Evaluating

Patrol Officer

Performance

Under

Community

Policing:

The Houston

Experience

1993

TECHNICAL REPORT
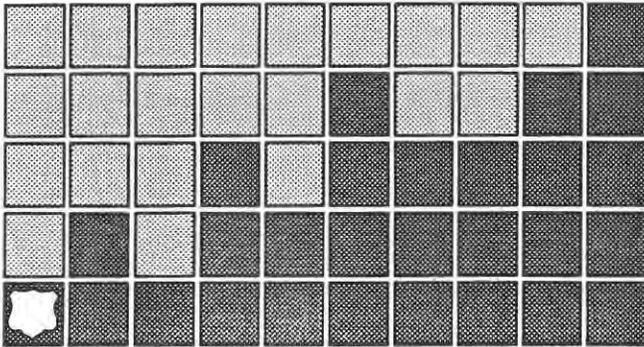
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Prepared by:

Mary Ann Wycoff
Police Foundation
Subcontractor

and

Timothy N. Oettmeier, Ph.D.
Houston Police Department
Project Director

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ACKNOWLEDGMENTS

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Project Summary

Purpose

The purpose of this project was to develop and test a new personnel performance evaluation process designed to support the philosophy of Neighborhood Oriented Policing (NOP) in Houston. This research project sought to determine whether the department's new performance assessment process effectively communicated and legitimized the organization's management philosophy as expressed by the redefinition of present roles, responsibilities, and relationships between and among patrol officers and supervisors (sergeants). The development of the performance measurement process and the evaluation of it were supported by a grant from the National Institute of Justice.

Background

During the late 1970s, the department was confronted with an increasing population growth and a rising crime rate. In recognizing the explosive potential of these factors during the 1980s, the administration made the commitment to decentralize its service capabilities. Crucial to the success of the decentralization process was the construction of "command stations" in various quadrants of the city. These facilities would allow the grouping of line and support services within one facility for the purpose of delivering services to a predefined portion of the city.

As the command stations were being designed and constructed, the department began field experimentations to determine how patrol officers and investigative sergeants would work together. This led to the creation and implementation of the Directed Area Responsibility Team (known as DART). The goal of the DART program was to provide the department with a sound policing strategy which would reduce citizens' fear of crime, deliver improved

police services and assist the department in meeting its future needs. Substantively, the program sought to expand the role of the officer and increase the managerial flexibility of sergeants and lieutenants. This was accomplished through the implementation of seventeen different strategies.

To build on the successful momentum of DART and other programs, a committee of department personnel was established to design a policing style which would effectively serve Houstonians then and into the future. The product was Neighborhood Oriented Policing (NOP).

Although NOP originally was defined as an interactive process between officers and citizens for the purpose of identifying and addressing crime and noncrime problems, it eventually evolved into a management philosophy. This was brought about by examining how investigative operations would be integrated with patrol operations under the context of NOP.

As the Westside Command Station (the first of four such stations planned for the city) neared completion, investigative sergeants were reassigned to the Westside Command Station Operations Division. It was at this juncture that both patrol and investigative personnel began the difficult task of redefining their relationship and respective roles and responsibilities. During this process, many managers, officers, and investigators recognized that much broader organizational change would be required if Houston's version of community policing was to become a real and lasting change in the nature and style of police service.

Officers identified the need for broader based training, more efficient management of the dispatch operation, a comprehensive performance evaluation system, adjustments in resource allocation procedures, a revamped disciplinary system, redefinition of the investigator's role, and expanded roles for citizens. It was predicted that without changes in these support systems, efforts to operationalize the new philosophy would fail.

In response, the Houston Police Department developed a vision of organizational change that called for examination and possible restructuring of all of the organization's support systems, one of which was performance evaluation. It was believed that if a new concept of policing was to be successfully implemented, there should be new ways of documenting and evaluating the work of officers, supervisors, managers, units, and the organization itself. There should also be new ways of defining and measuring the outcomes of policing efforts.

As a consequence, the first step toward full redesign of performance measurement in Houston is a new patrol officer performance evaluation process which includes performance criteria, performance factors, scaling techniques, the identification of potential evaluators, and new administrative processing procedures.

Development of Performance Evaluation Procedures

Two task forces at the Westside Command Station produced the new approach to performance assessment. The first group used a variety of methods including interviews with colleagues, visits to other cities that were implementing community policing, and collection of officers' written descriptions of their jobs to define the essential operational elements of NOP from the perspective of the patrol officer.

The second task force, building on the work of the first, designed the six forms (see Appendix B) that together constitute the new performance assessment instrumentation.

Project Evaluation

A quasi-experiment was designed to test the impact of the new process on the attitudes of both the officers and the citizens they serve. Four districts, two in each of two patrol areas, were selected for participation in the study. In two of the districts (Experimental Districts), one in each of the patrol areas, officers were to be evaluated three times over a period of six months with the new process. In the other two districts (Control Districts), officers would be evaluated as the department had evaluated them for the forty previous years.

Immediately prior to the pilot implementation of the new process, officers in all four districts were administered a written questionnaire designed to measure their perceptions of their role and their attitudes toward work, the public, the organization, supervision, and performance evaluation. The instrument also collected data about officers' reported activity levels with respect to several of their functions. Analysis of this survey was based on a panel of 205 officers who completed both the pre-test and post-test questionnaires.

At approximately the same times, Houston residents who had been burglary victims were interviewed by telephone about their perceptions of police service and their levels of satisfaction. During the pre-test survey, 243 victims were interviewed; 224 were interviewed during the post-test survey. At each time, half of the respondents were in areas served by the Experimental officers (those who were scheduled to participate in or, by the post-test, had participated in the new performance assessment process), and half were in areas served by Control officers.

Findings

For patrol officers, use of the new assessment process was positively and significantly related to:

- officers' belief in the value of foot patrol
- officers' perception that managers increased the priority they assigned to the management of uncommitted time by officers
- the frequency with which officers report conducting problem solving activities
- the probability that officers said they had identified problems in their areas in the previous two months
- officers' reports of the number of Patrol Management Plans written
- officers' reports of the frequency with which they said they discussed area problems with other department personnel
- the frequency with which officers said they had <u>initiated</u> problem solving activities
- officers' belief in the decency of human beings
- their satisfaction with the performance evaluation process
- their satisfaction with the recognition they received for work
- their satisfaction with supervision.

For citizens, analysis of the survey of burglary victims found that burglary victims in the experimental areas were more likely to recall the name of the responding officer than were victims in the control areas. A second measure, whether officers gave victims advice about how to seek assistance with their problems, approached significance at p =.08. The evidence from the citizen survey is slight but perhaps is more than should have been expected from an implementation period of only six months.

Conclusion

Based on substantial findings from the officers' survey and the weaker evidence from the citizens' survey, this study indicates that a personnel performance measurement process designed to reflect and reinforce the functions that officers are expected to perform can provide important structural support for a philosophy of policing and can be a valuable aid in the implementation of organizational change.
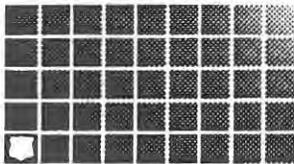
Performance Measurement Issues

The Challenge of Performance Measurement

Creating a valid and effective means of measuring performance in the workplace is a continuing challenge in organizational life (Gabor, 1992), and it is not a new issue to policing. Recent interest in community and problem-oriented policing simply has re-focused attention on long-standing concerns about performance analysis. In 1972, a report from the Dallas Police Department stated:

> *In the past, performance evaluation in the Police Department has been a largely meaningless bi-annual exercise in numerically grading employees with little thought to the true purpose of performance evaluation. (Dallas Police Department, 1972, p. III-23,24)*

Since this was written, Dallas has changed substantially its own employee performance evaluation process, but this same statement could be penned in 1992 by a great many police agencies. This is not because the need for better evaluations has gone unrecognized. Rather, good performance evaluations are difficult to create. The process is time-consuming, expensive, and potentially divisive, especially for an occupation as broad as policing for which a performance evaluation may require establishing priorities within the patrol officer's multi-faceted role. Further, the design of a dynamic evaluation process may be an unending task given the role shifts that accompany the changing needs of a society and the changing ability of this occupation to meet those needs. Given the magnitude of the challenge, it is not remarkable that many police agencies have relied for years on inadequate and outdated performance evaluation processes.

With the introduction of Neighborhood Oriented Policing (NOP), the Houston Police Department wanted to avoid the problems encountered when the performance of new roles

and responsibilities are evaluated with antiquated criteria. The department's administration recognized the need to realign performance criteria with newly designed tasks and activities. Additionally, new performance criteria were needed to support activities that have always been part of the police role but have not been evaluated.

A Model of Performance Analysis

The process is best introduced with an initial definition of concepts and a model that links them. For the purpose of this project, we use the term "performance analysis" to refer to the collection of activities or analyses that constitute the identification and evaluation of purposive work. Purposive work assumes an objective to be accomplished. In the case of policing, that purpose might be: to have an officer available to respond to calls in a specified area for a specified period of time; to close a drug house; to reduce the probability that citizens will become victims; to increase community structure in a given neighborhood, etc.

For any objective, performance can be analyzed in terms of the components presented in Figure 1.

Figure 1

A Performance Analysis Model

ROLE DEFINITION	INPUT	OUTPUT	OUTCOME
Role Consensus Among Citizens, Officers, and Managers	Any Resources Applied to Delivery of Police Service	Act of Applying Resources to Situation- Action	Results of Action; e.g., Impact on City-Wide and Neighborhood Crime and Non-Crime Problems
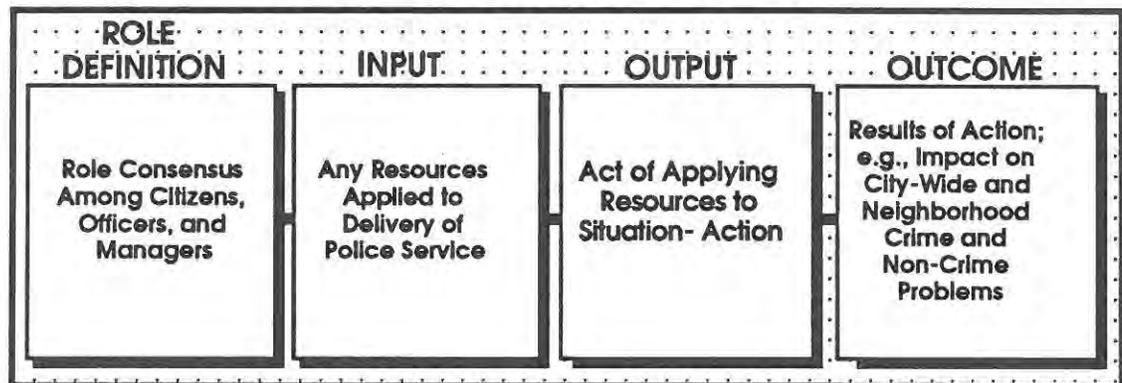
ROLE DEFINITION refers to specification of the types of tasks to be undertaken by police. The goal is consensus among citizens, officers, and police managers.

INPUTS are any resources that contribute to the delivery of police service and might include problem identification, planning, training, personnel, time, equipment, etc.

OUTPUTS are the activities or strategies used. In the strictest sense, "output" (activity) and "performance," (according to Random House dictionary, "the doing of work") are synony-

mous. "Performance measurement" will refer to the measurement of the work that is done. The term "performance measurement" is most commonly used to refer to evaluations of the work efforts (or related attitudes and skills) of <u>individual employees</u> and will be so used in this report.

The outputs of a performance can be analyzed in terms of content, quantity, quality, and motivation. The content (what is done) is the act or set of acts performed or strategies implemented. Quantity (how much is done) refers to the number of specified acts within a given period of time. Quality (how well the act is done) is a function of the competence with which actions are performed and the style in which they are performed. Competence depends on knowing what needs to be done and how to do that which is required. The style of the performance refers to the personal manner of the person(s) conducting it.[1] Motivation refers to the reason why the act is performed.

OUTCOMES are the results, effects, consequences of the work that is done. The outcome that is assessed will be determined by the purpose of the work. For the examples given above, appropriate outcomes could include: the number of calls for service answered during the shift; the fact that the targeted drug house was closed; a reduction in the victimization rate in a neighborhood; and an increase in the number of organized community meetings in the neighborhood.

At each stage of the model, the process of analysis requires both documentation or enumeration and evaluation. In the case of inputs, one asks what the inputs were (enumeration) and whether they were the right ones and in sufficient quantity (evaluation). For role definition, the question is whether a decision has been made about whether and how to address an issue. For outputs, the questions are what actions were taken (enumeration) and what the quality of the actions was (evaluation). For outputs, one asks what acts or conditions resulted from the output (enumeration) and whether these were desirable results and of expected magnitude (evaluation), <u>and</u> whether the nature and magnitude of the results merited the combination of the inputs and outputs required to achieve them (cost/benefit analysis).

The model can be applied to any unit of organizational analysis; it can be used to conceptualize the performance of the organization as a whole, the performance of a unit within the organization, the performance of managers and (as most commonly applied) the performance of individual employees.

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1 *In the case of a police officer, for example, a performance might be conducted competently by an officer who does everything required by the department and yet be conducted in either a positive or negative style, depending on whether the officer is civil and polite or uncivil and rude. (Wycoff, 1982, p. 11)*

An organization committed to:
- accountability to a governing body,
- meeting the needs of customers,
- meeting the needs of employees,
- efficient management of resources, and
- the continual improvement of the organization's ability to keep the first four commitments

will create and regularly employ performance analysis of each type outlined above for all divisions and levels within a respective system.

Such a comprehensive approach to performance analysis was the ultimate goal of the Houston Police Department when the conceptual blueprint for this project was developed. However, in actuality the project focused on designing a process, instrumentation, and accompanying procedures to reflect the job officers were expected to perform in the context of the department's new policing philosophy. The analysis of performance would **measure the quality of the performance of individual officers working in patrol divisions within the department.**

This was to be the first step in the creation of a new performance assessment approach that would lead logically to the redesign of assessment prncesses for other ranks. For example, the process of creating the field officer's performance assessment would yield information-- primarily a clearer definition of the officers' job --that would define the appropriate nature of the evaluation of higher ranks within the field operations commands and other support functions or divisions within the organization.

The measurement of the impact of officers' performances was not a subject of this project; definition of the appropriate outcomes or impact measures was to follow development of the new performance assessment process for officers.

Purposes of Employee Performance Measurement

What is measured and how it is measured should depend on the reasons for collecting the data. Mastrofski and Wadman (1991) identify three principal reasons for measuring employee performance:

> **Administration:** to help managers make decisions about promotion, demotion, reward, discipline, training needs, salary, job assignment, retention, and termination.

Guidance and counseling: to help supervisors give feedback to subordinates and assist them in career planning and preparation, and to improve employee motivation.

Research: to validate selection and screening tests and training evaluations and to assess the effectiveness of interventions designed to improve individual performance. (pg. 364.)

To these three the Houston Police Department adds three more:

Orientation: to convey expectations to personnel about both the content and the style of their performance, to reinforce other means of organizational communication about the mission and the values of the Department.

Documentation: to record the types of problems and situations officers are identifying within their respective beats and neighborhoods and the approaches they are taking to address them. Such documentation provides for data-based analysis of the types of resources and other managerial support officers need to address those problems and allows officers the opportunity to have their efforts recognized.

System improvement: to identify organizational conditions that may impede improved performance and to solicit ideas for changing those conditions.

In an organization that is undertaking a shift in its philosophy about service delivery, as is the Houston Police Department, these last three functions of performance measurement are especially important. A philosophy that is articulated and reinforced through the types of activities or performances that are measured should be more readily understood by personnel than one simply espoused by (perhaps) remote managers.

This operational articulation is needed not only by the line personnel but by their supervisors as well. Sergeants and lieutenants who are first introduced to community policing will have less familiarity with the operational manifestation of the philosophy than will the officers they manage. As much or more than their subordinates, sergeants may need the new performance assessment process as a guide to, or validation of, appropriate role behaviors for their respective officers.[2]

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2 *It was a patrol officer in Houston who suggested that his peers perhaps should be patient with sergeants who initially did not know what was needed from them as supervisors of Neighborhood Oriented officers. He pointed out that existing sergeants had never had the opportunity to perform the role they were now expected to oversee and of which they, unavoidably, had less understanding than the officers who were only now in the process of re-creating and re-defining the role.*

For example, the new service philosophy calls on officers to identify problems in the geographic areas they serve. The systematic documentation of these problems will be the best data available for the guidance of management decisions about resources and other types of support officers may need.

The ability to identify impediments to improved performance is important at any stage in the life of an organization. Conditions, both internal and external, that can affect quality of performance can change constantly (if imperceptibly) and must be regularly monitored. But this need is perhaps never greater than when the organization is in the midst of a shift in its service philosophy that will require deliberate realignment of organizational policies and practices if the philosophy is to be successfully implemented. Management must be able to determine what, if anything, is preventing employees from doing what is expected of them.

Requirements of Employee Performance

There are at least five standards that an employee performance evaluation process should meet:

- validity
- legality
- reliability
- utility
- equity

If the process is "valid," it accurately reflects the content of the job the employee is expected to perform, as well as the expected quality of the job performance.

A "reliable" process is one that will result in the same performance being given the same evaluation across evaluators and across repetitions of the same performance. It will not be a product of the personality or the mood of the evaluator.

An "equitable" process is one that will allow employees doing the same or similar work to receive equal evaluations. This is especially critical in an organization in which performance evaluations are used to determine pay, transfers, or promotions. In such organizations, it is not uncommon for one evaluation point or even a fraction of a point to separate the rewarded from the unrewarded employee. This is a difficult issue for a profession like policing in which the nature and frequency of performance occur, to a large degree, in response to external conditions that vary by area of the city, time of day, season of the year.

"Legality" also is an issue primarily for those organizations that use performance evaluations to determine rewards and punishments for employees. It is an issue in departments for which certain requirements of the evaluation process are established by law--either state law, city ordinance, or civil service code. Legality typically turns on the validity of the perfor-

mance evaluation; that is, the extent to which it accurately reflects the performance and is statistically predictive of the role (e.g., assignment) for which it determines entry.

"Utility" refers simply to the purpose for the evaluation. If nothing is done with it, if employees see no benefit from the evaluation for either the organization or for themselves personally, the process will be less than useless; it will breed contempt for management among employees.

It is beyond the scope of this report to instruct the reader in the various means of meeting each of these standards. These issues are discussed extensively in Whitaker et al. (1982) and by Mastrofski and Wadman (1991) whose works provide technical references of value to agencies struggling with these issues.

Performance Measurement Issues in a Community Policing Context

The issues that characterize performance analysis in a community policing context are much like those in any police setting. The requirements outlined above remain the same, regardless of the organizational philosophy. For neither community policing nor more traditional approaches are they easily met, and conflicts among them are not readily resolved. The goal of equity, for example, may conflict with the goal of validity. When jobs are as dissimilar as police patrol work may be across different assignments or different areas of a community, the need for equity may reduce the evaluated job dimensions to the most common elements of the role. The result is an evaluation that fails to reflect any officer's actual job.

Concerns for both legality and reliability have pushed departments toward quantifiable performance indicators. The emphasis the policing profession began to put on the crime fighting aspects of the police role in previous decades (Kelling and Moore, 1988), also created pressure toward quantifiable measures. Unfortunately, the most important indicators may be those that are the most difficult to quantify. The indicators that were most readily available were those associated (even if spuriously) with crime fighting (e.g., rapid response, numbers of arrests) and with organizational regulations (e.g., tardiness, sick time, accidents, etc., see Kelling, 1992.). When important behaviors or activities cannot be counted, the ones that are counted tend to become those that are considered important (Wycoff, 1982a). The

emphases on the crime function and on quantitative assessments have led to performance assessments that overlook as much as seventy percent of the police role (Wycoff, 1982b).[3]

Revision of performance evaluation to reflect the multifaceted roles of police work is a responsibility many police managers need to accomplish in the 1990s, regardless whether they have any interest in changing their organization's current approach to policing. Community policing, problem oriented policing, and NOP all encourage officers to expand their role, exercise more discretion, and tailor responses to address citizen expectations. To a large extent, however, these concepts strongly encourage managers to acknowledge and support activities officers have always performed, but which have gone officially unrecognized. As Trojanowicz and Bucqueroux (1992) note, the challenge is (as it always has been) one of

> ...finding ways to express quality as quantity, in other words, to make quality a countable commodity...the challenge is to identify quantifiable outcomes that truly relate to the job and to ensure that this does not corrupt Community Policing[4] into policing by the numbers.

Community policing draws attention to other issues about employee performance evaluation, such as:

- the means by which sergeants and lieutenants can hold officers accountable for the greater discretion they are permitted;

- the inclusion of the community in the evaluation process; and

- the evaluation of team, or unit, or organization as distinct from the evaluation of the individual officer.[5]

Weisburd, McElroy and Hardyman (1989) suggest that the paramilitary model of policing facilitates close supervision of the traditional role but is inappropriate for the broader, more

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3 *The record of researchers is no better in this respect than the record of police managers. Despite their disclaimers about the validity and reliability of such indicators, researchers continue to use recorded crime data, arrest data and administrative data as indicators of performance and outcome because other indicators are unavailable or are too costly or time-consuming to create. This fact led to Kelling's (1978) call for "...a modest moratorium on the application of crime related productivity measures" until the full range of the police role could be documented and decisions made about how to measure a much wider range of police activity.*

4 *(or any other orientation to policing)*

5 *There is also, of course, the issue addressed by Trojanowicz and Bucqueroux (1992), Wadman and Olson (1990) and others of the need to develop <u>outcome</u> or impact measures that correspond to the problems officers are trying to solve in communities. We do not deal with that issue in this discussion, since it is beyond the scope of the performance evaluation system designed and tested in this project.*

discretionary[6] role of the community police officer (see also Goldstein, 1979 and Bittner, 1980). While it is debatable how many sergeants effectively "supervise" their officers in departments that traditionally restrict what officers are allowed to do, it is clear that community policing will require a reformulation of the sergeant's role that corresponds with changes in the responsibilities of officers.

