	(251)___
	:	:	:	:	:	
	:	:	:	:	:	
	:	:	:	:	:	
	:	:	:	:	:	
	0	0	0	0	0	(252)___

9. Affirmative action policies have not resulted in less qualified individuals being promoted.

MOTIVATION AND JOB SATISFACTION

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
1. This agency attempts to control employee behavior through positive rewards as opposed to discipline and coercion.	0	0	0	0	0	(253)___
2. The management of this agency trusts and respects its employees.	0	0	0	0	0	(254)___
3. My job is compatible with personal growth and self-improvement.	0	0	0	0	0	(255)___
4. Management in this agency seems concerned that employees have high morale and job satisfaction.	0	0	0	0	0	(256)___
5. My job is personally rewarding.	0	0	0	0	0	(257)___
6. I am generally satisfied with working in this agency.	0	0	0	0	0	(258)___
7. I feel that there is low morale in this agency.	0	0	0	0	0	(259)___

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	
8. People in this agency do their job because they get a lot of personal satisfaction from it.	0	0	0	0	0	(260)___
9. I enjoy my present job.	0	0	0	0	0	(261)___
10. I feel personally motivated to perform well in my job.	0	0	0	0	0	(262)___
11. I believe that most employees in this agency are generally satisfied with their jobs.	0	0	0	0	0	(263)___
12. Most employees in this agency are motivated to do their jobs as best they can.	0	0	0	0	0	(264)___

INTERPRETING RESPONSES

In the material below, we provide some suggestions for analysis and interpretation of climate survey responses. We have organized comments about interpretation into several parts. First, we present a general overview of the analysis and interpretation process. Then we briefly consider each of the seventeen major categories the climate survey is organized around, looking at special issues of analysis and interpretation within each. Finally, we consider the drawing of overall conclusions by comparing responses to questions found throughout the survey. One of the principal concerns in drawing general conclusions is to isolate potential or suspect problem areas requiring further attention and diagnosis.

OVERVIEW OF ANALYSIS AND INTERPRETATION

In the introductory material about the climate survey, we spoke of the need to have a standard, or something to evaluate and interpret climate survey findings against. We noted that the two prime possibilities for standards or criteria were: (1) comparison of findings from administrations of the survey in several agencies, and (2) comparison of findings from the repeated administration of the climate survey in the same agency. Obviously, the first option requires that at least one agency besides your own administer this climate survey, allowing you to compare and to evaluate responses obtained in that agency to those obtained in your agency. But even if other agencies use this survey and you are able to gain access to their results, you will confront some difficult questions about

whether and on what basis you can legitimately compare your agency to others. Thus, the first option, even if available, presents analytical difficulties.

The second option, repeated administration within your own agency, is more within your control to fashion and we recommend it. By deciding to administer the climate survey periodically, you are provided the opportunity of forming an internal comparative data base. This will allow you to compare findings from the most recent administrations of the survey--taking particular note of changes and whether these changes seem for the better or the worse.

Ultimately, the interpretation of survey responses, with or without a comparative data base available, will require that someone or some group of people (e.g., agency management) interpret the responses and draw conclusions. In the directions for administering the survey, we described a ten-step process that included analysis of survey responses and the drawing of conclusions about those responses. Steps 8 through 11 (beginning with the coding of survey responses and ending with the drawing of conclusions) are inclusive of this analysis interpretation and conclusion-drawing process.

Step 8 - Coding

Careful coding of the survey responses will save much time and trouble, and will permit a number of analyses to be conducted later with relative ease. Each survey is coded as an individual case, with an answer to each question provided from each case. All responses from all returned surveys should be coded. Do not code only some of

the responses, because in doing so you will often find that a question initially thought to be relatively unimportant takes on additional importance after further consideration. Doing all of the coding at one time will save time and trouble in later going back to code these other questions.

It is most useful for purposes of later statistical analysis if the responses are coded numerically. In the climate survey, the assigning of numerical codes is very simple as all of the questions have only five answer possibilities. An often used coding option is to assign "strongly agree" a code of 1, "agree" a code of 2, and so forth. In following this procedure, each question has a possible coded answer of 1 to 5. Each question can be treated as a variable and each response to each question can be recorded by a number. These numbers can be later analyzed to produce frequency counts and to calculate various kinds of statistical summaries as explained below.

Step 9 - Preliminary Descriptive Analysis

Once the surveys have been coded, preliminary analysis can begin, usually with the calculation and presentation of a frequency distribution of responses for each question. When calculating a frequency distribution, each survey question is analyzed to determine the way people responded on each question (e.g., SA 42; A 51; N 125; D 60; SD 35). In this example, 42 respondents answered "strongly agree," 51 answered "agree," and so forth on a particular question. After calculating frequency distributions, we are able to inspect how

responses to each question are distributed across answer options. In the example above, we can note a fair amount of variation in how people answered.

We may elect to stop the preliminary data analysis with the tabulation of frequencies; however, it is usually helpful if two further, relatively simple statistics are calculated: (1) a measure of central tendency, and (2) a measure of variance. These statistics provide us with a relatively quick way to gauge and to compare how the average or typical response differs from question to question and how much dispersion or variation in responses there is in each question. Measures of central tendency and measures of variance are discussed in Volume III. You should refer to these sections for a list of the principal options available in measuring each. For example, in measuring central tendency, the options include calculating a mean, a median, or a mode. In computing variance, options include calculating a standard deviation or quartiles. Each of these is relatively easily calculated, but each has its own special conditions to be met. Before selecting the option to be used in each case, we suggest a quick reading of Volume III.

Frequency distributions, central tendency, and variance provide us with key pieces of information for analyzing survey responses. The importance of these statistics will become clear later when we discuss analysis and interpretation of responses to questions in each of the seventeen major survey sections.

Steps 10 and 11 - Complex Analysis and Conclusions

The last two steps are the most important and also are more difficult to perform than the previous ones. In these steps, art and science blend because the analyst must begin thinking what the responses mean in the context of the particular agency and the particular time the survey was administered. For example, suppose that 90 percent of the respondents indicate that they believe departmental assignment and reassignment practices are detrimental to doing a good job. The meaning of this statistic, aside from the obvious fact of the statistic itself, needs a context for interpretation. Perhaps the agency has just undergone a massive reorganization and things are abnormally unsettled. In this kind of situation we might feel comfortable concluding that negative responses from employees are a temporary manifestation of the current upheaval and are explained by it. But what if nothing "abnormal" seems to be going on in the agency--that normal operating procedures and policies for assignment and reassignment are being followed. In this latter situation, the analyst might want to give further and detailed consideration to why a long-standing policy apparently produces such negative responses.

Agency and time contexts provide the basis for interpreting statistics. Statistics by themselves tell us very little, as we can see from the example above about the effects of assignment and reassignment practices. Survey analysts who are not familiar with the agency and its environment may well come to erroneous conclusions

about what the responses mean, or about the conclusions that can be drawn from these meanings. We consider this problem below.

ANALYSTS AND INTERPRETERS

It is difficult and sometimes impossible for outside consultants to acquire a good feel for the agency context; and, hence, it is usually difficult for them to interpret and to draw conclusions about survey responses on their own. Normally, people from within the agency must be involved in the interpretation process. The insider's knowledge of agency environment and climate and of its recent history is the grist for conducting sound analysis and drawing reasonable conclusions. An outside consultant can provide useful services in assisting the agency to code survey responses, calculating various statistics, and drawing preliminary conclusions about what the responses appear to mean. Many of the consultant's preliminary conclusions will remain those of an outsider until considered and perhaps modified, if necessary, by those who are inside the organization and most familiar with its current condition.

More than one insider generally ought to be involved in the analysis process. Relying on one inside person makes the analysis subject to one person's knowledge and biases about the agency. Thus, providing a reasonably complete picture of the agency context will usually be more thoroughly done if several agency personnel are involved in the analysis.

One option is to form a task force or working group of agency employees to conduct interpretation and to draw conclusions. There

are numerous ways of putting such a group together. One is to assign somebody from the personnel unit, somebody else from the planning unit, one or more people from the upper management ranks, and one or more from the lower ranks within the agency. An outside consultant or expert could be added if this seemed desirable. The function or purpose of a working group is to take the raw data on survey responses and to interpret them in light of an understanding of the agency and its recent history. Generally, it is not advisable for the agency head or chief executive to be involved in such a working group. Any report from the working group would normally be delivered to the agency head for his or her consideration, and those producing the report should normally be different from those reviewing and passing judgment on the report's interpretations and conclusions.

The foregoing comments should serve as an introduction to the general processes involved in survey response interpretation. As can be appreciated, we have only summarized these important points. They will be raised again and again as we continue below with our discussion of survey interpretation.

ISSUES OF IMPORTANCE IN SURVEY ANALYSES

Before discussing special analysis issues for each of the seventeen survey categories, there are several points about the way that the survey is formatted that require some attention. Awareness of these and their implications for analysis will provide perspective during the survey interpretation process. These issues include (1) determining a question's valence, (2) finding variation and looking

for associations, and (3) grouping questions within survey sections. Each of these issues is separately and briefly considered below.

QUESTION VALENCE

Some of the questions in the survey are stated positively and some are stated negatively. For example, "My supervisor manages people well" is a positively-stated question. Alternatively, "My supervisor does not manage people well" is a negatively-stated question. Positive and negative questions have been mixed throughout the survey in an attempt to provide some balance in the survey's tone. Furthermore, a mixture of negative and positive questions tends to alert respondents to read each question relatively carefully. If respondents hurry through the survey, checking all one column or another, without paying much attention to the questions and their valence (+ or -), it will be obvious to the analyst.

We point out this issue about question valence or direction not just for the reasons above but also because it is important to consider when interpreting the response pattern statistics. Frequency distributions, measure of central tendency, and variance need to be considered in light of question direction. For example, if a question is stated positively, we would normally associate the most positive answer with "strongly agree" (e.g., the respondent indicates that he or she strongly agrees that "the supervisor manages people well." Alternatively, with a negatively phrased question, the "strongly agree" has the most negative implication (e.g., the respondent indicates that he or she strongly agrees that "the supervisor

does not manage people well.") The point is that analysts must not assume that all "strongly agree" answer options anchor the end of the scale that describes a positive agency climate. For some questions this will be true, but for other questions (the negatively phrased questions) we would hope to find answers clustering toward "strongly disagree."

All of this assumes that there is some acceptable basis for determining question direction with respect to positive and negative aspects of organizational climate. For some questions, direction is obvious. For example, respondent indications that they do not personally support or agree with agency missions and goals would normally not be considered a positive or preferred climate condition. Likewise, respondent views that the agency does not compete well with other criminal justice agencies in the area in attracting qualified job applicants also does not seem to speak well about the agency. For most questions in the survey, and under normal situations in most agencies, the issue raised in the question can be judged for effect on agency climate in a relatively straightforward and commonsense way. Unfortunately, not all questions and their answers can be interpreted quite so easily. Some questions will have a direction only if the analyst assigns it one within the context of his or her particular agency (e.g., agency salary and wages should be set through union contract). There are very few such questions in this climate survey, and we have identified them as "neutrally" phrased questions.

In the section of this narrative that describes the questions found in each of the seventeen survey categories, each of the questions is labeled according to its assumed valence. This labeling we did on the basis of what common sense and organizational theory suggest should be associated with a positive organizational climate and on what usually is not. Agency analysts, working within the context of their particular agency may wish to reconsider our assigned valences in some instances.

FINDING VARIATION AND LOOKING FOR ASSOCIATIONS

As previously noted, an important activity in analyzing survey responses is to consider variation in frequency responses in each question. Sometimes we will find general agreement among respondents. In such a situation, responses will tend to pile up in one or two adjacent answer options and variation among employees in how they view the particular issue being raised is considered to be comparatively slight. However, it is far more usual to find substantial difference of opinion (or variation) among respondents as they record their answers. For example, when looking at responses to a particular question, say a question about goal and mission clarity, we may find a distribution something like this: 42 strongly agree; 65 agree; 70 neutral; 60 disagree; and 35 strongly disagree. In this situation, we might well be curious why 107 respondents (42 + 65) are on the "agree" side while 95 (60 + 35) are on the "disagree" side.

When variation is found in how respondents answer questions, and we start thinking about the possible reasons for these response variations, one question that may quite logically come up is: "Do people who answer a question one way have certain characteristics, while people who answer another way have other characteristics?" And we might ask a second question that goes something like this: "Do people who answer question X one way, answer other questions a certain way?" When attempting to find answers to these kinds of questions, analysis is focused on uncovering associations. More often than not, the process of finding associations is the crucial first step in eventually being able to identify the reasons why people differ in their responses to questions on climate surveys.

In the example above where 107 respondents are on the agree side of the goal-clarity question and 95 on the disagree side, associations can be looked for as a first step in uncovering reasons for the variation. One possibility is that the agreeing and disagreeing respondents tend to be from different organizational units or shifts, or are in different age groupings, or have differing levels of education. For example, in sheriff departments, it is not uncommon to find that personnel assigned to the jail have substantially different opinions from those assigned to road patrol or law enforcement divisions. Thus, one thing to do when considering reasons for variation in survey responses is to develop composite responses across the employee demographic variables such as unit assignment, age, educational attainment, rank, etc. This will help

to tell us initially whether the differences in responses can be associated with a particular unit, rank, age bracket, and so forth. If so, we have secured important information about where potential problems reside and who most frequently report their existence.

A second thing we might want to consider involves comparing how people answered on two or more questions. For example, concerning variation in responses about how clear agency missions and goals are, we might want to consider how people answer this question compared to how they answer another question--perhaps a question about whether he or she is clear about his or her job duties. When making these kinds of comparisons, we are looking for associations. The more of these associations that can be put together, thereby grouping questions and response patterns, the more we are able to generate a list of the factors associated with and potentially contributing to agency human resource problems and to a negative agency climate.

To summarize these comments about analyzing variation in responses and looking for associations, we may say that two general steps are involved. First, inspect the frequency distribution for each question and note how much responses vary, either tending to spread out across the answer options or tending to pile up in one place or another. Second, consider the nature of variations and whether they may be associated with variations in other questions. When attempting to find associations among variables, it will be useful to give some consideration to the last part of our directions on climate survey interpretation--the section titled, "Analyzing

Climate Survey Responses for Purposes of Problem Identification."

This section continues and expands upon the comments made here about finding associations.

GROUPED QUESTIONS WITHIN SECTIONS

Each section of the survey contains a series of questions considered germane to a specific topic or issue of agency human resource management (e.g., selection, training and development, compensation, etc.). Within each of these sections some questions can be considered to be more closely associated with one another than with others. For example, in the section on employee discipline, one question asks the respondent whether "disciplinary penalties given to employees fit the infraction." In another question from the same section the respondent is asked whether his or her supervisor is fair when handing out discipline. Obviously, these two questions are different in some important respects--one relates to the respondent's supervisor and the other more nearly concerns the agency generally. However, both of these questions can also be seen to be very closely concerned with the "fairness" of discipline in the agency. To the extent that we are interested in drawing as complete a picture as possible about fairness, we would want to consider both of these questions as part of a package composed of questions that each highlight or treat a slightly different aspect of disciplinary procedure fairness.

Every section of the survey has questions that can be grouped in this manner. How these questions can be grouped and what dimension

or aspect is assumed to unite them may not be immediately apparent in all cases. In the discussion that follows in the next section of these materials, we discuss some of the possible groupings of questions within each section, and we also identify the concept that each of these groupings is assumed to be related to. For example, further on you will see that one of the groupings in the survey section concerning employee discipline is about "fairness" and that Questions 1, 3, 7, 11 through 14, and 17 can be seen variously to treat that concept.

We will not of course identify all possible groupings and their associated concepts. And we have not tested the validity of our groupings, except by way of applying a face-value or commonsense test. Nonetheless, the groupings that we lay out will help you to get started in the process of using several questions to get a clearer picture about some issue (e.g., fairness of employee discipline). But our groupings will only give you a start. You may well want to think up other question groupings to deal with other concepts of interest. Common sense and a reading of the rest of the material in Volume II will give you a good start in thinking through some of these other possible groupings (both the grouping of questions within a section and the grouping of questions from several sections).

ANALYZING RESPONSES IN THE SEVENTEEN SURVEY CATEGORIES

We now turn our attention to the analysis of responses within each of the seventeen survey categories. Each of the brief sections

below considers a separate survey category. We consider them in order of their appearance in the climate survey.

Missions and Goals

With the questions in this section of the survey, employees are asked about the perceived clarity of agency goals and missions, about the perceived relevance of jobs to achieving goals, and about the amount of input employees see themselves as having in setting agency missions and goals. Also, employees are asked to "evaluate" several aspects of agency missions and goals.

All of the questions except Question 2 are stated in the "positive"--meaning that one would normally associate a "good" organizational climate with responses in the categories "strongly agree" and "agree." If responses cluster toward the opposite end of the continuum (i.e., "strongly disagree") employees may be seen to be negatively evaluating goal and mission clarity, reasonableness, achievement, job-relatedness, etc.

Question 1 assesses whether agency missions and goals have been clearly defined, while Questions 6 and 7 assess whether they have been clearly communicated and are understood by the employee. Questions 2, 3, 4, 9, and 10 are a series of evaluative questions about goal conflict, reasonableness of goals, agency goal-achievement, employee support for goals, and the relationship of goals to community needs. Questions 5 and 11 are about employee input in the process of determining agency missions and goals. Question 8 addresses what may be for many employees a contributing factor to morale--

whether the employee sees his or her job as important to fulfilling agency purposes.

Employee knowledge of and acceptance of agency missions and goals can be important to job performance and to the health of the agency work climate. Agency and work unit missions and goals provide a sense of purpose and justification. The absence of clearly defined goals or the absence of employee knowledge and acceptance of them can leave employees directionless regarding the purpose of their work, thereby potentially affecting their morale, motivation, or performance. Goal conflict may yield confusion as employees attempt to do their jobs.

When analyzing responses to questions about missions and goals, particular attention should be devoted to the issues noted above. Responses that indicate a lack of goal clarity and a lack of employee knowledge and acceptance of goals are not evidence that employee job performance and morale are low, or that there is even a problem requiring attention. But "negative" responses are indicative of potential soft spots that may come to be associated with or be a contributing factor to other problems such as performance. Certainly it would seem sound to recommend a general review of agency missions and goals if responses in this section are consistently negative.

Jobs, Tasks and Roles

This section of the survey asks the respondent about his or her job and also about other jobs in the agency. Respondents are asked about the existence and clarity of job descriptions, the reasonableness of job duties, their input into defining their job duties, and

the apparent degree of agency awareness about what they actually do on the job. In exploring these issues, we move the level of questioning from rather general notions about missions and goals to more specific concerns about the respondent's job.

The work done in an agency can be seen as tasks and roles grouped under various job headings or titles. Employee perceptions about the nature of their jobs are a central aspect of the assessment of organizational climate. We need to know whether employees see their jobs as relevant and important to achieving goals and missions. There are also questions about official agency job descriptions and whether or not employees see these as compatible with actual jobs and work done. We also need to know whether employees view their jobs as too demanding or unchallenging, or whether the jobs of employees are viewed as including the right combinations of specific roles and tasks. Finally, we need to know whether employees feel sufficiently informed by managers and supervisors about expected or preferred performance in jobs.

Questions 1 through 3, 7 through 9, 11, and 13 are phrased negatively while the remaining questions are phrased positively. Questions 1 through 3, 9, 10, 14, and 15 ask the respondent to evaluate several aspects of his or her job. Questions 4 through 6 ask about the existence and accuracy of job descriptions. Question 7 probes the degree to which respondents feel that they are informed of and are clear about their job duties. Questions 8, 11, and 12 ask respondents to evaluate the degree to which the agency and supervisors appear informed about the actual nature of work performed on the job.

Questions 13 and 16 ask about how much the agency has sought employee input in defining the roles and tasks of specific jobs.

When analyzing responses to questions in this part of the survey, we can begin to get a sense of how compatible the employee perceives his or her job to be. Consistently negative evaluations of agency job-expectations, agency job-descriptions, and agency knowledge of the actual amount and kind of work done by employees in doing their jobs are indicators of potential problems. These problems may ultimately manifest themselves in low morale, low job performance, confusion in performing work tasks, and job tension. Survey responses negatively evaluating such job-related issues suggest the advisability of giving further attention to any or all of the following issues: (1) the accuracy of current written job descriptions, (2) the reasonableness of current job and work expectations, (3) the amount and kind of employee input sought in the job design and description process, and (4) the means by which and the sufficiency with which employees have been informed of job duties and expectations.

Issues about the accuracy and clarity of job descriptions are fundamental. Without accurate and clear job descriptions, especially descriptions that reflect actual job duties, numerous negative consequences can result for the agency. In particular, employee performance expectations and employee performance appraisal systems may very well not be grounded in the realities of work. Furthermore, there may very well be confusion about what kind of people to recruit and to select. Employees themselves may be under some tension, either

not knowing what their job is, or being caught in the middle between the "official" job description and what they actually are told to do by supervisors. Accurate and clear job descriptions form the basis of nearly all other aspects of personnel administration.

If roles and tasks are inappropriately grouped into jobs, employees may come to feel that their jobs are impossible to do, leading to frustration and possible negative effects on performance. Employee perceptions that their job has an inappropriate combination of roles and tasks, or that descriptions of their job are inaccurate, or that they have not been clearly informed of their job duties are important indicators of fundamental problems having potential effects, such as those noted above.

When analyzing responses to questions in this section of the survey, special attention should be paid to those questions about the employee's own job (Questions 1, 2, 5 through 7, 9 through 11, and 13 through 16). Responses to these questions will more directly reflect a wealth of personal experience and knowledge. So too, most of these questions more nearly address concrete behavior (e.g., this agency does not regularly collect information about the actual activities that I perform in my job).

Job Knowledge and Skills

In this group of questions, we look at another aspect of the employee's job--the knowledge and skills the employee should have when doing the job. To do a job well enough an employee must have the requisite job-related knowledge and skills. A central issue is the

compatibility between knowledge and/or skill requirements and the nature of work done in a job. One aspect of assessing this compatibility is to determine employee perceptions about how clearly the requisite knowledge and skills have been identified by the agency. Another dimension of such an assessment is how much employees feel that they and co-workers possess requisite knowledge and skills. Finally, two other issues are important: Does the agency appear to be concerned that employees have requisite knowledge and skills? Is the agency aware of knowledge and skill deficiencies among employees?

Questions 9 and 10 have been negatively phrased, and the remainder of the questions positively. Questions 1, 2, and 12 assess the existence and adequacy of agency documents enunciating the knowledge and skills required in doing jobs. Questions 4 and 5 probe respondent views about supervisors' awareness of knowledge and skills needed by employees under them, and of the supervisor's knowledge of deficiencies in these among job incumbents. In Questions 3 and 6 through 10 respondents are asked to evaluate how successful the agency has been in attracting sufficiently informed and skilled people to fill jobs. Question 11 asks whether respondents have been given the opportunity for input when the agency gives consideration to or sets knowledge and skill requirements. Question 13 asks the respondent to assess his or her own job-related knowledge and skills.

When analyzing responses to this section of the survey, it should be borne in mind that we are not questioning the nature of the job itself, but rather the basic tools that are thought important for the jobholders to have. If from the previous survey section about jobs,

we find a generally positive pattern of answering, we may still encounter a generally negative pattern of response in this section on job knowledge and skills. In such a situation, employees would seem to be calling attention more to the qualifications of jobholders than to the nature of jobs and job expectations. Specifically, attention would seem to be drawn to the adequacy of agency knowledge and skill requirements, and to the ability of the agency to staff its job positions with sufficiently qualified employees. If respondent views are consistently negative across the questions, the apparent degree of interest in and ability of the agency to address employee job-related qualifications is called into question.

Care should be taken to separate perceptions of accuracy and adequacy in defining knowledge and skill requirements from those about the agency's "success" in acquiring qualified employees. For example, Question 2 is about the former while Question 3 is about the latter. Employee responses that indicate agency success in accurately defining and communicating knowledge and skill requirements may be consistent with responses that indicate low levels of knowledge and skill among job incumbents (e.g., negative responses on Questions 6, 7, 8, and 9). In such a situation, the negative responses are more indicative of potential problems in recruitment, selection, training, and job assignment practices.

This last point is a good example demonstrating the interrelatedness of the sections of this survey. Negative responses to questions about, for example, the job knowledge and skills of co-workers tips

us off to a set of potential problems--such as with performance. But we may not have sufficient information yet to begin deciphering what the reasons for such problems are. Responses in other portions of the survey (e.g., selection and training) will need to be analyzed in conjunction with responses in this section to get a clearer picture of why the knowledge and skills of co-workers are apparently rated negatively.

Regardless of the more complicated issues of analysis as noted in the example above, negative employee responses to items in this section of the survey call our attention to a set of possible problems centering on employee job qualifications. The broad category of problems hinted have to do with the agency's ability adequately to define and to communicate job qualifications and to apply these in filling its jobs with qualified people. The absence of formally stated and understood knowledge and skill requirements has negative consequences for the agency in adequately defining recruitment and selection criteria. People unsuited to work in the agency may nonetheless be hired because clear and accurate thought has not been given to knowledge and skill requirements. So too, the absence of standards of knowledge and skill makes it difficult, if not impossible, to assess employee deficiencies in these areas and to assess job-related training needs.

Manning Levels

This section of the survey gets at perceptions about agency staffing levels. Questions 1 through 6 and 10 may be viewed as "positively" phrased while Questions 7 through 9 can be viewed as "negatively" phrased.

These questions are about the adequacy of current agency staffing levels, both overall and within various units and shifts. Employee views about manning levels are important with regard to three central issues: (1) whether or not agency management keeps itself informed of and up-to-date on staffing requirements; (2) whether or not there are staff shortages that markedly affect productivity (or whether there is over-staffing); and (3) whether or not manning levels relate to and are flexible enough to accommodate short-term shifts in manpower needs.

In Questions 1 through 3 and 7 through 9 respondents are asked to evaluate the adequacy of the agency's work force size (views about there being too few or too many employees are both examined). Some of these questions are also about the adequacy of the distribution of the existing work force. Questions 5 and 6 are about distribution of the work force across shifts and divisions of the agency. Question 4 is about employee input into the process by which the agency determines how big a work force it needs. In Question 10 respondents are asked to evaluate how much the agency appears informed of work loads--a prime determinant of work-force requirements.

In this group of questions, analysts are securing information from employees about the adequacy of manning levels compared to workload demands put on the agency and on its divisions or units. During analysis, care should be taken to separate indications of insufficient manpower in the agency overall from indications of inefficient use of existing resources due to poor assignment and allocation practices.

For example, in Question 1 respondents may indicate a general belief that overall the agency has enough personnel, but answers to Questions 5 through 7 and 9 may indicate a perceived misallocation of these resources among work units. These latter questions provide us some preliminary comment on agency assignment practices, which we will consider more fully in a later section of the survey.

Negative responses to questions in this section of the survey not only identify possible staffing problems but also point to sources of job stress and low morale. Indications of understaffing and overwork, especially when strongly reflected in responses, hint at further problems of job stress, low morale, and causes of poor performance. The problem may not simply be one of too small a staff in the agency overall but may also be related to assignment practices and to the way in which roles and tasks have been combined into jobs. Thus, when analyzing questions in this section of the survey, attention should also be focused on the sections "Jobs, Tasks, and Roles" and "Assignment and Reassignment."

Recruitment

This section of the survey asks respondents to comment on the agency's recruitment process. A great deal of care should be exercised in interpreting responses to questions in this section because most employees are not in a position to view the recruitment process directly (except of course through their own experience at being recruited). Thus, responses to questions in this section are likely to be based on comparatively loose impressions and perceptions.

Nonetheless, to the extent that the agency has informed its employees of its general recruitment policies and procedures, and to the extent that employees have seen some visible manifestations of these policies (e.g., agency job advertisements), employees may be in a position to venture opinions about agency recruitment processes. Besides, although employees often are not in a position to assess recruitment practices directly, they may well develop perceptions based on contacts with new employees, the community, agency recruitment drives, or their own experience in being recruited. Gathering employee perceptions about recruitment practices and their effects extends to several issues. One issue is the agency's ability to attract qualified job applicants and the nature of competition from other employers for applicants. Another issue is the factors that influence the availability of job applicants. So too, employee assessments of the procedures used by the agency to attract qualified applicants can provide valuable feedback. Related issues include perceptions about the ability of the agency to attract qualified members of minorities and women, and the availability of qualified applicants in the labor market.

The recruitment process bridges one of the most important boundaries between the agency and its environment: the agency's need for personnel and the environmental supply of human resources. Thus, some of the questions in the recruitment section delve into varying aspects of mediating between the agency's need for people and the environmental supply of people. Agency employees are

simultaneously members of the agency and the environment. In their private lives, as well as in their official agency roles, they come into contact with other people in the environment who are not agency employees. From these kinds of contacts, employees may well be able to form judgments about the views outsiders have of the attractiveness of jobs and working conditions in the agency and the agency's ability to compete with other employers in recruiting qualified job applicants.

Questions 1 through 3 and 7 and 8 are positively phrased, Questions 4 through 6 negatively. Questions 1 and 5 are about the agency's ability adequately to inform potential job applicants about the nature of work in various job openings. Questions 2 and 3 are about the agency's recruitment programs for minorities and women. When analyzing responses to these latter two questions, it should be remembered that the questions ask about the quality of recruitment programs currently used to recruit women and members of minorities, and not about the success of the agency in attracting minority and female job recruits. Yet respondents may not differentiate between the program and the effects of the program. Thus, responses may be predicated on program outcomes to a very large degree.

In Question 4 respondents are asked to give a general appraisal of the local labor market while Question 6 extends this further by requesting respondents to appraise the attractiveness of jobs in the agency. Questions 7 and 8 probe the respondent's views about agency recruitment efforts generally, first asking whether the agency

appears to have a good idea about the kinds of people it needs to recruit and finally whether the agency seems successful in its recruitment efforts.

Because respondents generally have only indirect knowledge of agency recruitment efforts, negative responses to questions in this section may or may not be based on factual knowledge. The amount of difficulty this poses varies from question to question. For example, employees normally can be expected to have seen and to have read job advertisements placed by the agency and thus are in a fairly good position to evaluate the accuracy and relative completeness of these descriptions. But Question 6 asks respondents to relate how potential job applicants view jobs in the agency; one would expect direct knowledge about this to be limited. Besides, the respondent's own views about the attractiveness of jobs in the agency may well color his or her responses.

Problems of interpretation notwithstanding, respondent views about the agency recruitment process can provide insight into an important area of personnel administration and practice. If responses cluster toward the negative, analysts are encouraged to give further consideration to the agency's practices and policies related to recruitment. In particular, responses may provide an indication of problems with job advertisements that may affect the quality and number of job applicants. So too, to the extent that the agency has difficulty in recruiting qualified job candidates, responses to these questions begin to provide some clues about the possible reasons for these difficulties.

Selection

The questions in this section of the survey are about the agency's selection processes--the processes themselves and their effects in securing qualified employees. As with recruitment, employees generally have only indirect knowledge of the actual practices and processes associated with selection. However, employees do have much more direct contact with the effects of selection practices because those selected show up later as co-workers.

Employee perceptions about the effects of the selection process (e.g., the quality of those selected) can provide important indirect assessment of the agency's selection practices. Among the issues useful to explore: whether employees think that the agency adequately tests the knowledge and skills of applicants, and whether the overall set of selection procedures seems to result in qualified applicants' being offered positions. We also need to know whether the agency's hiring procedures are viewed as discriminatory. Another issue has to do with perceptions about the apparent job-relatedness of selection procedures and criteria: Do extraneous (non-job-related) factors appear to enter into the selection process?

When responses to questions in this section are being interpreted, the difference between knowledge of the practice and experience with its effects should be borne in mind: When respondents are commenting on selection practices, it is wise to consider that their responses may well be based on effects and not based on any direct knowledge about the practice. For example, Question 7 asks respondents

whether the agency's hiring (selection) practices discriminate against minority groups. The respondent may not be directly informed about selection procedures and the procedures may not be discriminatory on any objective basis; yet, the respondent may note a general absence of minority recruits and may assume that this represents some conscious or unconscious policy. Nonetheless, responses indicating discriminatory practice exists point toward a potential problem requiring attention: the problem may be actual discrimination or it may be misperceptions among employees. In either case, additional diagnosis and possible remedial action would seem to be called for.

This kind of interpretative process (as above) should be considered when analyzing all questions in this section of the survey. Especially when consistently negative responses are recorded throughout the section, analysts should be encouraged to take a close and complete look at the selection process, the kinds of new employees it produces, and the perceptions generated by these processes among employees.

Questions 3, 6, 7, 8, 10, 12, and 13 are phrased negatively, the remaining questions positively. The classification of questions in this section is somewhat difficult because of the difficulty in separating selection practices from effects of the practices. Nonetheless, we have divided these questions into three groupings, although for some questions their assignment to one group or the other is somewhat arbitrary.

Questions 1, 2, and 13 most directly require respondents to assess the effects of selection processes (i.e., what kind of people get hired). Question 9 asks respondents to evaluate how much employee input has been sought in developing selection criteria. The remainder of the questions ask process and procedural questions, although analysts should be reminded of our previous comments about the difficulty of separating the two prime bases for responses: actual knowledge of selection procedures from knowledge of their effects.

Views that the agency's selection procedures are discriminatory or that they do not have sufficient job-related criteria associated with them or that they do not result in obtaining "high" quality new employees can have several consequences if true. Among other things, perceptions about new employees may be negatively influenced, making their transition into the work environment difficult. Employee performance may be affected by the view that since the agency doesn't seem to pay much attention to the quality of new hires, the agency must have concomitantly low expectations about the job performance of its employees. All of this may have potentially negative effects on morale and additional effects on performance.

Consistently negative responses to questions in this section minimally indicate potentially negative consequences, as noted above. Problems with specific practices may be tipped off (e.g., that selection procedures are discriminatory). However, to be able to reach accurate judgments about the selection practices themselves will mean further information collection and analysis--a process we discuss in the last section of this narrative.

Training and Development

In this section, we are concerned with respondent views about agency efforts to train and to develop personnel. Together with recruitment and selection, training and development comprise the triad of activities engaged in by the agency to secure appropriately qualified employees. For this reason, and in addition to separately analyzing responses in each of these three categories, analysts need to consider how responses across the recruitment, selection, and training categories provide an overall picture of the agency's efforts to secure qualified employees. Generally negative responses across the recruitment, selection, and training and development categories indicate a need to review the entire employee acquisition and development process.

Training and development includes orientation programs, pre-employment training, on-the-job training, specialty or advanced training, and career-advancement preparation. With each of these kinds of training, employee perceptions about the quality, quantity, timeliness, and utility (job-relatedness) of the training and development need to be assessed. Other issues requiring attention include employee views on the level of organizational commitment to training, development, career advancement, and the devotion of sufficient resources to these endeavors.

The questions on training and development assume that employees have been recruited and hired; thus, the intent of questions in this section is that respondents consider only the development of employees.

Some questions are only about the amount of training, while others are about the quality and content of training. Further distinctions are drawn among preemployment, on-the-job, and in-service forms of training. Respondent views about the apparent commitment of the agency to training and development are solicited, as are views about agency efforts to permit employee input into the process of determining training program options and configuration.

Questions 1 through 6 appraise training options for new employees. Questions 7 through 12 are about training opportunities and agency attitudes toward training beyond the recruit or new employee level. In Questions 13, 14, and 16 respondents are most directly asked to assess the agency's awareness of training needs and the provision for these needs. In Questions 15 and 17 through 19 the respondent is asked to assess the adequacy of his or her own training. Question 20 is about agency policies or decisions regarding the selection of employees who are to receive advanced or specialty training.

When analyzing responses to questions in this section of the survey, care should be taken to remember that training and development is a multifaceted thing. Therefore, in addition to developing overall perceptions about employee views of the agency's training and development program, specific areas and kinds of training (e.g., new employees, advanced, on-the-job, etc.) need to be individually examined. Negative responses (if there are any) may cluster in only certain training areas. Or negative responses may abound throughout,

indicating the need to review the entire training and development program area further.

Training and development can have a fundamental effect on employee morale, job satisfaction, and job performance. Insufficient training may affect morale and job performance by leaving the employee with not enough knowledge to perform his or her job duties with confidence. The absence of training opportunities stifles professional development and career advancement--at least it may engender perceptions of its so doing. So too, newly hired employees, no matter how bright, motivated, and appropriately skilled, need specialized training that fits their job assignment. The absence of such training will almost certainly affect job performance and personal confidence. Negative responses to those questions that address the employee's personal experience with agency training opportunities begin to tip us off that there are problems such as those cited above and that they negatively affect the work environment and job performance.

Also, negative evaluations on training may relate to similarly negative evaluations of the agency's success in identifying job knowledge and skills, in setting performance standards, in making promotional and assignment decisions and the like. For example, we might well expect that evaluations about the relevance of agency training opportunities will be closely associated with evaluations about the degree to which the agency has identified and communicated required knowledge and skills for jobs. So too, without performance

standards, the measurement of deficiencies is difficult and determining training requirements is also problematic.

Assignment and Reassignment

This section of the survey moves us beyond concerns of acquiring and developing human resources toward the issue of what is done with employees once acquired and developed. Assignment and reassignment are the principal means by which the agency exercises internal control over the allocation of often scarce human resources. Employee perceptions about assignment and reassignment practices in the agency concern both the nature of these practices and their effects. One important issue is whether or not agency assignment and reassignment practices seem to match job requirements with individual employee qualifications. Also important are perceptions about whether or not employee input is sought and used in making assignments and reassignments. One particularly important aspect of assignment and reassignment practices is their effect on the stability or instability of job assignments in the agency. Employee perceptions about how often and with how much lead time reassignments are made, and how this affects work performance in turn are key issues.

The questions in this section are about these fundamental issues. First, we assess perceptions about the effects that assignment and reassignment practices have on the ability to do jobs. Second, the employees personal experience with and assessment of these practices is queried. Third, we examine respondent views about how far employee qualifications and desires are matched to job assignments.

Questions 1 through 3, 8, and 10 through 15 are phrased positively, the remainder negatively. Questions 9 and 13 through 15 solicit views about the employees personal experiences with assignment and reassignment practices; in the rest of the questions the employee is asked to draw some general conclusions about these practices in the agency overall. Questions 2, 13, and 15 are about the input of employee preferences into the job assignment process. Questions 4, 8, 11, and 14 are about the match achieved between employee qualifications and job requirements. Questions 9, 10, and 12 broadly survey the perceived effects of agency assignment and reassignment policies on job performance. The remainder of the questions probe views about assignment policies in general: their fairness, consistency, predictability, and so forth.

When analyzing responses to questions in this section, our primary concern is to uncover employee perceptions about the internal allocation of human resources. Frequently, agencies have more internal control over this policy area than they do in acquiring and developing human resources. The more effective use (assignment and reassignment) of existing human resources is a principal area of flexibility often allowed the agency. Uncovering potential problems with assignment practices is crucial to activating this important area of policy latitude. Negative responses to certain kinds of questions, or to questions across the board in this section of the survey alerts the agency to potential problems, the resolution of which might significantly improve both the agency climate and its performance.

Some of the problems that may develop from poor assignment and reassignment practices include (1) work and job disruption owing to frequent and short-notice reassignments; (2) poor performance because reassignments are made so often that employees do not have a chance to settle into a job and become efficient in doing it; (3) poor performance because assignment does not adequately consider employee qualifications; (4) low morale and job satisfaction owing to the frequent need among employees to change work environments, to learn a new set of job expectations, and to do a new set of job duties; (5) low employee morale and job satisfaction owing to insufficient attention to employee job preferences. This last problem may also be related to issues of recruitment and selection--that is, people with inappropriate or inaccurate perceptions of the jobs in the agency may have been hired and there may be no job in the agency that will meet their expectations.

Promotion and Demotion

The questions in this section of the survey have to do with major ways in which human resources can be moved within the agency: up or down reassignment within the agency hierarchy. Effective promotion and demotion policies are not only crucial to improving agency performance, but they naturally have substantial effect on morale. Questions 3, 4, 5, 7, and 11 are phrased positively, the remainder of the questions negatively.

Promotion is a mechanism by which agencies reassign employees in the organizational structure to jobs with more responsibility,

authority, or pay. Demotion is a similar mechanism used to reassign employees to jobs with less responsibility, authority, or perhaps pay. First, there are issues of the availability of promotional (career advancement) opportunities and whether these parallel individual employee preferences or desires. Second, there are issues of the perceived objectivity and fairness of promotional practices and decisions. Related to this issue are matters of effects: (1) Do promotional procedures and criteria seem to result in the "best" or at least in suitable individuals being promoted? (2) Are promotional practices viewed as discriminatory? With regard to demotions, we need to know whether the procedures and criteria followed in making demotions are perceived to be fair and legitimate.

Questions 1 and 7 request an assessment of promotional opportunities available in the agency. Questions 2, 3, and 6 ask respondents to assess the current promotional system in terms of whether the best people are promoted and by what criteria promotion decisions appear to be made. Questions 4 and 5 assess aspects of the promotional system overall. Questions 8 through 10 assess discrimination in the promotional process. And Questions 11 through 13 assess demotion practices.

When analyzing responses to questions in this section of the survey, it is not surprising to find usually that a large percentage of respondents assess promotional opportunities negatively. Organizations generally find it impossible to meet employee aspirations in this regard. The more crucial questions in this category are the

appraisal of promotion and demotion policies and how much these policies are perceived to produce qualitatively sound results. Consistently negative responses signal the need to review promotion and demotion procedures. One further thing to do when analyzing these responses is to compare responses on Question 7 to how the other questions were answered. If there is variation in responses in Question 7 (how satisfied people are with their own promotional opportunities), we can check for any apparent patterns of response in the other questions, using personal satisfaction with promotional opportunities as a control variable.

Obviously, not all people in an agency seek or want promotion. Some are perfectly happy with their present jobs. However, if employees seek promotional opportunities and if opportunities are not available, difficulties in morale and retention may arise: employees may be led to look elsewhere for such opportunities in new jobs. Performance may also be affected through a relative lack of promotional opportunities because, for some people, the lack of advancement opportunities will take away an important incentive for exemplary work.

Regardless of the relative availability of promotional opportunities, the system and criteria by which any promotions are made can likewise greatly affect morale and agency performance. If the promotional system discriminates, does not recognize those most qualified for additional responsibilities, or does not seem to be based on job-related criteria, there may be several consequences: (1) the

promotion of individuals incapable of performing new job duties, (2) negative effects on the supervisory and managerial capability of the agency, and (3) declines in agency performance. Obviously, these consequences build on one another.

Demotional procedures that are viewed as unfair, not affording due process, and seeming to be capricious or made for unwarranted reasons will create uneasiness among employees, thereby affecting morale. Such uneasiness may lead to problems of employee retention. Also, such a climate may lead employees to seek anonymity in doing their jobs and to avoid controversial or difficult job duty assignments for fear of drawing attention to themselves.

Employee Performance Appraisal

This section of the survey has to do with the means by which employees and their job performance are evaluated by the agency. Performance appraisal is a key input to many other areas of personnel practice: making job assignments and promotions, setting compensation, determining training needs, etc. Additionally, performance appraisal can negatively or positively affect employee morale.

Performance appraisal information can be used as a basis for reinforcing employee behavior or changing it. Perceptions about the performance appraisal system, its perceived regularity, fairness, job relatedness, and consistency are particularly important issues. Aside from gathering assessments of the procedures of performance appraisal, assessments of the use of appraisal information within the organization also need to be examined. We need to know whether

appraisal is viewed by employees as a punitive or as a positive force. Another key issue is whether or not appraisal results are made known to employees.

Questions 1, 2, 6 through 9, 15 through 17, and 21 through 22 are phrased positively, the remaining questions negatively. Questions 1, 3, 9, 13, and 14 assess the perceived fairness of the agency's performance appraisal system. Questions 2, 12, and 16 ask about the perceived job relatedness of the performance appraisal system. Questions 4 through 8, 19, and 20 probe the amount and kind of feedback on performance given to employees. Question 10 is about employee input into the appraisal system. Questions 11, 15, and 17 probe employee perceptions about the uses the agency makes of appraisal information. Questions 18, 20, and 22 query respondent assessment about the reasonableness of job performance standards underlying the appraisal system.

When analyzing responses to this section of the survey, analysts need to pay particular attention to respondent views about appraisal system fairness, the kind and regularity of feedback given to employees, and the perceived job relatedness of the appraisal system. Consistently negative responses on any or all of these dimensions of the appraisal system signal potentially serious problems, because performance appraisal affects not only employee morale but agency assignment, promotion, compensation, and other types of personnel actions as well.

In particular, the absence of any appraisal system, or the absence of a job-related and valid one, makes it difficult if not impossible for the agency to do any of the following: (1) identify deficiencies for purposes of determining training needs, (2) evaluate employee potential for advancement, (3) base a compensation system on how well a job is done, and (4) evaluate the effectiveness of current selection, training, and assignment practices. Furthermore, the whole issue of perceived fairness in employee evaluation has been shown to have crucial impact on employee morale. So too, a punitively oriented appraisal system similarly affects morale in a negative way. Ultimately, the absence of a valid appraisal system affects performance because it is likely that employees will not be adequately informed about the job-related things they are doing right and those they are doing wrong. The absence of valid performance feedback, or at least the impression that there is none, casts the employee adrift.

Employee Discipline

This section of the survey turns respondent attention to a usually sensitive area of personnel management: discipline. Several general issues are explored including fairness and even-handedness in dispensing discipline, the reasonableness of job and conduct rules that discipline is based on, and assessment of due process. Questions 2, 10, 11, and 13 through 16 are phrased negatively, the remainder of the questions positively.

The rules of jobs and conduct set by an agency, its enforcement of these rules, and sanctions for their violation have a great impact

on the environment of organizational life. Employee perceptions about disciplinary procedures and criteria involve assessments of objectivity, fairness, job relatedness and consistency. Two principal topics are important to address: (1) criteria for discipline and (2) procedures followed in taking disciplinary action.

Questions 1 through 3, 7, 11 through 14, and 17 assess the fairness of agency disciplinary procedures. Questions 4 through 6 probe issues of due process. In Questions 9 and 10 respondents are asked to assess job and conduct rules on which discipline is presumably based. Question 16 probes equity in the handing out of discipline, and Question 15 seeks respondent views about the need for more stringent discipline.

When analyzing responses to this category of questions, perceived fairness, equity, and due process are the centrally important issues. Disciplinary action can be a positive force helping to shape employee performance in intended directions. When employees have cause to view the disciplinary action process as unfair, inequitable, and devoid of due process, however, discipline can instead be destructive of morale and performance. When responses to questions in this section of the survey are negative, further analysis of the employee disciplinary process is strongly indicated.

When discipline is seen to be capricious, unfair, not affording due process, and not job-related, consequences similar to those discussed in the previous two sections may result. In particular, responses about employee performance appraisal and employee discipline

ought to be considered together as well as separately. Many of the potential problems resulting from poor appraisal systems are similar to the problems arising out of poor disciplinary procedures.

Compensation

This section of the survey concerns the principal mechanism by which agencies reward employees for work, and we distinguish between wages and benefits as forms of compensation.

The level and means by which organizations reward employees for work is the subject of compensation. Compensation involves two separate but highly related issues: wages or salary and fringe benefits. We principally need to know whether wage and benefit scales seem adequately to reflect varying responsibilities and skill requirements across the numerous agency jobs. An allied issue concerns general levels of satisfaction with wages and benefits. Another important issue centers on whether or not raises seem to be determined on fair and adequate bases.

Most of the questions are phrased positively, with the consequence that responses on the left side of the scale may be taken as negative.

Several aspects of compensation are examined. Questions 1, 2, 6 through 9, 12, and 13 probe views about the adequacy and fairness of compensation and about satisfaction with compensation levels. Question 3 asks about the agency's competitive position with regard to compensation levels in surrounding agencies. Question 4 probes whether wage scales and wage steps adequately reflect differences in job responsibilities. Question 5 asks about the amount of employee

input into agency decisions regarding compensation plans. Question 10 probes whether there is a perceived relationship between quality of job performance and level of employee compensation. And Question 11 probes satisfaction with the agency's retirement program.

When analyzing responses to questions in this section of the survey, it is worth considering that respondent bias may be particularly manifest here. It is natural and generally true that most people want a higher wage than they have at present. And many will believe that they are worth more than they are getting. Furthermore, wage and salary administration studies have consistently shown that a major area of dispute in almost all organizations is differences in compensation levels among employees. These studies reflect a natural tendency among employees to compare their compensation levels with others, especially co-workers. These comparisons often center on type of work done and quality of performance compared to compensation levels. Some or many employees may be led to believe that they are undercompensated compared to what others are paid.

We call attention to these issues because it should not be surprising to find some dissatisfaction with compensation levels and scales in all organizations. However, when responses generally and clearly cluster toward the negative end of the scale, we may be tipped off to something much more than the random dissatisfaction with wages and benefits found in most organizations.

Analysts need particularly to separate the issue of general dissatisfaction with wages and benefits from issues about comparative

wage levels set for various jobs and for various people. Compensation scales that do not adequately distinguish among types of jobs or fail adequately to recognize differences in job performance can be a source of organizational stress and disputes among employees and between employees and the organization. In particular, failure to distinguish between those doing an exemplary job and those not may lead some employees to question the value of doing an exemplary job, perhaps even to slack off. When survey responses indicate that there may be such "comparison" problems, further analysis of compensation schedules and scales is recommended.

Employee Retention

In this section of the survey, we are concerned with employee retention or "turnover." Turnover is defined here as the voluntary departure of employees from the agency. With the exception of Questions 2 and 9 (phrased positively), all of the questions are phrased negatively.

Keeping good employees from voluntarily leaving the organization is a central concern of employee retention. Turnover may be viewed as the voluntary departure of good employees, distinct from organizational attempts to get rid of employees who perform poorly or inappropriately. Employee perceptions about the causes of and the effects of turnover reflect important aspects of organizational climate. One central issue is whether or not employees view the organization and its work as significantly affected or threatened by turnover. Another key issue is whether or not the organization is

perceived to be doing the best it can to keep good employees. Finally, employees may be able to provide information about the factors they think have contributed to turnover.

The questions concentrate on exploring two central issues in turnover: causes and effects. Questions 1, 3, and 5 are about the general effects of turnover on agency and work-unit performance. Questions 2 and 4 are about the agency's apparent interest in and efforts to reduce losses of good people. In Questions 6 through 8 the respondent is asked to estimate likely future turnover levels. Questions 9 through 13 probe the causes of current turnover, asking respondents to weigh alternative factors possibly contributing to present turnover levels.

Most agencies are aware of existing turnover levels without asking employees "what" they are. However, employees are a particularly important source of information about perceptions of the causes and effects of turnover. When analyzing responses to questions in this section of the survey, the context provided by current and actual turnover rates is important. If turnover rates are low, retention of employees may not be a problem, regardless of how respondents answer questions here. On the other hand, if turnover rates are high, respondent views take on added importance for obvious reasons.

There are two important caveats to the position taken in the above paragraph. First, some agencies have taken the view that "moderate" turnover is beneficial in infusing new blood into the

agency and that turnover (to some level) is not seriously disruptive of agency work and performance. If turnover is within the range prescribed by management, and yet survey responses indicate perceptions of problems, analysts and managers are encouraged to reexamine their assumptions about impact on work and performance, closely reviewing respondent views on the effects of current turnover levels. The second caveat: consider responses from this section of the survey when actual turnover levels are low. Although it may be true that turnover is not at present an issue, respondent views may nonetheless tip us off to negative features of the agency's climate, features that may eventually have an impact on turnover. But be careful in doing this as some respondents may very appropriately assume that because turnover is low, there are no "causes" of turnover worth mentioning.

Employee and Union Relations

This section of the survey broadly samples respondents' opinions about the quality of and general nature of the relationship between management and employees. Responses to questions in this survey section should be considered along with those questions in the next section of the survey, "Supervision."

Employee and union relations concern the climate of and the general nature of relationships between the agency and its employees. The general nature of this relationship in the agency can be partially measured through employee assessment of two conditions: (1) Are there two-way communication networks between the agency and its employees? and (2) Is the interaction cooperative or antagonistic?

Allied issues are employee perceptions about management attitudes toward unionization and employee perceptions about the utility of unions. Finally, employee perceptions about the existence of labor unrest and factors contributing to it provide important feedback to management.

Questions 1 through 5, 7, and 16 through 22 are phrased positively. With the exception of Questions 6 and 24 (phrased neutrally), all of the remaining questions are phrased negatively.

Questions 1 through 5, 7, and 16 through 23 examine several aspects of the quality of labor and management relations. Some of these questions ask the respondent to describe these relationships in general, while others ask the respondent to describe more specifically the relationship between them and their supervisor. Questions 8 through 15 ask respondents to consider factors possibly contributing to any labor unrest being experienced by the agency. Questions 6, 14, 15, and 24 are specifically directed toward unions and union activity.

Many of the questions in this section touch on issues that have been explored elsewhere in this survey, but these issues are brought up again here, along with others, so that a general picture of employee and management relations can be conveniently pieced together and analyzed. Negative responses to questions in this section of the survey point to potentially serious and broad problems in work-force management. More specifically, contemporary management theory emphasizes the importance of positive labor and management relationships. Considered important to such positive relationships are the

existence of two-way communication, feelings of trust, opportunity for employee input, an atmosphere of cooperation, and feelings that the employee's welfare is taken seriously by management.

Obviously, whether there is a positive labor and management environment has an effect on morale. More importantly, however, negative perceptions of communication, feelings of distrust and the like may well lead to an antagonistic environment. Antagonism often breeds a confrontational environment that tends to displace organizational goal achievement with one-upmanship as the performance objective.

Supervision

This section of the survey focuses respondent attention on the most basic and directly connected labor and management relationship: employee and supervisor relationships. Questions in this section examine qualitative aspects of the employee and supervisor relationship similar to those examined in the previous survey section. Namely, we look at issues of trust, two-way communication, cooperation, etc. Questions here are directed toward the respondent's relationship with his or her supervisor and also toward supervision in the agency.

Directing, coordinating, and controlling the agency work force is a function of supervision. The quality and consistency of supervision can be prime ingredients in the employee's perception of his/her work climate. So too, the quality of supervision, and sometimes just its perceived quality, may affect employee job performance.

The principal issue is whether or not employees see supervisors as positive job enhancing forces or as negative ones that stifle performance. Allied issues are perceptions about how well supervisors coordinate, inform, direct, help, and motivate employees. Perceptions about supervisory style and the qualifications of supervisors are also key issues.

Questions 4 through 6, 16 through 18, and 23 are phrased negatively. All remaining questions are phrased positively. Questions 1 through 3 and 6 are about supervisors in the agency generally--their managerial, scheduling, and coordinating skills. Questions 4, 7, and 8 are about the clarity with which employee and supervisor links have been established in the chain of command.

The remainder of the questions all refer to the respondent's relationship with his or her supervisor and can be divided as follows into several topics. Questions 9, 11, 16 through 19, and 22 probe the general managerial and administrative skills of the supervisor. Question 15 asks about the supervisor's ability to delegate responsibility. Questions 12, 13, and 24 are about the supervisor's concern for the welfare of employees under him or her. Questions 13, 20, and 21 ask about the communications between the employee and the supervisor. Questions 10, 20, and 23 are about the supervisor's knowledge about jobs and responsibilities in his or her work unit. Question 14 asks about the confidence the respondent has in his or her supervisor.

Analysis of responses in this section of the survey permit us to concentrate on basic employee and management linkages. Generally,

negative responses to some or all of the questions by respondents will be an indication of problems of supervision throughout the agency. However, the more usual situation is to find variation in responses both within questions and among questions because some supervisors are better than others, and also because employees differ in their expectations of supervisors. In this more usual situation, it is often helpful to analyze responses to questions in this section of the survey by controlling for work unit assignment. By separately analyzing responses work unit by work unit, we acquire the capability of isolating problems of supervision to individual work units, and perhaps to individual supervisors.

In several places throughout this survey, questions have been asked about how far procedures and expectations have been communicated to employees. Too, questions have been raised about feedback on performance, the application of disciplinary procedures, the appropriateness of job roles and tasks, and how concerned the agency seems to create a positive and facilitative work environment. As we have noted, many factors may negatively affect these concerns, but none seems more important than the key role played by supervisors. Failures in supervision obviously affect morale and performance. Just as certainly, however, breakdowns in communicating key pieces of information to employees or failures to improve employee performance may often be traced to poor supervision. Thus, if negative responses to these several issues have been recorded in other sections of the survey, some attention should be devoted to the relationship between

responses in this section of the survey on supervision to responses from those other sections.

EEO and Affirmative Action

In several other sections of this survey, we have asked respondents to comment on discrimination and discriminatory practices. In this section, we focus respondent attention on overall agency policies about equal employment opportunity and affirmative action.

Questions 3 and 5 through 8 are phrased negatively while all other questions are phrased positively. Many questions treat affirmative action and equal employment opportunity individually. Although some respondents may not distinguish between the two concepts, there are differences that some may recognize. Affirmative action implies acting affirmatively--that all other things being equal or nearly so, preference will be given to minority and other protected classes in hiring and promotion. Equal employment opportunity implies the lack of discrimination only--that only genuine job-related criteria are used in decisions of hiring and promotion. As we have noted, respondents may not uniformly be aware of this distinction or apply it in answering the questions. Questions 1 through 4 and 7 are about the agency's apparent commitment to EEO and affirmative action, the existence of clear agency policy on these issues, and whether the agency has done enough in this area, or needs to do more. Questions 5, 6, 8, and 9 probe respondent views about possible negative consequences coming from agency affirmative action efforts.

When analyzing responses to questions in this part of the survey, attention should also be paid to how respondents treated the various

questions in other sections dealing with discrimination. In one sense, questions on discrimination and questions on affirmative action and EEO take different perspectives on the same issue. One problem that must be confronted in analysis, however, is that widespread respondent denial of the existence of discrimination does not establish its nonexistence. On the other hand, if respondents perceive the existence of discriminatory personnel practices, the agency is tipped off to a potential problem with serious consequences. One such consequence is that the more persistent and/or widespread the belief that discrimination is operative, the more likely that legal suits or other formal action will be taken against the agency. These formal actions have serious and disruptive influence on the agency, often freezing hiring and promotion until resolved. These indeed are serious consequences. When respondents indicate a belief that the agency discriminates, the agency should at least strive to uncover the underlying reasons for such beliefs.

Questions 6, 8, and 9 pose another analytical problem. It has been popular in some quarters to charge that affirmative action is reverse discrimination. Whether or not any particular agency's affirmative action policy is reverse discriminatory can be debated; but whether it is or not may be irrelevant to the management of an agency that is committed to reversing previous errors or omissions in hiring and promotion. What is equally clear, however, is that employees may still believe that an affirmative action policy results in reverse discrimination. Such beliefs, whether supportable in fact

or not, negatively affect agency climate. Perceptions of reverse discrimination can lead to animosity between protected and non-protected classes of employees. This may ultimately lead to a significant countering of the intended effects of affirmative action. An agency may well choose not to deviate from a strong affirmative action commitment, even in the face of significant employee opposition. Nonetheless, if employee responses on the reverse discrimination questions are consistently negative, the agency is then alerted to a problem that at minimum requires a greater effort at communication and at gaining acceptance among employees for the affirmative action policy.

Motivation and Job Satisfaction

In this section of the survey we look at two very general and elusive aspects of the agency climate: the job satisfaction of employees and what motivates them. These are elusive concepts because no one has so far been able adequately to define what they mean or what their effects are on employee performance. For example, research on job satisfaction and its effects on performance has produced contradictory results--some researchers concluding that it does make a difference and others concluding that it does not.

There is also some indication that job satisfaction and what motivates people can change very quickly, even for a single individual. Nonetheless, getting some impression about what, if anything, motivates agency employees and getting some sense about their job satisfaction provides an additional piece of information for assessing organizational climate.

Employee feelings and perceptions of the organization as a place to work are influenced by the compatibility of personal employee goals and organizational goals. These things are also influenced by the satisfaction gained from doing the job, pay and other rewards, and the relationships with managers and supervisors. These can all be examined to determine how they variously affect motivation and job satisfaction.

Questions in this section of the survey examine only some of the possible factors associated with motivation and job satisfaction. With the exception of Question 7, all questions are phrased positively. Questions 4, 6, 8, and 11 are about job satisfaction directly. Questions 1 through 3, 5, 9, and 10 are about issues that would normally be assumed to be an aspect of or to be associated with both satisfaction and motivation. For example, we might assume that the more a respondent views his or her job as compatible with personal growth and self-improvement, the more highly motivated and satisfied the respondent will also report being. Unfortunately, such correlation hardly ever comes to pass in any perfect sense, and sometimes it seems not to exist at all.

When analyzing questions from this section of the survey, we suggest that the responses be reviewed across questions to establish a general feel for the response pattern in the section as a whole. To the extent that responses cluster toward the negative across several or most of the questions, this becomes a fairly reasonable tip off that job satisfaction levels are low and that what motivates

agency employees (or doesn't motivate them) needs further and more systematic examination.

ANALYZING CLIMATE SURVEY RESPONSES FOR PURPOSES OF PROBLEM IDENTIFICATION

Earlier, we noted that climate surveys provide the opportunity for employee input into the human resource diagnostic process. The principal forms of input are employee perceptions that provide clues about potential problem areas as well as areas of comparative organizational health and strength. It should also be recalled, however, that we described survey-generated information as only one of the inputs into the problem diagnosis process. Indeed, it is generally true that climate surveys provide information more helpful to identifying potential problem areas than they do in helping us to diagnose a problem fully.

Complete problem diagnosis requires that we identify the full extent of a human-resource problem, its origins and causes, and its consequences, and that we base this diagnosis on something more than employee perception. Climate survey information only begins this process. The beginning is important, however, because employees are in a strategic position to help inform management of key problem areas. With this initial information, areas requiring further diagnostic attention can be identified. Thus, the climate survey provides a starting point for identifying key negative aspects of an organizational climate that may tip management off to employee perceptions not previously sensed, and to issues that may signal

existing or emerging conditions that pose a serious threat to employee and, hence, agency performance.

The survey analysis process described thus far by us has consisted principally of three comparatively simple activities: (1) the calculation of relatively simple statistics (frequency distributions, measures of central tendency, and measures of variance); (2) the review of groups of questions, usually small groups of related questions within a single section of the survey; (3) consideration of each survey section as a whole--say, the section on missions and goals, the section on selection, and so forth. The purpose of this third activity is to form some overall and general impressions of employee perceptions about each of the principal personnel management areas. Unfortunately, analysis typically should not stop here because problems frequently cross personnel management areas (sections of the survey). Analysis must therefore extend to a fourth important step: analysis of responses across sections of the survey.

ANALYSIS OF RESPONSES ACROSS SURVEY SECTIONS

In many ways this is the most crucial step in the analysis process. Not that we can't learn important things in the previous steps; but, rather, this step takes us beyond the obvious--beyond obvious things such as average response to questions or groups of questions. The fourth step requires us to think about the possible relationships among personnel management areas. For example, consider responses to questions having to do with views toward co-workers. Assume for purposes of argument that many or most respondents indicate that they

existing or emerging conditions that pose a serious threat to employee and, hence, agency performance.

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view their co-workers as unmotivated, not particularly knowledgeable about their job responsibilities, and low in quality of job performance. Assuming such an indictment were true (perhaps supported by other information gathered through other means), the next question is: Do responses in other sections of the climate survey provide clues about factors related to and possibly contributing to this condition. In the quest for related information, the process of analyzing responses from several sections of the survey comes into play. Perhaps responses about the recruitment, selection, and training and development processes of the agency ought to be examined: poor performance may be the product of failures in one or more of these areas. Or, alternatively, consideration might be given to assignment policies and to the inappropriate assignment of employees to jobs.

THE PROCESS: CROSS TABULATIONS

Cross tabulation is one of several statistical and analytical devices that help us to picture associations among response patterns across questions. The cross tabulation technique permits us to visualize any apparent or possible relationship between how people responded on one question and how they responded on other questions. For example, we might discover that people who negatively evaluate the job knowledge of their co-workers also tend to evaluate certain aspects of the agency's training policies and opportunities negatively. Conversely, people who tend to evaluate the performance of co-workers positively also tend to evaluate positively the agency's training policies and opportunities, or portions of them. In discovering this

association among responses to the two questions, we identify a possible connection between perceived job knowledge of co-workers and perceptions about agency training opportunities. An example of one such very strong association is displayed in the table below.

TABLE 1
CROSS TABULATIONS OF RESPONSE FREQUENCIES

Item: I have confidence in my co-workers' knowledge of the job.

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Strongly Agree	48	0	0	0	0
Agree	0	68	0	0	0
Neutral	0	0	75	0	0
Disagree	0	0	0	54	0
Strongly Disagree	0	0	0	0	38

Item: This agency provides employees with opportunities for the training they need to do their jobs.

In looking for such relationships and connections among survey questions, there are several issues to consider. The first is the strength or magnitude of associations: do all who respond a particular

way on one question respond a particular way on another question, or do only some? In the table above, the association appears very strong. Finding such a strong association is very unusual--it is far more usual to find a few or several responses scattered outside of the general pattern such as in the table below. Nonetheless, the greater the purity in response patterns, the stronger the association is said to be.

TABLE 2

CROSS TABULATIONS OF RESPONSE FREQUENCIES

Item: I have confidence in my co-workers' knowledge of the job.

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Item: This agency provides employees with opportunities for the training they need to do their jobs.	Strongly Agree	46	1	0	0	0
	Agree	2	51	10	1	0
	Neutral	0	15	60	4	0
	Disagree	0	1	5	47	3
	Strongly Disagree	0	0	0	2	35

In all cross tabulations, we are interested in not only the strength of the association, but in the direction of the association as well (e.g., positive responses on one question associated with positive responses on another question, or positive responses to one question associated with negative responses to another question. In both of the examples above the direction of the relationship is considered to be positive (positive matching to positive and negative to negative).

A third consideration involved in analyzing cross tabulations has to do with the situation where overall the association is weak, but for one or more kinds of responses, there are clear patterns of response. For example, consider the table below where, overall, the association is apparently relatively weak, but for those respondents having strongly negative views--and for them only--a response pattern emerges. Further analysis (analysis that further controls for work unit assignment) may indicate that those holding such strongly negative views are all from one particular agency division where training has typically been remiss. Thus, even though, overall, there does not appear to be an association, important information is uncovered about a potential problem. For a description of some of the statistics that can be calculated and provide help to interpret cross tabulation tables, see Volume III.

TABLE 3

CROSS TABULATIONS OF RESPONSE FREQUENCIES

Item: I have confidence in my co-workers' knowledge of the job.

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Item: This agency provides employees with opportunities for the training they need to do their jobs.	Strongly Agree	20	9	12	16	0
	Agree	5	23	23	12	0
	Neutral	10	15	19	15	0
	Disagree	5	20	14	27	0
	Strongly Disagree	0	0	0	0	38

Finding associations gives us useful information for further consideration, but unfortunately the uncovering of associations from climate surveys does not provide us with all the information we need. In particular, cross tabulations do not establish proof of underlying cause and effect--for example, that poor training opportunities have led to inadequate job knowledge. Besides, it must be remembered that climate survey responses are opinion-based and that they may or may not be supported by objective information. One of the things that we should consider doing is substantiating views about job knowledge and

about training policies and programs. As you will see, this corroboration process can begin with the aid of the personnel practices survey and the data survey that follow later in this volume.

An important consideration when attempting to establish cause-and-effect relationships is that associational findings from the climate survey only point to possible cause-and-effect relationships. To begin the process of establishing evidence in support of cause (e.g., training) and effect (e.g., worker's knowledge of the job), we need three things: (1) We need reliable information about actual knowledge levels and actual training opportunities. (2) We need to check for actual associations between training and performance using this actual data. These first two steps provide corroboration to employee views expressed in the climate survey. (3) Some basis (usually conceptual or theoretical needs to exist for assuming the cause-and-effect relationship. For example, it is reasonable not only on a commonsense basis, but on a basis supported by organizational theory and organizational research findings, to assume that training can affect job knowledge levels. We also need to isolate training as the only course or to isolate its particular contribution to the problem. These are difficult things to do, and we address them further in Volume III.