As officers continue to refine and improve their ability to react to service demands, they will be expected to become more involved in implementing proactive strategies. When time permits, officers will be expected to develop active partnerships with local residents and businesses as a means of addressing crime and noncrime issues. The net effect for sergeants is they will be expected to become more efficient managers, team builders, and group facilitators as opposed to devoting the majority of their time to supervision. A sergeant's ability or inability to effectively perform these functions will have a direct bearing on the successes or failures of his or her officers.

The inclusion of the community in the performance evaluation process is not commonly a goal of traditional departments, except insofar as they attend to complaints from citizens about improper police activity. Community policing takes as a basic tenet the need to match police service to the perceived needs of citizens. This means that departments will need to collect data about what services citizens want and about whether citizens believe their service needs are being met. A number of means have been advocated for accomplishing this. Numerous departments have used community meetings as a forum for eliciting service needs and preferences. Some (e.g., Grand Rapids, Michigan; Houston, Texas; Newark, New Jersey) have employed door-to-door surveys conducted by officers, and a few with substantial resources (usually provided by grants) have conducted scientific community surveys. The Madison, Wisconsin Police Department routinely surveys by mail a sample of all citizens who have received service from the department in an effort to measure satisfaction and to collect information about ways of improving service.

Another issue raised by community and problem oriented approaches is the need to examine the appropriateness of individual employee evaluations. Some departments are emphasizing a focus on the team or workgroup rather than the individual. Those that retain individual evaluations may abandon the evaluations as a means of differentiating among employees for the purpose of rewards and use the individual evaluations, instead, as a means of helping individual employees identify and meet their own career goals (Gabor, 1992).

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6 *Discretion and the greater flexibility it gives an officer for how, when and where to use time is not a new issue for supervisors. It has always been an issue for rural police departments and sheriff's agencies in which officers and supervisors may never have occasion to meet after roll call (and, sometimes, not even at roll call). Researchers need to develop information about supervision in these types of agencies.*

The Madison and Houston police departments, for example, while having parallel goals of decentralization and community policing, have taken different approaches to individual performance evaluation. Madison has, at least for the present, abandoned them. Acknowledging the shortcomings of traditional performance evaluations, that department has eliminated them until a more appropriate process can be developed. In the meantime, the organization is emphasizing the improvement of organizational systems (including management) and the development of teamwork. Discussions of performance focus on the changes or improvements that need to be made in order to support the work of officers in the field. Evaluations are made of managers by employees that take the form of questions about the changes the manager needs to make in order for the employee to function more effectively. These critiques are for the purpose of information gathering rather than "grading," and they are used by managers for self-diagnosis.

Patrol officers in Madison's Experimental (South) Police District receive evaluations directly from citizens. The survey the department mails to service recipients is returned directly to the officer who delivered the service. The identity of the citizen is not known, but the officer has general information about the type of situation on which the evaluation is based. Officers decide whether to share their personal evaluations with peers and supervisors. After reading it, the officer removes his identification from the survey and gives it to the supervisor. The individual responses are then aggregated to determine whether the district as a whole is meeting citizen expectations.

At a similar stage in its own re-direction of philosophy, the Houston Police Department invested significant effort in redesigning individual performance evaluations so they would reflect the job officers were now being encouraged to perform. Houston, like many other departments, does not have the same legal latitude as Madison to eliminate individual performance evaluations. More importantly, Houston managers view performance evaluation as a critical support system to be used to communicate and reinforce expectations about the new philosophy. Like Madison, Houston has included means of having officers evaluate supervisors and of having citizens evaluate officers in the new performance evaluation process.

The appropriate role of employee performance evaluations in a community policing context (or perhaps any policing context) is an issue that is being explored. The answers for each department may depend ultimately on the uses the agency wishes to make of the evaluations. Perhaps, as agencies embracing the Demings philosophy of management argue (Scholtes, 1987), there is no reason to "grade" individuals relative to each other. There is still a need to evaluate performance in accordance with standards; however, one should recognize those standards will change over time and they will require people to think differently about the type of work being performed. For example, future evaluations may be ured as a means of:

- informing governing bodies about the work of the organization, an accountability that will become ever more critical in the face of shrinking resources;

- determining the nature of problems in various neighborhoods and the strategies that are more or less effective in dealing with them;

- permitting officers to record and "exhibit" the work they are doing; and

- determining career objectives and progress for individual employees.

Some organizations may improve individual evaluations to better serve these purposes, and others may design alternative means of accomplishing these ends. One of the valuable consequences of the current interest in community policing may be a variety of new approaches to performance measurement.

maintain interrater reliability among the evaluators despite differences in officers' job assignments.

The performance expectation associated with NOP clearly exceeded the capacity of the department's present assessment instrumentation. Furthermore, the current instrumentation failed to clearly convey the full scope of managerial expectations associated with NOP. Both of these concerns were remedied by the creation of the new performance evaluation instruments.

All personnel regardless of rank or assignment are evaluated twice a year, once in February and once in August. Grievance procedures are available for an officer to pursue should a disagreement arise regarding their performance evaluation.

A.2.2. Neighborhood Oriented Policing

In recent years, the Houston Police Department began developing a management philosophy that governs, in particular, patrol operations. In defining Neighborhood Oriented Policing as a management philosophy, the department is providing its managers with a conceptual framework to direct a multiplicity of organizational functions to efficiently address citizen needs and demands. This "results-oriented" philosophy requires that management integrate the desires and expectations of citizens with actions taken by the department; the goal is to identify and address conditions that negatively impact the city's neighborhoods.

This means officers must be allowed to work in neighborhoods to identify and respond to neighborhood crime problems and noncrime concerns that contribute to criminogenic conditions. Houston's demographic divergence challenges officers to carefully analyze the types of services that should be delivered and the way in which those services should be delivered. Officers have found themselves becoming ex officio managers of service within their respective neighborhoods, responsible for performing a multiplicity of different functions. One way to understand these functions is as components of an operational continuum.

The first component on this continuum is the reactive function which focuses on providing immediate responses to service demands. The second is the proactive function which consists of short-term tactical responses as a means of interdicting criminal activity. The third component is the coactive function which includes self-directed initiatives and the development of partnerships within the neighborhoods to provide strategic responses to continuing crime and noncrime problems. Each of these functions requires officers to assume a variety of different responsibilities.

The most familiar component on the continuum is the reactive function. This function is as viable now as it was several decades ago. Despite the rhetoric that police agencies should minimize their commitment to reactivity, it remains the public's central expectation of police

agencies. If these responsibilities are not performed in an efficient manner, it becomes very difficult for the officers to perform responsibilities associated with the proactive and coactive functions.

The reactive function consists of several responsibilities to be performed by the patrol officer, all of which are critical to maintaining order and combating crime. They include handling calls for service, enforcing local and state traffic ordinances, conducting initial investigations, arresting criminals and, when visibility is a necessity, performing preventive patrol. Of the five responsibilities, handling calls for service consumes most of the officer's time.

With the adoption or development of several differential police response strategies (e.g., use of prioritization codes, call stacking procedures, supervisory override, teleserve, etc.), the department has been trying to establish the capacity to efficiently manage calls for service. Paralleling these strategies is a commitment by field personnel to begin examining data on repeat calls for service. The isolation and analysis of this information contribute to identifying causal factors which, if properly addressed, could lead to a reduction or elimination of these types of calls.

Since calls for service place the largest demand on police resources, their efficient management can generate more uncommitted time for officers to use as they deem appropriate. Although there is open debate in Houston over just how much time an officer has available when not handling calls for service or writing reports, the goal is to encourage officers to direct their uncommitted time toward specific neighborhood-based objectives.

In many instances, neighborhood residents are concerned about "street crimes." Such crimes as burglary, robbery, aggravated assaults, sexual assaults, street corner drug peddlers, neighborhood crack houses, shootings and cuttings all contribute to creating an atmosphere of fear in and around homes and businesses. When these crimes occur, the citizens expect the police to respond rapidly and arrest the criminal(s). To prevent such crimes, rather than react to them, the police must move to the second component on the operational continuum and become proactive.

The proactive function requires officers to develop directed or structured patrol strategies in response to identified crime and disorder problems. These strategies are intended to initiate action to interdict criminal activity before it happens, by using multiple tactics. The need for directed patrol strategies might be identified by police officers, sergeants, crime analysts, and in some instances, citizens. Examples of these strategies and tactics include: aggressive patrol tactics (e.g., use of saturation patrols, traffic stops, channeling, etc.), covert tactics (e.g., stakeouts, use of plainclothes, etc.), and surveillance tactics (e.g., physical and electronic).

Directed patrol strategies require not only time, but information and a commitment from the officers to short term tactical planning. Officers are required to collect information on crime trends and patterns from tactical crime analysis units. With this information added to their

own knowledge of the area and problem, officers are expected to devise a plan of action. Such planning requires officers to become proficient in identifying resources, formulating appropriate procedures, coordinating and facilitating implementation steps, anticipating and assessing results, and conducting necessary follow-up activities.

Another proactive responsibility is the performance of follow-up investigations. Patrol officers should be allowed to take a more active role in conducting these types of investigations. In the Rand study, Greenwood (et al., 1975) found that substantially more than half of all serious reported crimes receive no more than superficial attention from investigators. For cases that are solved, (i.e., a suspect is identified), an investigator spends more time in post-clearance processing than he does in identifying the perpetrator. Greenwood states the single most important determinant of whether or not a case will be solved is the information the victim supplies to the immediately responding officer. Furthermore, he states that "...of those cases that are ultimately cleared but in which the perpetrator is not identifiable at the time of the initial police incident report, almost all are cleared as a result of routine police procedures. . . that is, they required no imaginative exercise of investigative experience and skills. Clearly, the patrol officer should become more involved in the investigative function. By being allowed to pursue active leads that eventually result in early case closures, investigators will have more time to spend on the most serious cases. "

The proactive function incorporates the performance of four basic responsibilities: directed patrols, crime analysis, tactical planning, and follow-up investigations. Self-initiation by the officer is a common theme woven throughout each of these responsibilities. The proactive function requires the police to assume direct responsibility for taking action; the public continues to be viewed primarily as a passive observer.

However, despite knowing that crime patterns arise from a wide variety of conditions such as opportunity, citizen apathy, and victim vulnerability, a proactive response might not be sufficient. Academicians, practitioners and common sense all suggest such problems can best be handled through the combined efforts of the police, the public, and other public and private service organizations. These joint efforts constitute the coactive approach, the third component of the operational continuum.

The coactive function can best be described as an active outreach and systematic engagement between the police and the public for the purpose of identifying and addressing localized problems of crime and disorder. Coactivity operates on the premise that once officers establish contact with citizens, communication will increase. Extensive, consistent communication focusing on the identification of crime and noncrime problems will eventually evolve into a relationship characterized by trust. As trust is formed, the willingness to exchange information increases. This is important, as noted by Skogan (1990), because citizens hold a virtual monopoly over information, the key weapon in combating crime.

In a coactive approach, officers and managers are expected to develop strategic or long term plans in response to more complex and sophisticated crime problems. Unlike tactical planning which depends on the use of tactical crime analysis information, strategic planning is dependent upon strategic analysis. The purpose of strategic analysis is to obtain information which will help explain "why" problems exist within neighborhoods. Strategic analysts will attempt to identify conditions that contribute to and perpetuate crime.

Strategic planning is usually associated with addressing crime problems that do not necessarily lend themselves to short term, tactical resolutions. The complex problems involving the acquisition, distribution, and use of illegal narcotics and abuse of prescription drugs demands long term, coordinated efforts among many agencies. Auto theft is another sophisticated problem that cannot be readily addressed by singular actions taken by patrol officers. The problem of vice represents another area of application. Gambling, prostitution, pornography, and liquor law violations are well organized crimes requiring extensive planning and coordination of response efforts.

The coactive function requires the patrol officer to be proficient in self-direction. As officers become more familiar with their assigned area, their knowledge of service demands and concerns increases. Management must entrust and empower the officer to take definitive action in response to those demands. This also means the officer must work with his or her sergeant to determine how to effectively and efficiently manage the delivery of service within neighborhoods.

The coactive function requires officers to be able to manage their own time and the allocation and utilization of available resources. Since uncommitted periods of time are irregular, officers must become adept in knowing what they can legitimately accomplish within reasonable time frames. And, as noted earlier, time availability and deadlines are largely affected by the department's ability to devise a system for managing calls for service.

Self-direction also requires an officer to manage the involvement of other officers and investigators to resolve crime problems within their respective neighborhood. Certain people may possess expertise which is needed in a given area. Officers are expected to contact these people, explain why they are needed, seek their assistance in addressing the problem; and, while working in conjunction with their sergeant, learn how to coordinate their involvement.

The officer's attention to area problems serves as the basis for a bond between the officer and citizens who reside and work in the officer's assigned area. The nature of the relation goes beyond interaction to actual involvement and a commitment of resources by the public as they work with the police. By developing a grass roots process of close interaction, the department's method of establishing goals becomes directly linked to citizens' perceptions and expectations regarding localized needs.

The reactive, proactive, and coactive functions require officers to possess a vast array of skills. Officers must also have the latitude to apply these skills. Supervisors will need to be able to assess the effectiveness of officers in applying those skills. In recognizing this need, the Houston Police Department made the commitment to reexamine the entire scope of performance evaluation as it applied to patrol officers. Management accepted the fact that the existing evaluation process was incapable of capturing sufficient information about all of the things officers do. With this understanding and the full support of the department's executive management staff, the performance evaluation committee members devised new instrumentation, criteria, and processes. The committee established performance criteria which blended the reactive, proactive, and coactive responsibilities into a format that was field tested by patrol personnel.

A.3. Project Objectives

The primary objectives of the research project were to measure the extent to which the performance assessment . . .

1. . . . affects officers' and supervisors' knowledge of the NOP philosophy.

    Knowledge will focus on being able to associate the philosophy with:

    a. clarification of roles/responsibilities - the changes and their relationship to each other as they relate to the reactive/proactive/coactive policing continuum;

    b. empowerment - increased decision making authority;

    c. role expansion - latitude to do more if the situation or encounter demands and resources are available;

    d. managerial implications - a need to utilize managerial skills to meet increased responsibilities;

    e. citizen involvement - expectation that citizens should become actively involved in working to identify and address crime and disorder problems;

    f. integration - role of team approach and need for coordinated support services to address neighborhood issues;

    g. use of data - knowledge and utilization of information from different sources to identify problems;

    h. familiarity - working with citizens and neighborhood groups as a means of acquiring data; and

    i. the role of planning - its relationship to problem solving.

2. . . . affects officers' and supervisors' perceptions of the behaviors appropriate to the NOP philosophy.

    a. Traditionally, officers and supervisors have viewed their respective roles and responsibilities from a narrow perspective. Departments have failed to respond to the fact that service demands vary from one neighborhood to the next. As those

differences increase or otherwise change, the officers must become more flexible in their ability to address those concerns. While officers are expected to continue performing reactive responsibilities, albeit more efficiently or creatively, they are encouraged to develop new proactive skills (e.g., utilizing crime analysis data, planning courses of action, managing the utilization of resources, implementing directed patrol strategies, conducting follow-up investigations, etc.) and coactive skills (e.g., developing active partnerships with citizens, businesses, other municipal government departments, and social service agencies, thinking and planning strategically to address long term objectives, engaging in self-directed activities, etc.).

b. Supervisors are also expected to change their roles and responsibilities. More of an emphasis will be placed upon management and facilitation with a corresponding decline in dependence on supervision (unless circumstances require otherwise). The supervisor should be the most knowledgeable person about the status of neighborhood activities performed by the officers and investigators. The supervisor should seek to guide, direct, and support the officers. The supervisor should strive to enrich the officers' job. Furthermore, supervisors should:

- conduct meetings with the officers to discuss the type of problems which exist in their respective neighborhoods;

- discuss with the officers the rationale they used to prioritize problems and, when necessary, collectively decide appropriate responses;

- act as a coordinator, securing assistance from other officers, investigators, or analysts;

- assist officers in the development and implementation of various strategies and tactical responses; and

- regularly meet with officers to discuss the status of activities occurring within their neighborhoods.

3. ... increases productivity which would include changes in the type of work to be performed, changes in the amount of work , and changes in the quality of the work .

4. ... increases the consensus between sergeants and officers on the nature of each other's work.

a. The new performance assessment process and instrumentation is explicit in identifying behavioral expectations for the patrol officers. Contrary to the existing instrument which is vague and open to vast subjectivity, the new forms direct observations toward certain types of behavior and provide opportunities to record the performance of different skills exhibited by the officers.

b. Because of this specificity, sergeants will need to alter their relationship with their officers. This means sergeants will have to perform activities normally not expected (See objective #2) of them. This objective will attempt to verify consensus between the parties by determining if officers and sergeants believe they are each doing what the other expects them to do.

5. ... facilitates officers' learning to manage their uncommitted time.

> There is concern as to how the officers use their uncommitted time. It is anticipated that officers' performance in this area will be directly influenced by the performance criteria contained within the instrumentation. We have attempted to document the criteria that motivates the officer to organize and manage uncommitted patrol time.

6. ... affects officers' level of satisfaction with their job.

> Satisfaction with the job was measured by a series of established scales included in the personnel survey.

7. ... affects officers' levels of satisfaction with their department.

> Satisfaction with the department was measured by a series of established scales included in the personnel survey.

8. ... can have a discernible, short-term impact on citizens' perceptions of the way in which police deliver service to the community, including perceptions about and satisfaction with the nature of the information the officer shared with them, the officers' demeanor, and specific actions the officers took in handling the case.

Additionally, the research assessed officers' and supervisors' ability to utilize the new process and captured information about ways in which the process might be improved.

A.4.   Project Description

The project had three phases. In the first phase, a task force of personnel from the Westside Command Station Operations Division was created to convert the NOP philosophy into meaningful tasks, roles, and skills to be performed by the patrol officers. This information ultimately would serve as a basis justifying any method used for documenting and evaluating the individual performance.

During the second phase, a second task force consisting of patrol officers was formed to develop new evaluation procedures and instruments based on the task analysis performed by the first task force.

The project's third phase was the implementation and evaluation of the new process.

A.4.1. Phase One: Role Definition

The entire performance measurement project was designed and directed by the project's Internal Advisory Committee which consisted of the Department's Project Director, the Project manager, a representative from the Chief's office, the Deputy Chief from the Westside

Patrol Bureau, the Captain from the Westside Command Station Operations Division (WCSOD), and the Police Foundation consultant.

The project grant, as originally written, called for the involvement of WCSOD personnel in the description of their activities under the context of NOP. Initially, it was planned that parallel and overlapping task forces would work simultaneously to describe the patrol activities performed by officers, sergeants, and lieutenants. However, a meeting with a group of WCSOD sergeants, held during the second month of the project, indicated that the concept of NOP still needed operational definition and that it would be more fruitful to focus first on the responsibilities performed by police officers. Until the officer's job became more clearly defined, it would be too difficult to achieve a consensus about sergeants' responsibilities.

A task force of eleven WCSOD patrol officers, one investigator, and two sergeants was formed. The group met eight times over a six month period to discuss the nature of the activities being conducted by patrol officers and the implications for measuring them. The task force meetings were facilitated by the Project Managers and frequently were attended by the Westside Patrol Bureau Deputy Chief and the WCSOD Captain. In addition to discussing the nature of their evolving jobs and deciding how best to describe what they were attempting to do, the task force sent representatives to four other cities committed to community policing or problem-oriented policing to determine how those organizations defined and documented performance. The departments they visited were in New York City, Baltimore County, Maryland; Newport News, Virginia; and Madison, Wisconsin.

In addition to exploring the purpose, advantages, and disadvantages of various means of documenting performance, the task force developed a list of tasks, roles and skills they felt best described how NOP would affect the job of a patrol officer (Figure 3-1).

At this stage, the decision was made to expand officer participation in the project. The Project Director and Project Manager met with volunteers recruited from each shift at Westside to help in validating the roles the task force had identified. The project leaders learned that:

- the means of implementing NOP varied by shift;
- many officers felt NOP was too new to attempt to document its implementation;
- many favored abandoning individual performance evaluations; and
- officers felt managers needed to better understand the actions officers were taking to implement NOP and that there was a lack of consensus between officers and managers as to what these appropriate actions were.

In response to the last point, the Project Manager developed a data collection instrument designed to capture detailed information about the actions of police officers, sergeants, and lieutenants who were trying to operationalize NOP in terms of specific responsibilities. The rea-

son for collecting broad-based input from a variety of different perspectives was that it would identify both consensus and diversity of opinion about the officer's roles.