USES OF AND LIMITATIONS TO CLIMATE SURVEY ANALYSIS

The foregoing discussion should have made it clear that the climate survey is principally concerned with identifying potential problem areas and with identifying factors potentially associated

with those problems. If the analysis of climate survey responses provides such information, we are tipped off to matters that warrant additional consideration by agency management. But the nature of information (employee opinions) limits how much such information can be used to draw firm conclusions about problems and their causes. Other information-collection surveys provided later in the volume will help in securing the additional kinds of data required more fully to diagnose potential problem areas outlined by climate survey responses.

ADDITIONAL GUIDES FOR ANALYZING CLIMATE SURVEY INFORMATION

Parts 3 and 4 of Volume II provide additional comment that should be helpful in thinking through the relationships between questions and between sections of the climate survey. Also, Section D, Part 2, of Volume II will help. As you begin the process of analyzing survey responses for the purpose of establishing associations among survey questions (i.e., trying to find strong associations among responses to questions), we suggest that the sections and parts mentioned above be read. These sections consider some of the ways in which various kinds of personnel practices and conditions can be related to one another. These potential relationships can be used by analysts to begin the process of locating associations within the climate survey.

A Handbook for Human-Resource Planning
in Criminal Justice Agencies

Volume II
Part 2, Section B
Personnel Practices Survey

Jack R. Greene
Vicki W. Schneider



School of Criminal Justice
Michigan State University
August, 1982

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A HANDBOOK FOR HUMAN-RESOURCE PLANNING ACQUISITIONS
IN CRIMINAL JUSTICE AGENCIES

VOLUME II
PART 2, SECTION B
PERSONNEL PRACTICES SURVEY

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EXECUTIVE SUMMARY

Criminal justice agencies usually allocate 80 percent or more of their resources to meeting personnel costs. Criminal justice is thus a labor-intensive field, with productivity vitally dependent on the efficient and effective employment of personnel. Human-resource planning can be an effective managerial tool for helping administrators reach decisions about how most efficiently and effectively to acquire and to employ personnel. Additionally, some aspects of human-resource planning are particularly useful in helping management to identify, to diagnose, and eventually to solve personnel problems.

This executive summary provides a brief overview of the contents and objectives of the Human-Resource Planning Handbook prepared by the School of Criminal Justice at Michigan State University. The Handbook describes numerous human-resource planning and analytical techniques useful in criminal justice agencies, gives directions for their use, and provides examples of their application in criminal justice agencies. Also, special techniques are provided to assist management in identifying, diagnosing, and eventually resolving personnel problems. The Handbook is designed to offer the criminal justice manager, personnel administrator, and planner a self-instruction guide on how to implement more effective means of planning for the agency's personnel component.

One way of visualizing the purposes and objectives behind the Human-Resource Planning Handbook is to consider the principal kinds of managerial questions that it attempts to provide answers for. A few of these questions are:

1. How can an agency examine what its personnel needs are?
How can these needs be substantiated or documented?
2. How can an agency validly determine and define the jobs required to achieve missions, goals, and objectives?
How can it determine whether job descriptions validly reflect the nature of work currently done in the agency?
3. How can an agency assess its current employees? How can it determine what kinds of employees should be hired (prior experience, education, training, skills, etc.)? How can employment qualifications be identified and substantiated or validated?
4. How can an agency assess its key personnel practices (for example, recruiting, selecting, training, and assigning personnel? What are the effects of these personnel practices on the agency's ability to maintain a stable supply of qualified personnel to fill the agency's jobs? What effects do current personnel practices have on employees' morale, employees' performance, and employees' attitudes?
5. How can an agency go about identifying and diagnosing personnel-related problems? What kinds of personnel

problems confront the agency? What are the causes of these problems? What kinds of effects do these problems have on agency productivity (efficiency and effectiveness)?

6. What kinds of analytical techniques are available to agency managers and planners who wish to diagnose not only existing personnel problems but also want to anticipate future personnel problems?
7. How can an agency go about identifying the major constraints posed by budget and outside decision makers that circumscribe the agency's ability to acquire needed personnel? How can an agency go about determining whether any of these constraints are manipulable-- removing them as constraints in acquiring and assigning needed personnel?

The Handbook variously deals with these and other prime questions facing administrators charged with managing personnel. However, the Handbook is not prescriptive in the sense that specific solutions are prescribed for specific kinds of human-resource problems facing the agency. For important reasons that are pointed out in Volume I and in the first part of Volume II, the choice of a solution to any given personnel problem is properly the responsibility of agency management. Identifying viable solutions for problems such as turnover, or insufficient staffing, or poor employee performance must be done by management working within the constraints faced by the agency.

Nonetheless, the Handbook, its techniques for problem diagnosis, and its explanations of other human-resource planning techniques, can help point personnel administrators and planners toward discovering a range of viable solutions for agency personnel problems.

Development of the planning handbook was supported with funds from the U.S. Department of Justice (LEAA) and was conducted in two phases. Phase I assessed criminal justice agencies' current capability and need of human-resource planning. Phase II, building on this assessment, focused on the development of an extensive handbook that would assist criminal justice agencies more fully to implement and to utilize human-resource planning techniques.

THE HANDBOOK

The Handbook is presented in three volumes (bound in eight parts for convenience in handling and use). A comprehensive index to the contents of these three volumes follows the executive summary. Used in conjunction with the index, the Handbook has been designed to allow managers and planners to choose those portions that are of most interest or are most needed.

VOLUME I of the Handbook provides an introduction to human-resource planning in agencies--what it is, how it is carried out, and how it can help the agency manager. The material in this volume is written to be of interest alike to agency top management, to agency personnel administrators, and to agency planners. One principal objective of Volume I is for managers and planners to acquire a common overview about the definition, purposes, and uses of human-resource

planning in agencies. When managers and planners do not share such a basic understanding, planning tends not to be fully or appropriately utilized.

VOLUME II is bound in four parts and presents a means for comprehensively identifying and diagnosing personnel problems. It is designed to be of primary interest to agency personnel administrators and planners. Problem diagnosis is a very crucial and very practical part of human-resource planning. It is crucial because without good diagnosis, solutions to personnel problems cannot be adequately planned. It is practical because it focuses on what every manager spends most of his or her time doing--identifying and dealing with conditions that negatively affect the agency's ability to meet its goals and objectives.

Practical tools are presented to help personnel administrators and planners conduct two types of diagnoses. The first type is an overall assessment of agency human resources--a general stocktaking whereby the agency takes an overall look at its organizational climate, its personnel practices, and its ability to acquire, to develop, and to employ personnel. Three ready-for-use diagnostic surveys are provided with directions: 1. an Organizational Climate Survey, 2. a Personnel Practices Survey, and 3. an Environmental Factors Questionnaire. Analysis of results from administering these surveys will provide administrators with an overview of the agency's strengths and weaknesses regarding its personnel processes and its ability to identify and to deal with internal and external factors that affect its acquisition and use of personnel. This becomes essential background information for

later attempts to identify and to solve specific personnel-related problems.

The second type of diagnostic tool presented is a step-by-step procedure that can be followed to diagnose specific personnel problems more pointedly. For example, the agency may have identified turnover, or an inability to attract qualified personnel, or poor performance by employees as problems needing special attention. Comprehensive diagnoses of the causes and effects of problems such as these is crucial if effective solutions to them are to be found. The diagnostic model provided offers a way of marshalling key agency thinkers and key information for diagnosing problems and for eventually finding solutions.

VOLUME III is bound in two parts and is a resource guide intended primarily for use by agency personnel administrators and planners engaged in the more technical aspects of personnel administration and human-resource planning. Techniques such as job analysis, forecasting, selection validation, performance measurement (to name a few) are discussed. A common format is used throughout in presenting these techniques. First, the nature of the techniques and its prime uses are presented. This is followed by a consideration of the major technical and other supports required if the technique is to be used. Special attention is paid to factors that will limit an agency's ability to use a given technique, and alternatives are presented for these situations.

BASIC DESIGN-FEATURES OF THE HANDBOOK

A COMPREHENSIVE INDEX: Few users will have the time or the need to use all the material in these volumes and do everything that is recommended. A comprehensive index or catalogue of materials to be found in all of the volumes is provided. Agency administrators and planners may use this index or menu-system as a means of quickly finding the portions of the Handbook that will be of most help.

SELF-ADMINISTRATION: The materials have been written to optimize self-administration and self-learning, and to minimize the need for outside help. For example, the diagnostic surveys found in Volume II have been designed for administration and analysis in house. Of course, some concepts or techniques will remain difficult to grasp and will require additional reading or the use of consultants. For example, job analysis techniques discussed in Volume III are very complex and are generally out of the reach of most agencies to apply themselves without the help of outside experts. Nonetheless, the objective has been to maximize as much as possible an agency's ability to do human-resource planning using in-house resources.

PROBLEM-FOCUSED APPROACH TO PLANNING: With the exception of some of the sections of Volume I where many of the general concepts and ideas about human-resource planning are discussed, the Handbook is designed to help managers and planners identify and diagnose concrete personnel problems (e.g., turnover, poor employee performance, inability to attract qualified personnel, EEO and Affirmative Action suits, and so forth). The emphasis, therefore, is on dealing with specific problems

as opposed to discussing human-resource planning from a conceptual point of view alone.

VARYING LEVELS OF "BUY-IN": Agencies differ in their need for and their ability to undertake human-resource planning. Agency size, environmental constraints, money, technical expertise, and the nature of human-resource problems confronted by an agency all affect the level of planning needed and possible. Where possible, Handbook materials have been written to provide alternative levels and options in the use of planning-related analytical techniques. Thus, there are options presented--different levels and kinds of analytical activities possible. Managers and planners are free to buy in at the level deemed most feasible and valuable.

OUTSIDE CONSULTANTS: The handbook material, besides helping agencies become more informed about what can be done in-house, helps identify conditions under which outside help is needed, what should be expected of this outside help, and whom or what to look for. One central purpose has been to provide agencies with the information necessary to become more intelligent and critical consumers of work done by outside consultants. Sometimes, agencies have not been able to sufficiently direct consultants about what is needed or wanted. This has frequently been the case, for example, when agencies sought outside help in validating selection and promotional practices, or when conducting job analyses.

WHAT IS HUMAN-RESOURCE PLANNING?

In the most general terms possible, human-resource planning is the process of determining what an agency needs to do to ensure that it has the right number and kinds of people doing the right jobs, and doing those jobs well. To accomplish this, human-resource planning is composed of two distinct yet related activities. The first activity is called WORK FORCE PLANNING, while the second is labeled STAFFING-NEEDS PLANNING.

Workforce planning analyzes the agency's need for personnel--how many and what types of people. It also analyzes the required missions of the agency, determining the kinds of jobs that need to be done, and what qualifications people who hold these jobs need. Workforce planning is crucial, for without it agency management has little firm basis on which to justify the number and kinds of personnel hired or how they are hired, assigned, and employed.

Staffing-needs planning focuses on the various personnel administrative actions involved in acquiring, developing, and assigning agency personnel. The processes and policies associated with personnel administration (e.g., recruitment, selection, training, assignment, job design, compensation, and so forth) are closely tied to human-resource planning because personnel administrative actions put human-resource plans into operation. Just as there is a need to determine what kinds and how many people are needed (workforce planning), there is a need to determine and to plan the personnel actions required to acquire, to develop, and to employ personnel (staffing-needs planning).

Human-resource planning encourages and helps direct agency managers to take a "comprehensive" approach to personnel management and to the diagnosis of personnel problems. Factors affecting the need for and the availability of agency personnel are highly inter-related. So, too, the numerous steps in the personnel administrative process are interrelated and interdependent. Human-resource planning techniques help managers and personnel administrators to consider these factors in a more interrelated and systematic way.

WHY ENGAGE IN HUMAN-RESOURCE PLANNING?

Anticipating future requirements for manpower in the agency and forecasting future supplies of manpower are crucial to effective personnel management. Likewise, crime trends, budget forecasts, trends in the economy, population trends and the like greatly affect the need for personnel, and they also influence the availability of personnel. Thus, knowledge of current environmental conditions and impending changes in these conditions is vital to planning agency personnel policy. Current agency personnel policies in the areas of recruitment, selection, training, and so forth, produce certain kinds of results today that may or may not be appropriate or satisfactory in the future. Knowledge of both current results and likely future results produced by agency personnel administrative practice is, thus, also important. Planning-related analytical techniques provide the agency manager with powerful tools not only to analyze present conditions and effects, but also to anticipate future conditions and effects.

Besides making forecasts, human-resource planning also focuses on diagnosing personnel problems. A problem of poor agency performance or inadequate performance occasioned by insufficient, unqualified, or poorly utilized personnel requires agency managers first to diagnose the nature of and causes of the problem, and then to plan solutions. Several planning-related analytical techniques can help the manager in both of these endeavors. Additionally, human-resource planning not only helps to diagnose current personnel problems, but also to anticipate the emergence of personnel problems.

The kinds of personnel problems that will arise in an agency are numerous, and the combination of problems nearly infinite. So too, the causes of personnel problems will vary greatly from organization to organization. When we speak of personnel problems, we include conditions such as high turnover, poor employee performance, insufficient personnel, unqualified personnel, poorly trained employees, charges of discrimination in hiring and promotion, inability to attract qualified job applicants, constraints in assigning, reassigning, and promoting employees, and so forth. The numerous analytical techniques and tools described in the Handbook provide a basis for diagnosing the nature and causes of such problems and help identify and weigh potential solutions to them.

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VOLUME II, PART 2, SECTION B
PERSONNEL PRACTICES SURVEY

This section contains the Personnel Practices Survey and accompanying guide for interpreting your responses to the survey. The previous survey and guide, the organizational climate survey, was designed to gather information about employee perceptions and opinions about the "climate" or working atmosphere of your organization. The Personnel Practices Survey is intended to provide you with a means of determining the present state of your personnel policies and practices. This is accomplished by your completing the following self-administered survey and then comparing your responses to the subsequent interpretation guide.

In general, the Personnel Practices Survey requires factual, as opposed to evaluative information, about the basis of activity in personnel-related matters. While it is true that many organizations engage in personnel administration on the basis of informal rules, procedures, and the like, we are particularly concerned in this survey with actual practice. Individuals should, therefore, think about the congruence between what the organization says it does officially, and what actually takes place. As the questionnaire is self-administered, clinging to an official statement when it is known that practice significantly differs from what is formally stated will result in spurious and rather worthless findings.

Primarily for this reason the administrator should communicate the purpose of the assessment beforehand to minimize this problem.

ORGANIZATION OF THE PERSONNEL PRACTICES SURVEY

The survey is divided into two sections. The first section deals with issues of personnel determination, development, and implementation in your agency. As a result, the questions in this section focus specifically on who participates in personnel policy development in your agency, the level and extent of their participation, and the impact of their participation on personnel policy and practice in your agency. Cumulatively the responses to the items contained in Section 1 of the Personnel Practices Survey provide you with a description of the structure of personnel practice and policy development in your agency. This structure is meant to be broad, focusing on general policy areas without particular detail as to the particulars associated with specific policies and/or practices. The delineation of structure is important, however, as it defines the relevant context of personnel policy and practice in your agency.

The second major section of the Personnel practices Survey asks specific questions about areas of personnel practice: missions and goals; jobs, tasks, roles; job knowledge and skills; recruitment; selection; training and development; assignment; promotion and demotion; employee performance appraisal; employee discipline; compensation; employee retention; employee relations; supervision; and equal employment opportunities/affirmative action.

This section of the Personnel Practices Survey is meant to provide detail to the question of structure addressed in the first section. Personnel practice and policy areas are as a consequence explored with greater detail, to provide you with a basis for understanding the substance of personnel policy and practice in your agency. In this section, therefore, the query shifts from the method to what in fact occurs in personnel policy and practice.

After completing the survey and reading the guide, it will be possible for you to compare your agency's present state of its personnel practices with employee perceptions of them indicated by their responses to the climate survey. Specific problem areas in various personnel practices can be identified (e.g., where perception and practice differ), and the guide for interpreting your responses will offer possible ways of coping with these problems. The narrative or guide is not designed to be prescriptive or to present a rule of action. Instead, it proposes or suggests several ways for dealing with problem areas you will have identified by completing the survey.

The two surveys, The Organizational Climate and Personnel Practices, will give you an overall description of the internal atmosphere of your agency, including both employee perceptions and a more objective assessment. The third and final survey, the Environmental Survey, will give you a means of assessing your organization's internal structure as it relates to or interacts with the external environment it operates in. The first two surveys and

guides taken together present you with a picture of your agency's personnel practices and policies. Then, these can be compared to your responses to the environmental survey to identify problem areas further. Once all three surveys are completed, you should have an idea about what personnel problems confront your agency, and about how you can address them.

WHO SHOULD FILL THE SURVEY OUT

The Personnel Practices Survey is meant to provide for a review of major areas of personnel administration that affect human resources in your organization. As such, the survey will require that more than one person complete its various sections. The 88 questions in the survey are broken down into 14 major headings, each dealing with a particular personnel practice area. To complete the survey, the chief administrator should identify the individual(s) within the organization primarily responsible for administering personnel policies and practices and assign the appropriate sections of the survey to be completed. This should not, however, preclude others, also familiar with current practice, from providing relevant information where appropriate.

But the Personnel Practices Survey is not meant to be completed by every or even a large number of people in your organization. Rather, it is meant to be completed by those who have responsibility for and knowledge of the various areas identified in the survey. Secondly, and of equal importance, the personnel practices survey should provide you with a relatively objective assessment of your

agency's policies and practices with regard to personnel and human resource management. This information can then be contrasted and compared with information obtained from either The Climate or Environmental Surveys.

The information collected in the Personnel Practices Survey is, perhaps, most readily collected by assigning individuals to complete specific sections. However, as official statements of policy are interpreted by administrators throughout the agency, some provision for an administrative group review should be made. In this regard group processes are important because they generate information on individual interpretations of policy and practice, while at the same time helping to clarify actual practice and procedure. In Section 3 of Volume II, we offer a group dynamic approach to manpower planning in criminal justice agencies, one that stresses the need for multiple inputs in planning and policy determination. The completion of the Personnel Practices Survey should be undertaken with this same philosophy: that there be an administrative core to complete the initial items, followed by a group process to include others outside of the administrative core to help verify and to validate the information collected. When such a process is employed, the quality, accuracy, and reliability of the information collected is materially enhanced, and the policies and practices are subsequently reviewed or modified on the basis of more complete information. For a further discussion of the types of group processes good for collecting this information, see Section 3 of Volume II.

ANALYSIS OF SURVEY FINDINGS

Each of the 14 categories in the Personnel Practices Survey represent discrete personnel functions, and each can be assessed more or less independently of the others. However, the order of the sections in the survey can be examined in relation to your agency's experience. In this regard it is important to note that the Personnel Practices Survey roughly follows the stages of personnel administration. By examining each stage in relation to the stages that immediately precede and follow it, you may begin to analyze the flow of your agency's personnel process and the degree of congruence between stages.

Section 1 of the Personnel Practices Survey should be examined in relation to all of the other sections. In this section we specifically ask for information about employee input, participation, and influence in policymaking over the entire range of personnel areas covered in subsequent sections. We also ask about the existence of formal policy statements for each of these areas. The information obtained in this section provides for a description of the structure of your personnel or human-resource planning and administration activities. This structure can be elaborated on by using the information collected in succeeding sections.

As previously indicated, the remainder of the Personnel Practices survey focuses on the flow of personnel policies and practices as they are part of the personnel administrative process. Goals and missions are expected, therefore, to influence the definitions of

jobs, tasks, and roles. And, similarly, recruitment, selection and training are related to the definitions of jobs, tasks, and roles.

Compensation, discipline, retention and assignment are related, of course, to jobs, tasks, and roles as well; but they are also related to personnel development. And, of course, personnel appraisal and supervision provide the basic information for decisions about compensation (particularly raises), discipline, retention, and assignment. Equal employment opportunity and unions affect personnel administration in a number of ways. First and foremost, they put limitations on certain practices and they define others. Further, they influence informal practice as well. By influencing both formal and informal practice, union and EEO considerations have important implications for human resource development and management.

In analyzing the various sections in the Personnel Practices Survey, the focus should be on transition. Does the preceding practice facilitate or hinder the next? Are policies and practices consistent? And, are they logically arranged? These types of questions should guide analysis across sections. Also, analysis of the information obtained from the Personnel Practices Survey should be examined by the administrative group as a whole, as previously noted. In organizations, various individuals are often assigned responsibility for particular aspects of personnel administration. And the process once divided is rarely examined as a logical sequence of events. By filling out the various sections and then bringing the process together, the administrator can examine the entire human-

resource policy and practice structure rather than just pieces of it. Equally important, the administrator can search for consistent and dysfunctional practices as the entire process unfolds.

The Personnel Practices Survey can also be used in conjunction with other surveys. Most particularly, The Climate Survey will provide information on employee perceptions of the various personnel practices and policies in your agency. By examining these perceptions in relation to the actual practice, as documented by the Personnel Practices Survey, you may begin to distinguish areas of misperception of policy and areas where perceptions are correct. Besides examining the congruence between perceptions and practice, the analysis of The Climate Survey also provides an evaluative perspective. By looking at employee evaluations of particular personnel practices or policies you can begin to identify sources of conflict and strain in your organization that arise from existing personnel practice.

For example, employee perceptions of performance appraisal may be consistent with existing practice, in that employees know and understand the performance appraisal process. However, employees may be critical of the current performance appraisal system, and this information might be used to reconsider existing practice. This is not to say that employee dissatisfaction with a particular policy is in and of itself evidence of an immediate problem. Rather it is recognition that concentrated dissatisfaction with particular policies may result in organizational conflict at some future time. By examining policy and perception your agency will be in a better

position to examine organizational conflicts that result from the incongruence between fact and perception, and those that result from the negative evaluation of fact.

Finally, the personnel practices survey might be administered and examined in relation to only one or to some subset of the fourteen categories. In this approach, each section provides the opportunity selectively to analyze areas that you have already identified as problematic. And in such situations, The Climate Survey selectively used will complement the information generated and provide the workers' evaluations on the particular personnel area.

SECTION 1; PERSONNEL POLICY DEVELOPMENT AND IMPLEMENTATION

The first section of this questionnaire contains seven questions about the development and implementation of your agency. Each of these questions is examined in relation to thirteen dominant personnel policy areas distinguished in agencies, e.g., missions and goals, employee recruitment, selection, training, and promotion. In each of the seven questions, the thirteen policy areas are examined and you are asked to select the response best characterizing your agency's practice in each policy area.

While we realize that for any given agency one response may not exactly fit your situation, we ask you to select the single answer that comes the closest to your agency's practice. The reason for such format is that the answer options form a scale or continuum of behavior and you will be able to interpret where your agency stands on this continuum. By roughly placing your agency on such a continuum, we may later begin to describe the various options available for either continuing your agency's current practice or for changing and improving it.

QUESTION 1

The first question in this section requires that you identify how far policy is formalized in your agency--whether your agency has formal written statements of agency policies that are identifiable in basic agency documents, e.g., budget documents, agency personnel manuals, or employee handbooks. The response options include:

(1) there are formal policy statements contained in basic agency documents, (2) there are formal statements of policy contained in official memoranda, administrative regulations, or written orders, but these are not contained in the agency's basic documents (e.g., they are posted orders), (3) there are unwritten and informal but agreed to policy statements, and (4) there is no identifiable policy at all. The essential distinction between the first and second point on the scale in Question 1 is the degree of codification of policy statements. Those statements appearing in the agency's basic documents are viewed as forming the codified policies of the agency presented in a formal fashion and as part of the agency's definition of itself. The second point on the continuum is viewed as formal policy existing in an uncodified mode, developed through the posting of formal orders or memos, but not reflected systematically in the agency's formal documents. In such instances, a policy may be in existence and formally stated through the posting of an order, but it is embedded in or a part of agency administrative process and is less visible as a formal position of policy easily identified in the agency's basic documents. For example, a police agency might formally state its policy about the use of deadly force in its policies and procedures manual. In such an instance, the policy is readily identifiable to those inside and outside the agency: all they need do is review the agency's basic document (e.g., policy manual). In another instance, the policy about the use of deadly force in a particular police agency might be stated through the posting of special or general

administrative orders that do not necessarily find their way into the agency's basic documents. The use of formal orders through posting or administrative edict is no less formal than those in the agency posting them in the basic documents. However, the ease with which such policies can be identified is affected, as they are not codified in a formal statement that externals may readily acquire and review. Such a distinction is being made (codified or uncoded) in Question 1. The last two positions on the continuum are obvious.

In completing Question 1, you may begin to develop some idea of the relative importance your agency attaches to the various personnel and human resource policy areas. For example, if you examine those items you identify as formally codified in basic agency documents, you have described the agency's explicit and overt emphasis on policymaking. Those not specified in any manner or agreed to only informally constitute a subrosa level of policy formation, one that can lead to varying levels of understanding and misunderstanding and to varying levels of agreement and disagreement with the policy. This leads us to the second and third questions in this general administrative practices section.

QUESTIONS 2 AND 3

Related to the above concern over policy formalization in your agency is the question of whether and how employees are informed of such policy statements. Questions 2 and 3 in this section address the issues of how and when employees are informed about policies and the methods by which your agency informs employees.

Question 2 concerns how and when employees are informed of policies, and asks that you assess your agency's practices along a continuum of responses: from a formal process of providing information during formally scheduled initial employment orientations or training and followed up with scheduled updates or in-service training, to a position where employees are not informed of policies at all. Obviously, the more formalized the process of information dissemination, the more readily the agency is in a position at least to document that employees have been informed of the agency's various policies. Informal practices, such as sporadically informing employees of policy, while in and of themselves not necessarily unproductive, are harder to document.

Question 3 asks you to identify how (by what methods) your agency disseminates written policy statements to employees. The question asks not only about initially informing employees about policies, but also about informing them of revisions in policies as they take place.

The methods of policy dissemination are important to consider for a number of reasons. First, those methods that include an employees' receiving a policy manual and having that manual updated, either through regular updates or through some form of posting of changes, establishes that employees are given notice of the agency's major policies. Without such notice employees might well not understand, say, the missions and goals of the agency or changes in them. Any such misunderstanding can lead to frustration or work activity

toward ends that are not the official ones of the agency. Giving employees agency handbooks at the time of initial employment and not updating them, or providing them with some form of updating but not an original policy, may produce confusion--employees will not know about change or they will have no reference point from which to assess a policy change. Finally, of course, sporadic updating or no information dissemination at all requires that the employees infer agency objectives, policies, and the like from either past practices or from the statements of various agency administrators. This can lead to employees' receiving mixed policy messages, with the result of frustration or misdirection as described above.

The second issue of importance in considering the dissemination of agency policy information is how adequately agency administrators are communicating to those beneath them in the organization. Without an adequate process for disseminating information, administrators are cut off from the rest of the organization, having to rely on informal and indirect communications processes through the chain of command, which carry with them the chance of deletion, distortion, or exaggeration.

Finally, taken together, the answers to Questions 1, 2, and 3 reflect how your agency is using its policymaking apparatus. Informal policy, communicated and disseminated informally, is obviously a policy strategy that has many problems. It cannot, for example, determine either the amount or consistency of information provided to employees. Further, by comparing your answers in Question 1 to

those in Questions 2 and 3 you can determine which policies appear to be important to the agency (formalization) and which are disseminated in a consistent manner. The comparison of the two might suggest that your agency has a dissemination problem rather than a policymaking problem, or vice versa. Such knowledge can provide you with the opportunity for coordinating policy formalization practices with dissemination, which should result in increased policy communication in the organization.

QUESTIONS 4, 5, AND 6

The next three questions in this section focus on employee input into and impact on the policy determination process. Question 4 asks you to identify the kind of employee input for a series of personnel and administrative issues. Employee input is conceptualized as on a continuum ranging from one extreme where participation through collective bargaining or employee associations and participation through informal individual or group participation is encouraged, to the other extreme where no input is sought from employees. Employee input into agency decision and policymaking has in recent years become important both contractually (through collective bargaining arrangements) and socially (giving employees a chance to participate more fully in their agency). Obviously, the mix of formal and informal relations for employee input is not easily determined, but the information provided in your responses begins to chart how much the employees in your agency participate in policy formation.

Another aspect in considering employee input in policy determination is how much impact such participation has. Question 5 in this section asks for your assessment of that impact. The assessment of impact is somewhat subjective and thus departs from our previous statements regarding the objective experience of your agency. However, impact might be determined contractually, indicating that employee associations indeed have the dispositive decision in a particular policy area. More importantly, subjective assessments of impact are important in that it is these subjective assessments that may guide administrative behavior.

Jointly, Questions 4 and 5 begin to frame for you the input and influence employees have in your organization. As such, this information identifies potential sources of employee support and conflict.

Related to the questions of employee input and impact is the question of how much employee input is sought in policymaking. Question 6 addresses this. Obviously, employees may have input but so infrequently as to preclude its having an impact. Such a possible selection can be assessed by examining Questions 4, 5, and 6 together. Similarly, frequent interaction but with little impact describes an agency that only develops the impression of participation among employees.

QUESTION 7

The final question in this general administrative section deals with who, either in or outside of the agency, has responsibility for determining various policies in human resources and personnel

administration. Your responses begin to identify where control over personnel policy and human resource management lies in your agency and how far this control is unified in a single individual or spread among many. Also, such responses can be interpreted as telling you how much control your agency has over its own affairs. If, for example, most or all of these practices and policies are determined outside of your agency, then problems related to personnel policy may also be externally caused. Too, unions or collective bargaining agreements may influence how policies are determined. Information in this section on union involvement in policy determination should be contrasted with information in the general administrative section where employee input through formal labor agreements was also explored

1. Please select from the phrases below the one that best describes the extent to which policies in your agency are stated.

<u>Policy Areas</u>	<u>Agency has formal written policy in basic agency documents (e.g., budget, agency personnel manual, employee handbook)</u>	<u>Agency has formal policy based on written memoranda, administrative rules, and posted orders that are not contained in basic agency documents</u>	<u>Agency has informally agreed-upon but unwritten policy</u>	<u>Agency has no policy</u>
Missions and goals	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____
Absences of employees from work	_____	_____	_____	_____
Training pre-service employees	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____
Compensation program	_____	_____	_____	_____
Affirmative action/equal employment opportunity	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____

2. How does your agency inform its employees about each of the following policy areas?

<u>Policy Areas</u>	<u>Through formal communication during a scheduled initial employment orientation or training session plus formal scheduled updates during employment</u>	<u>Through informal communication either during an initial employment orientation or training session plus unscheduled informal updates during employment</u>	<u>Through formal communication during a scheduled initial employment orientation or training session only</u>	<u>Through formal communication during employment</u>	<u>Agency employees are not informed about this policy</u>
Missions and goals	_____	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____	_____
Absences of employees from work	_____	_____	_____	_____	_____
Training pre-service employees	_____	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____	_____
Compensation program	_____	_____	_____	_____	_____
Affirmative action/equal employment opportunity	_____	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____	_____

3. How does your agency disseminate information to employees about the following policy areas?

<u>Policy Areas</u>	<u>Provides employees with handbook or policy manual and provides regular updates for the manual</u>	<u>Provides employees with handbook or policy manual but posts any changes or updates</u>	<u>Provides employees with handbook or policy manual at time of initial employment only--no updates provided</u>	<u>Does not provide employees with a handbook or policy manual but regularly posts updates or changes</u>	<u>Does not provide employees with a handbook or policy manual but occasionally posts updates or changes</u>	<u>Does not provide employees with a handbook or policy manual and does not post any changes or updates</u>
Missions and goals	_____	_____	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____	_____	_____
Absences of employees from work	_____	_____	_____	_____	_____	_____
Training pre-service employees	_____	_____	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____	_____	_____
Compensation program	_____	_____	_____	_____	_____	_____
Affirmative action/ equal employment opportunity	_____	_____	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____	_____	_____

4. When your agency makes policy in the following areas, what is the kind of employee input?

Policy Areas	Formal input through a collective bargaining or an employees association group and through encouraging informal input by individuals (e.g., suggestion box)	Formal input through a collective bargaining group or employees association only	Informal or no input received through a collective bargaining group but actively soliciting informal group input and/or individual input	Informal or no input received through a collective bargaining group but agency will accept group input or individual input	No input is sought from employees about this policy area
Missions and goals	_____	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____	_____
Absences of employees from work	_____	_____	_____	_____	_____
Training pre-service employees	_____	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____	_____
Compensation program	_____	_____	_____	_____	_____
Affirmative action/equal employment opportunity	_____	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____	_____

5. What is the level of impact that employee input has on each of the following policy areas?

<u>Policy Areas</u>	<u>High impact due to formal contractual agreement</u>	<u>High impact but not because of formal contractual agreement</u>	<u>Moderate impact</u>	<u>Slight impacts</u>	<u>No impact whatsoever</u>
Missions and goals	_____	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____	_____
Absences of employees from work	_____	_____	_____	_____	_____
Training pre-service employees	_____	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____	_____
Compensation program	_____	_____	_____	_____	_____
Affirmative action/equal employment opportunity	_____	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____	_____

6. Indicate the usual frequency with which employee input is sought by your agency for each of the following policy areas?

<u>Policy Areas</u>	<u>Frequently (e.g., monthly)</u>	<u>Occasionally (e.g., every 3 months)</u>	<u>Seldom (e.g., once a year or every year or two)</u>	<u>Never</u>
Missions and goals	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____
Absences of employees from work	_____	_____	_____	_____
Training pre-service employees	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____
Compensation	_____	_____	_____	_____
Affirmative action/equal employment opportunity	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____

7. For each of the following policy areas, who has the final decision-making authority regarding the acceptance or rejection of each?

<u>Policy Areas</u>	<u>External govern- ment agency only (mayor's office, governor's office, civil service board)</u>	<u>Jointly by an external govern- ment agency and agency adminis- trator (Identify external agency)</u>	<u>The agency administra- tion only</u>	<u>Jointly by the agency administration collective bargaining unit and the personnel unit</u>	<u>The personnel unit only</u>	<u>Jointly by the agency administration and the per- sonnel unit</u>
Missions and goals	_____	_____	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____	_____	_____
Employee selection	_____	_____	_____	_____	_____	_____
Employee promotion	_____	_____	_____	_____	_____	_____
Absences of employ- ees from work	_____	_____	_____	_____	_____	_____
Training pre- service employees	_____	_____	_____	_____	_____	_____
Training in-service employees	_____	_____	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____	_____	_____
Disciplinary policies	_____	_____	_____	_____	_____	_____
Employee assignment policies	_____	_____	_____	_____	_____	_____
Compensation program	_____	_____	_____	_____	_____	_____
Affirmative action/ equal employment	_____	_____	_____	_____	_____	_____
Employee evaluation	_____	_____	_____	_____	_____	_____

SECTION 2:
SPECIFIC PERSONNEL PRACTICES

MISSIONS AND GOALS

The goals and missions of an agency are the formal statements that the agency makes about its objectives and how it will conduct business. As such, goals and missions of agencies establish expectations about what the agency will and will not do. From the general administrative section of this survey, you are provided information about the formalization of policies on goals and missions, how such policies have been communicated to employees, how much employee input goes into goals and mission statements, and who has ultimate authority in the determination of such statements.

In this section we are concerned with exploring the issue of organizational goals and missions by asking you to identify (1) how your agency measures its goal performance, (2) what information provides the basis for such assessments, (3) how much the community is involved in the determination of goals and missions, and (4) how your agency communicates its goals and missions to those outside the agency. Four questions are provided to assess these issues.

QUESTION 1

With respect to the issue of goal and mission assessment, the first question asks you to identify how (by what methods) your agency measures goal and mission accomplishment. For reasons explained below, the measurement of goal or mission attainment is complicated

by the kind of information selected and the unit of analysis that such information represents.

QUESTION 2

It is clear that an agency cannot select a single measure of goal attainment. Such single measures do not capture all of the possible information available or required, especially as agency missions and goals are usually several. For example, statistical analyses of organizational work like the number of inmates processed or the number of arrests made represent only one aspect of the work load of an agency. Such additional concerns as the level of safety in a correctional institution, the number of inmate disciplinary problems or inmate use of educational or vocational programs are all possible goal measures, depending on the organizational goal or mission selected. Likewise, in police agencies the number of arrests made by police does not by itself accurately reflect all work activities or goals achieved. For example, the number of family disputes in which the police intervened and where an arrest was not made may be as indicative of goal attainment as are arrest statistics. As a result, considerations of organizationally produced statistics are inherently influenced by the organization's definitions of work. For an extended discussion of the various types of data available in measuring agency goals and objectives see Volume III.

The second type of data that might be used as a measure of agency goal attainment are measures of organizational outcomes, such as crime rates for the police, and recidivism rates for correctional

agencies. Both measures, of course, are confounded by the fact that things done by other criminal justice and non-criminal-justice agencies are likely to influence these measures independent from the influences exerted by the particular criminal justice agency. For example, recidivism rates are influenced by the level of employment opportunities, the social and family environment of the offender, local police practices, and the policies of parole agencies as much as they are affected by the practices of the institutional correctional system. Similarly, the police impact on crime rates must also be considered in light of other forces affecting the level of crime. For example, the local economy and social conditions, including the level of literacy, poverty, and ignorance, all influence, albeit in differing manners, the level of crime. For the police to maintain that they have met their goals simply because there were fewer crimes committed, or for correctional agencies to assess their achievement on the basis of recidivism rates alone is to ignore these outside influences. The reader is again referred to the data section in Volume III for a more thorough discussion of the measurement issues at stake when considering the measurement of organizational and individual performance.

The next two types of data presented as options for assessing agency mission and goal attainment are assessments of satisfaction with agency performance--assessments made by people outside the agency and assessments made by agency employees. The first measures the overall satisfaction of citizens with the agency service. On

occasion, police and correctional agencies might survey the citizenry about their level of satisfaction with the agency's service. Police departments usually engage in such practices more regularly than corrections simply because police departments tend to be more visible and more closely tied to the public and its service demands. However, correctional agencies have also surveyed communities where new institutions or programs were to be implemented or when support for institutions was necessary. General citizen-satisfaction surveys, however, must be viewed with appropriate caution, as explained below.

Global citizen-assessments of agency performance are hard to interpret because it is often hard to determine whether the citizen is expressing general satisfaction with the agency through having had no real contact with the agency, or whether this satisfaction is based on direct experience with the agency. General assessments are of little utility if they are of the former type--global assessments. Such assessments measure the citizen's belief in government and the institutions of government more than they do satisfaction with the particular agency under consideration.

Measurement of constituents--people who have been the object of agency services--potentially yields much more information than can be of use to the agency. By surveying users of various police services, e.g., victims of various crimes, individuals who have requested non-crime-related services from the police, and individuals who have been the object of police inquiry, the administrator might acquire

specific information on user satisfaction with the service. Similarly, correctional agencies might consider examining the clientele or correctional agencies, including current and released inmates, their families, or employers, to ascertain the users' perceptions of the correctional system.

Also under the consideration of the types of information used to measure agency goal attainment is the issue of worker perceptions. In this regard, the providers of the service are questioned about their perspectives on agency goal attainment, their role in providing the service or achieving goals, and their perceptions of whether or not the service provided accomplishes agency missions and goals. It must be noted, however, that worker perceptions can be as biased as those attained from the general public--so the administrator must interpret such responses with caution. Such information can be used to describe for the agency how its members believe services are being provided. Such beliefs can then be compared and contrasted with other less subjective information, such as agency work-load statistics.

Finally, but certainly not of least importance, public-sector agencies must consider the legal and legislative context that defines and sustains their operations. In this regard considerations of the explicit legal basis for agency mission and goals, including city ordinances, state statutes, or the enabling legislation defining and dictating agency responsibilities must be reviewed. Also included within this area of concern are legal definitions of agency goals

and missions; court decisions, either recent or proposed, that expand, maintain, or restrict agency definitions of missions and goals; or legal opinions rendered by city council, county administrators, or state attorneys general that also might affect definitions of goals and missions. Cumulatively these sources of agency definition of missions and goals have an important impact on public-sector organizations, including those in criminal justice. As a consequence of these types of sources of definitions, agency goal and mission statements need to be thoroughly considered and analyzed.

Besides the types of data collected, the frequency with which the data is collected is also important to consider. Question 2 asks you to specify the frequency of data collection for each of the major options applicable to measuring mission and goal achievement. Obviously certain types of organizational information lend themselves to regular collection. For example, agency statistical reports that stem from the normal reporting system are routine in most agencies. Such regularly developed reports can begin to be used to analyze trends over months or years, adjusting for seasonal fluctuations and possibly anomalous months.

Various techniques for analyzing the data ranging from frequency distributions and percentages through multivariate techniques, such as multiple regression or time series analysis, are available for examining such regularly collected data, and have been used with great regularity in criminal justice agencies. Police departments, for example, have used numerous mathematical models to calculate

work-load and work-force requirements. Such information as the number of Part 1 crimes committed, traffic accidents, calls for service, and the size of the patrol areas have been used to estimate work loads and then to assess what manpower is necessary. Such data have also been used to assess whether overall goals and missions were being achieved.

In corrections, such regular statistical records as number of inmates by classification, types of programs, and number of fixed or roving posts have been used to estimate work load as well. Estimates of recidivism levels, inmate composition, parole prediction, and offender survival in parole have all been part of the goal and mission assessments undertaken in corrections. Such information, produced on a regular basis, has been used and continues to be used in making estimates of human resources in criminal justice agencies as well as in assessing goals and missions.

The other types of information that might be useful in assessing the extent of organizational mission and goal attainment are not necessarily appended to the official reporting system and, as a result, are more expensive and more time consuming to collect. For example, general citizen surveys are likely to be developed for single administrations and are, therefore, likely to entail additional time and money. Furthermore, since these surveys are produced for single occasions, it is difficult to assess the reliability and validity of measurement. For example, as was previously noted, reliability might be influenced by whether the individual is responding on the basis of

a particular contact with the agency. Similarly, validity might be influenced by the quality of the interaction: those having a recent negative experience may generalize that particular experience. So when surveys are administered on such a basis, reliability and validity must be considered. Again the reader is referred to the appropriate sections of Volume III for an extended discussion of survey design and the concepts of reliability and validity.

By considering and evaluating your responses to Questions 1 and 2, you will begin to assess your agency's priority in defining appropriate measures of goal and mission attainment and the time periods for data on them will be collected. You will also want to consider the appropriateness of the measures in relation to the time of collection. If official statistics are measured only annually, for example, it must be considered what these annual statistics represent. Similarly, if your agency indicates that worker preferences are important in determining whether or not goals and missions are attained, then how regularly this information is collected must also be considered.

As was previously indicated, the consideration of agency missions and goals is approached on the basis of measurement and communication. The next two questions in this section relate to the communication issue.

QUESTION 3

Question 3 deals with the community's input into the process of setting goals and missions. As was indicated above, citizen's

expectations about what an agency will or will not do are influenced by what the agency defines for itself and by citizens' agreement with that definition. In providing some form of community input into the determination of missions and goals, the agency is attempting to gain community consensus about the appropriate expectations for agency performance. Such consensus can often result in fewer differences in expectation among citizens. For example, the police are often charged with sole responsibility for the level of crime, and corrections agencies solely with the level of recidivism when, as we have indicated, there are other forces beyond the direct control of these agencies that might influence crime and recidivism rates.

QUESTION 4

Related to the question of citizen input is the method by which your agency communicates its missions and goals to the general public. As is indicated in Question 4, the agency can play an active as well as passive role in shaping public expectations regarding missions and goals. The role selected (i.e., law enforcement or service, custodial or rehabilitative) will, no doubt, have an influence on public understanding of the agency's societal role. Often, of course, these same misconceptions are then surveyed by the agency to ascertain what the general level of satisfaction with the agency's services is. Without individual citizen prior knowledge of what services to expect, citizen surveys are difficult to interpret and even harder to implement in programs designed to influence attitudes.

Cumulatively, the questions in this section have attempted to provide a foundation for your assessment of how your agency measures and communicates its goals and missions. The information collected in this section should be contrasted and compared with the information on goals and missions in the general administrative survey, because that section asked for your assessments of numerous practices and influences on goal and mission setting. For example, employee input into and impact on goal determination and the communication of these goals and missions to employees could result in a better appreciation of, and agreement with, goals and missions by employees. Such employee consensus and understanding can then translate into citizen understanding of the goals and missions, as citizens are likely to infer such goals and missions from employee behavior.

1. How does your agency measure the accomplishment of its goals or missions? (Check all that apply.)

None done. _____

Through statistical analysis of organization work. _____

Through outcome measures, e.g., crime rates, recidivism, clearance rates. _____

Through satisfaction surveys conducted periodically. _____

Through follow-up surveys asking about clientele satisfaction with the service provided. _____

Worker perceptions of goal-attainment surveys. _____

2. Please indicate how often your agency makes use of each of the following options for assessing the achievement of goals and missions.

	Not Done	Done Infrequently in Response to Agency Crisis	Done Occasionally (once or twice yearly)	Frequently Done but Not Regularly (3 or 4 times a year)	Regularly Done (monthly)
Statistical analysis of original outputs	_____	_____	_____	_____	_____
Outcome measures	_____	_____	_____	_____	_____
Citizen satisfaction survey	_____	_____	_____	_____	_____
Clientele satisfaction with service	_____	_____	_____	_____	_____
Worker perception of goal attainment	_____	_____	_____	_____	_____
Review of enabling legislation (statutes or ordinances)	_____	_____	_____	_____	_____
Defining agency goals and missions	_____	_____	_____	_____	_____
Analysis of court decisions affecting agency goals and missions	_____	_____	_____	_____	_____
Review of Attorney General's opinion regarding agency goals and missions	_____	_____	_____	_____	_____

3. In setting your agency's goals and missions, how much input does the community have? (Check one.)

Community is not included in this process. _____

No formal community input, but agency will accept informal advice and consent through groups or individuals. _____

No formal community input, but agency actively solicits informal advice from groups or individuals. _____

Formal active community input is obtained through group representation (e.g., community representation on policy boards). _____

4. What methods does your agency use to communicate its missions and goals to the community? (Check one.)

There are no attempts to communicate agency goals to the community. _____

Communication of agency goals is not actively done, but general agency goal information is in basic documents (e.g., budget, policy manual). _____

Actively provide information through general media and an information bureau. _____

Actively provide information through general media, an information bureau, and presentations to community organizations. _____

JOBS, TASKS, AND ROLES

The jobs, tasks, and roles of an organization constitute the formal division of labor within the agency and depict the relative hierarchy of importance attached to the work done by various agency members. Job classification provides the basis for compensation levels, organizational ranks, and a host of organizational distinctions made on the basis of the work performed.

This section of the administrative practices survey examines various aspects of how your organization defines the work to be done and the methods by which your agency analyzes jobs, tasks, and roles. As was the case with missions and goals, the information collected in this section should be examined in relation to the information on jobs, tasks, and roles identified in the section on administrative practices.

QUESTIONS 1 AND 2

The first two questions in this section seek information on job formalization and the communication of expectations about jobs to workers. Question 1 asks you to identify how formalized job descriptions are within your agency. As can be seen from the response set, you might indicate that the jobs are highly formalized, meaning that their requirements are posted in the basic documents of the agency. Or you might respond at the other end of the continuum, indicating that jobs are not formalized in your agency.

Obviously, the continuum concerns the extent to which an agency makes its expectations about jobs, tasks, and roles a formal part of

the organization by including descriptions of such jobs in its definitions of the organization and the work to be performed. Clearly, without such definitions, it will become difficult to socialize new organizational members into the roles the organization wants them to perform. And equally clear, without such formal statements about roles, it will be difficult later to evaluate employees' ability to perform them.

Question 2 seeks information on how your organization formally communicates its expectations about jobs, roles, and tasks to individual organizational members. The answer options are based on a continuum that measures the extent of communication. As can be seen from the set of responses, organizations can provide information at initial employment and throughout employment as roles, tasks, or jobs change. Others may have no provision for such information communication at all.

Taking the two questions (Questions 1 and 2) together gives you the ability to assess whether individuals who are uncertain about jobs, tasks, and roles in your organization are unclear because the agency has no formal statements about these jobs, or because it has no method of communicating them to employees, or because it has neither. This information might be contrasted with the questions in the general administration survey about who determines the jobs, tasks, and roles, whether employees have some input into the development of jobs, tasks, and roles, and whether this input has any impact on the jobs, tasks, and roles in your organization. By examining suc

questions you may begin to determine whether or not the organization formally defines and communicates jobs, tasks, and roles to employees, and perhaps whether employees disagree with them, or whether there is some breakdown in communications or definition. Strain may be created in the organization when individuals do not have a clear understanding of and at least some agreement with the jobs, tasks, and roles of the agency.

QUESTION 3

Question 3 in this section is about how your agency prioritizes its jobs, tasks, and roles. As indicated in the set of responses, there are many methods of prioritizing jobs. For example, they might be prioritized on the basis of tradition, according to the capabilities of the current incumbent, or through a process of job evaluation. "Tradition" as a method for prioritizing jobs is difficult to validate. Changes in the jobs, tasks, or roles may have altered traditional expectation. The "capability of the incumbent" is equally difficult to defend as a method because it is more precisely a measure of the individual in the job, rather than the job itself. Job evaluation is more likely to produce supportable information upon the basis of which jobs, tasks, and roles might be prioritized in the agency. For a greater description of the methods of job evaluation and classification, see Volume III under the appropriate headings, especially if you are unclear about the kinds of methods included under job evaluation.

QUESTIONS 4 AND 5

The next two questions (4 and 5) focus attention on the analysis used in support of job, task, and role definition and prioritization. In Question 4, we are concerned with the actual source of information used to examine jobs, tasks, and roles in your organization. The four possible responses to this question are meant to form a hierarchy of analysis which involves successively greater amounts of organizational effort to solicit information about the nature of the work performed. Obviously, "no method of analysis" requires no effort, while "directly observing individual worker performance" requires a great deal of effort.

In addition to the amount of effort expended on collecting information about jobs, tasks, and roles, the types of information collected vary from method to method. For example, the analysis of work activities solely on the basis of official records, such as employee work activities, is likely to present a picture that conforms to organizational reporting practices as much as to the actual type of work done. Such reports are suspect because workers are likely to report information congruent with the reporting form while deleting information incongruent with it. Additionally, it is not uncommon for workers to report information that reflects well on their performance or that is perceived by them to be most important, instead of reporting either information that may negatively reflect on their performance or information perceived by them as unimportant. Such an incomplete picture of how and what type of work is being done can invalidate the assessment.

Interviewing and surveying workers about the nature of their work can overcome some of the biases arising out of a formal reporting system, but cannot overcome them all. The interview or survey can cover topics not covered in official reports, but it cannot overcome individual perceptions. For example, police officers might think that a particular activity, say looking for a suspect, is real police work and of great importance. This perception may overshadow their reporting other police tasks such as directing traffic or accident reports, or communicating with citizens. Similarly, a correctional officer may perceive institutional safety as the dominant work concern, and as a result underreport such activities as interactions between officers and inmates that are not related to safety. These examples illustrate the selective perception problems attendant upon surveys and interviews. In the interview setting, however, face-to-face discussion might lead to a greater explanation of all the work done, as a trained interviewer might probe for clarification. But interviews do generally take more time and involve more expense than surveys.

Lastly, the process of direct observation is perhaps the most valid and reliable method for examining work performance and assessing jobs, tasks, and roles. But the method is not without its shortcomings. For example, it has been demonstrated that people who know that they are being observed may alter their behavior to what they think the observer wants to see. Too, it may be difficult to gain access to many people as they generally may not want to be so closely

watched when they are working. Such obstacles and limitations must be contrasted and compared with the benefits in increased reliability and validity in the information obtained. A more detailed discussion of these issues is contained in Volume III.

Related to the question of how analyses of jobs, tasks, and roles are undertaken is the issue of the frequency of such analyses. Question 5 in this section asks the frequency of job analysis in your organization. The information derived from such a question tells you the time interval between job analyses. As such, analyses are generally the basis for other personnel classification and compensation processes, it is important to consider the intervals identified in Question 5 in relation to how fast jobs are changing in your agency: the more and faster the change in jobs, the greater the need for regular and frequent review and analyses.

Whether annual review is needed in your agency depends on a number of things, including the complexity of the jobs, tasks, and roles performed, the stability of the jobs performed (have job duties increased or decreased significantly in recent times?) and the nature of the workers your agency employs. Such information taken together with the frequency of job analysis begins to tell you how accurate your picture of agency jobs and work done is likely to be. This picture, as was mentioned previously, forms the basis of other important organizational functions.

QUESTIONS 6, 7, AND 8

Extending the consideration of how your agency assesses its jobs, tasks, and roles, there is the question of whether or not certain job-analytic techniques have been used. Question 6 is whether or not any of the job-analysis techniques listed have been used to assess jobs in your agency. The intent of the question is to determine the kind of analysis undertaken. A discussion of the various techniques listed, including their strengths and weaknesses, is presented in Volume III.

Related to our consideration of jobs, tasks, and roles is a consideration of employee job knowledge and skill. Questions 7 and 8 approach these topics. As is indicated in Question 7, we are interested in whether or not your agency has formalized job descriptions that include, in some manner, the related knowledge, skills, and abilities expected of employees assigned to those jobs.

Question 8 asks you to indicate how you determine the skills of employees. It is important to consider how information about their skills is collected. As shown in Question 8, the set of responses includes testing immediately after training, standard employee evaluations, and observations of job behavior. Our previous consideration of sources of information for assessing jobs (Question 4) is equally applicable here in assessing employees' knowledge about their job. Again the reader is referred to the appropriate sections of Volume III for clarification of the various types of data available and the methods of data collection, their validity and reliability, and related issues.

Collectively, the questions contained in this section attempt to gain some understanding of the division of labor within your agency including how the division of jobs, tasks, and roles is undertaken, on the basis of what information, and stated in what fashion. The information provided should help you develop an understanding of how your agency defines jobs (formally or informally), the method and frequency of analysis used in support of these formal statements, and the understandings of employees about what these jobs, tasks, and roles are.

1. Indicate how job descriptions are stated in your agency and where they may be found.

Formally written in agency basic documents
(policy manual, personnel office manual). _____

Formally written in administrative rules but not
basic documents. _____

Informally agreed upon and not in agency
documents. _____

2. From the following categories check the methods used by your agency to ensure that employees know the content of their job descriptions.

Through formal communication during an initial
employment orientation or training session, plus
formal updates during employment. _____

Through formal communication during an initial
employment orientation or training session, plus
informal updates during employment. _____

Through formal communication during initial
employment or training session only. _____

Through formal or informal communication during
employment only. _____

Agency employees are not informed about their
job descriptions. _____

3. From the following categories check all that describe how your agency ranks the importance of its jobs.

Jobs are not ranked--i.e., "one job is held to be as important as another"? _____

Jobs are held to be important because they were once judged important. _____

Jobs are ranked on the basis of the job holder or current incumbent. _____

Jobs are "ranked" on the basis of what is in their job descriptions. _____

Jobs are "ranked" according to a process of job evaluation, e.g., "each job is analyzed and ranked in comparison to others." _____

4. By what methods does your agency analyze the work activities of its personnel?

No method of analysis is conducted. _____

Through reviewing employee-reported work statistics (daily logs). _____

Through reviewing and gathering information from agency personnel (questionnaires, interviews). _____

Through direct observation of employee work behavior. _____

5. For the following job classifications indicate the usual frequency with which the formal written job descriptions are reviewed.

	<u>Not reviewed</u>	<u>Reviewed only when there is a crisis</u>	<u>Reviewed more than once within a year</u>	<u>Reviewed only annually</u>	<u>Reviewed in a cycle other than annually (3 to 5 year intervals)</u>
Entry-level positions	_____	_____	_____	_____	_____
First-line supervisors	_____	_____	_____	_____	_____
Middle managers (designated above first-line supervisors in rank)	_____	_____	_____	_____	_____
Top executive officers including the top executive and those reporting directly to him	_____	_____	_____	_____	_____
Clerical	_____	_____	_____	_____	_____
Administrative and support positions	_____	_____	_____	_____	_____

6. Has your agency used any of the following techniques in the past five years to analyze the work activities performed in agency jobs?

Functional job analysis _____

Task analysis _____

Ability requirement scales _____

Critical incident technique _____

Position analysis questionnaire _____

Job-element method _____

7. With respect to job knowledge, skills, and ability, which of the following best describes your agency's job descriptions?

Job descriptions do not include any statement about knowledge, skills, and ability required in performing the job. _____

Job knowledge, skills, abilities are implied in the job descriptions but not directly stated. _____

Job knowledge, skills, abilities are formally stated as a part of job descriptions. _____

8. How does your agency determine which employees possess the requisite knowledge and skill for their jobs?

This is not done. _____

This is done through testing after training. _____

This is done through standard employee appraisals by supervisors. _____

This is done by observing employees in their jobs. _____

RECRUITMENT

This section of the Personnel Practices Survey is focused on employee recruitment. As the recruitment process is instrumental in determining the pool of qualified candidates, it is a process of extreme importance. The seven questions in this section can be grouped under three headings: the recruitment process itself, its review and legal soundness, and employee input into recruitment issues.

QUESTIONS 1, 2, 3, AND 4

Question 1 asks you to identify the method which best describes how positions in your agency are advertised. As is indicated in Question 1, the range of responses is from informal, internal, word-of-mouth advertising to actively recruiting within and outside of your jurisdiction. Clearly the extent or scope of recruitment efforts for agency positions is determined to some extent by the availability of workers with the particular skills or talents desired by your agency and the level of local competition from other employers for such workers.

However, the method of communicating job openings must also be considered because communication efforts are the primary means by which people learn about job opportunities. In the past, many police agencies, and correctional agencies to a lesser degree, have simply waited for people to seek out employment in the agency: employment recruitment generally amounted to the posting of notice

that the position was open. More recently, agencies have taken a more active stand in the recruitment process, attempting to influence individual choices and to deal more effectively with competing employers for qualified applicants. Such efforts may result in some people's applying to the agency who would not otherwise apply, had the agency not actively marketed its recruitment effort.

The second issue addressed in this section is your assessment of the importance of various recruitment efforts you undertake. In Question 2, we ask you to evaluate the importance of these efforts. In making such an assessment you should begin to consider the alternative strategies available to your agency and those you might perceive as more beneficial to recruitment efforts. But such evaluations are particularly subjective, likely to be based on your personal preference for a particular method.

In Question 3, we ask you to identify how often your recruitment efforts are assessed. As is the case with other aspects of the running of the organization, recruitment practices and methods need to be updated to reflect changes in the availability of labor in the marketplace, particularly when other organizations seem to be attracting the types of employees your agency is also seeking. By assessing the effectiveness of the various components of your recruitment efforts, you may be in a better position to confirm or to reject your subjective evaluations of the various recruitment efforts listed in Question 2.

Extending our consideration of the recruitment practice in your agency is Question 4, which asks who is responsible for conducting the various components of your agency's recruitment efforts. The responses to Question 4 provide you with some idea whether recruitment is a unified effort or one divided among many individuals both within and outside of your agency. The responses can also provide you with information about which practices you have identified as important and who conducts them. This information can be evaluated in relation to your assessments of the kinds and quality of personnel you recruit to your agency by the various methods indicated.

QUESTIONS 5, 6, AND 7

When considering the recruitment process in your agency, attention should also be focused on the types of information you provide to prospective applicants. Answers to Question 5 provide a foundation upon which you might assess the quality of your recruitment announcements. As is indicated in Question 5, there are several types of information that might be included in position announcements, some of which are required by law.

Obviously, the more complete the information appearing on a recruitment announcement, the more likely that prospective applicants will have a basis for evaluating their interest in being associated with the agency and the work it does. In criminal justice agencies this also means identifying things like physical requirements that might screen out those physically incapable of performing the job.

There are several legal requirements that you should be familiar with and adhere to in your recruitment efforts. One of the earliest laws affecting the recruitment of new employees is the Fair Labor Standards Act of 1938 or the Wage and Hour Law. Its relevance to criminal justice agencies is that it requires payment for overtime work beyond the established maximum number of hours per week at the rate of one and one-half times the regular rate. You should keep this provision in mind when deciding whether to schedule overtime or hire additional employees.

The Taft-Hartley Act or the Labor Management Relations Act of 1947 is mainly concerned with the relationship between an employee and a union. Recruiters should be aware that the Act forbids activities that tend to encourage or to discourage membership in any particular labor organization. Further, it makes it illegal to refuse to hire an otherwise qualified applicant because he or she is, or is not, a member of some particular union.

Title VII of the Civil Rights Act of 1964 and the subsequent Equal Employment Opportunity Act of 1972 make it illegal to discriminate against any person in any employment procedure because of the person's race, color, religion, sex, or national origin. In addition to recruitment programs, these provisions apply equally to interviewing prospective employees, application blanks, tests, training, and pay.

In the hiring of new applicants, recruiters need to be aware that emphasis is not on eliminating discrimination because of sex

and minority-group status. Two main criteria are applied. First, employers have been asked to hire members of minority groups at a rate that reaches or exceeds the proportion of minority group members in the appropriate labor market, within a specified time period. Second is what is termed "adverse impact": an agency may be guilty of discrimination if a higher proportion of minority applicants is rejected for a given job category than the proportion of nonminority applicants.

"Job relatedness" is another criterion used in determining whether a recruitment or selection requirement is nondiscriminatory. The question of whether a certain program component is discriminatory is determined by considering its relationship to measures of job effectiveness. This may have an impact on recruitment in that it applies to such specifications as required educational level--a college degree or high school diploma, for example. These must be shown to be needed for job success in order to be required.

The final issue addressed in this section of the survey is about employee input into recruitment practices. Again the information obtained on this issue should be contrasted and compared with that obtained in the general administrative practices survey. Question 7 asks you to identify the degree of employee input into recruitment practices, including the selection of recruitment strategies, direct employee participation in recruitment efforts, and employee input into definitions of what types of applicants should be sought. Such information provides you with an evaluation of how

much your organization uses its current work force to help generate additions to that work force.

Cumulatively, this section provides you with an assessment of the various methods by which you recruit new employees. Often the recruitment policies of public agencies are delegated to a jurisdiction personnel agency, such as civil service. Despite such delegation, the review of the efficacy of recruitment efforts, as they affect the quality and kind of people seeking employment with your agency, is critical for at least two reasons. First, it is obvious that the ultimate quality of what the agency does is highly related to the kinds of people who work for that agency. Recruitment as a process attempts to stimulate interest in the kind of people the agency wants to apply. Secondly, as recruitment comes before hiring and working, it is a crucial state in an agency's determination of the quality of personnel it needs. Both the needs and wants questions are ultimately related to how the agency determines what it will do and how it will then attract the kinds of people to do that work.

3. How often does your agency examine its various recruitment methods to determine whether they are attracting the most qualified applicants?

	Not Reviewed	Reviewed Occasionally but not Regularly	Reviewed at 3 or 5 Year Intervals	Reviewed Annually	Reviewed Two or More Times During Each Year
Recruiting from within the agency by word of mouth.	_____	_____	_____	_____	_____
Recruiting by posting notices with the local civil service board.	_____	_____	_____	_____	_____
Recruiting by announcements in local media only.	_____	_____	_____	_____	_____
Recruiting by active solicitation locally.	_____	_____	_____	_____	_____
Recruiting by putting announcements in professional journals.	_____	_____	_____	_____	_____
Recruiting by active solicitation in other jurisdictions.	_____	_____	_____	_____	_____
Recruiting by active solicitation at colleges, vocational, or trade schools.	_____	_____	_____	_____	_____

4. Indicate who is responsible for conducting your agency's recruitment program for the various methods listed below.

	<u>Personnel External to the Agency (e.g., mayor's office, civil service board</u>	<u>Agency Personnel Office</u>	<u>Agency Personnel Other than in Personnel Office</u>	<u>Not Done</u>	<u>Don't Know</u>
Drafting the position opening notice.	_____	_____	_____	_____	_____
Posting notices with local civil service board.	_____	_____	_____	_____	_____
Posting announcements in local media only.	_____	_____	_____	_____	_____
Active solicitation locally.	_____	_____	_____	_____	_____
Posting announcements in professional journals.	_____	_____	_____	_____	_____
Active solicitation in other jurisdictions.	_____	_____	_____	_____	_____
Active solicitation at colleges, vocational, and trade schools.	_____	_____	_____	_____	_____

5. Indicate which of the following types of information the agency includes in its recruitment advertisements? (Check all that apply.)

Job description, e.g., nature of work, duties, and responsibilities.

Knowledge and skill requirements.

Experience requirements.

Application procedures.

Location for making application.

Salary.

Age requirements.

Health requirements.

Testing requirements.

Educational or training requirements.

6. Check the phrase that best describes how your agency complies with legal requirements regarding criteria used for selecting employees.

	<u>Complete Compliance through Court Order</u>	<u>Voluntary Complete Compliance</u>	<u>Somewhat in Compliance</u>	<u>Not in Compliance</u>
Federal laws pertaining to criteria for selecting employees.	_____	_____	_____	_____
State laws pertaining to criteria for selecting employees.	_____	_____	_____	_____
County or municipal laws pertaining to criteria for selecting employees.	_____	_____	_____	_____

7. Employee input in recruitment can be at various levels or relate to different components of the overall recruitment program. For each topic listed indicate how and whether employee input is sought.

	Formal input through collective bargaining group only	Formal input through collective bargaining group and/or through encouraging informal input by individuals (e.g., suggestion box)	Informal or no input received through collective bargaining group, but actively soliciting informal group and/or individual input	Informal or no input through collective bargaining group, but will accept group or individual input	No input is sought from employees in the area
About where the agency should direct its recruitment program	_____	_____	_____	_____	_____
About employee participation in recruiting new employees.	_____	_____	_____	_____	_____
About what type of applicants the agency should direct its recruitment program toward.	_____	_____	_____	_____	_____

SELECTION

The selection process in criminal justice agencies involves the determination of criteria for employment and the screening of applicants according to those criteria. In this section we are concerned with identifying the components of your agency's selection process and with evaluating the methods by which your agency selects personnel. Of particular concern are three related issues: First, what procedures are used by your group for selecting employees, how do you rate their importance, and what is their relative effectiveness in screening employees? Second, what types of employment and preemployment testing do you require of applicants, and to what extent are these tests validated? Third, what is the relative importance of the variety of information acquired through your screening process as it influences selection decisions.

QUESTIONS 1, 2, AND 3

Questions 1 through 3 ask you to identify all of the required selection procedures for entry-level personnel in your agency, to evaluate these procedures in terms of their contribution to aiding the selection process, and then to determine the different ability of these various methods to screen out inappropriate prospective employees. Cumulatively, these three questions focus attention on the methods of selection and their ability properly to screen job applicants for employment in your agency. Of particular concern is Question 3, about the percentages screened out at the various

selection stages. This information provides you with an estimate of where, in your agency's selection process, applicants are most likely to be screened out from further consideration.

This does not, however, tell you whether the decisions that result from these various stages are valid. As is indicated in Question 1 through 3, there are a number of possible testing procedures and selection processes that are or can be used in selecting personnel. And the validity of each needs to be assessed. A brief discussion of these processes is presented below. For a more detailed discussion of the various concerns in selecting employees, the reader is referred to Volume III.

The selection of personnel is predicated upon the assumption that the organization has taken the time adequately to define the criteria for selection and that these criteria are related to the work done by the agency (issues addressed in previous sections of this survey). With such an assumption made, the tasks of screening prospective applicants proceeds from the stage of initial inquiry, such as initiating an application, to the formal testing of applicants and to hiring.

Application reviews and preemployment interviewing are important considerations in a selection process. Each attempts to clarify the expectations of both the applicant and the agency about what the nature of the work will be and the individual's ability to perform the work. If particular issues such as previous criminal convictions, physical impairment, or the like have potentially damaging

results on the candidacy of applicants, then the preemployment screening processes can provide a vehicle for quickly and fairly reviewing an application for particular problems. Such processes as the preemployment interview can also help to clarify or to substantiate the information on the official application form. Such forms are of necessity official in nature and, as a result, rarely capture detailed information on the applicant's expectations about employment. The preemployment interview can be used as a method to elicit additional information on the applicant and to help answer any questions that the applicant may have.

After preemployment screening, there are a variety of methods for selecting applicants, including standardized tests such as intelligence tests, vocational aptitude tests, or vocational preference tests. Such testing methods are generally used to evaluate the prospective employee's aptitude or suitability for employment. These tests must, however, be related to the nature of the work to be done. As will be discussed below, the validation of testing measures has consumed much effort in criminal justice selection in recent years. Standardized tests have a variety of strengths and weaknesses. Such strengths as the ability to compare the applicant against a referent group and to attempt to define an "objective" score for the applicant are generally referred to in the personnel-selection literature. Weaknesses like the validity of the test as applied to police or correctional workers have been a major concern. A more detailed discussion of various testing methods is found in Volume III.