FIGURE 3-1

Tasks, Roles and Skills for the Neighborhood Oriented Police Officer

TASK	ROLE	SKILL
Collect data	Planner	Research/interview
Identify problem	Planner	Observation/analytical
Define problem	Planner	Observation/analytical
Documentation	Planner	Organization/writing
Set goals	Planner	Analytical
Prioritize problems	Planner	Analytical/observation
Respond to calls	Law enforcer	Interview/write report
Devise enforcement	Law enforcer	Analytical/problem strategy solving
Do case follow-up	Law enforcer	Investigative
Do crime prevention	Law enforcer	Teaching
Identify informants	Law enforcer	Interviewing/rapport development
Prepare reports	Law enforcer	Writing
Develop action plan	Problem solver	Analytical
Identify resources	Problem solver	Analytical
Identify constraints	Problem solver	Analytical
Implement action plan	Problem solver	Expediting
Monitor action plan	Problem solver	Observe/document
Utilize resources	Problem solver	Expediting
Seek supervision	Problem solver	Judgment
Interact w/citizens	Comm. organizer	Communication
Interact w/elected officials	Comm. organizer	Communication
Interact w/community leaders	Comm. organizer	Communications
Attend meetings	Comm. organizer	Communications
Develop targeted programs	Comm. organizer	Communications
Develop contacts	Comm. organizer	Rapport development
Network	Comm. organizer	Human relations
Organize groups	Comm. organizer	Comm. organizing
Provide advocacy	Comm. organizer	Strategize
Create liaisons	Comm. organizer	Human relations
Make presentations	Comm. organizer	Planning, speaking
Serve as HPD spokesperson	Comm. organizer	Public relations
Share information	Comm. organizer	Communication

Furthermore, this information would help the department better understand what was needed in order to more efficiently manage the overall efforts to institutionalize the philosophy on a department wide basis. The survey would also allow for extensive officer input into the development of a new performance assessment process.

Eight members of the task force were trained as facilitators, each of whom was to identify six other officers to complete the instrument. Patrol officers and personnel assigned to the Department's Positive Interaction Program and to storefronts participated in the project. Forty-nine surveys were completed. From these the Project Consultant compiled a list of attitudes and activities identified in the forms as being central elements in operationalizing the philosophy of NOP (Figure 3-2). It should be noted that the role of an officer working under the context of NOP would be broader than that indicated by Figure 3-2. In this exercise, officers focused only on those aspects of the role they perceived to be different from traditional policing responsibilities.

This information is extremely valuable in orienting officers to their responsibilities in the context of community policing. The information guides managers in accounting for results and managing resources. The material also identifies curriculum issues for pre-service and in-service training programs.

FIGURE 3-2

Attitudes and Tasks Identified by Houston Officers as Critical to NOP

Attitudes/Beliefs

1.	Sense of personal responsibility for area and its people
2.	Belief in importance of attempting to improve conditions in area
3.	Belief that concerns of residents matter
4.	Belief that citizens possess information necessary for police to do their jobs well
5.	Commitment to educating/empowering citizens
6.	Belief in working with citizens to solve problems
7.	Belief in working with other government or community agencies to solve problems
8.	Willingness to make "extra" efforts

FIGURE 3-2 *continued*

Tasks/Activities

Activities are listed beneath the tasks they are intended to accomplish.
Several activities could be used to accomplish a number of different tasks.

1. **Learn characteristics of area, residents, businesses**
   a. Study beat books
   b. Analyze crime and calls-for-service data
   c. Drive, walk area and make notes
   d. Talk with community representatives
   e. Conduct area surveys
   f. Maintain area/suspect logs
   g. Read area papers (e.g., "shopper" papers)
   h. Discuss area with citizens when answering calls
   i. Talk with private security personnel in area
   j. Talk with area business owners/managers

2. **Become acquainted with leaders in area**
   a. Attend community meetings, including service club meetings
   b. Ask questions in survey about who formal and informal area leaders are
   c. Ask area leaders for names of other leaders

3. **Make residents aware of who officer is and what s/he is trying to accomplish in area**
   a. Initiate citizen contacts
   b. Distribute business cards.
   c. Discuss purpose at community meeting
   d. Discuss purpose when answering calls
   e. Write article for local paper
   f. Contact home-bound elderly
   g. Encourage citizens to contact officer directly

4. **Identify area problems**
   a. Attend community meetings
   b. Analyze crime and calls-for-service data
   c. Contact citizens and businesses
   d. Conduct business and residential surveys
   e. Ask about other problems when answering calls

5. **Communicate with supervisors, other officers and citizens about the nature of the area and its problems**
   a. Maintain beat bulletin board in station
   b. Leave notes in boxes of other officers
   c. Discuss area with supervisor

6. **Investigate/do research to determine sources of problems**
   a. Talk to people involved
   b. Analyze crime data
   c. Observe situation if possible (stakeout)

7. **Plan ways of dealing with problem**
   a. Analyze resources
   b. Discuss with supervisor, other officers
   c. Write Patrol Management Plan, review with supervisor

8. **Provide citizens information about ways they can handle problems (educate/empower)**
   a. Distribute crime prevention information
   b. Provide names and number of other responsible agencies; tell citizens how to approach these agencies

9. **Help citizens develop appropriate expectations about what police can do and teach them how to interact effectively with police**
   a. Attend community meetings/ make presentations
   b. Present school programs
   c. Write article for area paper
   d. Hold discussions with community leaders

10. **Develop resources for responding to problem**
    a. Talk with other officers, detectives, supervisors
    b. Talk with other agencies or individuals who could help

11. **Implement problem solution**
    a. Take whatever actions are called for

12. **Assess effectiveness of solution**
    a. Use data, feedback from persons who experienced the problem, and/or personal observation to determine whether problem has been solved

13. **Keep citizens informed**
    a. Officers tell citizens what steps have been taken to address a problem and with what results
    b. Detectives tell citizens what is happening with their cases

A.4.2. Phase Two: Development of Personnel Performance Assessment Process

An External Advisory Committee was convened to discuss the purpose and nature of performance evaluation processes, and the different forms a new process might take in Houston given the information that had been developed about the role of an officer under NOP. The committee included: Captain Ted Balistreri, Madison Police Department; Commander Curt Curtsinger, Los Angeles Police Department; Diane Hill, researcher with the Police Executive Research Forum; Dr. George Kelling, researcher with Harvard University's Kennedy School; Lois Mock, program monitor for the National Institute of Justice; Cynthia Sulton, Security Advisor with Mobil Corporation; and Robert Wasserman, Special Assistant to the Massachusetts Port Authority.

The two day meeting centered around several panel discussions with various groups, including the project team, the internal advisory committee, the Westside Command Station task force and other department representatives. Panel discussion topics included:

1. Examining Performance Evaluation as a Constructive Function Under Neighborhood Oriented Policing;

2. Identifying Performance Evaluation Criteria;

3. Assessing Results in Relation to Citizen Needs and Expectations; and

4. Determining Responsibilities for Performance Evaluation (e.g., roles of supervisors, citizens, officers).

Following the External Advisory Committee Meeting, a second Westside task force, consisting of thirteen patrol officer volunteers, was organized to develop the instruments for the new performance assessment process.

Over a period of six months, this committee grappled with a number of questions, including:

1. What is the purpose of a performance evaluation process?

   • This discussion included recognizing the need for written documentation, justifying pay raises, consideration in internal affairs investigations, transfer requests, improved morale, enhanced professional image, and promotional considerations.

2. What should you (the officer) be evaluated on?

   • This discussion entailed an analysis of activities, skills, results.

3. Who should be involved in the assessment process?

   • This discussion stressed the importance of evaluation input from citizens, supervisors, investigators, and self, but rejected peer assessments. It

should be noted that the committee wished to pursue team assessment criteria, but believed the department was not yet capable of supporting this position.

4. What should each of these groups/individuals evaluate you (the officer) on?

   - The discussion centered on three parties: citizens, supervisors, and investigators. Citizen criteria included factors under the labels of Communications/Relationships and Problem Solving. Supervisors were to focus on a variety of skill areas. Investigators were to provide feedback on communications, knowledge, relationships and follow-up initiatives.

5. In order to assess performance, committee members formulated the following questions for patrol officers:

   - What kind of results have you personally contributed toward while working in the department?

   - How is what you are doing impacting the neighborhood?

   - What do you hope to accomplish with your patrol management plans over a six month period of time?

   - Other than through the use of a patrol management plan, how else have you caused change to occur in your assigned neighborhood?

The answers to all of these questions contributed to the committee's efforts to design evaluation instrumentation. These efforts involved creation of numerous performance criteria, accompanying performance factors, and scaling criteria. It took the committee approximately six months to complete their task.

Upon completion of this work, the Project Director held meetings with all of the WCSOD sergeants and other Department managers to present and discuss the work of the task force. Using this input, the task force made a final revision of the forms which are described in Section B below and are presented in their entirety as Appendix B.

A.4.3. Phase Three: Implementing and Evaluating the New Process

In February of 1991 meetings were held with the sergeants and patrol officers from two patrol areas (Westside and North Shepherd) who would be using the new process on an experimental basis. The sergeants were briefed on the history of the project and how the new instrumentation was developed. Time was spent discussing the purpose of the forms and how they were to be used. The design of the experiment was explained, including the fact that sergeants and officers would be required to use the instruments every two months or three times within the six month test period rather than once every six months as they were accus-

tomed to doing. Substantial time was allowed for questions and group discussion. Each participant was provided a booklet that described the new system, its purpose, the means by which it had been developed, and guidelines for using the forms.

Following these orientation sessions, pre-test data for the evaluation, which is discussed in detail in the next section, were collected. The use of the forms was monitored throughout the six months implementation period, and post-test data were collected seven months after the pre-test.

A.4.4. A Final Phase: Decision and Dissemination

A last phase of this project will not have occurred when this report is completed. It is anticipated the Command Staff will make a final decision regarding full scale department-wide implementation based in part on the data generated from this study.

Independent of this decision, the Department sponsored a workshop for other departments interested in re-designing their performance evaluation process in accordance with their community policing initiatives. A report summarizing the workshop proceedings will become available.

B.   Description of Forms, Their Purpose and Application

The performance evaluation instrumentation for patrol officers and their respective sergeants consists of a packet containing six forms each of which is described below. (The forms are available in Appendix B.)

1. Patrol Officer's Bi-Annual Assessment Report:

   - This is the primary instrument to be used to evaluate officer performance across 22 different criteria. Additionally, space is provided for commentary regarding work assignments, work progress, accomplishments, and special recognition. Officers are also allowed to provide written comments regarding their evaluation. The material contained within this instrument reflects the department's expectations regarding officer responsibilities under Neighborhood Oriented Policing.

2. Patrol Officer's Monthly Worksheet:

   - This form serves as a tool to guide the officers' actions during their tour of duty. In using this form, the officer has an opportunity to have direct input into his/her own evaluation. Officers can identify the different types of projects, strategies; or programs they are working on for a specified period of time, as well as the accomplishments they are making.

3. Community Information Form:

   * There will be times when an officer spends a lot of time working in the community with citizens on various types of projects. This form is to be completed by the citizens who have worked on projects with the officers. The information requested is quite specific and will provide the sergeant with additional insight as to how and what officers are trying to accomplish. Officers have the option of determining if they want to use this form.

4. Calls For Service - Citizen Feedback Form:

   * The most frequent officer-citizen contact is during the handling of calls for service. This form is designed for the sergeant to use in obtaining information about the nature of that contact. The citizens will be asked a few questions about the quality of the interaction. Sergeants are to use this form at least once a month during the test period.

5. Investigator Questionnaire:

   * Officers have been and will continue to be expected to conduct quality criminal investigations. This work is seldom reviewed by the officer's immediate supervisor, yet the information contained within the report is essential to the investigative sergeant. This form is designed to obtain information from the investigative sergeant about the officer's knowledge and performance in the handling of preliminary or follow-up investigations. Again, it is the officer's option to determine whether s/he wants to use this form.

6. Officer's Immediate Supervisor Assessment Form:

   * Officers are given an opportunity to provide information about the performance of their immediate sergeant across a number of different topics. Although cursory in nature, this information, when given to the sergeant's superior (the district lieutenant), has the potential of identifying significant trends about the nature of the relationship between a sergeant and his/her officers. The officers are required to complete the form but have the option of signing their name to the document.

This instrumentation represents a radical departure from the present forms being used within the department. The information that can be collected from a variety of sources is designed to provide the sergeant with a broad perspective on what the officer is accomplishing during each evaluation period.

Further descriptive information regarding the forms, the performance factors and scaling criteria is contained in Appendix C.

C.   Evaluation Design and Methodology

C.1.   Design

The design of the evaluation is a quasi-experimental one, employing pre-test and post-test, treatment and control groups. The design is not a true experiment since the parts of the organization that participated in the study were not randomly selected, nor were the participating officers. For this project two patrol divisions were selected on the basis of similar geography and nature of work. These two divisions are responsible for providing services to five of the City's twenty Master Police Districts. Within each of the two divisions, an experimental and control area were randomly selected using a coin flip.

C.2.   Project Settings

One of the patrol divisions was the WCSOD, the site of the Department's first command station which served as the prototype for facilitating decentralization of police services throughout Houston. Westside also served as the area in which the organization's initial efforts to design and implement NOP were focused. Westside was chosen deliberately to provide a comparison of responses to the new performance process between a district that already was oriented to the philosophy and a district that might still be more traditional in focus.

The second patrol division selected for this study was North Shepherd. It was selected because it contained some residential areas similar to some in the Westside area and because it was not scheduled immediately to participate in any other new programs that might confound the study of the performance evaluation process.

Organizational wisdom held that Westside and North Shepherd were substantially different in the extent to which they had been exposed to, and had adopted, the Neighborhood Oriented Policing philosophy. However, there were no hard data in advance of this study to verify the perceived differences.

Westside was in the process of developing operational understandings of NOP even as the task force for this project was doing its work. Indeed, the efforts on this project contributed to an operational definition of the philosophy.

This struggle to come to grips with the operational implications of NOP either involved or affected all personnel at the Westside station. If there were some officers who did not agree

with the direction of change, there was none at Westside who was unaware that it was occurring. Westside officers received training and support materials designed to reinforce the philosophy, and they were led by executive managers who were strong advocates of the expanded police role.

There were numerous reports of problem-solving efforts being undertaken by some Westside officers, and there was considerable discussion among officers about which supervisors were more supportive of NOP ideas than others. Additionally, as discussed elsewhere, many Westside officers suggested system changes that needed to be made if they were to be able to function successfully in their broader roles.

None of this kind of activity was occurring at this time at North Shepherd. Officers there were aware of the NOP philosophy, as was the entire department. Some officers there were engaged in problem-solving activities as some officers always have. The difference is that North Shepherd was not receiving the rather intense managerial, structural, and system support for implementation of the philosophy that Westside was then receiving.

Although there was no comparative evaluation of the extent to which the two stations had actively adopted the philosophy, analysis of officer data collected for this project indicated that Westside officers were more inclined to report a variety of attitudes consistent with the philosophy than were North Shepherd officers. Westside officers also reported themselves as engaging in more activities related to NOP than did North Shepherd officers.

Data were gathered from each of the two patrol divisions in an effort to identify which patrol districts within the areas would be similar in terms of crime rates and types of communities served. When the number of reasonably similar districts was narrowed to four, a meeting was held with the captains of the two areas to discuss the appropriateness of each area, both in terms of the characteristics of the areas served and the characteristics of the district supervisors. The desire was to work with sergeants who were not new to their units and were likely to remain in their present assignments through the course of the study.

Once the Captains affirmed the integrity and comparability of the four districts, the decision as to which would be the "treatment" or "experimental" area and which would be the "control" area was made with a coin toss. The officers who participated in the project were those already assigned to these areas.

The four districts each had from 40 to 70 patrol officers assigned to them. Each shift typically has two sergeants assigned to it and most sergeants supervised 7-9 officers. However, three sergeants in this study supervised 12, 14 and 16 officers respectively.

C.3. Research Methods and Analyses

There were three primary research objectives of the evaluation of the new performance evaluation process:

- monitor the administration of the new process;
- measure the impact of the new process on officer attitudes, perceptions, and reported activities; and
- measure the impact of the new process on citizen attitudes.

The methods for accomplishing each of these objectives are discussed in turn.

C.3.1. Monitoring the Administration of the Process

At the end of each of the three assessment periods, the evaluation forms were collected from the two experimental areas. They were analyzed in terms of the numbers of forms that were used and the extent to which each form was utilized (e.g., the number of sections of the form which contained information). When collecting the forms, time was spent talking with sergeants and lieutenants in each area to determine what problems, if any, they were having in using the process and what types of reactions officers were having to it. After the formal test period ended, additional interviews were conducted with sergeants and lieutenants in all four research districts in order to assess their attitudes about the traditional performance measurement process and, in the experimental districts, also about the new one. The questions asked during these interviews are presented in Appendix D.

C.3.2. Measuring the Impact of the New Process on Officer Attitudes, Perceptions, and Reported Activities

Prior to the implementation of the new performance evaluation process, all officers in the two experimental and two control groups were administered a questionnaire designed to measure:

1. perceptions of the police role;
2. priorities assigned to elements of the role;
3. reported activity related to elements of the role; and
4. attitudes toward:
   - the job,
   - the organization,
   - the public,
   - supervision,
   - performance evaluation, and
   - background information about the respondent.

The questionnaire is reproduced as Appendix E.

The survey was conducted at the Police Academy and at the area stations and was administered by Academy personnel or by a Westside patrol officer who had been trained by Academy staff. Officers were paid for the time required to complete the questionnaire.

The same questionnaire was administered again nine months later, after seven months of implementation of the new performance evaluation process. Again, all personnel in each of the two experimental and two control districts were surveyed. At both survey periods, follow-up contacts were made with officers who had been away from the department when the survey was administered.

Although almost all officers in each of the four areas completed a questionnaire, the analysis conducted for this report was based on a panel consisting of only those officers who were assigned to the same area throughout the course of the project and who completed both a pretest and a post-test questionnaire. Table 3-1 presents the numbers of officers completing the questionnaire at each survey period.

TABLE 3-1

Numbers of Officers Completing Questionnaire
By Group, Pre-Test and Post-Test

GROUP	PRE-TEST	POST-TEST		
		PANEL	NON-PANEL	TOTAL
North Shepherd Experimental	72	58 (81%)	14	72
North Shepherd Control	90	62 (67%)	39	101
Westside Experimental	57	41 (72%)	17	58
Westside Control	74	44 (57%)	20	64
TOTAL	293	205 (70%)	90	295

The figures in parentheses in the middle column represent the panel as a percentage of the pre-test survey group. Overall, the completion rate for the panel was 70%, although it varied between 57% and 81% by group. The "Non-Panel" column under the Post-Test heading indi-

cates there was a considerable amount of personnel turnover (transfers, retirements, new hires) between the pre-test and post-test survey.

Questionnaires for panel members were matched across survey periods by means of an identification code available only to the external consultant who conducted the research project. Each questionnaire was stamped with a unique four-digit identifier that also was stamped onto a separate identification sheet that the respondent signed and returned to the surveyor. The identification sheet contained the respondent's employee number. For the post-test the same procedure was used. The external consultant matched the Time 2 identification sheets with the Time 1 sheets for those officers who completed a questionnaire at both times. For members of the panel, the number on the Time 2 questionnaire booklet was changed to the number that had been stamped on the Time 1 booklet. There are no individual identifiers on the questionnaire booklets themselves or on the data tape prepared from the questionnaires.[7]

C.3.2.1.   Analysis

Responses to the survey were factored and clustered to identify clusters of questions, for scores based on these clusters have greater reliability than responses to individual questions. Statistical tests were conducted for the experimental and control groups, together and separately within districts, to determine if there were significant shifts in officer attitudes and behaviors over the course of the evaluation. Analysis of variance was used to determine whether it was likely that any changes were associated with the program. This statistical test controlled for each officer's pre-test score, length of time in the department, level of education, and shift and district assignment. Each table presented in the report indicates whether post-test differences that take those factors into account are significantly related to serving in the experimental rather than control areas of the North Shepherd and Westside districts.

C.3.3. Measuring the Impact of the New Process on Citizen Attitudes

Citizen attitudes were measured by means of pre- and post-test telephone surveys of burglary victims in the experimental and control areas. The brief instrument (Appendix F) consisted of twenty-three questions and could be administered in 10 to 15 minutes unless the respondent wished (as many did) to expand the conversation.

There were a number of reasons for using residential burglary victims for this study. First, burglaries resulted in a sufficient number of cases for the time in question and the size of the

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7 *This labor-intensive means of matching panel respondents across surveys has been used by the Police Foundation for each of its projects that has involved a panel survey of police personnel. Over a twenty-year history of such research, confidentiality of a respondent has never been violated.*
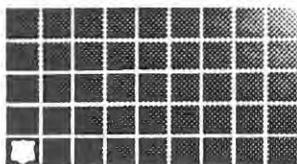
FOUR

Results of the Evaluation

Four types of results from the research project are reported in this chapter:

A. Information about the ways and the extent that the new performance evaluation was administered;

B. The impact of the new evaluation process on officer attitudes, perceptions and reported activities;

C. Reactions to the new evaluation process from officers, supervisors, and managers who also participated in it; and ,

D. The impact of the new evaluation on citizens' perceptions of police service.

A.   Administration of the Evaluation Process

Methodology

The new evaluation process was implemented in the two experimental districts from April through September, 1991. The officers were evaluated on three separate occasions during this time period, at the end of May, July, and September. Following each of the administration periods, the forms were collected and analyzed by the research staff to determine by district and supervisor, which forms had been used; how extensively they were used; and how completely they were filled out. Tables 4-1 through 4-6 summarize these findings.

Findings

A.1.   Bi-Annual Assessment Report

The Bi-Annual Assessment Report is completed by the officer's assigned sergeant. Section I of the form contains space for the descriptions of the officer's work assignment, progress, accomplishments and any special recognition. Section II contains twenty-two statements of performance criteria for which the sergeant is to give a score and a written explanation of the score. Section III provides space for the officer to write comments in response to the evaluation. Section IV is the space in which both the evaluated officer, their sergeant, and the shift lieutenant are to sign the form.

These forms were used for all patrol officers with each officer having the opportunity to receive numerical ratings for each of the twenty-two performance criteria. Table 4-1 reports the percentage of forms in which the sergeants wrote any explanation in support of the numerical rating, even if it was only to confirm in a verbal restatement of the numerical rating that the officer did perform well according to the specified criteria.

Table 4-1 demonstrates, with two exceptions, an increasing tendency over the course of the project for sergeants to provide explanations of their ratings. At North Shepherd there were two sergeants who never provided explanations. Consequently, the North Shepherd experimental district personnel appear to have used the forms less thoroughly than Westside experimental personnel did.

There was considerable disparity across sergeants in the number of officers supervised. One sergeant, for example, supervised 14 officers during the second period and 18 officers during the third period. Given the amount of effort necessary to properly use this evaluation system, it is probably very difficult to do so for this number of personnel. In this particular case, however, the sergeant did a thorough job.

TABLE 4-1

Percentage of Bi-annual Assessment Forms Containing Verbal Explanations of Scores By District and Assessment Period

DISTRICT	PERIOD 1	PERIOD 2	PERIOD 3
WESTSIDE	71 (N=61)*	96 (N=57)	100 (N=65)
NORTH SHEPHERD	43 (N=65)	76 (N=62)	79 (N=52)

*   *This is the number of forms for which any data were provided. An officer might have been ill or on other assignment during an assessment period and thus not counted.*

A.2. Patrol Officer's Monthly Worksheet

The Patrol Officer's Monthly Worksheet is a form intended to be completed monthly by each officer. Section I of the form provides room to report on four different objectives with indications of whether their focus is the neighborhood, beat or district and indications of the current status of the objective (i.e., completed, on-going, modified, deferred, canceled). There is space for a description of each objective and any discussion of conditions affecting the status.

Section II provides space in which to list the name and telephone numbers of five residential or civic association contacts and five contacts with businesses or other organizations. Section III gives space for a description of any special project assignment, and Section IV is an area in which the officer can write comments or suggestions.

The form is identified with the officer's name, employee number, shift, district, beat, neighborhood, and the date.

Table 4-2 reports the percentage of evaluation packages that included these completed forms. Most sergeants had their officers complete only one form during each two-month evaluation period. Percentages greater than 100 reflect those cases in which sergeants included in the packet more than one form per officer.

TABLE 4-2

Percentage of Evaluation Packets Containing Patrol Officer's Monthly Worksheet by District and Assessment Period

DISTRICT	PERIOD 1	PERIOD 2	PERIOD 3
WESTSIDE	61 (N=61)*	133 (N=57)	117 (N=65)
NORTH SHEPHERD	108 (N=65)	116 (N=62)	100 (N=52)

*   *This is the number of forms for which any data were provided. An officer might have been ill or on other assignment during an assessment period and thus not counted.*

This table indicates that sergeants generally were conscientious about the use of the monthly worksheet. Again, there is variation across sergeants. Two Westside sergeants who did not use these forms during the first evaluation period made full use of them during the second and third periods.

Table 4-3 reports the average number of objectives described by officers at each assessment period. Space was provided on each form to describe four objectives.

TABLE 4-3
Average Number of Objectives
by District and Assessment Period

DISTRICT	T1	T2	T3	PROB. OF T1/T2 DIFF
WESTSIDE	2.5	2.7	2.5	.68
NORTH SHEPHERD	2.0	1.7	1.7	.10

Table 4-4 reports the average number of specific problems identified by officers.

TABLE 4-4
Average Number of Problems Identified
by District and Assessment Period

DISTRICT	T1	T2	T3	PROB. OF T1/T2 DIFF
WESTSIDE	1.9	2.1	1.8	.53
NORTH SHEPHERD	1.6	1.4	1.3	.07

Table 4-5 reports the average number of objectives that suggested the officer was attempting to get better acquainted with or more involved with the community.

TABLE 4-5
Average Number of Community Objectives Identified
by District and Assessment Period

DISTRICT	T1	T2	T3	PROB. OF T1/T2 DIFF
WESTSIDE	.30	.39	.22	.55
NORTH SHEPHERD	.23	.07	.09	.05

Table 4-6 reports the average number of community contacts (residents, businesses and community groups) listed by the officer.

TABLE 4-6
Average Number of Community Contacts Listed
by District and Assessment Period

DISTRICT	T1	T2	T3	PROB. OF T1/T2 DIFF
WESTSIDE	.30	.39	.22	.55
NORTH SHEPHERD	.23	.07	.09	.05

Examining Tables 4-3 through 4-6, one notices that the extent to which various parts of the form were used remained essentially steady across assessment periods at Westside. At North Shepherd, use declined over time. It is difficult to provide an explanation for this difference, but one can hypothesize that use remained stable at Westside because the officers perceived their role to encompass working with citizens to identify crime and noncrime problems. This had been a major alteration in the Westside officer's role for approximately 18 months before the experiment had begun. This speculation is supported by the second observation that, at every evaluation period, less use was made of specific parts of this form by North Shepherd officers than by Westside officers.

A.3.   Calls for Service - Citizen Feedback Form

This form is to be used twice during each evaluation period by the sergeant who would contact by telephone or speak in person with two citizens whose calls had been answered by the officer. (Some contacts appear to have been made by mail.) Because this particular procedure was new for officers and sergeants alike, the original working committee that designed the forms requested that sergeants use this form only for calls that were of a non-confrontational nature. The committee members felt a confrontational atmosphere (i.e., a situation were an officer had to take sides because of the facts) would adversely affect the citizen's objectiveness. The actual selection of the call was done on a random basis by the officer's sergeant.

In Section I, the citizen was asked either to agree or disagree with each of five statements:

- "He/she was courteous/polite to me."
- "He/she was knowledgeable in addressing my problem."
- "He/she offered advice on how to address my problems."
- "He/she demonstrated concern while attempting to address my problem."
- "He/she handled the call in a professional manner."

Section II provided space for recording any other comments the citizen would care to make.

The form was identified with the name of the officer, shift, district, beat, neighborhood, date of the call, location of the call, complainant's name, supervisor's name and employee number, and the date on which the form was completed.

Table 4-7 reports the percentage of evaluation packets containing two of these forms for each time period. Because the expectation was that only two forms would be completed per period, a percentage greater than 100 in this table indicates that some packets contained more than two forms.

TABLE 4-7

Percentage of Evaluation Packets Containing Calls For Service-Citizen Feedback Form by District and Assessment Period

DISTRICT	PERIOD 1	PERIOD 2	PERIOD 3
WESTSIDE	24 (N=61)*	104 (N=57)	103 (N=65)
NORTH SHEPHERD	99 (N=65)	100 (N=62)	95 (N=52)

*   *This is the number of forms for which any data were provided. An officer might have been ill or on other assignment during an assessment period and thus not counted.*

As with some of the other forms, Westside sergeants either ignored these forms completely or made limited use of them during the first evaluation period. By the third period, they were using them even more extensively than North Shepherd sergeants.

There was no statistical analysis done of the content of these forms, but a manual review of them while recording their use indicated citizens almost never disagreed with any of the questions asked. This is consistent with the findings from the telephone survey of burglary victims (see Chapter 4, Section D below) that was conducted as part of the evaluation of the new performance evaluation process. Responses to that survey suggest that increasing the number of response categories used in the Citizen Feedback form will not substantially increase the variance in responses.

If the purpose of such re-contact is to convey to officers and sergeants the idea that service should be evaluated by citizens, then these forms are adequate in their present form. However, the forms could be revised to provide more information. The sergeant might ask whether there was anything else the citizen would have liked the officer to do. This also would be an opportunity to inquire about any other problems in the neighborhood.

Responses might be more meaningful if there was indication of the type of problem about which the citizen initially called the police.

A.4. Community Information Form

This form is intended to be completed by a representative of a community group with which the officer had been involved. The form asks four questions about the working relationship of the officer with the group and four questions about the officer's involvement in problem identification and resolution. A third section provides room for comments.

The form is identified by the officer's name, shift, district, beat, neighborhood, the name of the organization, the name of the individual officer completing the form, the date the form is completed, and the date it is received by the supervisor.

This form is designed to be used on a voluntary basis by the officers. If the officer spent a considerable amount of uncommitted time working with citizens to address a particular type of problem, s/he had the option of taking one of these forms to the citizens and asking them to complete it. It would then be returned to the officer's sergeant for verification and use in completing the Bi-annual Assessment form. It was anticipated that frequent utilization of this form would be based on opportunities available to the officer to work with citizens and/or the officer's motivation to seek this type of feedback for evaluative purposes.

The use of this form is summarized in Table 4-8.

TABLE 4-8

Percentage of Evaluation Packets Containing Community Information form by District and Assessment Period

DISTRICT	PERIOD 1	PERIOD 2	PERIOD 3
WESTSIDE	3 (N=61)	12 (N=57)	0 (N=65)
NORTH SHEPHERD	2 (N=65)	1 (N=62)	0 (N=52)

Use of this form was limited. At Time 1, the form was used by one sergeant at Westside and one at North Shepherd. At Time 2, the form was used again by the same Westside sergeant and by a different North Shepherd sergeant. At Time 3, no one used the form.

This form would appear to have a great deal of potential as a tool for communicating job expectations. The expectation that the officer attend community meetings is clear and the expectation of working with groups to address problems is also well articulated. Beyond that, this form may be premature, given the current stage of the development of Neighborhood Oriented Policing in Houston.

Perhaps there are not enough officers meeting with community groups to cause a sergeant to view the form as relevant. Further, this is a form that will not be equally relevant across shifts; second shift officers will have the most opportunity to work with community groups while third shift officers will have almost no opportunity to do this.

It is also possible the experimental time frame had an adverse effect on how this form was used. Perhaps it can be used effectively once every six months as the design committee intended, rather than every two months which was dictated by the experimental timeline. It is also worth considering whether this is the best way to obtain feedback from community groups. In this present arrangement, the only group—if any—that will provide feedback is the one the officer interacts with and to whom he or she gives the form. As an alternative, the sergeant might have a list of area community groups, created by the sergeant and officer, to which the forms would be mailed periodically. Groups that did not return the form might be contacted by the sergeant or by a citizen volunteer. In this way the sergeant could know which groups are not being involved and whether an officer's relationship with one group is different from the relationship with another group.

A.5.   Investigator Questionnaire

This form is to be completed by an investigator who has worked with the patrol officer being evaluated. As with the Community Information form, the officer has the option of deciding if s/he wanted feedback from the investigators. Again, this would be information the officer's sergeant would not be able to acquire through observation or direct contact. The information could be valuable to the officer in that it provides the sergeant with insightful data about the officer's skill and the relationship with investigative personnel.

For example, the investigator is asked:

- "How well does the officer communicate and cooperate with you or other investigators. Explain."

- "How well does the officer communicate through written reports (e.g., accuracy, content, thoroughness, legibility, etc.)? Explain."

- "What types of working knowledge of the proper procedures does the officer have regarding the filing of charges, filing hold cards, and conducting F-6 checks? Explain."

- "When provided the opportunity, does the officer show initiative in following up on investigations? Explain."

- "Please identify any area(s) in which this officer should attempt improvement."

The form is identified with the officer's name, employee number, shift, district, beat, neighborhood, the name of the investigator, investigator's employee number, and date on which the form is completed.

The form was not applicable to North Shepherd where investigators are not decentralized as they are at Westside, so Table 4-9 documents only the extent to which the forms were used at Westside.

TABLE 4-9

Percentage of Westside Evaluation Packets Containing Investigator Questionnaire by Assessment Period

DISTRICT	PERIOD 1	PERIOD 2	PERIOD 3
WESTSIDE	7 (N=61)	12 (N=57)	2 (N=65)

While this table represents a total of only eleven investigator forms used over the course of the experimental period, four of the six Westside sergeants included at least one in an officer's assessment packet. We do not know how many forms may have been given to investigators without being returned.

A.6. Officer's Immediate Supervisor Assessment Form

This form contains seventeen statements for the officer to use in assessing the performance of the officer's sergeant. (E.g., "My supervisor is knowledgeable about departmental rules and procedures.") For each statement the officer is to check one of five response categories rang-

ing from "strongly disagree "to "strongly agree." A second section provides room for comments or suggestions.

The form is identified with the name of the sergeant, shift, district and the dates of the assessment period. The name of the responding officer is optional.

These forms were given to the officers by their sergeant's lieutenant. The officers were encouraged to complete the form and return it directly to the lieutenant. The officer had the option of signing his or her name to the form. The lieutenants were encouraged to share the information with the sergeants, keeping in mind the information provided only cursory information about the sergeant and in no way was designed to pass judgment on the quality of the sergeant's work.

Table 4-10 reports the percentage of officers who completed these forms by district and evaluation period.

TABLE 4-10

Percentage of Officers Completing Immediate Supervisor Assessment Form by District and Assessment Period

DISTRICT	PERIOD 1	PERIOD 2	PERIOD 3
WESTSIDE	54 (N=61)*	74 (N=57)	68 (N=65)
NORTH SHEPHERD	29 (N=65)	42 (N=62)	50 (N=52)

* This is the number of assessment forms completed by the sergeant; the number of forms completed by officers should correspond.

The use of this form was very uneven across sergeants as only four of the fifteen sergeants were evaluated during all three assessment periods. Three sergeants were evaluated in only one period; five were evaluated twice; and four sergeants never were evaluated.

Although the sergeants were aware of this form, the responsibility for its completion lay with their lieutenants. This disparity might be attributed to a lack of involvement on the part of lieutenants during the evaluation process. Also, since the form was designed to be completed voluntarily by the officer, lack of doing so might be attributable to fear of retaliation, although there was little indication of this.

B.   Impact on Officer Attitudes, Perceptions, and Reported Activities

Methodology

With a few exceptions noted in the presentation of findings, the measurement of the impact of the experimental performance evaluation process on the attitudes, perceptions, and reported activities of officers was based on a self-administered questionnaire that was completed by all officers in the experimental and control areas one month prior the implementation of the new system (Time 1) and again nine months later (Time 2). By that time the officers in the experimental areas had been evaluated three times under the new system.

Although all officers in both of the experimental areas and both of the control areas completed the survey at each administration, the analysis for this report is based on only those officers who were assigned to one of the four areas at Time 1 and remained in that same area throughout the project period. Thus, the analysis is based on a panel which makes it possible to more precisely measure impact by controlling for each respondent's Time 1 scores. The total number of officers in the panel is 205. Table 4-11 reports their distribution by district and condition.

TABLE 4-11
Numbers of Patrol Officers in Panel
by District and Condition

GROUP	N	GROUP	N
EXPERIMENTAL	99	CONTROL	106
Westside	41	Westside	44
North Shepherd	58	North Shepherd	62

The statistical tables in this section present the average "before and after" scores of officers working in the experimental and control areas. Only the responses of the 205 officers who were interviewed on both occasions are included. Each table also reports the results of an analysis of variance that controlled for each officer's pre-test score, length of time in the department, level of education, and shift and district assignment. This indicates whether the post-test differences that can be observed in the tables are significantly related to serving in the experimental rather than control areas, once those factors are taken into account. This was important, for officers were not assigned at random to the districts in which they served, and those factors could account for differences in their responses. Other factors that were not

controlled for might still account for differences between the Experimental and Control officers, in their post test scores, but the inclusion of their pre-test scores in the analysis is a powerful counter to that possibility. Other detailed analyses (which are not shown) were used to determine if there were significant differences between districts in the impact of the program; where relevant, those are discussed in the text.

For a more extensive discussion of the research design and the survey methodology, see Chapter Four, Section D above.

Findings

B.1. Attitudinal Support for Functions Associated With NOP

B.1.1. Problem Solving as a Legitimate Function

Four items formed a scale that measured the extent that officers believed in a problem solving function for police (Table 4-12). The items were:

- Patrol officers should try to solve the problems identified by citizens in their beat.
- Good police work requires that officers concern themselves with the consequences of crime and not with its roots or causes. (Item reverse-scored)
- Problem solving should not be a part of a patrol officer's responsibility. (Item reverse-scored)
- Patrol officers should try to solve non-crime problems in their beat.

Responses categories ranged from: 1 = strongly disagree to 5 = strongly agree.

Scale scores range from 4 to 20, with actual responses ranging from 8 to 20. A neutral attitude (neither agree nor disagree) is represented by a scale score of 12. Reliability[8] of this scale = .46.

TABLE 4-12
Belief in Problem-Solving Function
Scale Means
All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	14.2	14.1
Control (N=104)	14.0	14.1

$p = .95$

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[8] *The measure of reliability used in these analyses is Cronbach's Alpha.*

There is no treatment effect for this variable (p = .95).

Respondents in both conditions, at both survey times, were slightly more positive than neutral about the problem-solving function. At the time of the pre-test, Westside officers in both Experimental and Control conditions were slightly more supportive of this function than were North Shepherd officers.

B.1.2. Belief that Officers Should Know People and Problems of Patrol Area

Four items formed a scale that measured the extent to which officers believed in knowing and responding to citizens concerns, including non-crime problems (Table 4-13). The items were:

- Crime is not the only problem that patrol officers should be concerned about.

- Patrol officers should respond to the concerns of citizens even if these have nothing to do with crime.

- Patrol officers should make a major effort to learn about the things that concern the people in their beats.

- A good patrol officer will spend a lot of time to find out what people think are the local problems in the beat.

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree.

Scale scores range from 4 to 20, with actual responses ranging from 7 to 19. A neutral attitude (neither agree nor disagree) is represented by a scale score of 12. Reliability of this scale = .71.

TABLE 4-13

Belief in Knowing and Responding to Citizens' Concerns

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=94)	13.6	13.5
Control (N=103)	13.3	13.5

p = .48

The new evaluation process did not affect this outcome (p = .48).

Officers in both conditions, at both times, were slightly more positive than neutral about this function. At the pre-test, Westside officers were more positive about this function than were North Shepherd officers.

B.1.3. Belief in Knowing Citizens in Patrol Area

A similar but statistically distinct scale containing three items assessed the degree to which officers believe in being familiar with the people in the area they patrol (Table 4-14). The items were :

- Patrol officers should not become personally familiar with residents in the area they patrol.

- Patrol officers should not ask citizens what types of services they want.

- Patrol officers should make frequent informal contacts with the people in their beat. (Item reverse scored)

Response codes ranged from: 1 = strongly disagree to 5 = strongly agree.

Scale scores range from 3 to 15, with actual responses ranging from 5 to 15. A neutral attitude (neither agree nor disagree) is represented by a scale score of 9. Reliability of this scale = ..57.

TABLE 4-14

Belief in Knowing Citizens in Area

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=94)	11.3	11.1
Control (N=103)	11.4	11.3

p = .40

In both conditions, both districts, at both times officers were more positive than neutral about this concept and came close to agreeing with it. There were no differences over time between Experimental and Control officers (p = .40).

B.1.4. Belief in the Value of Foot Patrol

A three item scale asked officers about the merits of foot patrol, one potential means of creating a closer community relationship (Table 4-15). The items were :

- An officer on foot patrol can develop a greater awareness of citizen expectations of the police than can an officer in a patrol car.
- The use of foot patrols is a waste of personnel. (Item reverse scored)
- The presence of patrol cars reduces citizens' fear of crime more effectively than do foot patrols. (Item reverse scored)

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree.

Scale scores range from 3 to 15, with actual responses ranging from 5 to 13. A neutral attitude (neither agree nor disagree) is represented by a scale score of 9. Reliability of this scale = .69.

TABLE 4-15

Belief in the Value of Foot Patrol

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=98)	7.8	8.3
Control (N=106)	8.2	8.0

$p = .06$

The near significance of difference between Experimental and Control officers is worth noting given the conservative nature of the analysis. This finding suggests the new performance evaluation process did have an effect. The officers in the experimental group had increased their belief in foot patrol while this belief had declined slightly among officers in the control group. Even with this change, however, officers only approached neutrality on this issue; they were not yet expressing support for foot patrol in either condition. (Indeed, in much of the sprawling City of Houston, the lack of sidewalks makes questionable the feasibility of foot patrol.)

Summary

With the exception of the movement toward the acceptance of foot patrol, there was no significant change in beliefs about functions considered appropriate to the police role. While there was no increased support for functions related to NOP, it is also the case that the pre-test scores did not indicate opposition to these functions; neutrality to slight agreement was the pattern.

We can only speculate about why there was not more movement on these scales. One plausible reason is the fact that the new evaluation system was not administered in a vacuum; it was introduced after several months of department-wide discussion and promotion of Neighborhood Oriented Policing. It is quite possible that the short-term attitudinal changes already had been maximized by the time this study began. Larger shifts in attitudes might depend on prolonged experience with the actual operations of Neighborhood Oriented Policing. In any case, these data suggest that a new performance evaluation will not, on its own and over a short period of time, accomplish large attitudinal changes.

B.2. Perception by Officers of Priorities of Managers and Officer Self-Reports of Priorities

It was anticipated that a performance evaluation process that dealt with specific role functions would provide officers with a clearer understanding of the department's expectations of their performance, and that this would be reflected in perceptions of increased consensus between officers and sergeants about the nature of the role.

To capture this potential impact of the new process, the officer questionnaire asked the following series of three questions about twelve aspects of the job:

- Please think about the way in which managers of the patrol function view your job. Consider each of the items below as possible aspects of your job. For each item, please circle the number that represents the priority you believe THESE MANAGERS would assign to this part of your job.

- Now, think about each of these items again. If department conditions were ideal and you could perform your job according to your own ideal, what priority would YOU give each of these aspects of the job?

- Please consider each item one final time. Given present conditions that exist within the department, what priority do YOU give each of the following aspects of your job as you actually perform it?