Besides standardized testing in police and correctional agencies, it is often necessary to investigate employees' backgrounds, to do medical examinations, and/or to examine physical agility. Criteria for each of these areas must also be validated in accordance with the requirements of the work to be done. The discussion of such validation appears in Volume III.

QUESTIONS 4 AND 5

The next questions in this section are focused on two major aspects of the selection process: preemployment and employment interviewing and written testing. About interviewing, Question 4 and 5 are on the method used in both the preemployment and employment interview stages. The possible answers to be checked reflect a concern for the degree of standardization afforded in the interviewing process. While we cannot determine which is the "correct" way for your agency to conduct its interviewing, each method has distinct advantages and disadvantages. A detailed discussion of these advantages and disadvantages is presented in Volume III.

Briefly, however, when interviewing, it is important to consider the kind of information solicited in the interview. A structured interviewing method has the advantage of providing the agency with standardized responses across employees. As each prospective employee is asked the same question in the same order, the information elicited from all candidates is similar in kind. A disadvantage of such a process, of course, is the restrictions placed on the interview when either the prospective employee or the interviewer wants to

digress from the format to follow up on a particular issue. In less structured interview formats, on the other hand, the interviewer has maximum latitude in conducting the interview, but information collected from many prospective employees becomes difficult to compare. Lastly, if an unstructured format is used, the training of the interviewer must be more substantial as it is the personal interaction and decision of the interviewer that guides the process, rather than a predetermined set of interview questions.

QUESTIONS 6 AND 7

The second issue related to procedures for selecting employees is that of formal tests. Questions 6 and 7 are about which types of tests your agency requires of applicants, and the validity of those tests. Volume III will explain the various types of tests and their assumptions, and what they measure.

Rather than focusing on the tests themselves within this discussion, we will look at test validation. As Question 7 indicates, there are various degrees of test validation. The possible responses to Question 7 form a hierarchy of validations. The least critical form of validation--content validation--is where the test is believed to contain a sampling of the knowledge and skills required to do the job. At the other end of the hierarchy, or the most critical extreme, is predictive validation, a process that is empirically grounded and that can predict how well the candidate will do the job. Obviously, construct validation and concurrent validation are points between these extremes. The selection of an appropriate method of validation

is difficult. Generally, the methods of concurrent and predictive validation are more likely to produce information related to actual job performance. A thorough discussion of the methods of validation is presented in Volume III.

QUESTION 8

The remaining question in this section asks you to rank the various methods of selection according to their ultimate influence in the final decision to select an applicant for employment in your agency. Often it is the case that, while many tests, interviews, or other procedures are used in a battery of testing for selection, it is certain crucial tests or pieces of information that are really used in determining the outcome of the decision to hire. In Question 8, we ask you to consider the relative contribution of the various methods to your agency's final decision to hire somebody. Once you have determined which of the tests appear to carry more influence in this final decision-making process, you may begin to consider the validation issue raised above.

Cumulatively, this section attempts to examine the processes by which your agency selects applicants for employment. These questions are meant to extend your review of the nature of your selection process, what the actual process is, and the extent to which the process is valid. As was the case in previous sections, you should consider this information with that produced in the general administrative survey that asked you to identify who was responsible for determining selection policies, how employees were included in such determinations, and what was the impact of such employee input.

1. From the following list of selection procedures, check those required of all employees in your agency.

Completion of formal preemployment application. _____

Completion of a preemployment interview. _____

Completion of written tests. _____

Completion of employment interview (formal oral interview). _____

Satisfactory background investigation of employee. _____

Satisfactory medical examination. _____

Satisfactory physical agility test. _____

Polygraph _____

Psychological assessment _____

2. Rank order the following in their use or importance as screening devices for job applicants.

Application review _____

Preemployment interview _____

Written tests _____

Employment interview _____

Background investigation _____

Medical examination _____

Physical agility test _____

Polygraph _____

Psychological assessment _____

3. Check the percentage of job applicants screened out at each stage of the selection process.

	<u>0 to 5</u> <u>Percent</u>	<u>5 to 10</u> <u>Percent</u>	<u>10 to 20</u> <u>Percent</u>	<u>20 to 50</u> <u>Percent</u>	<u>Over 50</u> <u>Percent</u>
Application review	_____	_____	_____	_____	_____
Preemployment interview	_____	_____	_____	_____	_____
Written tests	_____	_____	_____	_____	_____
Employment interview	_____	_____	_____	_____	_____
Background investigation	_____	_____	_____	_____	_____
Medical examination	_____	_____	_____	_____	_____
Physical agility test	_____	_____	_____	_____	_____
Polygraph	_____	_____	_____	_____	_____
Psychological screening	_____	_____	_____	_____	_____

4. What type of preemployment selection interview format is used by your agency? (Select only one.)

Structured interview where the interviewer follows a format of predetermined questions. _____

Semistructured interview where the interviewer follows major questions, but may probe into areas that require further investigation. _____

No preemployment interview is conducted. _____

5. What type of employment interview format is used by your agency?

Structured interview where the interviewer follows a format of predetermined questions. _____

Semistructured interview where the interviewer follows major questions, but may probe into areas that require further investigation. _____

No employment interview is conducted. _____

6. What type of standardized tests are used by your agency for employment screening?

Intelligence tests that indicate the general intellectual capacity of an individual. _____

Aptitude tests that measure a person's overall ability to learn. _____

Interests tests that indicate "likes" and "dislikes" about occupational settings, leisure and recreational activities. _____

Personality tests that measure some aspect or set of aspects of personality or temperament. _____

7. Which of the methods listed below best characterize how your selection tests are validated?

Content validation to determine whether the test contains a sampling of the knowledge and skills required for doing the job well. _____

Construct validation to determine whether the test measures a trait, e.g., verbal ability, perceptual speed. _____

Concurrent validation where present employees are tested and the scores of those who do the job well are compared with those who don't. _____

Predictive validation to see whether those successful on the job do better on tests than those unsuccessful on the job. _____

8. Rank the importance of each selection procedure according to its impact on the final decision to select an employee for your agency.

Completion of preemployment interview. _____

Completion of written tests. _____

Completion of formal employment interview. _____

Satisfactory investigation of the background of the applicant. _____

Satisfactory medical examination. _____

Satisfactory physical agility test. _____

TRAINING

This section of the personnel practices survey is concerned with employee training. When considering employee training, fourteen questions are focused on issues such as the type and extent of training provided entry-level employees, continuing efforts to train agency employees, the evaluation of training programs, the evaluation of employee performance after training, and agency attempts to develop career systems.

QUESTIONS 1 THROUGH 5

Questions 1 through 5 establish the parameters of your training program and require that you consider the actual requirements of training in your agency. Question 1 asks you to consider the type of orientation session your agency provides for new employees. In some agencies orientation sessions are extended attempts to provide new employees with a thorough understanding of the agency and the employee's role. Other orientation programs are minimal, providing the employee with a general description of the agency and a discussion of conditions of employment. And, of course, certain agencies do not provide new employees with any formal orientation; instead they rely on others in the agency--supervisors or peers--to familiarize the new employee with agency expectations.

Obviously, the information made available to a new employee at the time of first employment will guide that employee's behavior most directly in the short run and, in the long run, has the potential

to influence employee decisions. Agencies providing no guidance or minimum guidance to new employees run the risk of the employee's getting an orientation to the work that the agency does not desire, or of having employees not understand what is expected of them. Equally obvious is the fact that extended orientations may be costly and time consuming for the agency that needs its new employees functioning relatively quickly.

Questions 2 and 3 follow up on our inquiry about the initial training of employees. Question 2 asks how training is conducted--internally by the agency or by some outside agency. Question 3 asks when the initial employee training must be completed. Together these two questions describe the boundaries of initial employment training. Employees' deficiencies believed to be related to training might be influenced by when the training took place or by whether those conducting training were made aware of agency training needs. These two issues can also be considered by examining the information from Questions 2 and 3 along with the information on training policies asked in the general administrative survey.

Extending our consideration of agency training, Question 4 asks you to identify whether certain methods of training are employed in your agency or whether these methods are used by outside agencies providing training to your employees. These training methods are considered for both preemployment and in-service types of training. As can be seen in Question 4, the various methods of training differ in how far they approximate on-the-job conditions. An extended

discussion of these job-related methods of training are presented in Volume III. Question 5 asks you to assess the amount of training received by your agency's employees in comparison to standards your state may have. In recent years, standards commissions for police agencies and more recently for correctional agencies have begun to establish minimum training standards for police and correctional employees. Question 5 asks for the degree of compliance with these standards.

QUESTION 6

Shifting our concern from the nature and structure of your training programs, Question 6 asks that you consider the extent to which your agency has developed policy statements or a range of policy statements governing aspects of your training programs. For example, certain policies might specify training objectives in terms of preparing employees to meet certain performance levels. Others might specify the types of evaluation procedures for assessing employees after training, and still others may define the skills employees might be expected to have once training is completed.

Each of the possible policies identified in Question 6 requires that you consider the extent to which your agency has given appropriate attention to specifying what is intended in its training of employees. Often agencies find that training programs are not producing the desired results in employees because the intended effects on employee behavior have not been adequately defined, or because there is no prior specification of the skills to be acquired through

training. Similarly, agencies often find it difficult to relate specific skills or "performances" of employees to training either because these skills or performances go unevaluated or because the evaluation techniques used do not produce reliable and valid information. In either case, the agency is left in a quandary about what specific behavior is being affected through the training of agency employees.

QUESTIONS 7, 8, AND 9

Questions 7 through 9 are concerned with identifying how individuals are selected for training, the extent to which training is required after certain personnel actions occur, such as promotion or reassignment, and the identification of factors that influence the type of training offered by your agency. In Question 7, you are asked to identify the relative importance of factors affecting the selection of employees for training. Included in the possible answers are performance appraisals (both positive and negative), seniority, promotion, nomination by supervisor, a quota system, and self-nomination.

In considering the various options in Question 7, it is important to recognize that all of the possibilities might be used in the agency from one time to another. However, the relative importance of these factors begins to tell you something about access to training. If, for example, access to training was predominantly controlled by self-nomination, corrective or remedial training may be minimized. Also, if supervisor nomination were the predominant mode

of access to training, then supervisor assessments become critical for the agency to consider. If supervisors do not regularly evaluate performance, then on what basis are the recommendations for training made? These questions must be resolved if supervisors are the primary control in access to training. Finally, agencies often avoid the use of training as a means of dealing with poor performance, opting rather for training as an incentive for good performance. Such a focus must be evaluated with respect to improving employee performance, and where appropriate, considerations of employee performance (both positive and negative) must be undertaken before training objectives can be established.

Question 8 extends our consideration of access to training by examining whether training is a formal requirement following certain personnel actions. For example, is training required for transfers or for promotions? Is it required for entry-level positions? For reprimands or disciplinary actions? These possible personnel actions may point to critical areas for training. Whether your agency has training programs for these various points indicates the scope of your training efforts.

Finally, in considering the various factors affecting your training programs, Question 9 asks you to assess how much various organizational considerations affect the existence and nature of training programs. Included is how much the assessment of current organizational needs, of jobs, of performance, and of projected organizational needs influence how much training is done in your agency.

Cumulatively, the issues raised in Question 9 examine how far your training programs reflect the needs of the organization as measured by the organization. Where there has been no such prior assessment, the training programs are founded on assumptions.

QUESTIONS 10, 11, AND 12

Pursuing the issue of the extent of analysis and evaluation associated with training in your agency, Question 5 and Question 10 through 12 focus on how your agency evaluates its training programs for their effect on employee performance and how feedback from such evaluations is made to employees. Question 10 asks the time periods for evaluation of employees in training. As is depicted in Question 10, the selection of appropriate time periods for analysis can range from efforts where only post-training performance is evaluated to efforts that attempt to identify and compare a control group (individuals not receiving the training with those receiving the training).

What is examined in Question 10 is the design of evaluations for your training programs. Such designs can run the gamut from pre-experimental, requiring little or no control and yielding information that might be spurious, to those of experimental or quasi-experimental, where controls are introduced and where information is focused on the effects of the training programs. Volume III presents a discussion of research design, especially those aspects of design that influence the validity of the findings.

Question 11 asks for a slightly different assessment of training evaluation efforts. The methods of training evaluation, posted in Question 10, include analysis of official records such as of employee attendance or of employee performance on paper-and-pencil tests following training. Such measures are considered secondary measures of performance unless the tests completed can be shown to have predictive validity for job performance (see Volume III). Interviews and supervisor evaluations are also secondary measures. Observation of the employee represents a primary method of assessment, the benefits and costs of which are discussed in Volume III. Briefly, however, the nature of the source of information collected may influence the evaluation outcomes. For example, official records, such as employee reports or supervisors reports, conform to the official reporting system and, as a result, may reflect reporting practice as much as behavior. Interviews and testing overcome some of the problems associated with official records but introduce others: namely, the validity of such tests. Finally, observation, while costly, yields information that most closely resembles the behavior under consideration--presuming that the observers have not influenced the worker's behavior (see Volume III for a more detailed discussion).

Question 12 asks for your assessment of the feedback of training evaluations to employees. The responses in the question form a continuum in which the underlying dimension is how much effort the agency expends in providing employees with feedback on their training performance. Obviously, feedback is critical if training is to

accomplish its objectives. And how much your agency actively engages in feedback to employees can be gauged through your responses to Question 12.

QUESTIONS 13 AND 14

The final two questions in this section ask you to assess your agency's career development efforts. Training as one component of career development requires that the agency consciously consider the various types of training and work experience employees should have within the agency. Question 13 asks whether such career development efforts are left to chance or are the result of agency planning, while Question 14 asks you to identify the level of support your agency provides to career development efforts.

The questions in this section have attempted to focus on issues of training and career development in your agency. The responses that you provide to these questions should be contrasted and compared with those in the general administrative survey. They should also be contrasted with one another. Your training program should be assessed for its consistency. If you claim that your agency provides effective training, then how is the effectiveness measured? When and under what conditions is the training provided? And how much is the training oriented toward agency defined and analyzed needs. The answers to these questions provide you with a beginning assessment of the adequacy of your training programs.

1. Which phrase best describes your agency's orientation program for new employees?

No orientation is held. _____

4

Minimum orientation--brief description of agency, its purposes and conditions of employment discussed. _____

Basic orientation--detailed description of agency's missions and goals, conditions of employment, rules and regulations all discussed. _____

Extended orientation--detailed description of agency's missions and goals, conditions of employment personnel policies and procedures, employee benefits grievance procedures, disciplinary procedures all discussed. _____

2. Which of the following modes of recruit training best describes your agency's practice?

Recruit training is not done. _____

Recruit training conducted by outside agency. _____

Recruit training conducted by the agency itself. _____

3. When does recruit training have to be completed?

Before employment. _____

At time of employment but before being assigned job duties. _____

Within one year of being assigned job duties. _____

Within some time longer than a year from initial assignment to job duties. _____

4. From the following list of training methods, indicate those used by your agency to train its employees.

	<u>In-Service Training</u>			<u>Preservice Training</u>		
	<u>This is Not Done</u>	<u>Conducted by Outside Agency</u>	<u>Conducted by Agency Itself</u>	<u>This is Not Done</u>	<u>Conducted by Outside Agency</u>	<u>Conducted by Agency Itself</u>
Supervised on-the-job training	_____	<u>N/A</u>	_____	_____	<u>N/A</u>	_____
Simulation training where trainees learn in a nonwork environment in which conditions and equipment are nearly identical to what will be encountered on the job	_____	_____	_____	_____	_____	_____
Classroom lectures or seminars	_____	_____	_____	_____	_____	_____
Supervised job rotation	_____	<u>N/A</u>	_____	_____	<u>N/A</u>	_____
Self-paced programmed instruction	_____	_____	_____	_____	_____	_____

5. For each of the following types of training, which best describes the amount your employees receive?

	<u>Far Below State Minimum Standards</u>	<u>Slightly Below State Standards</u>	<u>Meets State Standards</u>	<u>Slightly Exceeds State Standards</u>	<u>Greatly Exceeds State Standards</u>
Preservice	_____	_____	_____	_____	_____
In-service	_____	_____	_____	_____	_____
Advanced/promotional	_____	_____	_____	_____	_____

	<u>Minimum Training Received</u>	<u>Average in Comparison to other Agencies</u>	<u>Exceeds Other Agencies</u>
<u>If no state standards:</u>			
Preservice	_____	_____	_____
In-service	_____	_____	_____
Advanced/promotional	_____	_____	_____

6. From the following list, check all that are included in the agency's policy statements about its training program for employees.

Written training performance objectives for each component of the training program. _____

Requirements for candidacy to program. _____

Evaluation techniques to be used. _____

Statement of the organizational unit responsible for training. _____

Statement of the purposes of a training program. _____

Statement of the skills employees are expected to have mastered once training is completed. _____

7. On what basis are employees selected for training?

	<u>Never Used</u>	<u>Seldom Used</u>	<u>Occasionally Used</u>	<u>Somewhat Used</u>	<u>Often Used</u>
Unfavorable performance	_____	_____	_____	_____	_____
Seniority	_____	_____	_____	_____	_____
Supervisor's nomination	_____	_____	_____	_____	_____
Quota system	_____	_____	_____	_____	_____
Self-nomination or request by employee	_____	_____	_____	_____	_____
Promotion	_____	_____	_____	_____	_____

8. For the following personnel functions, indicate whether or not training is required.

	<u>Formally Required</u>	<u>Not Formally Required but Often Done</u>	<u>Not Required or Done</u>	<u>Don't Know</u>
When an individual is transferred to a new assignment in the same job classification	_____	_____	_____	_____
For an individual to accept an entry level position in the agency	_____	_____	_____	_____
For an individual to accept a position above an entry level position	_____	_____	_____	_____
Following reprimands or disciplinary action	_____	_____	_____	_____

9. How much have the following factors affected the types of training provided by your agency?

	<u>Preservice Training</u>				<u>In-Service Training</u>				<u>Advanced Training</u>			
	<u>No Effect</u>	<u>Little Effect</u>	<u>Some Effect</u>	<u>Great Effect</u>	<u>No Effect</u>	<u>Little Effect</u>	<u>Some Effect</u>	<u>Great Effect</u>	<u>No Effect</u>	<u>Little Effect</u>	<u>Some Effect</u>	<u>Great Effect</u>
Organizational needs assessments	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
Assessment of jobs in the agency	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
Analysis of overall agency performance	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
Anticipating future problems and goals the organization may face	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____

10. How does your agency evaluate its training program?

Not evaluated. _____

Evaluation of employee performance only after training. _____

Comparison of employee performance before and after training. _____

Evaluation of employees before and after training in comparison to a similar group not receiving the training. _____

11. What methods are used to evaluate employees completing training programs?

	<u>Preservice Training</u>	<u>In-service Training</u>	<u>Advanced/ Promotional Training</u>
Not evaluated.	_____	_____	_____
By attendance only.	_____	_____	_____
By test scores (e.g., paper and pencil tests).	_____	_____	_____
Interviews.	_____	_____	_____
Supervisors' reports on subsequent employee job performance.	_____	_____	_____
Observing employees on the job.	_____	_____	_____

12. What methods are used to provide feedback to employees on their job performance after training?

	<u>Preservice</u>	<u>Inservice</u>	<u>Promotional/ Advanced</u>
None done.	_____	_____	_____
Only written memorandums sent to employees.	_____	_____	_____
Written memorandums sent to employees and individual or group discussions.	_____	_____	_____
Discussions between employee and supervisor or trainer.	_____	_____	_____

13. Which of the following describes your agency's practices regarding employee career development?

No development.	_____
Development assumed through normal personnel assignments.	_____
Development attempted through job rotation.	_____
Development through formal counseling or planning career programs.	_____

14. Which of the following best describes your agency's level of support for employees to pursue career developments?

No incentives provided.	_____
No formal incentives, but agency informal incentives such as scheduling and time-off considerations for education and training.	_____
Minimal formal incentives such as financial assistance for career development activity.	_____
Moderate formal incentive such as financial assistance and extra pay as part of educational or training program completion.	_____
Maximum formal incentive such as job evaluations or promotions based on educational or training program completion.	_____

COMPENSATION

Compensation, or the methods for remunerating various classes of employees for their work, is an important aspect of organizational life. Often the extrinsic rewards associated with work are related to job satisfaction and to employee motivation, or at least such concerns contribute to employee views about the equity of work. Also, compensation defines the importance of certain kinds of work done in the organization and creates incentive systems for workers there. This section of the Personnel Practices Survey examines compensation from the perspective of determining compensation rates and scales and from perspectives of the legal compliance of agency compensation scales and the competitiveness of agency compensation rates.

QUESTIONS 1, 2, AND 3

Questions 1 through 3 examine the means by which compensation scales are established within your agency. In Question 1, you are asked to identify the method by which your agency sets its compensation rates. Six possible methods are offered for setting compensation rates: each involves analysis of the position or job class and a determination of the importance of the work performed or the degree of skill required to do the particular job. A detailed discussion of the various methods of setting compensation scales is presented in Volume III, and the reader is referred to that section for a discussion of ways to set compensation scales. The current practices of your agency should be considered in relation to the various methods discussed in that section.

Question 2 asks for more detail about the setting of compensation scales by asking you to identify the criteria your agency applies in setting wage and salary levels. The continuum represented in Question 2 begins at a point where no criteria or minimal criteria are applied, to a point where comparative analyses are undertaken to determine appropriate wage and salary levels. Obviously, the more criteria used in setting wage and salary levels, the more likely that these levels will accurately reflect differences in the work done, or in the skills necessary to do varying jobs. And equally obvious, where such criteria are apparent, the agency is in a better position to defend and to interpret its wage and salary schedules and to determine their relevance to workers, given other employment alternatives.

Question 3 asks for your assessment of criteria that affect wage and salary determination. Most of the criteria presented in Question 3 are concerned with factors that affect salary increases within your agency. This information tells you something about the methods by which salary and wages are adjusted during employment with your agency and how great are the incentives in your wage and salary system.

QUESTIONS 4, 5, AND 6

Cumulatively, Questions 1 through 3 present the parameters of your wage and salary system and the nature of your agency's compensation practices. Besides such parameters, however, it is important to consider the degree of compliance between your compensation

system and the law and the degree of competitiveness your compensation rates have with other agencies competing for labor.

Question 4 asks your assessment of the legal compliance of your compensation plans. In this regard, we are interested in your review of compensation practices in light of legal requirements. Your assessment should reflect evidence of actual rather than assumed compliance.

The Equal Employment Opportunities Act of 1972 extended coverage of Title VIII of the Civil Rights Act of 1964 to state and municipal employees. These two laws, along with the Equal Pay Act of 1963, were designed to assure that all persons of similar ability, seniority, and background receive the same pay for the same work. An employer may not discriminate by paying an employee of one sex a lower rate than is paid an employee of the opposite sex for substantially equal jobs that require equal effort, skill, and responsibilities, and that are performed under similar working conditions in the same agency. Pay differences between members of the opposite sex can be permitted if it is shown that the differences result from a bonafide seniority system or a merit system.

Question 5 asks for your identification of merit pay practices within your agency for various classes of positions. This question is focused on determining whether there are differential merit practices for different jobs. Where there are such differences, you must determine the reasons for them, and the validity of these reasons. Also, the question is designed to determine methods of

comparison for merit pay. In this regard, there is a continuum from a position where the agency offers no merit pay to one where employees compete among each other for such increases.

Question 6 requires that you consider the competitiveness of your agency's compensation levels with those in other agencies that might attract experienced employees for your agency. The completion of this matrix requires that you collect data on the various salary and compensation levels in organizations and industry within your jurisdiction and analyze this data with concern for determining salary competitiveness. Knowing something about your agency's competitiveness in setting salaries provides you with information that might be used to assess reasons for employee turnover or absenteeism. Such information might also be used in a consideration of recruitment practices, in advertising positions, and in the adjustment of promotional and merit salary scales.

Taken together, the questions in this section identify certain areas of agency compensation practices that might negatively affect employee attitudes toward the organization and employee behavior--for example, practices that might cause them to seek alternative employment. These questions, as a result, are oriented toward assessing compensation practices in light of their contributions to organizational tension.

1. In the setting of compensation scales, what job evaluation method is used to determine the value of each job in relation to others?

Point method _____

Factor comparison _____

Job element _____

Job classification _____

Job ranking _____

Wage surveys _____

2. What criteria are used to set wage and salary levels?

No criteria are used. _____

Those relevant state and federal laws. _____

Those relevant state and federal laws plus comparisons of employees working on the same job with your agency. _____

Those relevant state and federal laws, plus comparisons of employees in your agency working both similar and different jobs. _____

Those relevant state and federal laws, plus comparisons of employees in your agency working both similar and different jobs and in other agencies working similar jobs. _____

3. Rate the following criteria as to their importance in determining your agency's wage and salary increases (1 = little importance, 5 = great importance).

General cost of living increase _____

Automatic salary increases based on years of service and time in grade _____

Increased education or training _____

Merit pay for performance _____

Promotion _____

Job change or reassignment _____

4. Check the phrase that best describes how far your agency complies with legal requirements regarding compensating employees.

	<u>Complete Compliance through Court Order</u>	<u>Voluntary Compliance Complete</u>	<u>Incomplete Compliance</u>	<u>Not in Compliance</u>
Equal Employment Opportunity Act	_____	_____	_____	_____
Equal Pay Act of 1963	_____	_____	_____	_____
Title VII of the Civil Rights Act of 1964	_____	_____	_____	_____
State laws per- taining to compensating employees	_____	_____	_____	_____
County or municipal laws pertaining to compensating employees	_____	_____	_____	_____

5. Indicate for each of the following classes of employees the agency policy that best describes merit pay procedures.

	<u>No Merit Pay</u>	<u>Agency Gives Merit Pay but Not for This Category</u>	<u>Agency Has Merit Pay and Issues It Equally among Employees</u>	<u>Agency Compares Em- ployees for Determina- tion of Merit Pay</u>
Entry-level posi- tions, first- line supervisors	_____	_____	_____	_____
Middle managers designated above first-line super- visors in rank	_____	_____	_____	_____
Those reporting directly to the top executive	_____	_____	_____	_____

6. How do the salaries of experienced personnel in your agency compare with salaries of other occupational groups in your jurisdiction?

	<u>Your Personnel Salaries Higher</u>	<u>Salaries Are about the Same</u>	<u>Your Personnel Salaries Lower</u>	<u>Don't Know</u>
Personnel of similar skills in industry	_____	_____	_____	_____
Personnel of similar skills in other criminal justice agencies	_____	_____	_____	_____
Personnel in other non-criminal justice agencies	_____	_____	_____	_____
Personnel of similar skills in retail business	_____	_____	_____	_____
Personnel of similar skills in private security	_____	_____	_____	_____
Personnel of similar skills in non-industrial companies	_____	_____	_____	_____

DISCIPLINE

In this section of the personnel practices survey, we consider employee discipline procedures. In the general administrative section, disciplinary policies were considered with respect to who determines them and the level and effect of employee input on disciplinary policy. The information that you provided in that section should be contrasted and compared with the information provided in this section so as adequately to portray the system of discipline in your agency.

The question of agency discipline is approached in this section from the perspectives of application, due process, and substance. Question 1 asks you to identify the manner by which the disciplinary process in your agency is applied to individuals. In this regard, you must consider whether individual infractions are viewed as separate acts or whether offenses are viewed cumulatively. The identification of infractions as individual acts treats each issue separately, providing maximum latitude to employees, and is not contaminated by prior infractions. As such, it is perhaps the most liberal with employees. By contrast, cumulative systems, where past infractions are considered, can be more punitive toward the employee, while at the same time affording the organization a broader definition of discipline. The selection of either of these modes of discipline is not conditioned by a standard; they are selected rather on the basis of negotiation with employees and management.

Question 2 extends our consideration of discipline by asking you to identify all of the procedural safeguards and due process rights accorded employees involved in disciplinary actions. These safeguards should be considered as they apply to various kinds of disciplinary proceedings within your agency. For example, supervisory reprimands might be considered as low-level informal processes within a disciplinary system while formal hearings involving the employee and the organization may require different procedures. By identifying the various rights extended to employees at the various stages of disciplinary proceedings within your agency, you can begin to consider the adequacy of these safeguards and their compliance with legal criteria.

The final question in this section asks you to identify the various infractions for which your agency has a disciplinary code. In this regard, we are concerned that you consider the types of infractions you currently invoke the disciplinary process for, and the severity of discipline accorded to these behaviors. Such a consideration will provide you with an idea of the priorities in discipline currently defined in your agency. Once having made such a determination, you may begin to evaluate the validity of the discipline for the behavior identified and the consistency of punishment with the defined infractions.

For example, you will want to examine the punishments associated with each infraction to determine whether lesser infractions receive harsher punishment than more serious ones. The determination of

serious infractions, however, is subjective, except where the infraction is a violation of the law. Each agency must determine expected behavior, and the penalties for violating expected behavior. The questions in this section and those in the general administrative section tell you the extent of infractions and punishments, the level of due process extended to employees, the level (informal with supervisor versus formal before agency hearing board) at which infractions are dealt with, and whether infractions are viewed cumulatively or as separate acts. You need to evaluate this information on the basis of whether or not the standards are consistently applied, and believed to be fair by management and workers. As no absolute standards for infraction and punishment are available, each agency must interpret its own experience to determine whether its disciplinary procedures are known, consistently applied, and believed to be fair and appropriate. Individual cases challenging disciplinary procedures may still be brought to court. And no legal standards, short of violations of the criminal code, will always apply.

1. Which of the following phrases best describes how your agency's disciplinary procedures apply to individuals committing an infraction more than once?

Each offense treated as an individual act. _____

Additional offenses of the same violation treated cumulatively while different offenses treated separately. _____

Additional and different offenses treated cumulatively. _____

2. Which of the following due-process rights are granted to employees of the agency during disciplinary proceedings?

	<u>Supervisor Reprimand</u>	<u>Informal Hearing</u>	<u>Formal Hearing</u>	<u>Appeals</u>
Right to representation	_____	_____	_____	_____
Right to notice	_____	_____	_____	_____
Right to request presence of a witness	_____	_____	_____	_____
Right to documentation of the proceedings	_____	_____	_____	_____
Right to be given the Miranda warning	_____	_____	_____	_____
Right to appeal	_____	_____	_____	_____
Right to present evidence	_____	_____	_____	_____
Right to call witnesses on his/her behalf	_____	_____	_____	_____
Right to cross-examine witnesses against him/her	_____	_____	_____	_____
Right to submit a written statement of his/her version	_____	_____	_____	_____
Right to legal counsel	_____	_____	_____	_____

3. For the following list of possible violations, please select the type of punishment that best describes how your agency handles first offenses.

	<u>No Discipline</u>	<u>Handled Informally at Lowest Organizational Level (e.g. verbal by supervisor)</u>	<u>Formal Reprimand by Supervisor</u>	<u>Formal Reprimand by Higher Official</u>	<u>Suspension without Pay or Transfer</u>	<u>Suspension without Pay</u>	<u>Termination</u>	<u>Prosecution</u>
Unbecoming conduct	_____	_____	_____	_____	_____	_____	_____	_____
Immoral conduct	_____	_____	_____	_____	_____	_____	_____	_____
Violation of laws	_____	_____	_____	_____	_____	_____	_____	_____
Reporting for duty	_____	_____	_____	_____	_____	_____	_____	_____
Neglect of duty	_____	_____	_____	_____	_____	_____	_____	_____
Fictitious illness or injury report	_____	_____	_____	_____	_____	_____	_____	_____
Sleeping on duty	_____	_____	_____	_____	_____	_____	_____	_____
Leaving duty post	_____	_____	_____	_____	_____	_____	_____	_____
Unsatisfactory performance	_____	_____	_____	_____	_____	_____	_____	_____
Employment outside of department without permission	_____	_____	_____	_____	_____	_____	_____	_____
Alcoholic beverages and drugs while on duty	_____	_____	_____	_____	_____	_____	_____	_____
Abuse of position	_____	_____	_____	_____	_____	_____	_____	_____
Gambling	_____	_____	_____	_____	_____	_____	_____	_____
Personal appearance	_____	_____	_____	_____	_____	_____	_____	_____
Residence	_____	_____	_____	_____	_____	_____	_____	_____
Unauthorized release of information	_____	_____	_____	_____	_____	_____	_____	_____

3. (Continued)

	<u>No Discipline</u>	<u>Handled Informally at Lowest Organizational Level (e.g., verbal by supervisor)</u>	<u>Formal Reprimand by Supervisor</u>	<u>Formal Reprimand by Higher Official</u>	<u>Suspension without Pay or Transfer</u>	<u>Suspension without Pay</u>	<u>Termination</u>	<u>Prosecution</u>
Possessing property and evidence	_____	_____	_____	_____	_____	_____	_____	_____
Abuse of departmental equipment	_____	_____	_____	_____	_____	_____	_____	_____
Inappropriate treatment of persons in custody	_____	_____	_____	_____	_____	_____	_____	_____

SUPERVISION

The supervision of employees is a crucial task in all organizations. Supervisors provide a vital link between the employees and management of the organization. In this section we consider the training and evaluation of supervisors. The measurement of employee satisfaction with supervisors is contained in the organizational climate survey.

Question 1 precedes our consideration of supervisor training and evaluation by asking how employees are informed of supervision chain of commands within the agency. Quite often the misunderstanding of supervisory channels can be overcome through employee orientation. Question 1 asks how this is accomplished in your agency.

In previous sections of this survey (training), you were asked to identify training for promotional practices, in-service and recruitment efforts, as well as various measures of training effectiveness used by your agency. Questions 2 through 4 focus on similar considerations concerning the evaluation of supervisory staff in your agency. Question 2 asks you to identify the various kinds of training provided to supervisors in your agency. Such identification requires that you consider the content of training and the substantive knowledge that your agency provides to supervisors. The answers to this question can then be reviewed against the general administrative survey and the responses from the organizational climate survey, particularly noting those sections focused on employee assessments of supervisory personnel in your agency.

Question 3 examines the methods by which you evaluate the effectiveness of supervisory training. In this regard, considerations similar to those raised generally about training program evaluation apply. Those evaluations that rely on attendance record little information relevant to the training program. Those that rely on formal tests, interviews, or other people's evaluations can be considered secondary measures, and those that involve the observation of the supervisor are primary measures. (About measures of behavior, the reader is referred to Volume III for a more detailed discussion. The previous training section of this questionnaire, with its accompanying discussions, should also be consulted.)

Finally, Question 4 asks you to identify the specific performance criteria used in the assessment of supervisors in your agency. The identification of the job-relevant criteria for assessing all employees is discussed in Volume III, as well as in the employee-assessment section of this questionnaire. Obviously, the assessment of supervisors should follow the requirements of other agency assessment systems. But besides these the agency must be cognizant of the things the supervisor must do that are different from what other agency employees do. All too often the supervisor is evaluated on the same basis as the workers supervised or on the basis of the expectations of upper management. To do so ignores the unique attributes of and expectations about the supervisor. By identifying the specific "behaviors" evaluated, the agency is in a better position to assess the affective and perceptual assessments supervision provided through the survey of organizational climate.

1. What mechanism is used to ensure that employees know to whom they must report?

Formal communication during an initial employment orientation or training session, plus formal updates during employment. _____

Formal communication during an initial employment orientation or training session, plus informal updates during employment. _____

Formal communication during an initial employment or training session only. _____

Formal communication during employment. _____

Informal communication during employment. _____

2. Which of the following types of training are required of supervisors in your agency? (Check all required.)

None received. _____

Technical training (e.g., planning, scheduling, record keeping). _____

Training about conducting job evaluations. _____

Training in legal regulations. _____

Training in the labor policies of the agency (e.g., how it selects, recruits, trains its employees). _____

Training in grievance handling. _____

Leadership training. _____

3. What method of evaluation is used by your agency for supervisory training programs? (Check all that apply.)

- No evaluation _____
- Attendance only. _____
- Test scores (paper and pencil). _____
- Interviews after training. _____
- Evaluation form completed by supervisor's supervisor. _____
- Observing supervisors on the job. _____
- Employee evaluations of supervisors. _____

4. Which of the following are criteria your agency uses to base its appraisal of supervisors on?

- No certain criteria. _____
- Plans, organizes, and monitors work activities for efficient operation. _____
- Directs and provides guidance to subordinates. _____
- Conducts effective appraisals of employee performance. _____
- Demonstrates the capacity to make valid and timely decisions. _____
- Sets personal example of high performance for the work unit. _____
- Productivity of work unit (e.g., efficiency and effectiveness of work unit). _____

RETENTION

Employee retention is an important consideration in organization today. Often agencies have invested large sums in the selection, training, and equipping of agency employees; and the maintenance of this investment is predicated on insuring that employees are retained. Retention can be approached from the perspective of either absenteeism or turnover.

Absenteeism obviously affects agency productivity and creates a climate of breakdown within the organization. Absenteeism can be related to other practices in the agency---for example, work assignment, compensation, or job dissatisfaction. Related to absenteeism, turnover has greater repercussions for the agency. Valued agency employees who leave the agency voluntarily are material losses to the agency, and the monitoring and assessment of turnover is crucial if the agency is to cope with changes in its work force.

Questions 1 through 3 detail the nature of your agency's efforts to monitor and assess employee absenteeism and turnover. As Question 1 indicates, individual statistics can be reviewed for various periods of time. The constant monitoring of absenteeism and turnover obviously requires regular intervals of measurement and the collection of data for these time periods. (The actual calculation of work shortage as measured through absenteeism and turnover is presented in the section on Forecasting in Volume III.)

Question 2 asks you to indicate whether individual statistics on absenteeism and/or turnover are aggregated across time as well. Such

aggregation might isolate times where absenteeism and turnover are more likely. When such time frames have been identified, the agency can begin to analyze the factors associated with employee absenteeism and turnover in certain time periods.

Question 3 asks about the aggregation of employee absenteeism and turnover statistics for various levels of organization in your agency. By examining these statistics by work assignment, functional speciality, classes of workers and the like, the agency can begin to search for patterns in departments or in organizational subunits that might suggest problems. Also, the combination of time and assignments (Questions 2 and 3) affords the agency an analysis of the entire work force as it is deployed by the agency.

Following upon the previous questions, Question 4 asks you to identify who in your agency is responsible for reviewing employee statistics on absenteeism and turnover. Such a measure might be viewed as the level of importance attached to such analyses by your agency.

Questions 5 and 6 focus attention on the specific information used to calculate absenteeism and turnover statistics in your agency. Absenteeism, for example, might be calculated for all absences, those excused by medical reasons, or those unexcused. Each measure has, of course, a slightly different meaning for agency administrators, and each should be considered before determining the final measure chosen as the agency's indicator of absenteeism.

Similarly, turnover can be measured for a number of kinds of employee separations. In this regard, those retiring, voluntarily leaving, and those involuntarily leaving the agency might be considered. The use of exit interviews to determine the employee's reasons for leaving the agency can provide important information about absenteeism and turnover in your agency (see Volume III).

There is no adequate norm of employee absenteeism or turnover to gauge the levels of absenteeism or turnover in your agency against. The determination of acceptable levels is done on the basis of the degree to which the agency perceives that its productivity and effectiveness are negatively affected by absences and turnover. And such calculations require that you have information on both absences and turnover, as well as the productivity of your agency.

1. How often does your agency review absenteeism and turnover of individual workers?

	<u>Absenteeism</u>	<u>Turnover</u>
Not reviewed	_____	_____
Annually	_____	_____
Semi-annually	_____	_____
Quarterly	_____	_____
Monthly	_____	_____
Weekly	_____	_____

2. How often are statistics on workers' absenteeism aggregated for larger work units (e.g., departments) or for the organization as a whole?

	<u>Absenteeism</u>	<u>Turnover</u>
Annually	_____	_____
Semi-annually	_____	_____
Quarterly	_____	_____
Monthly	_____	_____
Weekly	_____	_____
Not aggregated	_____	_____

3. Are employee statistics for absenteeism and turnover aggregated for (check all that apply):

- Work groups (shift)? _____
- Work classes (patrol officer, correctional officer)? _____
- Assignments (departments or divisions)? _____
- Function (custody, patrol)? _____
- Entire organization? _____

4. Who has the primary responsibility for reviewing employee absenteeism and turnover in your agency?

	<u>Absenteeism</u>	<u>Turnover</u>
Immediate supervisor	_____	_____
Bureau chief	_____	_____
Personnel department and administration staff	_____	_____
Agency administrator	_____	_____

5. Do you distinguish among the following kinds of information used in constructing a measure of absenteeism among employees in your organization?

	<u>Yes</u>	<u>No</u>
Absences without leave	_____	_____
Absences due to medical reasons	_____	_____
Late reporting	_____	_____
Absences from assignment	_____	_____

6. Do you differentiate the turnover in your organization on the basis of the following information?

	<u>Yes</u>	<u>No</u>
Those who left voluntarily	_____	_____
Those who were discharged involuntarily	_____	_____
Those who retired	_____	_____
Those who were laid off	_____	_____

ASSIGNMENT

The assignment of employees to the various roles and functions within your agency has been considered in previous sections with respect to who determines assignment practices and the level and scope of employee input into assignment practices. In this section, we consider assignment a little more specifically: criteria for assignment, and whether or not employees are surveyed to determine their preferences for assignment.

Question 1 asks you to identify the relative importance of criteria for assigning personnel to the various roles and tasks in your agency. Of particular concern in this question is the relative importance of each criterion listed. By rank ordering the criteria, you have begun to establish the priorities for criteria your organization attaches to its assignment system. If seniority is ranked above other criteria, say education or skill demonstration, then you must consider whether the assignment system in your agency is maximizing its use of human resources in your agency.

Similarly, information obtained in this question should be evaluated in light of employee responses to the climate survey section measuring satisfaction with your agency's assignment practices. By examining your criteria and the responses of employees, you begin to explore the nature of your assignment system and employee perceptions of it. Obviously, it is important to assess the degree to which employee skills and abilities are made a part of the assignment system. Equally obvious is that how much employees participate in

the assignment system definition and policymaking will be correlated to their satisfaction with the system.

Question 2 asks whether or not, and to what extent, your agency samples the preference of employees for various agency assignments. Such sampling assumes that individuals desiring various assignments might perform better in them if preferences are met. While this may indeed be an assumption, the congruence between assignment and preference may tell you something about the desires and expectations of the work force--expectations and desires that nevertheless affect the quality of organizational life.

1. Rank the following list of criteria in order of their importance in determining employee assignments (1 being most important and 6 being least important).

- Seniority. _____
- Demonstrated skills of employee on the job. _____
- Demonstrated skills through testing. _____
- Educational experience of employees. _____
- Previous job assignments. _____
- Preferences of employees. _____

2. How often are employee preferences for assignment sampled?

- Not sampled. _____
- Sampled sporadically as positions become vacant in your agency. _____
- At regular intervals within a year (at 6-month intervals or annually). _____
- Sampled biennially. _____

EQUAL EMPLOYMENT OPPORTUNITIES

The questions in this section of the Personnel Practices Survey deal with the provisions in the Civil Rights Act of 1964--namely, those about equal employment opportunity (EEO)--that are relevant to personnel administration of criminal justice agencies. The five questions in this section can be grouped into two categories: those requiring you to assess your agency's past history of employee complaints, and issues that concern equal employee opportunities, and those requiring you to determine your agency's present reporting and data-gathering status.

Question 1 asks you to identify specific personnel practices (for example, recruitment, selection, assignment, promotion, and compensation) in which employee discrimination from various sources has been a formally disputed issue in your agency. The Civil Rights Act makes it illegal to discriminate against an individual in any employment procedure because of race, color, religion, sex, or national origin. Other legislation applies to the rights of veterans and of the handicapped.

The second question asks you to identify the stage most often used to resolve the discrimination issues. Most public agencies should strive to resolve an issue at the closest supervisory position available. Charges of violation can be filed by either an individual or by an Equal Employment Opportunity Commissioner on behalf of individuals or groups. The Commission strives to eliminate unlawful employment practices by proceedings meant to resolve the

dispute within the agency's internal structure. However, if this fails, the aggrieved person can bring civil action against the respondent within 30 days. Once this occurs, the issue becomes a matter to be resolved by individuals external to the agency. Agency administrators need to recognize the advantages involved in deciding EEO issues within the agency's structure, as opposed to arriving at a settlement through external decision makers, and understand the disadvantages inherent in using that option (for example, legal costs, time, bad publicity, etc.).

Question 3 asks you to determine the method of communication used to ensure that those who conduct employee-related interviews are aware of EEO policies governing such interviews. It is important that interviewers be made aware of these policies. Some of these issues include:

Area of Inquiry

Possible Discrimination

Age, date of birth

It is unlawful to discriminate against those 40 to 64.

Mr., Mrs., Miss, Ms.

These serve as indicators of sex and marital status. Neither can be a job qualification.

Marital status

It cannot be used to keep women or men from employment.

Maiden name, prior married name

Indicators of marital status or divorce.

Children under 18, age of children, arrangement of care of minor children

Used only to judge fitness of women to work. May also discriminate against those religions and ethnic groups that tend to have large families.

<u>Area of Inquiry</u>	<u>Possible Discrimination</u>
Credit records, charge accounts, own home, own a car	Since minorities and unmarried women are poorer on the average, there is potential discrimination against them. Owning a car may be relevant if car use is necessary.
Spouse's name, spouse's work	Indicator of marital status and can lead to possible discrimination if the employer tries to determine whether additional income is really "necessary."
Sex, race, ethnic identity	May only be asked for affirmative-action statistical purposes.
Height, weight	Can possibly be discrimination against women and certain minority groups--requirements must be shown to be directly related to job performance.

Source: Miller, G. K., Career Planning and Job Hunting, Michigan State University, College of Social Science, 1979, p. 44-45.

The final three questions ask you to determine your agency's present state or policy regarding the collection of information related to EEO reporting requirements. For Question 4 through 6, the four reporting requirements include:

1. A list of all recruitment sources, showing job categories for which each is used, plus sample copies of job requisitions.
2. Copies of recruitment advertising.
3. Statistics denoting the total number of applicants during the last three months, showing sex and minority group status.
4. An estimate of manpower needs, by department or job classification, for the next twelve months.

In addition, concerning selection and promotion, an EEO-1 Report is required annually. It shows the number of employees in each of nine job categories, for the overall work force. The work force is categorized as male and female, Negro, American Indian, Oriental, and Spanish-surnamed American, in separate male and female columns.

Question 5 asks whether your agency seeks comparative data for compensation rates among groups of individuals. One of the most comprehensive reports published by the Equal Employment Opportunities Commission about compensation is available from the U.S. Government Printing Office. The report breaks employment into the categories specified in the EEO-1 Report, and states the results separately for each minority group and for total employment.

1. For the EEO suits filed against your agency in the past two years, check all the issues that were disputed?

	<u>Recruitment</u>	<u>Selection</u>	<u>Assignment</u>	<u>Promotion</u>	<u>Compensation</u>
Discrimination against a person because of sex	_____	_____	_____	_____	_____
Discrimination against a person because of race, color, or national origin	_____	_____	_____	_____	_____
Discrimination against a person because of religious preference	_____	_____	_____	_____	_____
Discrimination against veterans or disabled veterans	_____	_____	_____	_____	_____
Discrimination against the physically handicapped	_____	_____	_____	_____	_____
Discrimination against a person on the basis of age	_____	_____	_____	_____	_____

2. Which of the following stages was most often used to resolve each of the kinds of EEO grievances.

<u>Application to Law Issues</u>	<u>Agency Personnel Office Resolution</u>	<u>Agency Review Committee Resolution</u>	<u>Civil Service Board Resolution</u>	<u>EEOC Resolution</u>	<u>Court Action</u>	<u>Not Applicable</u>
Discrimination against a person because of sex	_____	_____	_____	_____	_____	_____
Discrimination against a person because of race, color, or national origin	_____	_____	_____	_____	_____	_____
Discrimination against a person because of religious preference	_____	_____	_____	_____	_____	_____
Discrimination against veterans or disabled veterans	_____	_____	_____	_____	_____	_____
Discrimination against the physically handicapped	_____	_____	_____	_____	_____	_____

3. What mechanism is used to ensure that those who conduct employee-related interviews are aware of EEO policies regarding such interviews?

Formal training required by the agency. _____

Formal training not required by the agency. _____

Informal training required by the agency. _____

Informal training not required by the agency. _____

No training provided. _____

4. For the following personnel functions, indicate whether the agency computes EEO statistics for each group of employees. (Place a "✓" or "X" in the appropriate space.)

	<u>Recruitment</u>	<u>Selection</u>	<u>Promotion</u>
Women	_____	_____	_____
Caucasian males	_____	_____	_____
Blacks	_____	_____	_____
Hispanics	_____	_____	_____
American Indians	_____	_____	_____
Other protected classes (e.g., handicapped workers)	_____	_____	_____

5. Does the agency collect data that is used for comparing the compensation rates between groups of employees (e.g., women, blacks, Caucasian males, Hispanics, American Indians).

Yes
 No
 Don't know

6. Does the agency collect data regarding protected-classes employment in entry-level positions?

Yes
 No
 Don't know

UNIONS AND COLLECTIVE BARGAINING

Perhaps one of the most important changes in management in criminal justice agencies is the advent of collective bargaining. Collective bargaining arrangements in criminal justice agencies have resulted in labor and management sharing the responsibility for determining major administrative practices that in the past were determined solely by those in administrative positions. Public-sector collective bargaining has increased rapidly in the past ten years, and law enforcement and correctional agencies have also seen the move toward unionization among employees.

This section of the personnel practices survey examines the relationships determined through collective bargaining in your agency. The six questions that follow are concerned with such issues as the nature and structure of collective-bargaining arrangements in your agency, who is responsible for the review of collective-bargaining agreements, and the points of labor and management grievance in your agency. Collectively, the questions in this section begin to analyze the impact of collective bargaining on your agency. As was the case for previous sections, the information obtained in this section should be compared and contrasted with that obtained in the general administrative sections of this questionnaire, particularly those questions about who made decisions and the level of employee impact on and input into collective-bargaining decisions.

QUESTIONS 1, 2, AND 3

Questions 1 through 3 examine the issue of collective bargaining in your agency by defining the periods of labor contract review, who is responsible for such review, and the availability of legal counsel for reviewing and negotiating labor agreements. The review of labor contracts (Question 1) on a regular basis is surely preferred to one that occurs only at times of crisis.

Similarly, the identification of individual(s) responsible for the negotiation and oversight of labor agreement administration are important management concerns. Question 2 provides information about the degree to which labor issues are dealt with centrally or are dispersed throughout your agency. Such issues as contract negotiation, execution, review and records maintenance, if not done centrally, will require a large degree of coordination to be effective. And if such functions are done in other organizations, the coordination effort becomes that much harder.

Question 3 asks about the level of legal counsel available to your agency in the negotiation and execution of labor contracts. In recent years, labor law has become a specialty in the legal profession. Such specialization requires that the individual involved in reviewing and negotiating such contracts have the requisite legal training. With such a consideration in mind, you should review your agency's experience in acquiring adequate legal assistance in the negotiation and maintenance of labor relations and assess its usefulness. Such an assessment, of course, requires that you identify

alternative sources of such information. If, for example, you do not have legal assistance available, and are responsible for negotiating an executive labor contract, you should seek legal assistance.

QUESTIONS 4, 5, AND 6

Question 4 extends our previous consideration by asking you how much collective-bargaining arrangements affect various types of decisions in your agency. By filling out the matrix in Question 4 you will have determined the scope and impact of current collective-bargaining arrangements and also have identified the areas retained for management decision making. Question 5 also asks for an identification of the personnel practices most affected by current collective-bargaining arrangements in your agency. In this question, however, the focus is on actual personnel practices rather than on the broader decision-making process. Together Questions 4 and 5 identify your current situation with respect to labor contracts as well as areas likely to be affected by future contracts. As such, these measures trace the relationships between management and labor as formally cast in labor contracts.

The final question in this section is oriented toward soliciting information on conflict between labor and management on specific organizational issues. Question 6 asks you to identify the relative importance of a series of issues having particular relationship to grievances that have arisen. By examining these areas and by weighing their relative importance, you will be in a better position to isolate potential problems, and to determine the extent to which you currently negotiate such concerns at the contract negotiation stage.

This section of the Personnel Practices Questionnaire is intended to give you an overview of the labor negotiation process in your agency. Whether or not issues are problems in your agency is determined by their importance in grievances and your ability to influence them. The information solicited in this section of the questionnaire attempts to address these two important issues.

1. Which of the following statements best describes the circumstances within which your agency reviews current labor relations and legislative requirements?

Not reviewed.

Reviewed only in crisis situations in your agency.

Reviewed regularly through monitoring legislation.

Reviewed regularly as part of contract negotiation.

2. Who in your agency is primarily responsible for overseeing the following activities relevant to collective bargaining?

	Agency External to Organization (civil ser- vice board)	Top Agency Administrator	Agency Personnel Office	Not Done
Contract negotiation	_____	_____	_____	_____
Contract execution	_____	_____	_____	_____
Contract review	_____	_____	_____	_____
Maintenance of records related to collective bargaining in the agency	_____	_____	_____	_____

3. What type of legal counsel is available for your agency to consult with on labor relations issues?

- Infrequent assistance provided by outside agency (city or state attorney). _____
- Part-time legal assistance contracted for by the agency. _____
- Frequent legal assistance provided by outside agency. _____
- Full-time legal assistance employed by your agency. _____

4. For the following administrative and personnel decisions, please indicate the extent that collective bargaining affects decision making.

	High Impact Due to Formal Contractual Agreement	High Impact but No Formal Contractual Agreement	Moderate Impact	Seldom Impacts	No Impact
Recruiting employees	_____	_____	_____	_____	_____
Selecting employees	_____	_____	_____	_____	_____
Salaries	_____	_____	_____	_____	_____
Probationary employ- ment period	_____	_____	_____	_____	_____
Preservice training	_____	_____	_____	_____	_____
In-service training	_____	_____	_____	_____	_____
Job descriptions	_____	_____	_____	_____	_____
Employee discipline	_____	_____	_____	_____	_____
Rules of conduct	_____	_____	_____	_____	_____
Assignment	_____	_____	_____	_____	_____
Promotion	_____	_____	_____	_____	_____
Employee evaluations	_____	_____	_____	_____	_____
Employee termination	_____	_____	_____	_____	_____
Affirmative action/equal opportunity programs	_____	_____	_____	_____	_____

5. Please indicate how much the following kinds of personnel decisions and processes are affected by formal agreements or contracts with employee unions.

	Completely Mandated in Contract or Agreement	Partially Mandated in Contract or Agreement	Not at Present Affected but Likely to be an Issue for Future Bargaining	Not Affected and not Likely to be an Issue
Salary	_____	_____	_____	_____
Fringe benefits	_____	_____	_____	_____
Work conditions (e.g., hours of work, work rules)	_____	_____	_____	_____
Employee security (e.g., seniority)	_____	_____	_____	_____
Acceptance of union as bargaining agent	_____	_____	_____	_____
Management rights (e.g., discipline, layoffs)	_____	_____	_____	_____
Contract duration	_____	_____	_____	_____
Grievance procedures	_____	_____	_____	_____
Disciplinary procedures	_____	_____	_____	_____

6. Please rank order the following issues as to their importance to labor grievances or disputes in your agency (a "1" is most important, a "2" is next most important, and so on).

Compensation rates	_____
Work conditions	_____
Employee security	_____
Contract duration	_____
Grievance procedures	_____
Disciplinary procedures	_____
Criteria used for selecting employees in the agency	_____
Criteria used for transfers in the agency	_____
Criteria used for promotions in the agency	_____
Criteria used for assigning personnel in the agency	_____
Fringe benefits	_____
Equal employment issues	_____

PERFORMANCE APPRAISAL

Performance appraisal measures employee behavior and is an essential feature of personnel system management and agency monitoring. Performance appraisals tell the agency the degree to which employees are working toward organizational goals and the actual rate of accomplishment. But appraisal systems must be reliable and valid to be of use to the administrator. Information unreliably collected may result in a spurious assessment of what is actually being done. Similarly, measurement that is not valid results in information being collected on behavior that is not intended to be measured, or is unimportant or unrelated to organizational goals and purposes. For a description and discussion of reliability and validity in measurement and an assessment of various systems of appraising performance, see Volume III.

Questions in this section of the personnel practices survey are divided into three classes of information: (1) the nature and general characteristics of your organization's system of appraising employees, (2) the specific criteria for evaluation and their effects on decisions about appraising performance, and (3) the feedback and appeal process for employees who have been evaluated. Cumulatively, these questions explore your agency's criteria for evaluation, methods of evaluation, and uses of evaluation information.

QUESTIONS 1 AND 2

The first two questions form the basis for outlining the nature and structure of your agency's system of appraising performance.

Question 1 asks you to establish how your agency has set performance standards for various positions. The response options include: (1) all positions have a description of performance standards, (2) all groups of positions have performance standards set for them, and (3) only specific positions (not all individuals or groups) have such standards. Obviously, the individual and group methods of setting performance standards is preferable to the sporadic use of standards for certain positions and not for others. But in considering groups you must examine the similarity of roles performed in the class of groups. For example, the general class of police officer might include those assigned to regular patrol activity or those assigned to traffic enforcement. In corrections, the classification of inmates according to security risk (e.g., minimum, medium, and maximum) may result in differences in the class of correctional officers. Such differences must be reflected in the degree to which workers in the classes of positions perform homogeneous functions. Question 2 asks you to determine the kinds of behavior measured in your current employee appraisal system. The range of responses runs from a system of appraisal that is not behaviorally oriented, to a system that measures current behavior, including estimates of future behavior in the same and different jobs in the organization. Such activities as preventive patrol or officer-initiated contacts are also not reflected in official statistics. Clearly, the more the evaluation is behaviorally anchored, the greater the likelihood that you will capture an accurate picture of exactly what employees do. For example, observing

police officers performing their daily routines results in collecting much information not contained in official reports. Furthermore, the extension of this behavioral anchoring to include estimates of current and future behavior gives the agency information that can be used to assign people to specific jobs.

QUESTIONS 3, 4, AND 5

Extending our consideration of the nature of your agency's performance evaluation system, three questions ask you to identify the actual content of the evaluations, the methods by which they are applied, and their effect in personnel decisions.

Question 3 asks you to rank the relative importance of various criteria that might be included in a performance appraisal system. The objective of the question is to gain an idea of relative importance among these various criteria. Once you have completed this question, you will have identified the explicit criteria your agency uses to evaluate the performance of employees. Such an identification of criteria results in a history of your agency's priorities for employee behavior. These priorities, then, must be reviewed as to their validity for the behaviors your agency wants its employees to have.

Question 4 asks you to identify the relative importance of employee-appraisal information for various personnel decisions. In this regard, we are concerned with how this information is applied. If, for example, detailed information is collected yet not applied

to determining various agency personnel decisions, then you must question the detailed collection of such data or its underutilization.

Question 5 asks you to rate the methods of employee appraisal in your agency. As is indicated in the question, numerous methods for performance appraisal are available. Each of these methods may, however, yield slightly different information on employee behavior. A detailed discussion of the various methods of employee appraisal, their underlying assumptions, and their methods of application is presented in Volume III.

QUESTIONS 6 AND 7

The final two questions in this section pertain to the methods by which your agency communicates its employee appraisals to the individual employee and the appeal process for appraisals. Both questions will allow you to form some idea of the degree of openness and fairness associated with your agency's appraisal system. Question 6, for example, asks you to identify the individual(s) who receive copies of the employee appraisal once it is completed. Also indicated in the question is whether employees are afforded the opportunity to review their assessments with those who conducted the evaluation. Taken together, these questions get at the degree of openness in your current employee appraisal system. Employees either not receiving copies of their assessments and/or not being given the opportunity for meaningful feedback on how the assessment was determined may grow to resent and distrust the process. Furthermore, if employees are expected to change inappropriate behavior, then such feedback is essential.

Question 7 asks for the identification of the formal appeal process in assessments. As such, it is hierarchically oriented, ranging from where the employee has no or limited appeal (say to the supervisor only) to where appeal may be made to an outside agency, for example, civil service. Appeal processes are critical for a number of reasons. First and most obvious is the fact that appeals provide some due process for employees. Secondly, and of equal importance, appeal processes provide the employee and the organization with a method of identifying poor measures of performance or inappropriate interpretations of information that, once entered into the official system, might otherwise be overlooked.

Information on the appraisal of employees' performance is critical for many organizational functions. This information may provide the basis for job classification, salary determination, and promotional opportunities. As such, the system of evaluation needs to be reviewed by administrators to insure that the information produced in such systems is not only reliable and valid, but also timely and useful to administrative decision making.

1. With regard to establishing performance standards, which of the following is most characteristic of your agency?

All job positions have specifically stated performance standards. _____

Groups of positions (such as those on the same compensation scale or in the same work group) have specifically stated standards of performance. _____

A few positions (such as those on special task forces) have specifically stated standards of performance. _____

There are no performance standards. _____

2. Which of the following are characteristic of your agency's performance-appraisal system?

There is no performance-appraisal system. _____

There is a performance-appraisal system, but it does not measure behavior. _____

Measures current employee behavior both positive and negative. _____

Measures current employee behavior both positive and negative, and attempts to estimate future behavior in the same job. _____

Measures current employee behavior both positive and negative and attempts to estimate future behavior in the same and different jobs. _____

3. Rank the following performance criteria as to their importance to the overall appraisal? (A "1" would be most important; "2" second most, and so on.)

Quantity of work. _____

Accuracy of work. _____

Required knowledge, abilities, skill. _____

Use of time. _____

Initiative in accepting responsibility. _____

Knowledge of work units, purposes, and duties. _____

Adaptability to new developments in the job. _____

Dependability and reliability regarding work instructions. _____

Degree of need of supervision. _____

Ability to get along with others in the work unit. _____

Comprehension of oral and written directions. _____

Ability to communicate orally and in writing. _____

Knowledge and use of correct channels for the communication of notices, complaints. _____

4. Rate on a scale from 1 to 5 (1 being most important and 5 being least important) the importance of employee appraisals in determining each of the following personnel matters.

Promotions. _____

Salary increases. _____

Effectiveness of initial training. _____

Effectiveness of employee selection process. _____

Need for training. _____

Redefining job responsibilities. _____

5. In regard to employee appraisal, rate the following methods as to their importance for appraising employees in your agency.

	<u>Very Important</u>	<u>Somewhat Important</u>	<u>Seldom Important</u>	<u>Never Important</u>	<u>Don't Know</u>
Graphic rating scale that lists a number of characteristics that are to be rated according to a scale.	_____	_____	_____	_____	_____
Critical incident method where the evaluation rates an individual on the basis of actual behavior.	_____	_____	_____	_____	_____
Alternative rank method that involves placing the "best" employee at the top of a list and the "worst" employee at the bottom, then filling in the rest of the employees.	_____	_____	_____	_____	_____
Straight rank order where an evaluator ranks employees from best to worst.	_____	_____	_____	_____	_____
Paired comparison that involves comparing each employee with all others in a work group at one time.	_____	_____	_____	_____	_____
Forced distribution where evaluators place employees in categories according to predetermined proportions.	_____	_____	_____	_____	_____
Checklist where an evaluator checks statements most descriptive of the employee being rated.	_____	_____	_____	_____	_____
Essay form consisting of the evaluator's writing his/her general impression of the employee.	_____	_____	_____	_____	_____

Question 5 (continued)

	<u>Very</u> <u>Important</u>	<u>Somewhat</u> <u>Important</u>	<u>Seldom</u> <u>Important</u>	<u>Never</u> <u>Important</u>	<u>Don't</u> <u>Know</u>
Forced choice that requires the rater to choose from among several seemingly equal groups of statements those that are most and least applicable to the employee	_____	_____	_____	_____	_____
Field review where supervisors are interviewed by the personnel office about their subordinates' work performance	_____	_____	_____	_____	_____
Behaviorally ranked scales that rank incidents involving employee performance on a scale	_____	_____	_____	_____	_____
Assessment centers	_____	_____	_____	_____	_____

6. Who receives a copy of the completed appraisal forms? (Check all.)

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>
The employee who was appraised	_____	_____	_____
The employee's first level supervisor	_____	_____	_____
The employee's supervisor's supervisor	_____	_____	_____
The personnel office	_____	_____	_____
The top executive	_____	_____	_____

Do employees have the right to review their appraisals with the evaluator?

_____ Yes

_____ No

_____ Don't know

7. What mechanism is available for employees wishing to appeal their appraisals?

None is available _____

Appeal only to immediate supervisor _____

Appeal through agency representative (not chief executive) _____

Appeal to top executive _____

Appeal through civil service board _____

A Handbook for Human-Resource Planning
in Criminal Justice Agencies

Volume II
Part 2, Section C
Environmental Factors Questionnaire

Jack R. Greene



School of Criminal Justice
Michigan State University
August, 1982

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A HANDBOOK FOR HUMAN-RESOURCE PLANNING ACQUISITIONS
IN CRIMINAL JUSTICE AGENCIES

VOLUME II
PART 2, SECTION C
ENVIRONMENTAL FACTORS QUESTIONNAIRE

JACK R. GREENE

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August, 1982

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EXECUTIVE SUMMARY

Criminal justice agencies usually allocate 80 percent or more of their resources to meeting personnel costs. Criminal justice is thus a labor-intensive field, with productivity vitally dependent on the efficient and effective employment of personnel. Human-resource planning can be an effective managerial tool for helping administrators reach decisions about how most efficiently and effectively to acquire and to employ personnel. Additionally, some aspects of human-resource planning are particularly useful in helping management to identify, to diagnose, and eventually to solve personnel problems.

This executive summary provides a brief overview of the contents and objectives of the Human-Resource Planning Handbook prepared by the School of Criminal Justice at Michigan State University. The Handbook describes numerous human-resource planning and analytical techniques useful in criminal justice agencies, gives directions for their use, and provides examples of their application in criminal justice agencies. Also, special techniques are provided to assist management in identifying, diagnosing, and eventually resolving personnel problems. The Handbook is designed to offer the criminal justice manager, personnel administrator, and planner a self-instruction guide on how to implement more effective means of planning for the agency's personnel component.

One way of visualizing the purposes and objectives behind the Human-Resource Planning Handbook is to consider the principal kinds of managerial questions that it attempts to provide answers for. A few of these questions are:

1. How can an agency examine what its personnel needs are?

How can these needs be substantiated or documented?

2. How can an agency validly determine and define the jobs

required to achieve missions, goals, and objectives?

How can it determine whether job descriptions validly

reflect the nature of work currently done in the agency?

3. How can an agency assess its current employees? How

can it determine what kinds of employees should be hired (prior experience, education, training, skills, etc.)? How can employment qualifications be identified and substantiated or validated?

4. How can an agency assess its key personnel practices

(for example, recruiting, selecting, training, and assigning personnel? What are the effects of these personnel practices on the agency's ability to maintain a stable supply of qualified personnel to fill the agency's jobs? What effects do current personnel practices have on employees' morale, employees' performance, and employees' attitudes?

5. How can an agency go about identifying and diagnosing personnel-related problems? What kinds of personnel

- problems confront the agency? What are the causes of these problems? What kinds of effects do these problems have on agency productivity (efficiency and effectiveness)?
6. What kinds of analytical techniques are available to agency managers and planners who wish to diagnose not only existing personnel problems but also want to anticipate future personnel problems?
 7. How can an agency go about identifying the major constraints posed by budget and outside decision makers that circumscribe the agency's ability to acquire needed personnel? How can an agency go about determining whether any of these constraints are manipulable--removing them as constraints in acquiring and assigning needed personnel?

The Handbook variously deals with these and other prime questions facing administrators charged with managing personnel. However, the Handbook is not prescriptive in the sense that specific solutions are prescribed for specific kinds of human-resource problems facing the agency. For important reasons that are pointed out in Volume I and in the first part of Volume II, the choice of a solution to any given personnel problem is properly the responsibility of agency management. Identifying viable solutions for problems such as turnover, or insufficient staffing, or poor employee performance must be done by management working within the constraints faced by the agency.

Nonetheless, the Handbook, its techniques for problem diagnosis, and its explanations of other human-resource planning techniques, can help point personnel administrators and planners toward discovering a range of viable solutions for agency personnel problems.