The twelve job aspects listed for each question were:

a. Identify patterns across calls in order to find underlying causes
b. Conduct random patrol
c. Know the people and types of problems in patrol area
d. Develop plans to address problems in your patrol area
e. Make a certain number of traffic stops each week
f. Work with other city agencies to solve area problems
g. Recommend early case closure to facilitate case screening following preliminary investigation
h. Handle calls for service as quickly as possible and return to service
i. Identify resources to assist you in addressing area problems
j. Involve citizens in solving area problems
k. Manage uncommitted time to work on problems in patrol area
l. Conduct follow-up investigations.

For each question, the respondent could rate the priority of each job aspect as high (=4), moderate (=3), low (=2), or zero (=1).[9]

The set of items was factor analyzed with two resulting factors. One factor represents a traditional component of the role (aspects b, e and h); the second captures the expansion of that role to cover the Neighborhood Oriented Policing philosophy (aspects a, c, d, f, g, i, j, and l). Aspect "k" ("manage uncommitted time....") did not cluster with any of the others and is reported separately.

B.2.1. Officer Perceptions of Managers' Priorities

In terms of individual items, there were only two that registered significant change over time. Experimental officers perceived an increase over time in the priority managers gave to random patrol. Both Experimental and Control officers perceived a decrease in the priority management gave to knowing the people and types of problems in the patrol area.

Tables 4-16 summarizes officers' perceptions of the priority their managers assigned to traditional police functions.

This is a three item scale (items b, e, and h above) in which scale scores range from 3 to 12. A score of 9 represents the perception that managers assigned a "moderate" priority to these functions. The reliability of this scale is only .29.

TABLE 4-16

Perceived Management Priority for Traditional Functions

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	8.3	8.6
Control (N=104)	8.1	8.3

p = .29

There is no significant difference (p = .29) between Experimental and Control officers over time. Respondents in both conditions reported managers as giving slightly higher priority to these functions at Time 2 than Time 1. At both times and in both conditions, Westside officers perceived their managers as being more supportive of these traditional functions than did North Shepherd officers in either condition.

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[9] *In the questionnaire, "high priority" was scored as 1 and "zero priority" was scored as 4; for purposes of analysis and reporting, the scores were reversed so that "high" = 4.*

Table 4-17 reports officers' perceptions of the priority their managers assigned to neighborhood policing (expanded role) functions.

This is an eight item scale (items a, c, d, f, g, i, j, and l above) in which scale scores range from 8 to 32. A scale score of 24 represents the perception that managers assigned a "moderate" priority to these aspects of the job. Reliability of this scale = .88.

TABLE 4-17

Perceived Management Priority for Expanded Role Functions

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=91)	20.1	19.9
Control (N=101)	19.6	18.0

p = .01

Since this is an eight item scale, a scale score of 20 equals an average item score of 2.5, or midway between "low" (=2) and "moderate" (=3) priority. Officers in both conditions at both times saw their managers as giving the expanded functions slightly lower priority than traditional functions. (In table 4-16, scores were closer to "moderate" than to "low" priority.)

Analysis indicates that the new performance evaluation process had a significant effect (p=.01) on the way officers viewed the priorities of their managers. This is despite the fact that officers in both Experimental and Control conditions saw their managers as slightly less committed to the expanded functions at Time 2 than Time 1. However, Control officers perceived a larger decline in the commitment of their managers than did Experimental officers. The data suggest that use of the new performance evaluation process "protects" Experimental officers from seeing a change in emphasis by their managers. (We are unable to say whether the evaluation process affects the perceptions of officers or the actual levels of commitment of managers or both.) Also of note in these data (although not reported in these tables) was the fact that Westside officers, in both conditions, at both times, perceived their managers as more supportive of the expanded functions than did North Shepherd officers.

Again, we can only speculate about the reason why officers perceived their managers as less committed to the expanded role functions over time, but it is important to note that by the time of the second survey the department was no longer moving obviously and forcefully toward the goal of Neighborhood Oriented Policing. There was not the sense of momentum for organizational change that had characterized the Houston Police Department in the late 1980s, and the officer survey responses may simply have reflected this reduced organizational energy for change.

B.2.2. Officers' Ideal Priorities

Table 4-18 reports the priorities officers said they would assign traditional functions under ideal departmental conditions. When used for officers' reporting of their own priorities, the reliability of this scale increased to .54.

TABLE 4-18

Officers' Ideal Priorities for Traditional Role Functions

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	8.2	8.4
Control (N=106)	8.2	8.3

p = .83

Both groups of officers approached assigning a moderate (scale score =9) priority to traditional functions. For both Experimental and Control officers, there was slight movement over time toward a higher priority for traditional functions. There was no significant difference (p=.83) between the two groups from Time 1 to Time 2.

Table 4-19 summarizes the priorities officers would assign to expanded (neighborhood oriented) role functions if departmental conditions were ideal.

The scale for measuring priorities assigned to expanded role functions has a reliability of .80 when used by officers to report their own priorities.

TABLE 4-19

Officers' Ideal Priorities for Expanded Role Functions

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=97)	25.3	24.5
Control (N=104)	25.4	24.9

p = .80

In this eight item scale, a scale score of 25 is equivalent to an average item score of 3.1 or a priority that is slightly higher than "moderate" (=3). This priority is slightly higher than the one officers say they would assign traditional functions under ideal conditions (Table 4-18). The priority dropped slightly among both Experimental and Control officers, a drop due almost entirely to a reduced priority for expanded functions among North Shepherd officers. There is no difference (p=.80) between Experimental and Control officers over time. At both

times and in both conditions, Westside officers assigned higher priority to the expanded functions than did North Shepherd officers.

B.2.3. Officers' "Realistic" Priorities

Officers were asked what priorities they felt able to give aspects of the job under current organizational conditions. Tables 4-20 and 4-21 suggest the impacts of reality, as perceived by patrol officers.

When used for this purpose, the three item scale of traditional functions has a reliability of .49.

TABLE 4-20

Officers' "Realistic" Priorities for Traditional Role Functions

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	6.8	6.3
Control (N=104)	7.1	6.9

$p = .04$

Under the constraints of reality, both groups of officers assigned lower priority to traditional functions than they did under ideal conditions (Table 4-18). Officers in both the Experimental and Control groups registered lower priority for these functions at Time 2 than Time 1. The difference over time between the Experimental and Control groups, however, was significant (p=.04).

Analysis of data not reported here indicates that this difference was due primarily to a decline in the priority that Experimental officers at North Shepherd assigned to traditional functions. These were the officers who appear to have been most influenced by the new evaluation process, at least with respect to this variable. There was no significant change among Westside officers. At both times and in both conditions, Westside officers assigned lower priority to these traditional functions than did North Shepherd officers.

TABLE 4-21

Officers' "Realistic" Priorities for Expanded Role Functions

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=91)	22.0	20.9
Control (N=102)	22.5	21.6

p = .26

"Reality" seems to have had a similar impact on expanded (neighborhood oriented) as on traditional roles (Table 4-20). Under the perceived constraints of reality, all officers assigned lower priority to these expanded functions than they did under ideal conditions (Table 4-19), and both Experimental and Control officers lowered their priorities slightly over time. The difference between Experimental and Control groups was insignificant (p=.26).

Interestingly, under "real" conditions, North Shepherd officers gave these expanded functions higher priority at both times and in both conditions than did either group of Westside officers. On the other hand, under ideal conditions, Westside officers assigned these functions higher priorities than did North Shepherd officers. One possible interpretation of these different patterns is that because Westside officers assign these functions higher ideal priorities, they feel more frustration at the organizational realities they perceive as blocking their efforts.

B.2.4. Priorities for Managing Uncommitted Time

As stated at the beginning of this section, one of the "job aspect" items did not scale with either the traditional or the expanded role functions. We analyzed it, however, because an officer's ability and freedom to "Manage uncommitted time to work on problems in patrol area" is a central tenet of Neighborhood Oriented Policing. Table 4-22 reports officers' sense of the priorities their managers assign to these functions.

TABLE 4-22

Perceived Management Priority for Management of Uncommitted Time by Officers

Item Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	2.4	2.5
Control (N=105)	2.4	2.2

p = .01

Both groups of officers saw their managers as giving this officer function a priority that was between "low" and "moderate". The changes over time were small, but they moved in different directions and with a significant difference (p=.01) for Experimental and Control officers. Experimental officers saw their managers as increasing the priority for management of uncommitted time while Control officers saw their managers as reducing the priority. The new performance evaluation process appears to have had the desired effect.

Table 4-23 reports the priority officers themselves would give this function under ideal organizational conditions.

TABLE 4-23

Officers' Ideal Priorities for Management of Their Uncommitted Time

Item Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	3.0	3.1
Control (N=105)	3.1	3.1

p = .73

Both groups of officers say that, under ideal conditions, they would assign a moderate priority to this function. This is essentially the same priority rating they would give other expanded role functions under ideal conditions (Table 4-19). There is no difference over time between Experimental and Control officers (p=.73).

Table 4-24 summarizes the priority officers say they give to managing their uncommitted time under conditions of the reality of organizational life.

TABLE 4-24

Officers' "Realistic" Priorities for Management of Their Uncommitted Time

Item Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=96)	2.6	2.5
Control (N=105)	2.7	2.6

$p = .34$

As with other functions, reality has a depressant effect on the priority officers report assigning to the management of their uncommitted time. There is no difference between Experimental and Control officers (p=.34).

B.2.5. Consensus Between Managers and Officers

One goal of the new performance evaluation process was to help clarify and increase officers' understanding of role expectations. It was believed that greater understanding would lead to greater similarity between the views of patrol managers and patrol officers.

Tables 4-25 through 4-30 explore whether the views of the two groups did become more similar, at least in the judgment of patrol officers. (In this study there is no independent measure of the attitudes and behaviors of patrol managers toward the role, but it was the researcher's belief that the attitudes and behaviors of patrol officers would be influenced by what they believed the attitudes of their managers to be as much as by the actual attitudes of managers).

Tables 4-25 through 4-30 compare officers' perceptions of their managers' role priorities with the priorities officers say they would hold under ideal organizational conditions. The probabilities that are reported indicate whether any distance between the perceived attitudes of the two groups is statistically significant. The analysis is presented for both the Time 1 (pre-test) and the Time 2 (post-test) surveys.

Table 4-25 compares the priorities Experimental and Control officers believed managers assigned to traditional functions as compared to the priorities they themselves assigned under ideal conditions. The comparison is made for the pre-test (T1) and the post-test (T2). Tables 4-26 and 4-27 present this same comparison separately for Westside and North Shepherd officers.

TABLE 4-25

Perceptions of Priorities of Managers and Self for Traditional Functions

Scale Means and Probabilities
All Experimental and Control Officers

GROUP	TIME 1 (T1)			TIME 2 (T2)		
	MGRS. T1	SELF T1	PROB.	MGRS.T2	SELF T2	PROB.
Exp.	8.3	8.2	.83	8.6	8.4	.21
Con.	8.0	8.2	.43	8.3	8.3	.93

For all Experimental and Control officers, there are no perceived differences, at either Time 1 or Time 2, in the attitudes of managers and officers with respect to traditional functions.

Table 4-26 explores this question for Westside officers where Neighborhood Oriented Policing had been emphasized for several months prior to this study.

Table 4-26

Perceptions of Priorities of Managers and Self for Traditional Functions

Scale Means and Probabilities
Westside Experimental and Control Officers

GROUP	TIME 1 (T1)			TIME 2 (T2)		
	MGRS. T1	SELF T1	PROB.	MGRS.T2	SELF T2	PROB.
Exp.	8.8	8.2	.08	9.3	8.3	.002
Con.	8.4	8.5	.70	9.1	8.5	.06

Here we see a statistically significant perceived gap between managerial and officer priorities among the Experimental officers at Westside at Time 1. The perceived gap increased over time for both Experimental and Control officers and was statistically significant for both groups by Time 2. The change was due to officers' perceptions that their managers became more committed to traditional functions.

Table 4-27 looks at this issue for North Shepherd officers who, presumably, had been exposed to a lower level of emphasis on Neighborhood Oriented Policing.

Table 4-27

Perceptions of Priorities of Managers and Self for Traditional Functions
Scale Means and Probabilities
North Shepherd Experimental and Control Officers

GROUP	TIME 1 (T1)			TIME 2 (T2)		
	MGRS. T1	SELF T1	PROB.	MGRS.T2	SELF T2	PROB.
Exp.	7.9	8.2	.23	8.1	8.4	.29
Con.	7.8	8.0	.49	7.7	8.1	.21

Interestingly, North Shepherd officers perceive their managers as giving traditional functions a lower priority than Westside officers see their managers as giving. The perceived gap is not significant at Time 1 for either the Experimental or Control groups, and it remains essentially unchanged over time.

With respect to traditional functions, then, the management-officer gap was perceived as growing at Westside. At North Shepherd the gap was never seen as significant.

Tables 4-28 through 4-30 present a more consistent picture for expanded functions.

TABLE 4-28

Perceptions of Priorities of Managers and Self for Expanded Functions
Scale Means and Probabilities
All Experimental and Control Officers

GROUP	TIME 1 (T1)			TIME 2 (T2)		
	MGRS. T1	SELF T1	PROB.	MGRS.T2	SELF T2	PROB.
Exp.	20.0	25.3	.001	19.9	24.5	.001
Con.	19.4	25.4	.001	18.0	25.0	.001

TABLE 4-29

Perceptions of Priorities of Managers and Self for Expanded Functions
Scale Means and Probabilities
Westside Experimental and Control Officers

GROUP	TIME 1 (T1)			TIME 2 (T2)		
	MGRS. T1	SELF T1	PROB.	MGRS.T2	SELF T2	PROB.
Exp.	21.2	25.8	.001	20.7	25.1	.001
Con.	20.5	26.5	.001	19.8	26.0	.001

TABLE 4-30

Perceptions of Priorities of Managers and Self for Expanded Functions
Scale Means and Probabilities
North Shepherd Experimental and Control Officers

GROUP	TIME 1 (T1)			TIME 2 (T2)		
	MGRS. T1	SELF T1	PROB.	MGRS.T2	SELF T2	PROB.
Exp.	19.2	24.9	.001	19.2	24.1	.001
Con.	18.6	24.6	.001	16.8	24.3	.001

All groups of officers at both times, in both conditions, and in both districts, assigned significantly higher priorities to these expanded functions than they believed their managers did. Although Westside officers perceived their managers as assigning higher priorities to these functions than North Shepherd officers saw their own managers assigning, in both districts officers reported themselves as being substantially and significantly more supportive of these functions than they reported their managers to be.

Summary

Greater consensus between officers and managers did not occur—at least not as perceived by officers. We do not know what the managers actually believed since their numbers were too few to support a survey of them. All that can be said with certainly is that, over time, officers did not perceive greater congruity between their values and those of their managers.

The initial expectation of increased congruity is based on the assumption that managers are, for officers, the source of information about the new organizational approach and that the

use of a performance evaluation process designed to support the new approach will help managers communicate the new approach to first line officers.

We cannot be certain how officers interpreted the term "managers;" there is reason to believe they responded in terms of their first line supervisors. In any case, the assumption that the persons administering the new evaluation process supported NOP (either personally or as representatives of higher level managers) may be the fallacy in the expectation that the new process would lead to greater consensus.

In fact, if the officers were correct in their perceptions, it is the officers in the department who are the stronger supporters of the expanded role functions that are part of NOP, and they saw this as being true both before and after the implementation of the new performance evaluation process. The only way, then, that the new process could have led to greater congruence between officers and supervisors and managers would be if the process had helped the supervisors and managers better understand the new approach and become more supportive of it. We do not know whether it did that; we only know that officers do not seem to perceive that it accomplished that end.

B.3. Increased Activity Levels

A number of different questions explored officers' perceptions of whether they had increased their activity levels in accord with role expectations communicated by the new performance evaluation process. One of these questions was the following:

- Please think about the previous 20 days/shifts you worked. For each of the activities listed below, please indicate how many times during the previous shifts you have conducted the activity. Circle the response representing the approximate frequency. The response "ongoing" is intended for those activities that may be an almost constant part of your job.
   a. Arrest someone (non-traffic)
   b. Assist citizen needing help (non-crime incident)
   c. Check premises, suspicious persons, or suspicious circumstances
   d. Collect/analyze data about patrol area or an area problem
   e. Discuss area problems with other officers
   f. Discuss area problems with detectives
   g. Discuss area problems with supervisor
   h. Develop action plan to address area problem
   i. Discuss implementation plan with citizens or representatives from other city agencies
   j. Exchange information with other shifts
   k. Implement planned activity/strategy

l. Evaluate results of efforts to solve problems
m. Interview witnesses
n. Look for suspect(s) in connection with specific crime
o. Meet with representative from other city agency or institution (e.g., school, etc.) or private agency (e.g., drug rehabilitation clinic, etc.)
p. Meet with resident(s), business person(s) or civic group to discuss area problems or conditions

Response categories included:

0 = 0 times in last 20 shifts	2 = 6-10 times	4 = 21-30 times	6 = on-going
1 = 1-5 times	3 = 11-20 times	5 = 31+ times	

When factor analyzed, these items produced four scales: one representing times involved in problem solving activity (d, h, k, l); one representing times spent discussing area problems (e, f, g, j); one representing times spent contacting community groups or other agencies (i, o, p); and a fourth representing times involved with crime-related activities (a, c, m, n). Item b (assist citizen needing help) did not statistically join any of these clusters.

B.3.1. Activity Levels Related to Problem Solving

Because the new performance evaluation process specifically addressed problem solving activities, it was expected that the frequency of these might increase among Experimental officers. Table 4-31 reports these findings. The reliability of this scale (items d, h, k, l) is .80

TABLE 4-31

Reported Frequency of Conducting Problem Solving Activities
Scale Means
All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=97)	2.8	3.7
Control (N=99)	2.4	2.0

$p = .005$

Experimental officers were more likely to report such activities at Time 2 and Control officers were less likely to report these activities over time. The difference for the two groups is significant (p=.005). This suggests that the increased reports of problem solving activities were related to participation in the new performance evaluation process.

Respondents were asked to list any problems which they had identified as needing attention during the previous two months. Table 4-32 reports the percentage of officers who listed any problems.

TABLE 4-32
Officers Reporting Area Problems
Percentages
All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=97)	75	68
Control (N=106)	67	42

p=.001

While both groups were less likely to say at Time 2 that they had identified problems, the decrease was greater for Control officers, and the difference between the two groups was significant (p=.001). While the new performance evaluation process did not increase the probability of identifying problems over time, it did "prevent" Experimental officers from moving away from this activity at the same rate other officers appear to have been moving.[10] This finding is supported by data reported in Table 4-33 from a question that asked, at Time 2 only, how many Patrol Management Plans[11] the officer had written in the past six months.

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[10] *The "frequency of problem identification" as an indicator of performance is one that needs consideration. Officers who have been assigned to one area for some time may appear to identify fewer problems over time simply as a function of previously having identified and solved problems in the area. While such a possibility does not invalidate this measure as a comparative one for Experimental and Control Officers in this study, it might cloud the meaning of this measure either as an indicator of an individual officer's performance over time or as an indicator of unit or organizational activity level.*

[11] *A Patrol Management Plan (PMP) is a form officers may use to describe a problem they have identified, the means they propose to use in addressing it, and whatever resources they may need to do so.*

TABLE 4-33

Number of Patrol Management Plans Reported Written during Previous Six Months

Item Means and Probabilities

Time 2 Only

Experimental and Control Officers by District

GROUP	EXPERIMENTAL OFFICERS (T2)	CONTROL OFFICERS (T2)	PROB.
Westside	.6	.4	.52
North Shepherd	.8	.2	.02

Responses to this item ranged from zero plans to seven plans within six months. On the average, even the most productive officers wrote fewer than one plan per month. At Time 2, the difference between Westside Experimental and Control officers was not significant (p=.52) but was for the North Shepherd groups (p=.02), suggesting that the new evaluation process did encourage officers there to pay greater attention to this planning function.

Similarly, as reported in Table 4-34, analysis of the factor that represented frequency of discussions within the Department about area problems (items e, f, g, j above) found increased activity around area problems. The reliability for this scale is .69.

TABLE 4-34

Reported Frequency of Discussing Area Problems

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=98)	4.3	5.1
Control (N=103)	4.3	3.8

p=.003

The Experimental officers reported an increase in such discussions while the Control officers reported a decrease. The difference between the two groups over time is significant (p=.003), suggesting again that the reported increased involvement by Experimental officers in Problem Solving was related to their participation in the new performance evaluation process. The pattern was the same for both Westside and North Shepherd respondents.

Analysis of the factor that represented frequency of contact with community groups or other agencies (items i, o, p) revealed statistically insignificant increases reported by both Experimental and Control officers (Table 4-35).

TABLE 4-35

Reported Frequency of Community Contacts

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=97)	1.3	1.7
Control (N=105)	1.2	1.4

p=..69

The slight increases were unrelated to participation in the new evaluation process.

Table 4-36 reports data for a separate item that asked officers how frequently, during a typical eight-hour tour of duty, they talked with citizens other than while handling a call.

TABLE 4-36

Reported Frequency of Conversations with Citizens

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=98)	3.8	4.0
Control (N=105)	3.9	4.6

p=.22

Officers reported an average of four such contacts during a typical tour. Both Experimental and Control officers reported an increase over time. The performance evaluation process had no impact on this reported activity (p=.22).

B.3.2. Productivity for Crime-Related Activities

The reported increases in activity related to problem solving were not simply a reflection of generally increased activity among Experimental officers. Analysis of the factor representing crime-related activities (items, a, c, m, n above) is reported in Table 4-37. Reliability for this scale = .67.

TABLE 4-37

Reported Frequency of Crime-Related Activities

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=95)	11.0	10.5
Control (N=104)	9.9	9.9

p=.50

Changes over time were unrelated to the new performance evaluation process (p=.50).

Despite the concerns of some critics of community policing, an increased emphasis on problem solving activities in Houston was <u>not</u> related to decreased emphasis on crime-related activities. Neighborhood Oriented Policing, like other approaches to community policing, is intended to give officers a wider range of options for dealing with community problems, including crime. The approach is intended to make police even more effective in responding to crime, not to diminish their attention to crime problems.

B.3.3. Productivity Related to Investigations

The new evaluation form asked specifically about officer participation in follow-up investigations and included a form to be completed by a detective who would evaluate an officer's case-related work. The expectation was that these emphases might result in more contact between patrol officers and detectives and more work by patrol officers on follow-up investigations. These expectations were especially relevant for Westside where investigative functions had been decentralized.

However, neither expectation was supported by the data. When asked how frequently in an average week they had occasion to exchange information with a detective (Table 4-39), respondents in all groups and conditions reported one or less contact per week.

TABLE 4-38

Frequency of Officer Contact with Detectives

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=98)	1.0	.8
Control (N=106)	.7	.9

p=.18

Differences were unrelated to the evaluation process (p=.18).

When asked how often they conducted follow-up investigations on cases (Table 4-39), all groups of respondents reported a frequency that was greater than "almost never" but not quite "seldom" . There were no differences over time, and there was no relationship between this activity and the performance measurement process.

TABLE 4-39
Frequency of Officer Participation in Follow-Up Investigations
Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=99)	1.8	1.9
Control (N=106)	1.7	1.8

p=.73

It should be further noted that there was no difference in the reports of Westside and North Shepherd officers, even though one of the objectives of Westside decentralization had been to provide better opportunities for interaction between officers and detectives.

As previously reported, the assessment form intended for use by detectives to evaluate officers was almost never used. (This may be appropriate given the infrequency of their contact.) But even if it had been, it probably could not have overcome the barriers that exist between officers and detectives in Houston. An outside observer of the Westside facility might note that the structure is as large as that in most cities with populations of 200,000 - 300,000 and that within the structure, the work spaces of detectives and officers are as physically separated as they are in any traditional police organization. And, in addition to the physical arrangements, there is an even greater social distance between Houston officers and detectives than is found in many other agencies. Houston detectives also hold the rank of sergeant. This could be a barrier to contact even if officers and detectives shared an office; more than a performance evaluation process may be needed to close the gap. Under present conditions, this gap certainly could contribute to a lack of shared responsibility and a commitment to teamwork.

Summary

There were several indications in these data that increased levels of activity, especially as related to problem solving, were positively and significantly associated with participation in

Summary

There were several indications in these data that increased levels of activity, especially as related to problem solving, were positively and significantly associated with participation in the new performance evaluation process. Experimental officers were more likely to report conducting problem solving activities, more likely to report discussing area problems with other people in the Department, more likely to say they had recently identified problems in their patrol area, and more likely to report having written PMPs.

Participation in the new performance evaluation process was unrelated to reported frequency of: community contacts, conversations with citizens, crime-related activities, contacts with detectives or participation in follow-up activities.

B.4.   Management of Uncommitted Time

For the sixteen activities listed in Section B.3., officers were asked how frequently they initiated each. The philosophy of NOP emphasizes the need for patrol officers to manage their uncommitted time, and this job aspect is addressed in the new performance evaluation process. To determine whether Experimental officers would become more likely to manage their own time, respondents were asked for each of the sixteen activities listed above to indicate which of six possible "initiators of activity"[12] had initiated the activity on the most recent occasion when the officer performed it. It was believed that the number of times an officer reported "self" as initiator (see Table 4-40) would indicate tendency to manage uncommitted time.[13]

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[12] *The possible "initiators of activity" included another officer, citizen or community group, dispatcher, self, supervisor or "other."*

[13] *While this question may yield this type of indicator, it is limited in the extent to which it simultaneously can capture what might be considered other desirable outcomes of the new process. For example, an officer who was becoming more community-oriented might more frequently report citizens or community groups as the initiator of activity. Or, an officer whose sergeant was becoming more actively involved in the promotion of expanded functions might more frequently report the sergeant as the initiator. As now constructed, the question constitutes a zero-sum game in which an increase in reporting any one source of initiation requires a decrease in the reporting of some other source.*

TABLE 4-40

Self Initiation of Patrol Activities

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=99)	5.9	6.0
Control (N=106)	5.5	5.5

p=.89

Scores on this scale represent "clusters" of frequencies. A scale mean of 5, for example, indicates that officers reported initiating activities 30 or more times during the previous 20 tours of duty. A scale score of 6 indicates officers see themselves initiating activity on an "on-going" basis. This sixteen item scale began with a "ceiling" on the pre-test responses, and —— for this or other reasons—there were no changes over time related to performance evaluation.

Analysis, not reflected in this table, indicates that Westside officers in either condition were more likely to report self-initiation than were North Shepherd officers.

Table 4-41 reports self-initiation for the factor representing problem solving activities (items d, h, k, l above)--the activities that arguably are most amenable to proactive efforts.

TABLE 4-41

Reported Frequency of Initiating Problem Solving Activities

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=99)	1.1	1.2
Control (N=106)	1.0	.8

p=.04

The difference between the Experimental and Control officers was significant at (p=04). This difference is due to the fact that the Control officers were less likely to report self-initiation of these activities at Time 2 while Experimental officers were just about as likely to report them at Time 2 as Time 1. The patterns were the same for Westside and North Shepherd officers. The analysis suggests that the new performance evaluation process helped the Experimental officers sustain their level of self-initiation in the face of what otherwise may have been a move away from such effort by the rest of the organization.

This finding is consistent with the analysis of priorities noted previously in which Experimental officers were more likely over time to believe their managers supported the idea of officers managing their own uncommitted time.

B.5. Attitudes Toward the Public

Although attitudes toward people may be strongly rooted in individual belief systems, the evaluators wanted to know whether the new process might reinforce positive attitudes toward the public. Officers were asked questions that explored their belief in the general decency of people and their view of the relationship between the police and the public.

B.5.1. Belief in Human Decency

Three items clustered to form a measure of officers' belief in the decency of people (Table 4-42).

The items were:

- Most people are basically honest.
- If you act in good faith with citizens, then almost all of them will reciprocate with fairness toward you.
- Most people would tell a lie if they could get away with it. (Item reverse scored)

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree. The scale ranges from 3 to 15, with actual responses ranging from 3 to 13. A neutral attitude (neither agree nor disagree) is represented by a scale score of 9. Reliability of this scale = .60.

TABLE 4-42
Belief in Human Decency
Scale Means
All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=99)	8.6	9.3
Control (N=105)	8.9	8.7

p=.001

Although neither group became more than neutral with respect to this belief, Experimental officers did become more positive over time while Control officers became slightly less posi-

tive. The result was that, participation in the new evaluation system was positively associated with this attitude at p = .001.

B.5.2. Perceived Quality of Police Relationship With Public

Three items clustered to measure officer's perceptions of the quality of the relationship between police and citizens in Houston (Table 4-43). The items were:

- People in the city generally look up to the police.
- Most people do not respect the police. (Item reverse scored)
- The relationship between the police and the public is very good in Houston.

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree.

For this three item scale, the neutral value = 9.

The scale scores range from 3 to 15, with actual responses ranging from 4 to 15. Scale reliability = .74.

TABLE 4-43

Perceived Quality of Relationship with Public

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=99)	9.6	10.4
Control (N=106)	9.3	10.1

p=.32

Over time, both groups moved from a neutral to a slightly positive view of their relationship with the public; there was not a significant difference (p=.32) between the two groups. The pattern was the same at Westside and North Shepherd, although Westside officers had a slightly more positive attitude at both Time 1 and Time 2 than did North Shepherd officers.

Summary

Participation in the new performance evaluation process was positively related to a belief in human decency but unrelated to officers' perceptions of the quality of their relationship with the public.

B.6. Levels of Officer Satisfaction

It was anticipated that participation in the new system might increase officer satisfaction with the evaluation process, with supervision, and perhaps even with the organization.

B.6.1. Satisfaction With Current Evaluation Process

Six items measured officers' views of the performance evaluation process (Table 4-44). The items were:

- The current performance evaluation system provides a fair assessment of my work.
- The current performance evaluation system deals with most of the important things I do in my job.
- The current performance evaluation system gives me useful feedback about how to improve myself on the job.
- The current performance evaluation system makes clear what the department expects patrol officers to do.
- The current performance evaluation system requires my sergeant to be aware of what I do.
- The current performance evaluation system requires that my sergeant and I spend time together discussing my job.

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree.

The scale range is from 6 to 30, with actual responses ranging between 7 and 29. A neutral attitude(neither agree nor disagree) is represented by a scale score of 18. Scale reliability = .86.

TABLE 4-44

Satisfaction with Current Evaluation Process

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=95)	14.6	16.0
Control (N=104)	13.7	13.9

p=.005

Even with the new process, officers did not feel positive about the performance evaluation. Experimental officers registered greater approval at Time 2 but they still were slightly negative about the process. Participation in the new process was significantly related to a more positive attitude at p = .005. While there is surely room for improvement in even the new evaluation process, it may be the case that no evaluation process will ever be perceived as sat-

isfying. Although the process may be necessary and even useful, it may always cause the person evaluated to feel uncomfortably subordinate.

B.6.2. Satisfaction with Personal Recognition

Three questions gauged officer satisfaction with the recognition they receive for their work (Table 4-45). The items were:

- I get enough credit for my performance on the job.
- I rarely receive praise for the work I do. (Item reverse scored)
- The Houston Police Department has a fair system for recognizing patrol officers who do a good job.

Response categories ranged from: 1 = strongly disagree to 5 = strongly disagree.

The scale ranges from 3 to 15, with actual responses ranging from 3 to 13. A neutral attitude (neither agree nor disagree) is represented by a scale score of 9. Reliability of this scale = .69.

TABLE 4-45

Satisfaction with Personal Recognition

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=98)	6.5	6.8
Control (N=104)	6.7	6.3

p=.01

No one was satisfied with the recognition they received; both groups disagreed that recognition was adequate. However, Experimental officers became slightly more positive while Control officers became more negative over time. A more positive (although still negative) attitude was significantly (p=.01) associated with participation in the new evaluation system.

B.6.3. Satisfaction With Supervision

Six items assessed officer satisfaction with supervision (Table 4-46). The items were:

- My supervisor has more good traits than bad ones.
- The supervision I receive is the kind that tends to discourage me from making an extra effort. (Item reverse scored)
- The way I am treated by my supervisor has a favorable influence on my overall attitude toward my job.
- The efforts of my supervisor add much to the success of my work.
- I am satisfied with the supervision I receive.
- I frequently think that I would be better off working under a different supervisor. (Item reverse scored)

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree.

The scale range is 6 to 30, with actual responses ranging from 7 to 29. A neutral attitude (neither agree nor disagree) is represented by a scale score of 18. Reliability of this scale = .84.

TABLE 4-46

Satisfaction with Supervision

Scale Means

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=97)	20.1	21.1
Control (N=105)	20.3	19.9

p=.01

All groups of respondents were slightly more positive than neutral about supervision. Experimental officers became slightly more positive over time, a result that was due almost entirely to the change among North Shepherd officers. Both groups of Westside respondents were significantly more positive about supervision at both times than were North Shepherd respondents. The improved attitude is significantly associated (p=.01) with participation in the new performance evaluation process.

B.6.4. Satisfaction With the Organization

A four item scale measured satisfaction with the organization (Table 4-47).

- I believe that the department's management considers employee welfare less important than the services provided to the community. (Item reverse scored)

- The Houston Police Department is a good organization to work for.

- Working for the Houston Police Department has a favorable influence on my overall attitude toward my job.

- From my experience, I believe that the department's management treats employees quite well.

Response categories ranged from: 1=strongly disagree to 5=strongly agree.

The scale range is 4 to 20, with actual responses ranging between 4 and 15. A neutral attitude, (neither agree nor disagree) is represented by a scale score of 12. Scale reliability = .70.

TABLE 4-47

Satisfaction with the Organization
Scale Means
All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental (N=98)	9.4	9.9
Control (N=105)	8.8	9.1

$p=.32$

At Time 1, both groups of officers tended to "disagree" with positive statements about the organization. Over time, there was no significant difference(p= .32) between Experimental and Control officers. At Westside, attitudes deteriorated slightly for both Experimental and Control officers. At North Shepherd, attitudes improved for both groups of officers but still did not rise enough to achieve the neutral point.

Summary

Participation in the new performance evaluation process was positively and significantly associated with improved attitudes toward the evaluation process, increased satisfaction with the degree of personal recognition, and increased satisfaction with supervision. Despite the improvements, satisfaction with the evaluation process, with recognition and with the organization remained low.

B.7 Summary of Findings About Officer Attitudes, Perceptions, and Reported Activities

This study found positive and significant relationships between officer participation in the new performance evaluation system and the following outcomes:

- officers' belief in the value of foot patrol
- officers' perception that managers increased the priority they assigned to the management of uncommitted time by officers
- the frequency with which officers report conducting problem solving activities
- the probability that officers say they identified problems in their areas in the previous two months
- officers' reports of the number of Patrol Management Plans written
- officers' reports of the frequency with which they discussed area problems with other department personnel
- the frequency with which officers say they initiated problem solving activities
- officers' belief in the decency of human beings
- their satisfaction with the performance evaluation process
- their satisfaction with the recognition they receive for work
- their satisfaction with supervision.

Participation in the new process was unrelated to:

- officer's belief in a problem-solving function
- their belief in knowing about citizens in their area of assignment
- the priority officers believe their managers assign to traditional patrol functions
- the priority officers would assign to traditional patrol functions under "ideal" organizational conditions
- the priority they would assign to expanded functions under current working conditions
- the frequency with which officers report conducting crime-related activities
- the frequency with which they report engaging in conversations with citizens
- the frequency with which officers report having contact with detectives
- the frequency with which officers report participation in follow-up investigations
- the frequency with which officers report self-initiation of patrol activities
- officers perception of the quality of the relationship between the public and the police
- officers' satisfaction with the organization.

Participation in the new evaluation process was <u>negatively</u> and significantly related to:

- the priority officers assign to traditional patrol functions under current working conditions.

This last effect could be considered affirmation of the impact of the new system since it acknowledges the fact that other functions are now included in the evaluation. The old form of performance evaluation stressed traditional functions almost exclusively.

The goal of Neighborhood Oriented Policing, however, is not to devalue traditional patrol functions, and, as we have seen, increased commitment to some functions did not result in a lower number of more traditional activities. Rather, the goal is to acknowledge and support a broadened range of functions and to place the value of traditional functions within the broader objective of problem solving. Activities are not valued as much for the sake of activity itself but are valued because they are intended to serve an identified purpose[14].

This is a substantial list of impacts from the use of a new performance assessment process for a period of only six months. These outcomes exceeded the expectation of evaluators who believed the test period was too short to permit a measurable program effect.

As a caveat, it should be emphasized that the measured outcomes were self-reported attitudes, perceptions, and activities of officers. Because there are no objective measures of the types or amounts of activities, it remains possible that the new process simply sensitized officers to what they should say in their questionnaires. Even if this were the case, it is, nonetheless, an indication that the process is delivering a message to which officers are responding.

It is also theoretically possible that had the Control officers been evaluated three times in six months with the traditional evaluation forms, they would have registered the same changes measured for Experimental officers who were evaluated three times with the new forms.

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[14] Note: Another "finding" from this study is a pattern that was observed when Westside and North Shepherd data were analyzed separately. Initial scores for measures of attitudes, perceptions or activities associated with Neighborhood Oriented Policing (e.g. the frequency of discussing area problems with other police personnel) frequently were higher for Westside officers than for North Shepherd officers. Westside officers, unlike North Shepherd officers, had worked for several months under conditions in which Neighborhood Oriented Policing was emphasized. At the same time, the positive effects of the new evaluation system were more often the result of significant changes among Experimental officers at North Shepherd than the result of changes among Westside officers. The pattern was for the new evaluation system to "protect" Westside officers from "backsliding" on attitude gains, while the new system was more likely to improve attitudes among North Shepherd officers. This observation suggests that a new performance evaluation system may be mose effective as an instrument of change when it is used early in the implementation process. At later stages (e.g. Westside), it serves more as a means of institutionalizing changes.

With these caveats in mind, we conclude that this study provides strong evidence that a well-designed performance evaluation process <u>can</u> support and reinforce the introduction of a new philosophy of police service in an organization.

C. Responses From Project Participants Regarding the Performance Evaluation Process

C.1. Introduction

During the course of collecting data to measure the impact of the new performance evaluation process, project staff became aware of some criticism of the process on the part of district sergeants whose responsibility it was to disseminate, collect and complete the new performance assessment forms. It was decided to conduct a follow-up study of the reaction of personnel who participated in the project. Their opinions could help inform future decisions about whether and how to modify the content and means of administration of the new system.

C.2. Methodology

During October, 1991, interview schedules were developed for captains, lieutenants, sergeants and patrol officers assigned to the North Shepherd Substation and the Westside Command Station. These interview schedules were designed to elicit opinions about both the old and new approaches to performance assessment. While these schedules contained similar questions for all ranks, each schedule was modified slightly to obtain information unique to a particular rank (see Appendix D).

Captains, lieutenants and sergeants selected for interview included:
- both captains assigned to each station;
- the "Sector Lieutenant" at the Westside Command Station, who had complete administrative, patrol and investigative responsibility across all shifts for experimental District 19;
- each shift lieutenant at North Shepherd; and
- sergeants assigned to experimental District 3 at North Shepherd and, again, experimental District 19 at Westside, which included all three shifts.

Given the number of patrol officers assigned to each experimental district, a sampling procedure was used to select three officers from each shift at each station. Station rosters listed each officer assigned to each shift for both experimental districts. Following the roll of a die to determine the starting point on the list, every third officer was included in the sample

population. In the event that a particular officer was on vacation, special assignment, sick, etc., the next person listed was eligible for interview. If the list was exhausted because of days off or other reasons previously mentioned, the first person listed directly below the individual originally selected was chosen for interview.

Interviews were conducted on site at each station and occurred during the officers' normal working hours to minimize disruptions. The time taken to complete each interview ranged from approximately twenty-five minutes to two and one-half hours. Out of the four groups interviewed, sergeants took the most time, perhaps because they are more directly involved with the evaluation process and interested in issues concerning this process.

Interviewing began in November, 1991, and ended in March, 1991. A total of thirty-six officers were interviewed: two captains; four lieutenants; twelve sergeants; and eighteen patrol officers. Respondents included both males and females and representatives from all minority groups except for individuals with native American Indian and Asian ancestry. The range in length of time with the Houston Police Department for patrol officers was between six and twenty-three years; the mean being twelve years of police experience.

C.3. Results

Results from interviews are presented for three rank groupings: 1) patrol officers; 2) sergeants; and 3) lieutenants and captains. While frequencies in responses will be presented when appropriate, actual responses are reported to capture the richness of remarks, answers, solitary ideas and suggestions.

C.3.1. Patrol Officers

The first questions asked patrol officers were:

- Are job performance evaluations necessary?
- What purpose do they serve?

In response to the first question asked, all officers (100 %) at North Shepherd said, "yes." Responses from Westside were different. While 4 officers (i.e., two day and two evening) said, "yes," 5 officers (56%) said, "no."

Across both stations, 13 officers (72 %) favored performance evaluations, and 12 officers (67%) listed one or more purposes served by performance evaluations.

Examples of evaluation purposes included:

"For the sergeant to know what you're doing."

"For the sergeant to know who isn't working."

"Fill a need for civil service."

"Who is doing what."

"Forces communication so the sergeant can find out if you've having personal problems."

Examples of responses from officers who thought performance evaluations served no purpose included:

"There's no reward for doing a good job. It doesn't even come into

play under new transfer policy."

"It doesn't mean anything."

"Good sergeants already know who is working and who is screwing off."

"How are you going to measure loyalty? What do they think I am;, a house pet?"

"If my sergeant doesn't observe me, how can he evaluate me?"

"Sergeants know the kinds of things they're supposed to do, but they

don't get more money for doing them right."

The second question asked patrol officers to: List three things you dislike about the Department's current (i.e., traditional) performance evaluation.

Officers most frequently criticized the content of the assessment. Twelve officers (67%) said one of the following: *"It's repetitious — 'A rubber stamp,'"* and *"It's not detailed enough — too broad — too general.— too vague"*.

Ten out of 18 officers (56 %) said the traditional process was : *"meaningless — doesn't serve any purpose — doesn't help or hurt.'"*

Eight officers (44 %) said: *"The number reflects seniority; not performance."*

Examples of other responses mentioned by 17 to 22 percent of respondents included:

"It's a joke — Bad marks don't mean anything."

"The number doesn't mean anything."

Other responses included the following:

"It's outdated."

"It's a popularity context — It's unfair."

"Why is it always 'he?'"

"The number is too powerful. It gives sergeants too much stroke."

The third question asked officers to: List three things you like about the Department's current (i.e., traditional) performance evaluation.

Thirteen officers (72 %) answered: *"Nothing — Not really — Can't think of anything — A waste of time."*

Five officers (28%) said: *"It's simple to do — Kind of automatic — Easy for the sergeants to complete."*

Other responses to this item included:

> *"I don't need them to tell me what I'm doing."*
>
> *"It gives me a chance to talk to my supervisor."*

The fourth question asked officers to: List three things you dislike about the "experimental" performance evaluation?