Development of the planning handbook was supported with funds from the U.S. Department of Justice (LEAA) and was conducted in two phases. Phase I assessed criminal justice agencies' current capability and need of human-resource planning. Phase II, building on this assessment, focused on the development of an extensive handbook that would assist criminal justice agencies more fully to implement and to utilize human-resource planning techniques.

THE HANDBOOK

The Handbook is presented in three volumes (bound in eight parts for convenience in handling and use). A comprehensive index to the contents of these three volumes follows the executive summary. Used in conjunction with the index, the Handbook has been designed to allow managers and planners to choose those portions that are of most interest or are most needed.

VOLUME I of the Handbook provides an introduction to human-resource planning in agencies--what it is, how it is carried out, and how it can help the agency manager. The material in this volume is written to be of interest alike to agency top management, to agency personnel administrators, and to agency planners. One principal objective of Volume I is for managers and planners to acquire a common overview about the definition, purposes, and uses of human-resource

planning in agencies. When managers and planners do not share such a basic understanding, planning tends not to be fully or appropriately utilized.

VOLUME II is bound in four parts and presents a means for comprehensively identifying and diagnosing personnel problems. It is designed to be of primary interest to agency personnel administrators and planners. Problem diagnosis is a very crucial and very practical part of human-resource planning. It is crucial because without good diagnosis, solutions to personnel problems cannot be adequately planned. It is practical because it focuses on what every manager spends most of his or her time doing--identifying and dealing with conditions that negatively affect the agency's ability to meet its goals and objectives.

Practical tools are presented to help personnel administrators and planners conduct two types of diagnoses. The first type is an overall assessment of agency human resources--a general stocktaking whereby the agency takes an overall look at its organizational climate, its personnel practices, and its ability to acquire, to develop, and to employ personnel. Three ready-for-use diagnostic surveys are provided with directions: 1. an Organizational Climate Survey, 2. a Personnel Practices Survey, and 3. an Environmental Factors Questionnaire.

Analysis of results from administering these surveys will provide administrators with an overview of the agency's strengths and weaknesses regarding its personnel processes and its ability to identify and to deal with internal and external factors that affect its acquisition and use of personnel. This becomes essential background information for

later attempts to identify and to solve specific personnel-related problems.

The second type of diagnostic tool presented is a step-by-step procedure that can be followed to diagnose specific personnel problems more pointedly. For example, the agency may have identified turnover, or an inability to attract qualified personnel, or poor performance by employees as problems needing special attention. Comprehensive diagnoses of the causes and effects of problems such as these is crucial if effective solutions to them are to be found. The diagnostic model provided offers a way of marshalling key agency thinkers and key information for diagnosing problems and for eventually finding solutions.

VOLUME III is bound in two parts and is a resource guide intended primarily for use by agency personnel administrators and planners engaged in the more technical aspects of personnel administration and human-resource planning. Techniques such as job analysis, forecasting, selection validation, performance measurement (to name a few) are discussed. A common format is used throughout in presenting these techniques. First, the nature of the techniques and its prime uses are presented. This is followed by a consideration of the major technical and other supports required if the technique is to be used. Special attention is paid to factors that will limit an agency's ability to use a given technique, and alternatives are presented for these situations.

BASIC DESIGN-FEATURES OF THE HANDBOOK

A COMPREHENSIVE INDEX: Few users will have the time or the need to use all the material in these volumes and do everything that is recommended. A comprehensive index or catalogue of materials to be found in all of the volumes is provided. Agency administrators and planners may use this index or menu-system as a means of quickly finding the portions of the Handbook that will be of most help.

SELF-ADMINISTRATION: The materials have been written to optimize self-administration and self-learning, and to minimize the need for outside help. For example, the diagnostic surveys found in Volume II have been designed for administration and analysis in house. Of course, some concepts or techniques will remain difficult to grasp and will require additional reading or the use of consultants. For example, job analysis techniques discussed in Volume III are very complex and are generally out of the reach of most agencies to apply themselves without the help of outside experts. Nonetheless, the objective has been to maximize as much as possible an agency's ability to do human-resource planning using in-house resources.

PROBLEM-FOCUSED APPROACH TO PLANNING: With the exception of some of the sections of Volume I where many of the general concepts and ideas about human-resource planning are discussed, the Handbook is designed to help managers and planners identify and diagnose concrete personnel problems (e.g., turnover, poor employee performance, inability to attract qualified personnel, EEO and Affirmative Action suits, and so forth). The emphasis, therefore, is on dealing with specific problems

as opposed to discussing human-resource planning from a conceptual point of view alone.

VARYING LEVELS OF "BUY-IN": Agencies differ in their need for and their ability to undertake human-resource planning. Agency size, environmental constraints, money, technical expertise, and the nature of human-resource problems confronted by an agency all affect the level of planning needed and possible. Where possible, Handbook materials have been written to provide alternative levels and options in the use of planning-related analytical techniques. Thus, there are options presented--different levels and kinds of analytical activities possible. Managers and planners are free to buy in at the level deemed most feasible and valuable.

OUTSIDE CONSULTANTS: The handbook material, besides helping agencies become more informed about what can be done in-house, helps identify conditions under which outside help is needed, what should be expected of this outside help, and whom or what to look for. One central purpose has been to provide agencies with the information necessary to become more intelligent and critical consumers of work done by outside consultants. Sometimes, agencies have not been able to sufficiently direct consultants about what is needed or wanted. This has frequently been the case, for example, when agencies sought outside help in validating selection and promotional practices, or when conducting job analyses.

WHAT IS HUMAN-RESOURCE PLANNING?

In the most general terms possible, human-resource planning is the process of determining what an agency needs to do to ensure that it has the right number and kinds of people doing the right jobs, and doing those jobs well. To accomplish this, human-resource planning is composed of two distinct yet related activities. The first activity is called WORK FORCE PLANNING, while the second is labeled STAFFING-NEEDS PLANNING.

Workforce planning analyzes the agency's need for personnel--how many and what types of people. It also analyzes the required missions of the agency, determining the kinds of jobs that need to be done, and what qualifications people who hold these jobs need. Workforce planning is crucial, for without it agency management has little firm basis on which to justify the number and kinds of personnel hired or how they are hired, assigned, and employed.

Staffing-needs planning focuses on the various personnel administrative actions involved in acquiring, developing, and assigning agency personnel. The processes and policies associated with personnel administration (e.g., recruitment, selection, training, assignment, job design, compensation, and so forth) are closely tied to human-resource planning because personnel administrative actions put human-resource plans into operation. Just as there is a need to determine what kinds and how many people are needed (workforce planning), there is a need to determine and to plan the personnel actions required to acquire, to develop, and to employ personnel (staffing-needs planning).

Human-resource planning encourages and helps direct agency managers to take a "comprehensive" approach to personnel management and to the diagnosis of personnel problems. Factors affecting the need for and the availability of agency personnel are highly inter-related. So, too, the numerous steps in the personnel administrative process are interrelated and interdependent. Human-resource planning techniques help managers and personnel administrators to consider these factors in a more interrelated and systematic way.

WHY ENGAGE IN HUMAN-RESOURCE PLANNING?

Anticipating future requirements for manpower in the agency and forecasting future supplies of manpower are crucial to effective personnel management. Likewise, crime trends, budget forecasts, trends in the economy, population trends and the like greatly affect the need for personnel, and they also influence the availability of personnel. Thus, knowledge of current environmental conditions and impending changes in these conditions is vital to planning agency personnel policy. Current agency personnel policies in the areas of recruitment, selection, training, and so forth, produce certain kinds of results today that may or may not be appropriate or satisfactory in the future. Knowledge of both current results and likely future results produced by agency personnel administrative practice is, thus, also important. Planning-related analytical techniques provide the agency manager with powerful tools not only to analyze present conditions and effects, but also to anticipate future conditions and effects.

Besides making forecasts, human-resource planning also focuses on diagnosing personnel problems. A problem of poor agency performance or inadequate performance occasioned by insufficient, unqualified, or poorly utilized personnel requires agency managers first to diagnose the nature of and causes of the problem, and then to plan solutions. Several planning-related analytical techniques can help the manager in both of these endeavors. Additionally, human-resource planning not only helps to diagnose current personnel problems, but also to anticipate the emergence of personnel problems.

The kinds of personnel problems that will arise in an agency are numerous, and the combination of problems nearly infinite. So too, the causes of personnel problems will vary greatly from organization to organization. When we speak of personnel problems, we include conditions such as high turnover, poor employee performance, insufficient personnel, unqualified personnel, poorly trained employees, charges of discrimination in hiring and promotion, inability to attract qualified job applicants, constraints in assigning, reassigning, and promoting employees, and so forth. The numerous analytical techniques and tools described in the Handbook provide a basis for diagnosing the nature and causes of such problems and help identify and weigh potential solutions to them.

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VOLUME II, PART 2, SECTION C
ENVIRONMENTAL
FACTORS QUESTIONNAIRE

GENERAL CONSIDERATIONS AND CRITICAL ISSUES

Criminal justice organizations, like their counterparts in the public and private sectors, are greatly affected by circumstances or factors external to the agency (by their environments). Environmental conditions such as the state of the economy, social conditions, technological developments that may facilitate or hinder the performance of the agency, and political and public ideology may all affect how the agency defines and pursues its goals and objectives.

In the field of manpower planning, such factors as the availability of labor in a given jurisdiction and the competition between agencies for that labor may directly affect the acquisition of criminal justice manpower. Other environmental factors such as public demands for particular kinds of service may affect how manpower is used by the agency. The state of the economy and budgets affect both the numbers and kinds of people that the agency will be able to hire.

The sections to follow in this questionnaire identify five areas for examination in assessing criminal justice manpower planning as affected by organizational environments. The first section examines your agency's general activities to monitor the environment and your agency's awareness of external constraints imposed on it. The second section examines special environment-monitoring activities and contact with agencies that may pose a contingent restriction on

agency performance. The third and fourth sections examine the network of formal relationships and general relationships between your agency and its environment, including qualitative assessments of these relationships. Finally, section five examines agency perceptions of environmental support, competition, and strain. Each of these five areas is briefly defined and discussed below.

SECTION 1: GENERAL ENVIRONMENTAL MONITORING AND AWARENESS

All organizations face certain fixed factors in their environment that have the potential for influencing organizational actions especially the acquisition and use of human resources. These fixed and known factors (called constraints) might include laws in the jurisdiction that outline organizational responsibilities, or such factors might include the routine relationships between decision makers--for example, the mayor, county commissioner, or governor--and your agency. These factors are known by the organization and, thus, are predictable for some time period. Besides these fixed and known factors, organizations also confront uncertainty imposed by the environment and by factors less predictable (called contingencies). Such factors as public opinion, fiscal problems in the jurisdiction, or changes in support for the agency by policymakers all have the potential for influencing organizational behavior and may be less predictable.

The series of questions in Section 1 begins to identify the level of effort your agency spends in monitoring the environment. Environmental monitoring can be approached from a number of vantage

points. As the questions in the section indicate, we are particularly interested in two things: who monitors your agency, and your agency's environment-monitoring activities. The first question is approached by asking for your identification of agencies that receive reports from your agency and the extent of monitoring you believe they undertake. The second is approached by a series of questions about whom your agency monitors, how this monitoring is done, and whether your agency has formalized its monitoring activities.

SECTION 2: SPECIAL ENVIRONMENTAL MONITORING

In the first section we ask questions about the general pattern of your agency's monitoring of the environment. In the second section, we examine the question of environmental monitoring in more detail. The first two questions focus on two important environmental constraints to public agency decision making: unions and civil service. The second series of questions asks for your identification of patterns of information exchange--specifically whom (which agencies and actors) you regularly provide information to, and whom you regularly receive information from.

Also in this line of inquiry, we ask you to rate the quality of the information received. This special environmental section also requests that you identify the environmental sources of influence affecting the allocation and use of positions in your agency. Lastly, this section assesses how much your organization is monitoring circumstances outside of your immediate jurisdiction but within your criminal justice area. In this regard, we are concerned that you

identify how your organization relates to professional associations and how much you formally review information from these sources.

SECTION 3: FORMAL RELATIONSHIPS

All organizations are engaged in formal relationships with individuals and other organizations in the environment. Of particular interest in this regard is how much these actors either have or share with your agency the decision-making responsibility for various agency practices and policies related to manpower planning and personnel administration.

Also of concern is how much your agency has developed formal boundary-spanning roles in the environment. In boundary-spanning roles, organizational personnel are formally charged to interact with a particular aspect of the environment. For example, in policing, a boundary-spanning role might be that of a court liaison officer; in corrections, the role might be that of liaison with the parole board. Such measurements provide us with an indication of the network of formal relationships your organization finds itself in and how far these relationships are binding on your decisions.

SECTION 4: GENERAL AGENCY RELATIONSHIPS

Beyond identifying the formal relationships between the agency and externals, it is often important to consider the general climate of environmental relationships. The intent of this section of the questionnaire is to examine such relationships. To begin with, we ask you to identify the number of positions in your agency and the

funding source for such positions. This question is followed by one about whether or not your agency has a formal document for long-range planning. These two questions are followed by a series of questions about your assessments of the sources of important manpower-planning information for your agency, and the nature, quality and direction of interaction between your agency and various individuals or organizations in your environment. Such assessment defines the direction of interaction with the environment, the importance of this interaction, and the quality of this interaction. This information is vital in understanding the quality of the environmental climate that confronts your agency.

SECTION 5: ENVIRONMENTAL SUPPORT, COMPETITION, AND STRAIN

How much your agency labels others as sources of support, competition, and strain, and how much support, competition, and strain are believed to exist, may color relationships between your agency and others. These beliefs may also influence the development of organizational strategies for coping with the environment. This series of questions asks you to identify the sources of competition, support, or strain in your agency's environment. How much competition for similar employees there is, how competitive salaries are, and what competition for scarce resources there is are the focus of this section.

ENVIRONMENTAL SURVEY: ADMINISTRATION AND ANALYSIS

The sections of the Environmental Survey, identified above, examine the effects of various aspects of your agency's environment on human-resource planning. Section 2 focuses on tracing out the general nature of your agency's environment and the patterns of information your agency distributes and receives.

The second section of the Environmental Survey focuses more specifically on the nature of interaction between your agency and other agencies, individuals, or organizations in the environment. This section asks for your assessment of the specific constraints on human-resource planning posed by unions, civil service, or personnel agencies, and a list of others who might be assessed as influential in determining the number of positions allocated to your agency or how those positions, once assigned, are used. Furthermore, this section asks you to identify your regular patterns of interaction with those in the environment.

The third section of the Environmental Survey examines formal relationships between your agency and those in the environment. Here we are particularly concerned with the identification of decision makers in your agency's environment that either share or retain decision-making authority for aspects of your agency's human-resource activities. This section also asks you to identify who in your agency (individual or organizational unit) is responsible for various human resource planning activities. Such information allows you to identify the locus of authority for such activities and to compare

that locus of authority with other decision makers in the environment that also influence or retain some authority for human-resource decisions affecting your agency. Answers to these questions afford you a description of boundary-spanning assignments and how much your agency has formally charged others with responsibility to monitor aspects of the environment that affect human resources in the agency.

The final section of the survey returns to a more general level of analysis of relations with the environment. However, this section asks questions more related to levels of competition, support, and strain in the environment, while the first section identified the network of exchange in which your agency is involved.

Collectively, the surveys grouped in the environmental questionnaire represent an assessment of where your agency stands within its environment, who the important and critical decision makers are in that environment, what your agency does to inform those decision makers, and whether or not your agency actively seeks to influence and to monitor the environment or, rather, responds to environmental pressure.

COMPLETING THE SURVEY

Before considering the implications of the foregoing statements, it is important to consider who in your agency will complete the environmental survey, what the responses represent, and how they are to be interpreted individually and collectively.

With respect to the question of who completes the survey, it is intended that a very few, senior-ranking individuals within your

agency complete the entire environmental survey. The questionnaire is not meant to be completed by everyone or even a large number of people. Rather, the questionnaire should be completed by the chief executive and his or her immediate staff (including major division or departmental heads). The environmental survey is an administrative assessment of the agency's complex environment, not a line or work-force assessment. The policymaking individuals in your organization are intended as the primary respondents for the environmental survey. This having been said, it is also important to recognize that the environmental questionnaire will produce different information depending on whom in the organization you ask to complete it. Therefore, the survey should not be restricted to the chief executive only, for example. Instead it should be an administrative group effort.

Whether roles for monitoring the environment are formally assigned or not, in most organizations there are people who interact with various parts of the environment more or less regularly. These people should, obviously, be identified and consulted when the survey is to be filled out. In fact, the chief administrator might want to fill out Question 15 of the survey first, thereby identifying others in the organization who would assist in the completion of the rest of the items. In any event an administrative group effort in completing the survey is essential.

ACCURACY AND OBJECTIVITY

The primary reason for the group effort is related to the fact that many of the items in the Environmental Survey ask for an

evaluation of relationships with external agencies, organizations, and individuals. These evaluations represent the impressions, opinions, and attitudes of those completing the survey. And such perceptions are necessarily incomplete. What is important to remember is that a single or very limited set of perceptions has a greater chance of reflecting individual distortions, while a larger set of assessments tends to compensate for the error of any one source. For this reason, a group effort is likely to enhance the reliability and validity of the exercise. Also related to the idea that the information in this section rests largely on the perceptions of individuals is the issue of whether this information accurately depicts "reality" or the "objective situation" of the agency.

The question of objectivity is hard to address in a survey of this type. The fundamental question is whether objectivity exists outside of the meanings that we as individuals attach to events. That is, one school of thought argues that objective reality is independent of how we perceive it; another argues that what is is only what we perceive. In the course of examining the "objective" environment of your agency, both of these perspectives are important to consider.

First, there are independently objective "facts" about the relationships between your agency and those in the environment. Information requested in the environmental survey--for example, about the number and type of reports your agency receives from and sends to others--is quantifiable and measurable. Who has the official

authority to make certain decisions, who is officially charged with overseeing and monitoring the environment and who or what agencies compete with your agency for labor, can be determined on the basis of factual information. And, when these types of questions are being announced in the survey, it is recommended that facts and not perceptions provide the basis for your responses.

In contrast to the "objective" information required for some of the items in the Environmental Survey, the answers to certain questions, as previously mentioned, require perceptions of relationships. And, as we have said, when such perceptions are the basis of assessment, having a (comparatively) larger number of people completing the survey items may help reduce error. But perceptions are important to capture in this survey as well. It is perhaps the ultimate truism that we all act according to the "facts" as we perceive them. The administrator who actually believes that his or her agency is in a conflict with another agency is likely to act differently from the administrator who believes that relations are supportive and cooperative. For this reason, it is important to assess the core administrator's perceptions of relations with others outside the agency. And where agreement on these perceptions result in classifying an individual, agency, or organization as "cooperative" or "hostile," the next question should be why: the agency administrative staff should extend their perceptions to inquiring about the reasons for such support or conflict.

As for the administration of the Environmental Survey, it is generally better for the survey to be completed by the administrative

staff independently of one another, followed with a group session to go over the results. With such a method, individuals will have more time to think about the questions themselves and will be less constrained by group dynamics in answering the questions. At the time of the group meeting, areas of agreement can be quickly identified and the group can look into areas of disagreement.

REGULARLY ADMINISTER THE ENVIRONMENTAL SURVEY

It is crucial to note that agencies face dynamic environments, not static ones. The environmental survey will produce information that is highly time bound. That is, the information collected relates to the perceptions and facts about the environment for a limited time. Competitors and supporters can, and often do, change roles as time goes on. At one time you might have an intense relationship with a particular agency, only to dissolve it as quickly as it started. For this reason, we argue that the environmental survey, or particular portions of it, be used at regular intervals as part of the normal planning and monitoring process. In the survey, used as an administrative tool to consider and to predict change in the environment, the agency administrator has an active method for analyzing organizational change in a dynamic and often frustrating environment.

ANALYSIS ACROSS CATEGORIES

The thirty-four questions in the environmental survey can be examined in relation to each other. To do so requires that we redefine the five broad sections in the survey into nine separate, yet

related, categories. They are: (1) the general nature of the environment, (2) political interactions, (3) environmental climate, (4) agency influence, (5) experience with interaction in the environment, (6) anticipation, (7) agency monitoring responsibility, (8) decision-making authority, and (9) sources and knowledge of competition. Each of these categories is briefly considered below.

THE GENERAL NATURE OF THE ENVIRONMENT

The general nature of the environment confronting any agency involves the identification of patterns of interaction, negotiation, and exchange. Five survey items (1, 2, 3, 7, and 8) focus attention on this general pattern of interaction. As can be seen from a review of these questions, they primarily focus on issues of interaction based on mutual monitoring and the regular exchange of information. Such a patterning will identify the channels of exchange your agency currently confronts, the amount of information other agencies, organizations, or individuals who are part of these channels have about your agency, and the amount of information your agency has about those in the environment. All this will provide a baseline of information about your knowledge of others and their knowledge of your agency.

POLITICAL INTERACTIONS

Political interactions refer to the exchange between your agency and others that involves the influence of others in the affairs of your agency. These interactions tend to persist, yet many are not

formalized. As was the case in identifying the sources of information your agency has (above), the monitoring of political influence is of equal importance in establishing the nature of the environment. Questions 5, 6, 9, and 10 ask you to identify sources of influence in the policy and decision making of your agency. Some of these influences are formal, e.g., the jurisdiction's chief executive, or formal labor agreements. But others are less formal, such as powerful lobbies, or businesses. All of these interactions and their potential influence in your agency's ability to acquire positions, or to defend position reductions, as well as the actual use of positions, are important to consider.

ENVIRONMENTAL CLIMATE

While the first two issues addressed above seek to identify the sources of information and the actors in your environment, another equally important concern, that of the climate confronted, needs to be assessed. Simply knowing what information and what actors tells us nothing about the quality of the interactions. Questions 17, 20, and 21 approach the issue of environmental quality by asking for assessments of the nature of interactions (Question 17), the frequency and intensity of interaction (Question 20), and who initiates the interaction (Question 21). Together, these three questions provide for an assessment of the agency climate. This climate might be described as one in which your agency has little cooperation, has infrequent and low intensity in relations, and is at the mercy of other organizations to initiate action. On the other hand your

agency might be responsible for maintaining high interaction, with intense and frequent and cooperative relations.

EXPERIENCE IN ACTUAL INTERACTION

The issue of experience is generally first raised when considering things in the "real" world. And your agency's past experiences in acquiring and losing positions is important for you to document. Also important to think about are the reasons (as best you can determine them) why your agency received or lost positions. Questions 22, 23, and 26 ask you to determine your agency's past experience in acquiring and losing positions and then to assess the relative importance of various factors as they affected positions within your agency.

ANTICIPATION

Related to the above issue, anticipation refers to the ability of your agency to predict, especially about forces that might affect position allocation and use. Questions 12, 18, 19, 25, 28, and 34 in one way or another focus attention on the issue of anticipation. Questions 12, 18, and 19 approach the issue of anticipation from the perspective of your agency's current capability of maintaining contact with national and regional organizations that are likely to provide information about broad changes that might affect your agency in the future (e.g., new technological developments). These same questions ask you to assess their importance as sources of information, standards or advice. Such information provides you with

a rough estimate of how much your agency can examine the future with the aid of others outside the organization. Anticipation is also approached in Questions 25 and 28 from the perspective of your agency's past experience with positions. The gauge of whether your agency can, in fact, anticipate change is how well you have done so in the past. Finally, Question 34 approaches the issue of anticipation from a slightly different perspective. In this question we ask for an assessment of why others might do better in acquiring resources and support than your agencies. To the extent that your agency can predict there being such reasons, this information might provide a basis for strengthening or altering environmental relations.

AGENCY MONITORING RESPONSIBILITY

Moving from a consideration of the agency's environment itself, Questions 4, 11, 13, and 15 ask you to identify the official responsibility chain within your agency for monitoring and analyzing the environment. Such a delineation of responsibility is important to consider for at least two reasons. First, the explication of responsibility ensures that your agency is monitoring, or at least in the position to monitor, the environment. Secondly, and of more importance, is your ability to develop a picture of how (what manner?) and under what form of review (who does it?) environmental monitoring takes place. Such a picture of current capability may point out areas of strength and weakness, facilitating your agency's adaptation to the dynamics of the environment.

AUTHORITY FOR DECISIONS

Related to our previous consideration is the identification of the locus of authority for decisions within your agency. Questions 14 and 16 identify this authority and ask you to determine whether your agency retains sole control over certain decisions, whether decisions are shared, or whether decisions affecting human resources are made primarily outside of your agency. Such an identification, obviously, localizes responsibility for the various decisions made, and provides you with a picture of authority in conducting your agency's affairs. Question 16 adds to this authority picture by identifying the sources of funding for the positions in your agency. Obviously, where there are several sources the authority for decisions may be more diffuse.

SOURCES AND KNOWLEDGE OF COMPETITION

Questions 29 through 33 focus attention on two issues--your knowledge of external competition for resources (including human resources) in your agency, and implicitly the sources of that knowledge. In Questions 29 through 31, attention is focused on identifying your agency's competitiveness vis-a-vis other organizations for labor. Competition for entry-level persons is addressed in Question 29 and 30, and for experienced workers in Question 31. In Questions 32 and 33 we expand on our consideration of competitiveness by exploring competition for resources other than personnel. While it is recognized that criminal justice agencies are labor intensive (criminal justice agencies spot from 75 to 90 percent of their annual budgets

for personnel), it is also important to consider ability to attract money for other purposes as well. Question 33 is particularly relevant in this regard, for it calls for an assessment of your agency's ability directly to compete for money with other agencies in your jurisdiction.

Collectively, the questions asked in the Environmental Survey draw attention to the dynamics of organizational environments and the influence they exert on criminal justice agencies, particularly in human-resource planning and management. Agency ability to understand, to predict, and thus to reduce, environmental uncertainty contributes to an organization's being well managed. The information gained from the environmental survey will help improve your agency's ability to understand and to interact with others outside of your immediate administrative control.

SECTION 1: GENERAL ENVIRONMENT MONITORING AND AWARENESS

NARRATIVE

Collectively, the questions comprising this section focus attention on four interrelated questions: Who monitors your agency? Who is monitored by your agency? What environmental information, in the form of agency reports, is regularly received and evaluated by your agency? And how (by what method, if any) does your agency monitor specific kinds of environmental information? These four questions begin to establish a description of the ways and paths of interaction by which your agency monitors the environment.

Monitoring the environment means that the agency consciously surveys the environment to determine possible changes in existing conditions that may affect agency operations, manpower acquisition or use, or other related agency concerns (e.g., the definition of agency missions and goals). This first section is primarily concerned with the agency's routinized processes for exchanging information with the environment, and with how formal are the agency's environment-monitoring practices.

Question 1 in the survey examines how your agency relates to the environment by providing information and being reviewed by external sources. Two questions are actually implied in this area: first, who outside your organization is monitoring your agency; and, second, how much of this monitoring is there? The information you provide here allows you to determine who (which agency or group) is likely

to have an understanding of exactly what it is your agency does or does not do. By establishing this, you may begin to ask yourself whether the agencies or groups that, in your estimation, pose the greatest problems to your agency are fully informed about your agency. Such an assessment may lead you to increase your dissemination of agency reports and materials to those in the environment you assess as underinformed or ill-informed.

Question 2 asks for your determination of how your agency monitors the environment. The answers you provide give you some estimate of how actively your agency solicits information from environmental groups that might affect agency operations. The question also asks you for the method (formal to informal) of monitoring the various concerns in the environment. Taken together Questions 1 and 2 provide you with a picture of information exchange between your agency and various organizations, groups, and individuals in the environment. This picture can help you to identify whom you regularly send information to and whom you regularly receive information from. Such relationships when examined jointly may suggest some actors you regularly report to but receive little information from. Such gaps in information exchange may indicate potential sources of information loss between your agency and critical actors in the environment.

Following up on Questions 1 and 2, Question 3 in this section asks you to identify the regular receipt of various types of reports from agencies, organizations, and groups in your jurisdiction. These reports are viewed as important sources of information about environmental constraints and contingencies, and may indicate areas where

your agency might not receive information relevant to environmental change. For example, such documents as annual reports of other agencies in your jurisdiction may tell you about their intended missions and how far they accomplish their purposes. Similarly, proposed changes in city, county, or state ordinances or laws may profoundly affect how your agency accomplishes its objectives. The regular review of such information provides your agency with the opportunity to anticipate changes in the environment that you believe might affect agency operations, including those affecting manpower issues.

The final question in this section, Question 4, asks how your agency monitors various aspects of the environment. Of particular concern here is whether your methods of monitoring rely on informal channels--for example, on what is assumed to be general knowledge (informal means)--or on formalized monitoring channels, called boundary-spanning roles. Although it cannot be said definitively, it has been argued that formal roles facilitate the organization's attempts to monitor the environment. Informal roles tend to be individual-specific, relying on the personalities of the various people involved, and information collected through such media is likely to be influenced by individual distortion. Furthermore, as is evident from the various types of information monitored, some items may be more crucial to the agency than are others. For example, monitoring of information on changes in technology might be left informal and nonroutine, whereas monitoring of economic conditions is likely to be more formalized and routine.

1. Outside of your own agency, which of the following individuals, groups, or organizations are likely to monitor your agency by regularly reviewing agency reports and information, and what is the extent of their monitoring efforts?

Individual, Group, or Organization	Regularly Review Agency Reports and Records	Periodically Review Reports	Very Rarely Review	Never Review	Don't Know
Jurisdiction's chief executive (e.g., governor, county administra- tor, mayor)	_____	_____	_____	_____	_____
Legislature, city council, or county board	_____	_____	_____	_____	_____
Legislative subcommittee	_____	_____	_____	_____	_____
Other criminal justice agencies in the same jurisdiction	_____	_____	_____	_____	_____
Criminal justice agencies outside of the jurisdic- tion	_____	_____	_____	_____	_____
Other non-criminal justice agencies within the juris- diction	_____	_____	_____	_____	_____
Other non-criminal justice agencies outside the juris- diction	_____	_____	_____	_____	_____
Government budget officials	_____	_____	_____	_____	_____
Civil service agency	_____	_____	_____	_____	_____
Local political figures	_____	_____	_____	_____	_____
Judicial authorities	_____	_____	_____	_____	_____
Media	_____	_____	_____	_____	_____

1. (continued)

Individual, Group, or Organization	Regularly Review Agency Reports and Records	Periodically Review Reports	Very Rarely Review	Never Review	Don't Know
General public	_____	_____	_____	_____	_____
Civic groups	_____	_____	_____	_____	_____
Influential community members	_____	_____	_____	_____	_____
Labor unions	_____	_____	_____	_____	_____
Business organizations (e.g., chambers of commerce)	_____	_____	_____	_____	_____
Lobby organization	_____	_____	_____	_____	_____
Other (specify)	_____	_____	_____	_____	_____

2. Which of the following individuals, groups, or organizations are monitored by your agency, and what is the method of monitoring?

Individual, Group, or Organization	Regularly Request and Review Agency Reports	Informal Com- munication with Agency Personnel on a Regular Basis	Informal Communication with Agency Personnel on an Occasional Basis	Rarely Monitor, Review only when there are Special Circumstances	Never Monitor	Don't Know
Chief executive	_____	_____	_____	_____	_____	_____
Legislature	_____	_____	_____	_____	_____	_____
Legislative subcommittee	_____	_____	_____	_____	_____	_____
Other CJ agencies in the same jurisdiction	_____	_____	_____	_____	_____	_____
Other CJ agencies outside the jurisdiction	_____	_____	_____	_____	_____	_____
Other non-CJ agencies in the same jurisdiction	_____	_____	_____	_____	_____	_____
Other non-CJ agencies outside jurisdiction	_____	_____	_____	_____	_____	_____
Government budget officials	_____	_____	_____	_____	_____	_____
Civil service commissions	_____	_____	_____	_____	_____	_____
Local political figures	_____	_____	_____	_____	_____	_____

2. (continued)

Individual, Group, or Organization	Regularly Request and Review Agency Reports	Informal Com- munication with Agency Personnel on a Regular Basis	Informal Communication with Agency Personnel on an Occasional Basis	Rarely Monitor, Review only when there are Special Circumstances	Never Monitor	Don't Know
Judicial authorities	_____	_____	_____	_____	_____	_____
Media	_____	_____	_____	_____	_____	_____
General public	_____	_____	_____	_____	_____	_____
Civic groups	_____	_____	_____	_____	_____	_____
Influential com- munity members	_____	_____	_____	_____	_____	_____
Labor unions	_____	_____	_____	_____	_____	_____
Business organi- zations	_____	_____	_____	_____	_____	_____
Lobby Organiza- tions	_____	_____	_____	_____	_____	_____
Other (specify)	_____	_____	_____	_____	_____	_____

3. Of the following types of governmental reports in your jurisdiction, please indicate which your agency regularly receives.

	Regularly Receives	Occasion- ally Receives	Does Not Receive	Unknown
Financial and fiscal re- ports of the jurisdiction	_____	_____	_____	_____
Financial and fiscal re- ports of other agencies in the jurisdiction	_____	_____	_____	_____
Proposed policy changes	_____	_____	_____	_____
Long-range plans	_____	_____	_____	_____
Proposed legislation	_____	_____	_____	_____
Annual reports	_____	_____	_____	_____
Annual reports of other agencies	_____	_____	_____	_____
Census data from jurisdiction	_____	_____	_____	_____
Employment/unemployment data from jurisdiction	_____	_____	_____	_____
Legal decisions in juris- diction that affect agency management (e.g., civil liability, con- tract negotiation)	_____	_____	_____	_____
Proposed civil service changes	_____	_____	_____	_____
Tax projections	_____	_____	_____	_____
Business climate reports	_____	_____	_____	_____
Proposed civic referendum	_____	_____	_____	_____
Proposed zoning regulations	_____	_____	_____	_____
Changes in city, county, or state law affecting the enforcement of law or ordinance	_____	_____	_____	_____
Changes in jurisdiction's charter	_____	_____	_____	_____
Other (specify) _____	_____	_____	_____	_____

4. How does your agency monitor changes in the following factors that might influence agency operations?
- (1) Not monitored.
 - (2) Monitored on the basis of the general knowledge of the members of your organization.
 - (3) Monitored by informal information sharing between agencies.
 - (4) Monitored by formal information sharing between agencies where contact personnel in your agency and other agencies are identifiable.
-
- A. Changes in economic conditions (e.g., economic forecasts).
 - B. Changes in the jurisdiction's tax revenue projections or fiscal policy, and changes in agency budgets throughout the jurisdiction.
 - C. Changes in population demographics (i.e., changes in service clientele).
 - D. Monitoring of community attitudes to and beliefs about your agency.
 - E. Recent development in technology applicable to your agency (e.g., developments in the communications or computer industry).
 - F. Changes in political climate or the monitoring of specific political leaders.
 - G. Changes in the business climate, including employment projections for competitors for entry-level personnel.
 - H. Changes in legal rulings that may affect agency operations.
 - I. Changes in educational or training policies that may affect entry-level personnel.
 - J. Changes in civil service requirements affecting the personnel process.
 - K. Changes in the attitudes and beliefs of your agency's personnel (e.g., job satisfaction, morale, commitment to work).