Sixteen out of 18 officers (89 %) indicated: *"Too many forms — Too long — Too much paper work (for nothing) — It's a pain to keep up with."*

Three officers (17 %) from North Shepherd indicated that they didn't have time to *"get to objectives"* or were *"not able to follow-up on objectives (i.e., Patrol Officer's Monthly Worksheet) because of time required to handle calls for service."*

Two officers, both assigned to night shift, indicated that the Citizen Feedback Form was not meaningful to officers assigned to night shift.

Other responses included:

> *"There is no reward for accomplishing goals."*
>
> *"Too full of NOP."*
>
> *"I'm not going to talk negative, because this is a step in the right direction."*
>
> *"We shouldn't have to ask citizens how we did. That's the sergeants' job."*
>
> *"I always had to come up with something (i.e., objectives to complete the (Patrol Officer's Monthly Worksheet) to make it look good."*
>
> *There's nothing I disliked."*
>
> *"Didn't like sergeants form (i.e., Officer's Immediate Supervisor Assessment Form) used by officers to evaluate sergeants because you couldn't complete it honestly — my sergeant has friends in fingerprinting — but it's a good idea."*

Question 5 asked officers to: List three things you like about the "experimental" performance evaluation.

There was strong agreement among respondents. Thirteen (72%) reported they liked the Patrol Officers Bi-Annual Assessment Report — *"It provides better feedback, — It's more explicit — It gets me more credit for things I do — It's a step in the right direction."*

Four officers indicated that the best thing about the experimental evaluation was that it contained no numerical value. Four others said they liked the "officer comments section."

Other comments, each made by 3 officers (17%) were:

> *"Being able to evaluate the sergeant."*

> *"Forces sergeant to find out what you're doing, i.e., to put them more in touch."*

> *"It's more specific, but sergeants really don't know what you do."*

> *"It gets sergeants more involved."*

Other responses included:

> *"It gives you a chance to talk to your sergeant."*

> *"It gives you an opportunity to set goals."*

> *"Although I'm not a strong believer in NOP, it's better than what we've got."*

> *"You get credit for things you otherwise wouldn't get credit for."*

> *"You get to select a particular problem you can work on."*

> *"Great theory."*

> *"Can't think of anything."*

> *"Allows you to do more things."*

> *"Having to complete the (Patrol Officer's Monthly Worksheet) made me think about things I needed to do in my beat."*

The sixth question asked officers if they had learned anything new about how they perform their job during the experimental period.

Only 5 (28%) of the 18 officers responded positively to this question. They said:

> *"Many of the basic elements of NOP I've been doing all along."*

> *"It makes you think about what you need to do and how to use your time more effectively."*

> *"Do not leave a negative impression with citizens."*

"More interest was displayed by supervisors."

No officers assigned to evening shift thought they had learned anything new about their job.

The last question asked: Did you learn anything new about your supervisor during the performance evaluation experiment?

Six officers (33%) thought they learned something about their sergeants. Comments included:

"Things he was supposed to do but didn't."

"I learned that he knows who is working and not working; who was visiting their chips. The whole department is chock full of lazy officers."

"He had a lot more work to do. He saw a lot more of me during the experiment."

"We had a lot more contact during the experiment."

"Closer working relationship with him. He came by more times on calls."

"Showed an interest for once."

A final question asked: Is there anything else you could suggest that might improve performance evaluation?

Five officers (27%), expressed a desire for more feedback from sergeants. One respondent said , *"You only hear from him if you're messing up."*

Four officers (22%), said performance should "mean something."

Other responses included:

"Get the sergeants more involved for once, but I will take the old form over the new one any day."

"Need to revise the whole system."

"Give extra privileges for officers that work."

"Supervisors need to come by more to see what we do."

"We've never seen the booklet (i.e., civil service manual). They ought to keep a master copy at the station."

"If an officer does a good job, let him know."

Officers were asked to assess the individual forms included in the evaluation.

Patrol Officer's Monthly Worksheet: Twelve officers (67%) thought this form should be eliminated, *". . . dump it — it's useless,"* etc., and five officers (28%) thought the form should be kept, *". . . good — not a bad idea — I kinda had to work at it,"* etc. One officer expressed no opinion.

Calls For Service-Citizen Feedback Form: Fifteen officers (83%) thought this form should be eliminated, *". . . not necessary — embarrassing — good idea but useless — not for night shift,"* etc., and one officer said he *"liked it."* Two officers said they had not seen it.

Community Information Form: Eleven officers (61%) thought this form should be eliminated, and four officers (22%) thought it should be optional or used only at the store fronts. Three officers (17%) said they had not seen this form.

Officer's Immediate Supervisor Assessment Form: Four officers (22%) had not seen this form, and as many didn't like it. But half of all officers interviewed said this form should be kept, although most of these officers expressed concern about how honest they could be in completing it. One went so far to indicate that his sergeant knew someone in the fingerprint section. Another said *"you could get burned."*

Investigator Questionnaire: This form was used only at Westside where investigative functions have been decentralized. Of the 9 officers interviewed there, only 3 (33%) thought it should be kept, *". . . good idea — I like feedback from 'my detective,'"* etc., and 4 officers (44%) thought it should be eliminated. Two said they never saw this form.

C.3.1.1.   Survey Responses of Patrol Officers

To further illustrate officer reaction to the new method of performance evaluation, relevant items from the questionnaire administered to all officers in the study were analyzed. Officers in the Experimental group were asked to respond to the statements listed in Table 4-48.

Response categories ranged from: 1 = strongly disagree to 5 = strongly agree.

The neutral attitude is represented by a score of 3.

TABLE 4-48

Officer Assessment of the Performance Evaluation Process
Item Means for Westside and North Shepherd Experimental Officers

STATEMENT	WESTSIDE	NORTH SHEPHERD
My supervisor thoroughly explained the ratings I received on the various performance criteria.	3.6	3.4
The new performance evaluation system indicates the areas in which I need improvement.	2.9	2.7
The new performance evaluation system reflects the actual nature of my job.	2.6	2.6
The new performance evaluation system is an excellent means for me to inform my supervisor about what I am working on.	2.8	2.8
It is a good idea for officers to evaluate their supervisors.	3.7	3.6
I feel I can be truthful and honest when evaluating my supervisor.	3.7	3.5

Officers at both Westside and North Shepherd almost agreed that their supervisor explained the ratings, that it was a good idea to evaluate supervisors, and that they felt they could be honest in doing so. They were less positive about the process itself. Their responses fell between "disagree" and "neutral" with respect to whether the new process identified areas where improvement was needed, reflected the actual nature of the job, and was an excellent means for informing the supervisor about the problems being addressed by the officer.

C.3.2. Sergeants

The first questions asked sergeants were the same ones asked patrol officers: **Are job performance evaluations necessary? What purpose do they serve?**

In response to the first part of this question, 11 (92%) out 12 sergeants interviewed thought performance evaluations were necessary.

When asked what purpose performance evaluations serve, half of the sergeants interviewed said they let officers know what their supervisors think about their performance. Four sergeants (33%) said performance evaluations help identify the work ethic of officers, to see who is productive and who is not. One sergeant said they served only, "to keep an administrative record for the department of each employee's performance." One said performance evaluations serve no purpose.

Sergeants were asked to: **List three things you dislike about the Department's current (i.e., traditional) performance evaluation.**

Eleven out of 12 sergeants (92%) , said the traditional approach was too vague, too ambiguous, too general or too broad.

Fifty percent of the sergeants disliked giving officers a numerical score. Several said the number represented seniority: *"You work the puzzle around and get the number that fits the person's seniority."*

Three sergeants (25%) said performance evaluation was a *"rubber stamp,"* because the narrative is always the same. And as many sergeants said it was not consistent, because supervisors have different interpretations of each category.

Examples of other responses included:

> *"It pits me against the employees. They look at me as an opponent."*
>
> *"The officers have no idea what the categories mean."*
>
> *"No flexibility for supervisors."*
>
> *"No rewards for good employees."*
>
> *"Doesn't exhibit weaknesses or strong points, because there are not enough categories for grading."*
>
> *"Too much emphasis placed on score."*
>
> *"It's too traditional. Categories are outdated."*
>
> *"It's worthless as it now stands."*
>
> *"Everything is all clumped together."*
>
> *"It's not objective.*
>
> *"It's impersonal. It calls for canned phrases."*

Sergeants next were asked to list three things they liked about the department's current (i.e., traditional) performance evaluation.

Half of the respondents indicated it was *"short, simple and easy to complete. Just 'Xerox' a copy and give it to the secretary."*

Four sergeants (33%) indicated there was nothing they liked about the current system.

Other responses included:

> *"It needs to be changed."*
>
> *"If you don't give the same numerical value, you will ruffle some feathers."*

The fourth question asked sergeants to: List three things you dislike about the "experimental" (new) performance evaluation.

Eight sergeants (67%), mentioned the amount of work required to complete the evaluations: *"Too much paperwork — too many forms — too long — too wordy — too time consuming."*[15]

Seven sergeants (58%) said they did not like the citizen feedback form.

Five (42%) said they did not like the evaluation form sergeants are expected to complete, but one of these sergeants suggested we need to add, *"enforce traffic laws."* And an equal number of sergeants displayed dissatisfaction in being forced to complete the narrative on the form; they thought the it should be optional.

Other responses included:

> *"Allowing officers to disagree with assessment."*
>
> *"Allowing officers to rate supervisors without having to sign the form or provide reasons they graded their sergeants down."*
>
> *"Agree-disagree format."*
>
> *"The Patrol Officer's Monthly Worksheet."*
>
> *"A lot of things were not there. For example, being on time."*
>
> *"Everything seems to be geared toward NOP, which is dead."*

Another question asked sergeants to: List three things you like about the "experimental" performance evaluation.

By far, the most popular response, mentioned by 8 of the 12 sergeants (67%) was the form on which they review an officer's performance: *"It's not perfect, but it's getting there."*

Seven sergeants (58%), liked the "not observed" response category on that form.

Four (33%) thought that *"getting away from having to come up with a numerical grade"* was positive. Four thought the criteria on the new forms were *"more specific — more comprehensive — more meaningful — and less vague."*

Other answers included:

> *"You need to make the {Investigator Questionnaire} a part of the Bi-Annual Assessment Report."*

---

[15] *The sense that the new process was too time consuming probably was heightened by the experimental conditions that required administration three times within six months. Performance assessment once every six months is the usual practice. To further reduce the burden, task force members who created the process recommended it be administered on each officer's employment anniversary date and every six months thereafter. This procedure might require a sergeant to complete only two or three evaluations per month.*

"The Patrol Officer's Monthly Worksheet"

"The Officer's Immediate Supervisor Assessment Form."

"The officer comments section."

"The Investigator Questionnaire."

"Check-off sections."

Having twenty-two evaluation categories."

Finally, sergeants were asked: **Did you learn anything new about your officers' job performance during the performance evaluation experiment?**

Eleven of the 12 sergeants (92%) responded to this question by saying, "No." One sergeant said he didn't recall *"any revelations."* Another sergeant indicated that he thought the experimental time frame was too short. And yet another sergeant said, *"But it helped officers to be more courteous and open minded."*

The sergeant who indicated that he had learned some things about his officers during the course of the performance evaluation experiment said, *"It gave me an opportunity to witness officers' work so I could begin to distinguish weak and strong points."* He also said, *"It enhanced communications."*

· C.3.3. Lieutenants and Captains

Lieutenants were asked seven questions and captains were asked four. Of those questions asked captains, three were identical to questions asked lieutenants. Because only two captains were interviewed, it was thought that mixing their responses with those of lieutenants would help insure anonymity.

Lieutenants and captains were asked: Are job performance evaluations necessary? What purpose do they serve?

Four lieutenants/captains (67%) thought performance evaluations were necessary. The two dissenting respondents thought, as currently designed, they were *"useless."*

Reasons given for conducting performance evaluations included a variety of responses:

"It forces sergeant to find out what the officers are doing."

"Employees need to know what their supervisors expect."

"Learning about an officer's performance provides insight into ways to improve performance."

"It identifies skills and deficiencies."

"It helps officers learn to accept legitimate criticism."

Lieutenants and captains were asked to: List three things you dislike about the department's current (i.e., traditional) performance evaluation.

The most common response to this question, mentioned by 5 respondents (83%), pertained to the lack of specificity with categories used to assess performance.

Four respondents (67%), disliked the *"numerical grade."* All 4 wanted to eliminate it.

Three respondents (50%), said that current criteria are *"outdated," "not applicable"* and *"useless."*

Other comments included:

> *"There's no direction on current system."*

> *"There's no training on current system, but no one really gives a hoot."*

> *"We're forced to do it for every single employee at the same time."*

> *"It does not encourage any interaction."*

> *"It's too mechanical."*

> *"Communication is one way-downward."*

> *"It doesn't mean anything."*

> *"It doesn't focus on the quality of work."*

> *"Because the number is based on seniority, it gives young officers a bad impression. It can even discourage them from working hard, because they will be evaluated, not on how hard they work, but by the number of years they have on the department."*

These respondents were asked to: List three things you like about the department's current (i.e., traditional) performance evaluation.

There was complete unanimity among respondents to this question. All respondents said the thing they liked about the current performance evaluation was that it was *"easy," "simple to do," "not time consuming," "short and sweet."*

Other responses included:

> *"Numerical value, but 30 should be attainable."*

> *"Different rating scales for supervisors and non-supervisors."*

> *"It at least provides some feedback for employees."*

> *"It calls for a regular assessment and is well intentioned."*

Only the lieutenants were asked to list three things they disliked about the "experimental" performance evaluation.

The most popular response to this question, mentioned by three lieutenants (75%), was a critique of the amount of work involved: *"It's too time consuming, too long." "It's complicated. This discourages sergeants from doing them." "There are too many forms."*

Other responses included:

> *"There is no accountability for missed work; that has become a pattern around here."*

> *"It should have some final numerical value."*

> *"There is no way to verify results for objectives listed on the (Patrol Officer's Monthly Worksheet). We don't have manpower for NOP."*

> *"It requires making contacts outside the department."*

> *"Forces responses into a numerical value. We don't need to quantify."*

> *"It forces short little explanations in the narrative section. We need more room in narrative."*

> *"I don't like to make forced choices. I'd rather just write a narrative depicting an officer's strengths and weaknesses."*

Lieutenants were asked to list three things they liked about the "experimental" performance evaluation.

Two lieutenants (50%) said they liked having the sergeants write explanations under each category graded.

Additional responses included:

> *"Bi-Annual Assessment Report."*

> *"'Not observed' category on Patrol Officer's Bi-Annual Assessment Report form."*

> *"It serves as a first good step toward making performance evaluation count for something."*

> *"Provides more feedback to officers."*

> *"It gets sergeants to think about various tasks and gets officers involved in the process."*

> *"Patrol Officer's Monthly Worksheet."*

> *"It increases interaction between the sergeants and their officers."*

> *"No final numeric score. I like adjective rating."*

Lieutenants were asked: Do you think the "experimental" performance evaluation helped your sergeants to become more familiar with the skills and deficiencies of their officers?

In response to this question, the lieutenants split. Two said "yes," and two said "no." One of the lieutenants that said "yes," indicated that the *experiment didn't last long enough."* The other lieutenant in this group said, *"The sergeants had to become more aware of what their officers were doing because the study demanded it."* Both of the lieutenants that said "no," indicated that their sergeants already knew their officers' skills and deficiencies."

The final question sought to determine whether the lieutenants thought the experimental performance evaluation helped their sergeants become better managers.

None thought so. According to one lieutenant, *"Forty percent of the sergeants just thought it was a bunch of 'B.S.'"* Another lieutenant volunteered that, *"A form doesn't make you a better manager. Leadership and training are required."*

C.3.4. Captains

One question was asked only of captains :

What needs to be done to make performance evaluations more meaningful?

Thoughts in response to this question included:

> *"We need to develop a consensus on exactly what performance evaluation should mean to this organization."*

> *"Performance evaluations must be made to be meaningful. They have to count for something meaningful."*

> *"At the very least, our officers need genuine feedback to correct weaknesses and improve their work performance and pride in themselves."*

> *"We need to get rid of the number. We have to think of ways to do things better; to improve the quality of work."*

> *Once we figure out what performance evaluation means in terms of building the organization, then we need to develop training programs to support the concept and the process."*

C.3.5. Summary

The late Gordon Allport once said, "If you want to know what people think, ask them." We took this advice and interviewed thirty-six members from the Houston Police Department to see what they thought about traditional performance evaluation process the department gas

used since 1951 and the experimental alternative now being studied. Respondents included the ranks of patrol officer, sergeant, lieutenant and captain.

Responses from these interviews display a rich variety of opinions, ideas and suggestions. Collectively, responses indicate that traditional criteria are outdated and need to be changed. Interviews also reveal that respondents had less of a problem with the new performance criteria than they did with the administration procedures for the new evaluation process. But stout differences in opinions will continue to persist.

D.   Impact on Citizen Perceptions

Methodology

The impact of the new performance evaluation process on police officer behavior was assessed by means of a survey of burglary victims that was conducted before and seven months after implementation of the new system. The survey measured citizens' perceptions of both the substance and style of the service they received in response to their reported burglary. The development and administration of the survey and the characteristics of the sample are described in detail in Chapter Three, Section C.3.3. and are briefly recounted here. A copy of the survey instrument is provided in Appendix F.

One month prior to the implementation of the new system, household burglary victims from the two experimental areas and victims from two control areas were interviewed by telephone about their experience of police service following the burglary. Seven months after the system had been in use, second samples of burglary victims in these same areas were interviewed. All respondents had been the victim of a burglary within a period of from one to ten weeks prior to the interview. A minimum of one hundred victims in the experimental areas and one hundred victims in the control areas were interviewed for the pre-test (Time 1); similar numbers were interviewed in the post-tests (Time 2).[16]

"Experimental" respondents were those who, at Time 1, had been served by officers who were about to participate in the new performance evaluation system and, at Time 2, had been served by officers who had been evaluated three times under the new system. "Control" re-

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16 *The actual number of respondents, by time and condition, ranges from 109 to 128. The goal was to interview 200 pre-test victims and 200 post-test victims, 100 in each condition. To accomplish this, burglary reports for the two months prior to the survey month were collected for each of the four project areas. Beginning with the cases nearest the interview date, interviewers worked "backwards" in time until they had completed the desired number of cases. Because interviewers were required to make six attempts on different days to reach the respondent, follow-up work on call-back cases resulted in more than 100 completed interviews in each condition.*

spondents were those who, at both survey times, had been served by officers who were evaluated under the Department's traditional evaluation process.

These burglary victims were interviewed by Houston Police Department cadets who, at the time of the interviews, had received several weeks of academy training. Interviewers were paid volunteers. They were trained by the Police Foundation and were supervised by the Police Foundation subcontractor and by academy personnel.

The respondents in the two waves of the survey do not constitute a panel (i.e., the same individuals interviewed at two points in time). While some of the persons interviewed in the post-test may also have been interviewed in the pre-test as the result of having been victimized on two different occasions, the pre- and post-test survey groups are essentially independent samples.

Findings are summarized for the fourteen survey questions that were written to measure impact. Statistical tables in this section present the average scores of victims interviewed before and after the program began. Statistical tests were conducted for victims within the Experimental and Control groups to determine if there were significant differences in their responses. (These tests are not presented here). Other detailed analyses were used to determine if there were significant differences in patterns between the districts; where relevant, those are discussed in the text. Each table reports the results of an analysis of variance that controlled for each victim's age, race, sex, and length of time between the victimization and interview. The statistical test determined if those in the post-test group gave responses that were significantly different than those in the pre-test group; once those factors were taken into account. This provides some evidence of the impact of the program on the general public. However, victims obviously were not assigned at random to the districts in which they lived, and many other factors could account for the differences we observed in their responses.

Findings

D.1.   Citizen Recall of the Officer's Name

After the interviewer verified that the respondent remembered the incident and the contact with police, the respondent was asked: **Do you happen to recall the officer's name?**

Responses were: 0 = no   1 = yes.

TABLE 4-49

Whether Citizens say They can Recall Officers Name

Percentage Responding "Yes"

All Experimental and Control Officers

GROUP	PRE-TEST	POST-TEST
Experimental	16 (N=127)	33 (N=109)
Control	21 (N=113)	20 (N=115)

p=.02

In the post-test interview, 33% of the burglary victims in the Experimental group said they could recall the officer's name, and they were significantly (p=.02) more likely to say "yes" than were respondents in the Control group. Recall of the officer's name could be affected by whether the officer gave the victim a business card.

Respondents were asked whether the officer had left a business card so the victim could call with any additional questions or information (Table 4-50).

TABLE 4-50

Whether Officer Left Business Card

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	62 (N=127)	74 (N=109)
Control	60 (N=115)	62 (N=115)

p=.30

Although a greater number of respondents in the post-test Experimental group reported receiving a business card than did respondents in the other groups, the difference was not significant (p=.30) when analyses controlled for the age, race and sex of the respondent and the recency of the burglary incident.

D.2. Perceptions of Officer Demeanor

Respondents were asked a series of four questions about the demeanor or "style" of the officer (Tables 4-51 through 4-54). The items were:

How courteous was the officer?

How knowledgeable was the officer in handling your problem?

How concerned did the officer appear to be about your situation?

How carefully did the officer listen to what you had to say?

Response categories were:

1 = very courteous/knowledgeable/concerned/carefully

2 = somewhat courteous/knowledgeable....