SECTION 2: SPECIAL ENVIRONMENT MONITORING

NARRATIVE

In the first section of this questionnaire we examined the general relations between your organization and others in the external environment. We asked you to identify your regular reporting practices, how and from whom information was regularly collected and the method of monitoring information. In this section these general relationships are considered in specific agency interactions.

Questions 5 and 6 ask for your assessments of how much constraint unions and civil service commissions put on various aspects of manpower and personnel practices in your agency. The answer sets require that you assess not only current conditions (constraints) but future conditions not yet realized (contingencies). In making the former statements, you can no doubt rely on existing union contracts or legislation enabling the civil service commission to exercise jurisdiction over your agency. But in assessing the changes likely in these practices for the future, you need to consider the information this conclusion is based on.

This information base is explored in Questions 7 and 8, which ask you to identify the agencies to which you regularly report agency operations data (e.g., work load and personnel use), or from which you regularly receive information germane to the acquisition or use of personnel. These two questions differ from those asked in the first section in that they ask for information exchange about manpower

acquisition and use whereas the former questions asked for general information exchange. Often the agencies regularly monitoring your agency might do so for other than manpower purposes, e.g., the fiscal monitoring of agency accounts.

Extending the identification of information exchange between your agency and the environment is a consideration of the importance of this exchange for personnel acquisition (position allocation) and use (position assignment). Questions 9 and 10 ask you to identify the importance your agency attaches to organizations, groups, and individuals as they potentially affect decisions about the authorization and use of positions. In Question 9, the various identified sources are evaluated on the basis of influence in decisions about the number of positions allocated to your agency; in Question 10, the issue is influence in how these positions are used. What is important to remember about these four questions (Questions 7 through 10) is the degree of congruence between responses. For example, what you should be concerned with is whether those actors you identify as being influential in decisions about position allocation and use (Questions 9 and 10) are the same actors your agency is regularly exchanging information with about the acquisition and use of positions. If you identify individuals, groups, or organizations you feel are important or crucial in influencing these decisions and you yet also indicate that your organization rarely exchanges information with these same individuals, groups, or organizations, there is a potential source of environmental strain. Similarly, yet less obviously, if you find

that actors in your environment are deeply involved in exchanging information with your agency yet still seem unable to understand your agency's activities, goals, or objectives and the like, then you must shift your concern to how the information you receive and exchange with others is evaluated, and the quality of the interactions and information.

In considering how the information you receive is analyzed, Question 11 asks for an assessment of the frequency of analysis undertaken by your agency in examining environmental factors that might affect your agency's ability to acquire and to use personnel. In this question, we are again concerned with the regularity and the formalization of information analysis. In this regard we recognize that an agency might receive a great amount of information from the environment as indicated in Questions 7 and 8, but that the received information be generally unanalyzed. Your responses to this line of inquiry will allow you to begin to isolate possible problems in the information-exchange process. For example, problems in information exchange might arise initially from not receiving crucial information from outside sources. Similarly, information received might go unanalyzed in your organization, also resulting in information-exchange problems.

A second concern in Question 11 is with the quality of information received by your agency from environmental sources. It may well be that your agency regularly exchanges information with particular environmental actors, and that the information is collected routinely

but is of poor quality. By checking on the quality of the information received, you are in the position to assess whether the exchange between your agency and external actors in the environment results in your agency's receiving high-quality information. Therefore, the consideration in Questions 7 through 11 is the exchange of information between your agency and external individuals, groups, and organizations that you deem to be influential in decisions about position allocation and use. And that the information is assessed as of high quality and regularly analyzed by your agency. Such considerations illustrate the various points of breakdown in the external exchange process. Such breakdown may be at the exchange stage, or in identifying significant others with whom exchange is to take place. Such breakdown may also result in your agency's receiving poor information or in poor or inadequate analysis of the information, once received.

Questions 12 and 13 in this section depart slightly from the previous line of reasoning and ask how much your agency, through its various representatives, monitors developments that originate from professional associations identified with your criminal justice speciality. Such information provides you with an estimate of how much your agency can focus on long-range issues that may not be of concern in your immediate environment but that nevertheless affect your agency's operations in the future. For example, advances in methods of policing or alternatives to custodial treatment may be in operation in other agencies throughout the country. The analysis and review of these types of programs is typically found in magazines or

is done in professional associations your agency or its representative may belong to. By monitoring these trends or changes in practice in other agencies through professional affiliations, your agency might be in a better position to develop programs and policies about long-range problems you believe might confront your agency. Questions 12 and 13 identify your agency's monitoring of certain of these professional information outlets, how involved your agency is in these associations, and what person or position in your agency is formally charged with such monitoring. These measures are meant to get at how much your agency is engaged in exchange with an environment extending beyond the immediate environment confronted on a day-to-day basis.

5. Please indicate the extent to which the following kinds of personnel decisions and processes are affected by formal agreements and/or contracts with employee associations or unions.

	Completely Mandated in Contract or Agreement	Partially Mandated in Contract or Agreement	Not at Present Affected but Likely to be an Issue for Future Bar- gaining	Not Affected and Not Likely to be an Issue
Initial selection process	_____	_____	_____	_____
Promotion process	_____	_____	_____	_____
Assignments/transfers	_____	_____	_____	_____
Allocations to units or shifts	_____	_____	_____	_____
Disciplinary process	_____	_____	_____	_____
Changes in working conditions	_____	_____	_____	_____
Employee compensation	_____	_____	_____	_____
Fringe benefits	_____	_____	_____	_____

6. Please indicate the extent to which the following kinds of personnel decisions and processes are affected by current Civil Service policies in your jurisdiction.

	Completely Mandated in Civil Service Policy	Partially Mandated in Civil Service Policy	Not Presently Affected but Likely to be a Civil Service Policy	Not Affected and Not Likely to be a Civil Service Policy
Initial selection process	_____	_____	_____	_____
Promotion process	_____	_____	_____	_____
Assignments/transfers	_____	_____	_____	_____
Allocation to units or shifts	_____	_____	_____	_____
Disciplinary process	_____	_____	_____	_____
Changes in working conditions	_____	_____	_____	_____
Position allocation	_____	_____	_____	_____
Salaries, fringe benefits	_____	_____	_____	_____

7. For the individuals, groups, or agencies listed below, how regularly do you report information to them regarding agency operations such as work load or the use of personnel?

Individual, Group, or Organization	Regularly/ Weekly	Regularly/ Monthly	Regularly/ Annually	Occasionally When Requested	Never	Don't Know
Chief executive	_____	_____	_____	_____	_____	_____
Legislature	_____	_____	_____	_____	_____	_____
Legislative subcommittee	_____	_____	_____	_____	_____	_____
Other CJ agencies in the same jurisdiction	_____	_____	_____	_____	_____	_____
Other CJ agencies outside the jurisdiction	_____	_____	_____	_____	_____	_____
Other non-CJ agencies in same jurisdiction	_____	_____	_____	_____	_____	_____
Other non-CJ agencies outside jurisdiction	_____	_____	_____	_____	_____	_____
Government budget officials	_____	_____	_____	_____	_____	_____
Civil service agency	_____	_____	_____	_____	_____	_____
Local political figures	_____	_____	_____	_____	_____	_____
Judicial authorities	_____	_____	_____	_____	_____	_____
Media	_____	_____	_____	_____	_____	_____
General public	_____	_____	_____	_____	_____	_____
Civic groups	_____	_____	_____	_____	_____	_____
Influential com- munity members	_____	_____	_____	_____	_____	_____
Labor unions	_____	_____	_____	_____	_____	_____
Business organizations	_____	_____	_____	_____	_____	_____
Lobby organizations	_____	_____	_____	_____	_____	_____
Other (specify)	_____	_____	_____	_____	_____	_____

10. Please evaluate the individuals, groups, or organizations listed below for their potential influence on how positions are used within your organization (i.e., the determination of where positions are assigned throughout your organization).

Individual, Group, or Organization	Critical	Of Great Importance	Important	Of Little Importance	Of No Importance
Chief executive	_____	_____	_____	_____	_____
Legislature	_____	_____	_____	_____	_____
Legislative subcommittee	_____	_____	_____	_____	_____
Other CJ agencies in the same jurisdiction	_____	_____	_____	_____	_____
Other CJ agencies outside the jurisdiction	_____	_____	_____	_____	_____
Other non-CJ agencies in same jurisdiction	_____	_____	_____	_____	_____
Other non-CJ agencies outside jurisdiction	_____	_____	_____	_____	_____
Government budget officials	_____	_____	_____	_____	_____
Civil service agency	_____	_____	_____	_____	_____
Local political figures	_____	_____	_____	_____	_____
Judicial authorities	_____	_____	_____	_____	_____
Media	_____	_____	_____	_____	_____
General public	_____	_____	_____	_____	_____
Civic groups	_____	_____	_____	_____	_____
Influential com- munity members	_____	_____	_____	_____	_____
Labor unions	_____	_____	_____	_____	_____
Business organizations	_____	_____	_____	_____	_____
Lobby organizations	_____	_____	_____	_____	_____
Other (specify)	_____	_____	_____	_____	_____

11. From the potential sources of information listed below that may affect human-resource acquisition or use in your agency, please estimate how much your agency regularly analyzes information from these sources and give your assessment of the quality of information received from these sources.

Source of Information	Regularly Analyzed by Agency Personnel Assigned to Such Functions	Information Stored and Analyzed Primarily in Conjunction with Specific Problems by Whomever is Assigned	Information Received but Not Analyzed	Information Not Received	Quality High = 5 to Low = 1
Reports of chief executive	_____	_____	_____	_____	_____
Reports of legislature, city council, county board	_____	_____	_____	_____	_____
Reports of legislative subcommittee	_____	_____	_____	_____	_____
Reports of other CJ agencies in the same jurisdiction	_____	_____	_____	_____	_____
Reports of other CJ agencies outside the jurisdiction	_____	_____	_____	_____	_____
Reports of other non-CJ agencies in same jurisdiction	_____	_____	_____	_____	_____
Reports of other non-CJ agencies outside jurisdiction	_____	_____	_____	_____	_____
Reports of government budget officials	_____	_____	_____	_____	_____
Reports of civil service agency	_____	_____	_____	_____	_____
Reports of local political figures	_____	_____	_____	_____	_____

11. (continued)

Source of Information	Regularly Analyzed by Agency Personnel Assigned to Such Functions	Information Stored and Analyzed Primarily in Conjunction with Specific Problems by Whomever is Assigned	Information Received but Not Analyzed	Information Not Received	Quality High = 5 to Low = 1
Reports of judicial authorities	_____	_____	_____	_____	_____
Reports of media	_____	_____	_____	_____	_____
Reports of general public	_____	_____	_____	_____	_____
Reports of civic groups	_____	_____	_____	_____	_____
Reports of influential community members	_____	_____	_____	_____	_____
Reports of labor unions	_____	_____	_____	_____	_____
Reports of business organizations	_____	_____	_____	_____	_____
Reports of lobby organizations	_____	_____	_____	_____	_____
Other (specify)	_____	_____	_____	_____	_____

12. Please indicate the extent of your agency's involvement and contact with the following organizations.

- Scale of involvement: 1 = no contact or involvement with the organization
- 2 = member of organizations not active, rarely review organization's materials
- 3 = member of organization, not active, occasionally review organization's materials
- 4 = active member, frequently review organization's materials
- 5 = active member in organization, participate in conferences, regularly review organization's materials

Organizations:

<u>Police:</u>	<u>From Scale of Involvement (1-5)</u>
International Association of Chiefs of Police	_____
Regional or State Police Associations	_____
Metropolitan Police Commissions	_____
National Sheriff's Association	_____
Police Executive Research Forum	_____
Police Officer's Standards and Training Commissions	_____
Other (specify) _____	_____

Corrections:

American Correctional Association	_____
National Council on Crime and Delinquency	_____

13. For those organizations or associations you previously identified (Question 12) as being a member and reviewing materials, who in your organization is primarily charged with this review?

(1)	(2)	(3)	(4)	(5)	(6)
Chief	Staff of Chief	Planning	Other	No	
Administrator	Administrator	Department	Department	One	Unknown

Organizations:

<u>Police:</u>	<u>Person Involved</u>
International Association of Chiefs of Police	_____
Regional or State Police Associations	_____
Metropolitan Police Commissions	_____
National Sheriff's Association	_____
Police Executive Research Forum	_____
Police Officer's Standards and Training Commissions	_____
Other (specify) _____	_____

Corrections:

American Correctional Association	_____
National Council on Crime and Delinquency	_____

SECTION 3: FORMAL RELATIONSHIPS, INCLUDING BOUNDARY- SPANNING ROLES
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NARRATIVE

This section of the Environmental Questionnaire is focused on identifying formal responsibility in decision making for various activities undertaken by your agency, and for identifying who in your agency is responsible for interaction with various aspects of the environment. Together the two questions in this section begin to isolate your organization's authority for manpower-related decision making and those within the organization responsible for maintaining relations with the environment.

Question 14 asks you to determine whether or not your agency retains sole responsibility for making various types of manpower-related decisions or whether your agency shares the decision-making authority with others in the environment. This question isolates agency authority, and so should be of great concern to agency administrators. Obviously, the identification of external agencies as having sole responsibility for certain manpower decisions will identify some of those in the environment likely to be significant and influential in your agency's policymaking. These responses can be cross-referenced with those in the last sections calling for the identification of persons, groups, or organizations influential in position allocation and use. To the extent that these answers are congruent with those previously attained, you have begun to isolate

the core of individuals, groups, or agencies importantly constraining your agency's decision making. Beyond this, however, the response set in Question 14 requires that you indicate shared responsibility, and over a range of decisions much broader than those merely about position allocation and use.

For example, the determination of shared responsibility implies that your agency has more potential influence in affecting the outcome of these decisions than it might have if decisions are totally removed from your agency's decision-making authority. Such distinctions are important for the development of agency strategies for interacting with decision makers who are co-equal in determining policy outcomes that affect your agency, over against strategies designed for interacting with decision makers whose status or importance is greater or less than that of your agency in such decisions. Determining the basis of decision making can help in the making of such strategy distinctions.

Question 15 explores the formal relationships between your agency and external others by asking you to identify who in your agency has formal responsibility for engaging in a number of boundary-spanning activities. By boundary-spanning activities is meant roles or duties that require that the individual interact both within and outside of your agency. These individuals represent the formal linkages between your agency and the wider environment. Further, this information supplements that acquired from previous questions about whom you interact with.

As can be seen in Question 15, your determination of the level of responsibility for these external relationships tells you much about your agency's conscious attempt to understand, to predict, and to interact with the environment. While it is obvious that the agency administrator cannot do all of the tasks outlined in the question, the responses may be viewed as on a scale, with the highest level of agency effort expended when the chief executive is directly responsible for certain activities; a high level of effort when the immediate administrative staff of the administrator is responsible; a moderate level of effort when such efforts are formally assigned to a planning unit, personnel unit, or other organizational unit; and clearly no efforts when the activity is not measured, through no one's being responsible. By identifying who is formally charged with such responsibility, you are implicitly identifying those activities deemed important by your agency. Thus the measure reported in Question 15 might be interpreted as the degree of importance your agency attaches to specific external relationships. Such an interpretation can then be compared to the responses from questions in previous sections about the identification of influential others. Importantly, these significant or influential others will of necessity change as the organizational decision or activity changes. By examining those felt to be influential in relation to the types of activities the organization attaches importance to, you will be in a better position to isolate important actors in the environment.

14. In general, is the decision-making authority for the following kinds of agency activities retained primarily by the administration of your agency, shared between the administration of your agency and other governmental officials, or retained primarily by other governmental officials? (Where the response is either shared or retained by other governmental officials, specify.)

Agency Activity	Primarily Retained by your Administration	Shared with Other Government	Primarily Retained by Other Government	Specify
Determine agency missions and goals	_____	_____	_____	_____
Determine number of authorized positions	_____	_____	_____	_____
Determine agency work load	_____	_____	_____	_____
Select agency personnel	_____	_____	_____	_____
Promotion of agency personnel	_____	_____	_____	_____
Prepare and execute agency budget	_____	_____	_____	_____
Determine agency budget	_____	_____	_____	_____
Program development (e.g., long-range planning)	_____	_____	_____	_____
Assign and transfer personnel	_____	_____	_____	_____
Tactical planning (e.g., operational or short-range planning)	_____	_____	_____	_____
Recruit agency personnel	_____	_____	_____	_____
Determine departmental operational policy	_____	_____	_____	_____
Negotiate union contracts	_____	_____	_____	_____
Discipline agency personnel	_____	_____	_____	_____
Wage and salary levels	_____	_____	_____	_____

SECTION 4: GENERAL AGENCY RELATIONSHIPS

NARRATIVE

In this section of the questionnaire we are concerned with three primary issues. First we want to examine your agency's distribution of positions among the various funding sources supporting such positions. Question 16 asks for such information. To the extent that a sizable portion of your agency's positions are supported from funds other than those from your jurisdiction, this becomes a significant concern for environmental management.

The second concern in this section is with identifying your agency's long-range planning approach (whether it has one or not) and your assessment of various environmental actors as aids in obtaining information germane to manpower planning. Questions 17 and 18 get at this. Question 18 begins to isolate the type of aid agencies might provide your agency, such as information or direct assistance in manpower planning. For example, you are asked to assess agencies on the basis of their importance as sources of information, advice, and direction, and as providers of technical assistance. Obviously such considerations form an ordinal scale with providing information at the low end, and directly providing assistance at the high. Each of these agencies can be so evaluated, and the resulting picture can be a help in your agency's manpower planning. Compare this assessment with prior assessments of the degree of influence exercised by various actors--is there congruence between the two?

The final concern in this section is your assessment of interactions between your agency and others in the environment, including the issue of frequency and intensity of interaction, the quality of the interaction, and the direction of the interaction.

Question 19 is about the frequency and intensity of interaction between your agency and externals. Frequency refers to the amount of interaction, while intensity refers to the emotional quality of interaction. Agencies might interact frequently but with low intensity. Similarly agencies might interact infrequently, but intensely when they do. By examining both dimensions, we begin to develop a working measure of the quality of interactions between your agency and others in the environment.

Question 20 calls for your assessment of the quality of interaction between the agency and the environment. Quality is measured on an ordinal scale ranging from highly positive to highly negative. Combining these responses with those on the previous question, we amplify previous assessments of intensity by separating out those that are intensely negative and those that are intensely positive.

Lastly in this section, Question 21 asks for your assessments of the direction of interaction between your agency and others. In this question, we ask who initiates most of this interaction. Like the previous question examining the basis of authority in decision making, Question 21 helps trace out the network of relationships between your agency and others by identifying how these interaction channels are activated.

Taken together, the three questions (Questions 19 through 21) explore the nature of formal relationships between your agency and others and help to identify where relationships are believed to be strained. Such an assessment, when placed in relation to previous considerations of influential others, and the degree of interagency decision making, extends your picture of the relationships valued by your organization and the identification of those significant to your organization's policymaking.

16. What proportion of your agency's total positions are funded by each of the following sources, and how many positions do these percentages represent?

	<u>No. of Positions</u>	<u>Percentage of Base</u>
City government	_____	_____
County government	_____	_____
State government	_____	_____
Federal government or federal grants	_____	_____
Other (general)	_____	_____

17. Does your agency have a master plan that anticipates actions the agency will need to undertake in the next 2 to 5 years (excluding and emergency or disaster planning)?

_____ A formal statement exists
 _____ A formal statement is being prepared
 _____ Such a plan does not exist

18. What is your general perception of the following agencies as a possible source of information or assistance in manpower planning?

KEY: 1 = very helpful
 2 = somewhat helpful
 3 = of very little help
 4 = of no potential assistance

	<u>As Source of Information or Data</u>	<u>As Source of Advice and Direction</u>	<u>As Source of Technical Assistance</u>
Criminal justice state planning agency or equivalent	_____	_____	_____
Standards & training council	_____	_____	_____
Regional CJ planning unit	_____	_____	_____
Other criminal justice agencies	_____	_____	_____
Bureau of budget	_____	_____	_____
Civil service	_____	_____	_____
Employee union	_____	_____	_____
Higher educational institutions	_____	_____	_____
Professional associations	_____	_____	_____
Consultants	_____	_____	_____
Other government agencies	_____	_____	_____
Private or business groups	_____	_____	_____

19. Agencies often engage in interaction with other organizations over issues of mutual concern. In this question, please indicate the intensity of these relationships (i.e., the degree to which they are highly charged encounters) and the frequency of interaction between policymakers in your agency and the following individuals, groups, or agency administrators.

	Intensive and Frequent	Intensive and Occasional	Non-Inten- sive but Frequent	Non-Inten- sive and Occasional	None
Chief executive	—	—	—	—	—
Legislature/city council	—	—	—	—	—
Legislative subcommittee	—	—	—	—	—
Agency heads from other criminal justice agencies	—	—	—	—	—
Agency heads from other non-criminal justice agencies	—	—	—	—	—
Government budget officials	—	—	—	—	—
Civil service commission	—	—	—	—	—
Local political figures	—	—	—	—	—
Media representatives	—	—	—	—	—
General public	—	—	—	—	—
Civic groups	—	—	—	—	—
Influential community members	—	—	—	—	—
The judiciary	—	—	—	—	—
Prosecutors	—	—	—	—	—
Labor unions	—	—	—	—	—
Business leaders	—	—	—	—	—
Lobbyists	—	—	—	—	—
Other (specify) _____	—	—	—	—	—

20. Please evaluate the general nature of interactions between policy-makers in your agency and the following individuals, groups, or agency administrators.

	Cooperative and Mutually Supportive	Formally Cooperative But Not Supportive	Uncoopera- tive and Strained	Antago- nistic
Chief executive	_____	_____	_____	_____
Legislative subcommittee	_____	_____	_____	_____
Agency heads from other criminal justice agencies	_____	_____	_____	_____
Agency heads from other non-criminal justice agencies	_____	_____	_____	_____
Government budget officials	_____	_____	_____	_____
Civil service commissions	_____	_____	_____	_____
Local political figures	_____	_____	_____	_____
Media representatives	_____	_____	_____	_____
General public	_____	_____	_____	_____
Civic groups	_____	_____	_____	_____
Influential community members	_____	_____	_____	_____
The judiciary	_____	_____	_____	_____
Prosecutors	_____	_____	_____	_____
Labor unions	_____	_____	_____	_____
Business leaders	_____	_____	_____	_____
Lobbyists	_____	_____	_____	_____
Other (specify) _____	_____	_____	_____	_____

21. Consider the interactions between your agency and outside individuals, groups, or agency administrators, and indicate who normally initiates these interactions.

	Predominantly Your Agency	Initiation by Both or Either	Predominantly Initiated Out- side Your Agency	Don't Know
Chief executive	---	---	---	---
Legislature/city council	---	---	---	---
Legislative subcommittee	---	---	---	---
Agency heads from other criminal justice agencies	---	---	---	---
Agency heads from other non-criminal justice agencies	---	---	---	---
Government budget officials	---	---	---	---
Civil service commissions	---	---	---	---
Local political figures	---	---	---	---
Media representatives	---	---	---	---
General public	---	---	---	---
Civic group	---	---	---	---
Influential community members	---	---	---	---
The judiciary	---	---	---	---
Prosecutors	---	---	---	---
Labor unions	---	---	---	---
Business leaders	---	---	---	---
Lobbyists	---	---	---	---
Other (specify) _____	---	---	---	---

SECTION 5:
AGENCY IDENTIFICATION
OF ENVIRONMENTAL SUPPORT,
COMPETITION, AND STRAIN

NARRATIVE

In previous sections of this survey we asked for information pertaining to information-exchange processes, and the identification of significant others. We also asked for assessments of the quality, intensity, and initiation of exchange between your agency and others in the environment. In this section we concentrate on environmental support and competition for resources, including personnel. Specifically, we consider your agency's experience with position increases, competition for entry-level and experienced personnel, and competition between your agency and others for resources.

In Questions 22 through 28, we are specifically concerned with your agency's experience with allocated positions. Question 22 asks for an assessment of change in position allocation over the last two years; Questions 23 to 25 examine your experiences with increases in positions, and Questions 26 to 28 examine your experience with respect to the loss of positions allocated to your agency. In both the consideration of position increases and loss, we are concerned with your identifying the factors in the environment that you believe to be associated with either occurrence (increase or loss). By identifying these factors you may begin to examine those external forces you believe to be influencing positions within your organization. A caution, however, must be offered. For position loss, it is tempting to blame factors external to the organization like "politics," while at

the same time maintaining that factors internal to the organization are responsible for position gain, say good planning. Such response defeats the purpose of the question--namely, to isolate those factors you believe to be influencing position allocation in your agency. Following each question asking for these factors to be identified are questions asking how much your agency has had influence in the change in positions, and how long in advance you were able to anticipate such changes. Taken together, the two series of questions tell us much about your agency's ability to cope with and to influence the environment and how far into the future your agency is able to predict changes that will affect agency positions. If, for example, you argue that agency planning allowed you to acquire more personnel, yet the time horizon was less than a month, or even 1 to 6 months, then the planning you attribute such success to may not have been as important as you may first believe. Similarly, if you indicate that losses in positions are attributable to politics, yet that you had some influence in the process and a large amount of anticipatory time--say, 7 to 12 months--then your agency must be, at minimum, monitoring the political environment pretty well. By examining the interaction of the factors you identify and the degree of your agency's influence in the final outcome and the amount of lead time associated with the particular change, you may approximate the importance of the factors you identify and your agency's ability to monitor environmental factors.

Questions 29 through 31 focus attention on competitive relations between your agency and other employers in your area as they compete

for entry-level and experienced personnel. Question 29 focuses on overall competition for personnel between your agency and some other agencies likely to be found in your jurisdiction. Question 30 extends this line of analysis by focusing on the competitiveness of salaries between your agency and the others. In this regard two questions are implicit in Question 30. First is the degree of competitiveness you identify, and second is the extent to which your agency is in a position to assess this competitiveness. Question 31, using the salary competitiveness issue, gets at the level of competition for experienced employees as reflected in salary differences for similarly qualified personnel. Obviously, the three questions taken together assess your agency's knowledge of the employment market and the likely sources of competition for your agency's employees.

The final three questions in this section are concerned with the outcomes of competition for resources between your agency and others in your jurisdiction. In this regard Question 32 asks for your assessment of the ability of other agencies to attract resources in comparison to your agency, while Question 33 asks for your assessment of how your agency would fare in comparison to others in competition for increased resources available in your jurisdiction. Such comparisons trace out the degree of perceived competition between agencies in your jurisdiction as well as identify those agencies who benefit more than others. But such assessment tells us little about why certain agencies do better than others. Question 34 focuses on this issue by asking for your assessment of why agencies who receive more resources than your agency are able to. Again, taking together the final three

questions (32 to 34) you have begun to identify competitive relations between your agency and others and the likely outcomes of such competition. You have also identified why such differences are found to exist: such information may provide you with suggestions for possible strategies designed to improve your agency's competitiveness vis-a-vis others in your immediate jurisdiction.

22. During the past two years, the number of positions allocated to your agency has: (check one)

	<u>Less than 5%</u>	<u>5-10%</u>	<u>10-15%</u>	<u>15-50%</u>	<u>20-25%</u>	<u>25%+</u>
Increased	_____	_____	_____	_____	_____	_____
Decreased	_____	_____	_____	_____	_____	_____
Remained stable	_____	_____	_____	_____	_____	_____

The following two questions are about specific instances in which your agency has experienced a major increase or decrease in the number of personnel allocated.

23. When was the last time your agency experienced a substantial increase in the number of allocated positions?

Year _____ Number of new positions _____

- A. What was the importance of the following factors for this increase (using a scale of 0 to 5, where 0 = No Importance, and 5 = Strong Importance)?

- _____ Agency scandal
 _____ Improved economic conditions
 _____ Public's image of the agency
 _____ Union activities
 _____ Agency effectiveness
 _____ Crime level (UCR)
 _____ Public's fear of crime
 _____ Critical incident(s) (e.g., riots, a heinous crime in your community, job-related death of employee).
 Specify: _____
 _____ Political factors
 _____ Agency analysis and presentation of needs (rational planning)
 _____ Law suits
 _____ Decreased funding of another agency
 _____ Increased departmental responsibilities (advocated by agency)
 _____ Increased departmental responsibilities (imposed on agency)
 _____ Increased geographical jurisdiction
 _____ Increased agency work load
 _____ Other (specify) _____
 _____ Other (specify) _____

24. How much influence do you feel your agency had in bringing about this increase?

A great deal A moderate amount Little No
of influence of influence influence influence

25. How far in advance were you able to anticipate this increase?

<u>Not at All</u>	<u>Less than 1 Month</u>	<u>1 to 6 Months</u>	<u>7 to 12 Months</u>	<u>Over a Year</u>
_____	_____	_____	_____	_____

26. When was the last time your agency experienced a substantial decrease in the number of allocated positions?

Year _____ Number of Positions _____

A. What was the importance of the following factors for this decrease (using a scale of 0 to 5, where 0 = No Importance, and 5 = Strong Importance)?

- _____ Agency scandal
- _____ Improved economic conditions
- _____ Public's image of the agency
- _____ Union activities
- _____ Agency effectiveness
- _____ Crime level (UCR)
- _____ Public's fear of crime
- _____ Critical incident(s) (e.g., riots, a heinous crime in your community, job-related death of employee).
Specify: _____
- _____ Political factors
- _____ Agency analysis and presentation of needs (rational planning)
- _____ Law suits
- _____ Decreased funding of another agency
- _____ Increased departmental responsibilities (advocated by agency)
- _____ Increased departmental responsibilities (imposed on agency)
- _____ Increased geographical jurisdiction
- _____ Increased agency work load
- _____ Other (specify) _____
- _____ Other (specify) _____

27. How much influence do you feel your agency had in minimizing the size of this decrease?

<u>A Great Deal of Influence</u>	<u>A Moderate Amount of Influence</u>	<u>Little Influence</u>	<u>No Influence</u>
_____	_____	_____	_____

28. How far in advance were you able to anticipate this decrease?

<u>Not at All</u>	<u>Less Than 1 Month</u>	<u>1 to 6 Months</u>	<u>7 to 12 Months</u>	<u>Over a Year</u>
_____	_____	_____	_____	_____

29. Rate the ability of the following (on a scale of 0 to 5 where 0 = Little Ability, and 5 = Great Ability) to attract personnel from your agency.

_____ Non-criminal-justice governmental agencies

_____ Other criminal justice agencies

_____ Industrial organizations (e.g., factories)

_____ Private security companies

_____ Non-industrial operations (e.g., farming)

_____ Other (specify)

30. How do the salaries of entry-level personnel in your agency compare to the salaries of other occupational groups in your jurisdiction that may compete for the same personnel?

	<u>Your Personnel Salary Higher</u>	<u>Salaries are About the Same</u>	<u>Your Personnel Salary Lower</u>	<u>Don't Know</u>
Personnel of similar skills in industry (i.e., factory workers)	_____	_____	_____	_____
Personnel of similar skills in other criminal justice agencies	_____	_____	_____	_____
Personnel in other non- criminal justice agencies	_____	_____	_____	_____
Personnel of similar skills in retail business (e.g., sales personnel or clerks)	_____	_____	_____	_____
Personnel of similar skills in private security	_____	_____	_____	_____
Personnel of similar skills in non-industrial or retail business (e.g., farming)	_____	_____	_____	_____
Other _____				

33. If your jurisdiction (i.e., city, county, or state) revenues were to increase by 15 percent during the coming year, how would the following agencies be most likely to fare with respect to potential for increased funding?

	Substantial Increase	Some Increase	No Increase	Not Funded from Same Sources as Your Agency
Your agency	_____	_____	_____	_____
Other criminal justice agencies	_____	_____	_____	_____
Fire departments	_____	_____	_____	_____
Transportation agencies	_____	_____	_____	_____
Road/street departments	_____	_____	_____	_____
Housing departments	_____	_____	_____	_____
Health agencies	_____	_____	_____	_____
Sanitation departments	_____	_____	_____	_____
Recreation/parks department	_____	_____	_____	_____
Welfare agencies	_____	_____	_____	_____
Educational agencies	_____	_____	_____	_____
Other (specify) _____	_____	_____	_____	_____

34. If other agencies within your political jurisdiction were likely to receive a greater proportion of revenue increases than your agency, which factors below are significant in accounting for this difference?

<u>Factor</u>	<u>Crucial</u>	<u>Important</u>	<u>Of Little Importance</u>	<u>Of No Importance</u>	<u>Don't Know</u>
The agency has a more active clientele group	_____	_____	_____	_____	_____
The agency is better able to define, measure, and present information on agency work load	_____	_____	_____	_____	_____
The agency has greater influence with political leaders	_____	_____	_____	_____	_____
The agency has better relations with the chief executive	_____	_____	_____	_____	_____
The agency has better relations with the legislature	_____	_____	_____	_____	_____
The agency has better relations with other criminal justice policymakers	_____	_____	_____	_____	_____
The agency has a greater ability to plan for increase and to make manpower projections	_____	_____	_____	_____	_____
The agency has clearer missions and goals	_____	_____	_____	_____	_____
People agree on the agency's missions and goals	_____	_____	_____	_____	_____
The agency appears to be very efficiently managed	_____	_____	_____	_____	_____
The service provided is viewed as more critical than the one your agency provides	_____	_____	_____	_____	_____
The agency administrator has a reputation that enhances the agency's ability to attract resources	_____	_____	_____	_____	_____