3 = somewhat discourteous/lacking in knowledge/...(not very carefully)

4 = very discourteous/lacking in knowledge/...(not at all carefully)

TABLE 4-51
Extent to Which Citizen Viewed Officer as Courteous
Item Means

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	1.2	1.1
Control	1.3	1.2

p=.34

TABLE 4-52
Extent to Which Citizen Viewed Officer as Knowledgeable
Item Means

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	1.3	1.3
Control	1.3	1.2

p=.12

TABLE 4-53

Extent to Which Citizen Viewed Officer as Concerned

Item Means

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	1.6	1.6
Control	1.7	1.6

p=.49

TABLE 4-54

Extent to Which Citizen Felt Officers Listened Carefully

Item Means

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	1.3	1.3
Control	1.3	1.2

p=.36

For none of these four questions was there any significant difference over time between Experimental or Control groups. The cell means across these four items ranged from a "high" of 1.1 to a "low" of 1.8, meaning that in every condition respondents reported being essentially either "somewhat" or "very satisfied" with the demeanor of the officer. The Time 1 scores were sufficiently high that there was little room for improvement, and, thus, almost no possibility of detecting change.

D.3.   Recall of Officer's Actions

A series of questions explored respondents' recall of the kinds of things the officer did and discussed at the scene (Tables 4-55 through 4-61). The items were:

Did the officer make an effort to collect physical evidence?

Did the officer provide you with the incident number of your report for future reference?

Did the officer discuss with you what is likely to happen with your case?

Did the officer give you advice about how to make your home more difficult for someone to break into?

Did s/he tell you how to mark your property so it can be returned to you if this ever happens again?

Did the officer give you advice about where or how to seek help with any problems this burglary caused you?

Did s/he ask you whether there were any other problems or situations in the neighborhood that you thought the police should know about?

For each of these questions the responses were: 0 = no 1 = yes.

D.3.1. Collected Physical Evidence

TABLE 4-55

Whether Citizen Recalls That Officer Collected Evidence

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	38	61
Control	32	57

p=.35

There was no significant program effect related to this question (p=.35). Interesting, however, is the fact that respondents in either condition were about twice as likely at Time 2 as at Time 1 to report that the officer attempted to collect physical evidence.

D.3.2. Provided Incident Report Number

TABLE 4-56

Whether Citizen Recalls That Officer Provided Incident Report Number

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	95	95
Control	97	96

p=.45

There was no significant effect for this activity (p=.45). For each condition, at each time, between 95% and 97% of respondents said the officer gave them their incident report number. Again, there was little room for measurable improvement.

D.3.3. Discussed What Would Happen With The Case

TABLE 4-57

Whether Citizen Recalls That Officer Discussed What Would Happen

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	51	64
Control	57	61

p=.38

As reported in Table 4-57, both the post-test Experimental and Control groups were more likely to report that the officer talked about what would happen with the case than did either pre-test group. There was no significant (p=.38) program impact on this outcome.

D.3.4. Advised About Securing Home

TABLE 4-58

Whether Citizen Recalls That Officer Gave Security Advice

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	61	69
Control	55	62

p=.85

There was no program effect related to the question of whether the officer advised the victim about how to make the home more difficult to break into (p=.85). Across both conditions and both times, between 55% and 69% of respondents said the officer gave them such advice.

D.3.5. Advised How to Mark Property

TABLE 4-59

Whether Citizen Recalls That Officer Advised About Marking Property

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	52	53
Control	48	49

p=.83

Here again, there was no program effect (p=.83). Across conditions and survey times, between 48% and 53% of respondents report that the officer advised them about how to mark property so it could be returned in the event of a future burglary.

D.3.6. Advised About Obtaining Assistance

TABLE 4-60

Whether Officer Advised About Assistance

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	34 (N=128)	46 (N=106)
Control	32 (N=115)	29 (N=113)

p=.08

There was a suggestion of program impact (p=.08) on the likelihood that officers gave victims advice about where or how to seek help with problems caused by the burglary.

D.3.7. Asked About Other Neighborhood Problems

TABLE 4-61

Whether citizen Recalls That Officer Asked About Neighborhood Problems

Percentage Responding "Yes"

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	31	37
Control	27	32

p=.90

There appeared to be no program effect (p=.90) on the likelihood that the officer asked the respondent about other problems or situations in the neighborhood about which the police should be aware. Across both conditions, Time 2 respondents were more likely to say officers asked this kind of question that were Time 1 respondents.

D.4. Satisfaction With Service

In a final question, respondents were asked:

- Overall, how satisfied were you with the way in which the officer handled your call? (Table 4-62)

Responses were:

1 = very satisfied   3 = somewhat dissatisfied

2 = somewhat satisfied   4 = very dissatisfied.

Table 4-62

Extent to Which Citizen Was Satisfied With Service

Item Means

All Experimental and Control Respondents

GROUP	PRE-TEST	POST-TEST
Experimental	1.6	1.5
Control	1.5	1.6

p=.53

There was no program effect (p=.53) associated with this general measure of satisfaction with service. Across both conditions and both survey times, there was a high level of satisfaction

among all respondents. The mean satisfaction level ranged from 1.4 to 1.6; a large percentage of respondents were more than "somewhat satisfied" with their service. Given the high Time 1 scores, there was relatively little room for improvement.

D.5.   Summary of Findings from Citizen Survey

Analysis of the survey of burglary victims provides little evidence that the new performance evaluation process affected ways in which officers relate to victims. Across fourteen outcome measures, a significant program effect was indicated for one, and a near significant effect was indicated for a second one. It was determined that burglary victims in the experimental areas were significantly more likely (p=.02) to recall the name of the responding officer than were victims in the control areas. A second measure, whether officers gave victims advice about how to seek assistance with their problems, approached significance at .08. This is a small number of effects and these might have occurred by chance; however, researchers considered it unlikely that any differences would be detected over the brief six month program period. A longer test period and a different survey instrument (see discussion below) might have produced a greater number of significant effects.

Although not related to the performance process, there were three other police activities that occurred with notable frequency across all groups. Among all respondents, in either condition, at either time, in both districts, an average of 59% said that the officer discussed what was likely to happen with the case. Sixty-two percent said the officer offered advice about how to make the home more difficult for someone to break into. Fifty-one percent said the officer told them about marking their property so that it could returned in the event of another burglary. While there is room for an increase in any of these activities, the figures seem relatively high. We would like to know how these figures would compare to those for a department that has not emphasized improved service to citizens. (We also would like to know the extent to which the figures may be inflated by the fact that respondents knew the interviewers were police cadets).

An item for which the results were less impressive was the one that asked whether the officer had inquired about other problems or situations in the neighborhood that the police should know about. An average of 32% of the respondents reported the officer as making this kind of inquiry. There was no program effect on this measure, but there appears to be a district effect. An average of 37% of Westside respondents said officers asked about problems in the area; 27% of North Shepherd respondents said they did,[17] suggesting that the problem orientation may be more strongly rooted at Westside than North Shepherd. It seems clear, how-

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[17] *These are simple percentages without controls for differences among characteristics of respondents in the two districts.*

ever, that most officers are passing up an opportunity to learn about their areas and to demonstrate their interest to citizens.

The questions that asked about the officer's style (courtesy, concern, willingness to listen) were scored so highly by all groups at Time 1 that there was little room for improvement at Time 2. The same was true for the question about the respondent's level of satisfaction about the police response to the burglary.

D.6.　Discussion of Citizen Survey

As we shall discuss at greater length below, we believe that a survey such as the one used for this project has a very important place in any department committed to delivering better service and to monitoring its efforts. It has an especially important role to play in an organization committed to community policing. For these reasons, we think attention should be given to the development of a more sensitive survey instrument.

The survey used for this evaluation was limited in its utility by the number of questions for which a "ceiling effect" was registered in the Time 1 responses. These included the questions about officer style, whether the officer gave the respondent the case number, and the general level of satisfaction with the service. While these questions would be important to an organization for baseline descriptive data and for monitoring purposes, the initial high scores make these items useless for the purpose of hypothesis testing.

The eight questions about officer activity (e.g., "Did the officer discuss with you what is likely to happen with your case?") were all answered in this survey with a simple "yes" or "no." These items would be more sensitive to statistical analysis if the response categories provided more variance; the question about case outcome, for example, might be asked as "How much information did the officer give you about what might happen next with your case?" and the answers might range from "none," through "some" and " a moderate amount" to "a great deal." A question such as "To what extent did the officer answer your questions about this case?" with responses ranging from "not at all" to "completely." This format would create a lengthier survey but would have the potential of generating more variance for analysis.

The content of the questions also needs to be examined—and would need to be re-considered for each department that might be interested in using a similar process. The specific questions asked should correspond to the expectations for officers dealing with the kinds of incidents on which the survey is focused. For two reasons the survey should be constructed or reviewed by both the officers who will be responding to these calls and by citizens who will be the recipients of the service. In the first place, such a process should increase the likelihood that all the potentially relevant questions have been included. In the second place, such a process would give "ownership" of the process to both officers and citizens. If they worked together as a committee, it would enhance the idea of police-citizen cooperation in the polic-

ing process. Officer involvement could also reduce officer concern about the nature and purpose of such a survey. Officer participation was not used for the development of this instrument because it was to be used for testing program effects. We did not wish to circulate information about it that would open findings to the alternative explanation that officers were deliberately trying to affect the findings by putting unnatural emphasis on certain types of behaviors when responding to a call.

However, in a non-research situation, the ideal condition would be to have officer input in the development of the instrument and then to circulate it to every member of the organization with an explanation of its intended use, a description of the process of developing it, and a request for suggestions about additional items or other changes in the instrument. This would be another means of sharing with all officers the expectation that there should be follow-up on calls and a means of communicating to officers, through the nature of the questions asked, expectations for their performance when handling a particular kind of call.

We also recommend that the administration of such a survey be a regular part of the academy experience for new officers. Having the survey administered by Houston Police cadets produced very interesting outcomes, some of which were unanticipated by the research team.[18]

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18 *When the Time 1 survey was completed, cadets were asked to fill out an evaluation form about their experience as interviewers. They were asked about the adequacy of the explanation of the project, the clarity of the instructions to them, and the level of organization of the project. They also were asked:*

"Did you receive anything of training and/or educational value from your participation in the Citizen Survey?"

"Do you feel future cadet classes should be allowed to participate in such projects?"

"Is there anything you feel could be eliminated from or added to this project to improve it?"

In addition to responding with "yes" or "no" to each question, cadets were given space for comment. Of eighteen completed forms, only two did not add written comments. The observations about the benefits of cadet participation in the survey are derived from their comments and from the direct observations of the survey supervisors and the research team.

We have concluded that:

1. This process helped establish the idea, from the point of the new officer's first exposure to the profession, that seeking feedback from citizens is an appropriate practice.

2. The experience increased cadets' confidence in talking with citizens. You could hear their comfort grow with each call. If the survey served no other purpose, this kind of "practice" in speaking with victims would be a valuable part of the training experience. Several cadets commented on the fact that their interviewing skills were being improved and one added to this that he gained experience in using the telephone as an investigative tool.

3. Cadets learned that, despite their victimization, citizens have positive feelings about the service they receive. They found that citizens did not have unrealistic expectations about the ability of the police to solve the crime or recover their property. This is an early lesson that should help mitigate against development of a "we-they" feeling toward citizens on the part of young officers.

4. They learned about victims. They learned that many burglary victims move or change and unlist their phone numbers soon after their victimization. They learned that a burglary is a traumatizing experience for many burglary victims, some of whom remain fearful several weeks after the incident. They experienced victim gratitude for the fact that the Department "cared" enough to check back with them.

5. They learned about quality of report writing. Because they had to take information from the incident report before making the call to the victim, they quickly became alert to differences between well written and poorly written reports. They experienced the frustration of a report that could not be easily read or of one on which the phone number perhaps had been inaccurately recorded. At breaks, they could be heard discussing this among themselves and showing each other good or bad examples. They were trying to determine from officers' employee numbers whether the difference between good and bad reports could be explained by recency of academy training. One cadet asked to keep a copy of the best report he had seen so that it could continue to serve as an example for him. The simple fact that they believe another cadet will one day be scrutinizing their own reports may have a positive effect on the quality of their report writing long after burglary calls have begun to seem too routine to experienced officers.

6. They learned about research and its relationship to their profession, both from having had this project explained to them and as a result of asking questions that occurred to them during the course of conducting the survey. Were this kind of process to be implemented as a regular part of the academy curriculum, the benefit of it would be increased if the supervisor were someone who could discuss research with the cadets as their questions arise. Also, they might be provided a reading list of materials on findings about victims, citizen surveys, and other related research topics.

The research team began by viewing the decision to have cadets administer the survey as being primarily a matter of efficiency. The personnel were readily available, could be assembled easily for training, could be supervised efficiently on-site, and in their recruit status were eager to demonstrate to the survey supervisors (who also were their academy supervisors) their willingness and ability to do a good job.

We did not anticipate that the experience of the cadets would be one of the important products of the project. The experience would be beneficial to a cadet in any police organization. In a community policing agency, it could be a valuable a tool for shaping performance expectations, skills, and attitudes consistent with this approach.

We strongly recommend the use of this tool.
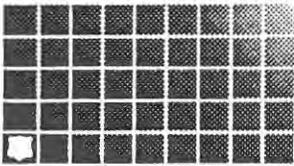
Issues and Implications

A. Overview

The goal of this research project was to determine whether the department's new performance evaluation system effectively communicated and legitimized the department's management philosophy as expressed through the re-definition of present roles and responsibilities of patrol officers.

As a management philosophy, Neighborhood Oriented Policing (NOP) provides a conceptual framework to direct a multiplicity of organizational functions designed to improve the quality of life in the City of Houston. NOP seeks to integrate the desires and expectations of citizens with actions taken by the department; the goal is to identify and address conditions that negatively impact the city's neighborhoods and, therefore, community life in general.

Realistically, citizen perceptions of neighborhood problems may differ from those of the officers. This is due to the cultural, ethnic, socioeconomic, occupational, and educational diversity that exists within Houston's neighborhoods. Perceptions among citizens about neighborhood problems may differ as well, even to the point of casting different neighborhood groups into adversarial roles. The officers must be able to reach some degree of consensus before actions to correct the deteriorating quality of neighborhood life can be mutually developed. The mutual development of a course of action, however, assumes there is a strong enough commitment among a sufficient number of concerned citizens that they are willing to

become involved with the officers to improve their neighborhoods. It also assumes management is willing to allow officers to begin thinking differently about the type of work they will perform and is willing to allow them the flexibility to determine how their work will be performed.

Within the context of this experiment, our officers were expected to continue performing reactive responsibilities (e.g., handle calls for service, enforce traffic laws, conduct initial investigations, etc.), albeit more efficiently and creatively; but, they were also encouraged to develop new proactive skills (e.g., utilize crime analysis data, initiate tactical planning, implement directed patrol strategies, conduct follow-up investigations, etc.) and coactive skills (e.g., initiate strategic planning, develop active community partnerships, establish a problem solving orientation, implement self-directed activities, etc.).

This broad spectrum of skills affected the roles and responsibilities of the officer's immediate field sergeant as well. More of an emphasis was placed on management and facilitation. The sergeant was expected to be the most knowledgeable person about the status of neighborhood activities performed by the officers and investigators. The sergeant was expected to guide, direct, and support officers as they attempted to address neighborhood crime and noncrime problems. The new performance evaluation process was designed to have the sergeants:

- meet with officers to discuss the types of problems which exist in their respective neighborhoods;
- discuss with the officers the rationale used to prioritize problems, and, when necessary, collectively decide appropriate responses;
- act as a coordinator, securing assistance from other officers, investigators, or analysts;
- assist officers in the development and implementation of various strategies and tactical responses; and
- accumulate information from different sources about the status of activities occurring within their neighborhoods.

Experience has demonstrated, however, that an articulation of new roles and responsibilities is not necessarily sufficient for change to occur. Management must do more than just talk about or mandate (via department policies) changes. The command, "just do what I tell you to do, and don't ask questions" doesn't guarantee the changes will occur. Management must recognize it is the means by which the process of change produces intended organizational results. In other words, management must insure the proper support systems are in place within the organization that will help personnel prepare for, coordinate, and facilitate the attainment of results. The restructuring of performance evaluation systems represents one of those support mechanisms that can guide the change process.

Toward this end, the Houston Police Department took the challenge of constructing a new performance evaluation process for patrol officers. The focus of this new process was multi-

faceted. First, new performance criteria were developed to accurately reflect the wide range of responsibilities officers were performing during their tours of duty. Second, multiple performance factors were created to operationalize each performance criterion. Third, a new rating scale was developed so sergeants could accurately record the quality of the performance observed. Fourth, officers and sergeants were required to meet to discuss pending plans and actual accomplishments. Finally, input about an officer's performance could be obtained from sources (e.g., citizens and investigators) other than the officer's immediate field sergeant.

The study was not without shortcomings which were described in this report. Nevertheless, findings from the officers' and citizens' surveys did provide evidence that this personnel performance evaluation process can provide essential structural support for operationalizing a philosophy of policing. Additionally, this experiment revealed a number of issues and implications which must be addressed if transformation processes of this nature are going to completed successfully.

B.   Issue #1: Purpose

The overriding question asked repeatedly during the course of the experiment was: What is the purpose of performance evaluation? This was the very first issue the officers who designed the new instrumentation spent hours discussing. At first glance, the question doesn't appear to be a difficult one to answer. In fact, the officers were able to enumerate a number of responses, inclusive of the following:

- justify pay raises;
- provide written documentation of work performance;
- serve as a mitigating factor in internal affairs investigations;
- enhance transfer opportunities;
- enhance promotion opportunities;
- assist in the overall development of the officer;
- serve as a means to upgrade professionalism within department; and
- improve officer morale by crediting him/her for a job well done.

Task force members were quick to recognize that none of these purposes would be realized without consensus through the chain-of-command as to how performance evaluations would be used within the department.

It should be pointed out that attaining consensus on any issue within a police agency typically is not an easy task to accomplish within ranks, let alone between ranks. Executives, middle managers, and officers may all have differing opinions about the purpose of performance evaluations.

Agency executives may feel performance evaluations should be used to monitor uniformity or compliance with policies and procedures. Emphasis may also fluctuate between the quantity and quality of work performed. Some executives may feel the volume of traffic tickets issued is more important than measuring the results attained by issuing the citations. Other executives may opt to use performance evaluation as a tool to support their management philosophy.

If executives are truly concerned about setting a course of direction for the department, if they want to properly allocate available resources to attain the maximum "bang for the buck," if they want to be assured of knowing what services are considered to be a priority within the community, they must be willing to open the organization and themselves to input from the rank and file. Input can be acquired from personnel assessments provided the process and performance criteria is sensitive to the dynamic aspects of an officers' job.

As one descends the chain-of-command, the perceived purpose of performance evaluations begins to change. Some middle managers, inclusive of sergeants, tend to treat performance evaluations as an administrative inconvenience. This is ironic because most departments seek to standardize the evaluation process so it can be done easily and quickly; in other words, it is designed to be administratively convenient to complete. It is not uncommon for managers to quickly complete the form, get it signed, and send it to personnel for filing. Other managers extend the utility of personnel evaluations by using them to improve individual performance or team capabilities. These managers are not satisfied with using the evaluation process as a maintenance function (i.e., make sure the officers are doing the same things properly day in and out). They prefer to assess strengths and deficiencies so they can facilitate the development process of their personnel. Individual strengths are to be preserved, refined, and enhanced. Deficiencies that are observed should be used to identify remediation efforts and not as a "hammer" to be held over the officer's head.

This perspective is very demanding and potentially threatening for middle managers. It will cause them to reassess and prioritize their responsibilities. They may be required to develop skills they may not currently possess. Astute managers will increase these skills and agree to alter the nature of their relationships with their officers. Not only will they meet more regularly with their officers, but the nature of these sessions will be highly informative, objective, direct, and mutually satisfying. Officers will perceive these managers as concerned, insightful, and constructive as they acquire feedback about the quality of their work.

If there was one common denominator expressed by the officers during the experiment, it was the desire to obtain adequate feedback about their performance and accomplishments. Most officers wanted their sergeant and lieutenant to care about their work. They wanted them to be available when they were needed; and, they did not want to feel guilty about asking for their assistance. The officers were tolerant of "supervisory interference" by

overzealous sergeants and lieutenants. They were also aware of which sergeants and lieutenants were "not to be bothered unless there was a true emergency."

Those sergeants and lieutenants who did work with the officers were viewed as contributors rather than controllers. They were seen as coaches, offering advise when needed. These officers don't mind having their performance critiqued if it is done in a constructive manner by a sergeant familiar with their work. Some officers said they would like sergeants to give them advice on available career opportunities or on how to achieve career objectives. As mentors possessing varied department experience, sergeants and lieutenants could give their officers valuable advice in this area.

The purpose of performance evaluations will vary by position within the organization. Attaining consensus will not be an easy task. It will require recognition on behalf of management that performance evaluations cannot be everything for everyone. Even as a tool to professionally develop an officer's abilities, performance evaluations are inherently linked to the willingness, ability, and effectiveness of the individual evaluator.

C. Issue #2: Process

Task force members were concerned about changing the process of conducting performance evaluations. The Houston Police Department has been using the same evaluation process for over forty years. They were anxious about requiring sergeants to change their "routine".

As a side note, during pre-implementation feedback sessions with the sergeants, objections were raised, questions asked, and criticism offered about the forms. Many sergeants and lieutenants were noncommittal while others voiced their support. Even the more vocal opponents admitted later that despite their criticisms, parts of the new instrumentation were a tremendous improvement over the existing one.

By expanding the performance criteria so they would coincide with the scope of their job, the officers were explicitly stating they wanted more definitive feedback about their work. This meant the sergeants' routines had to change. The need to observe officer activities and become more aware of what their officers were doing would mean a disruption in the continuity of their work. To accomplish these things, sergeants would have to conduct more observations than was the norm. Regular, agreed upon meetings were expected to occur between the sergeant and his/her officers. Agreements were to be reached about what was being done and how it was being accomplished. Accountability was to become more focused. The ways of doing their job would need to change and some sergeants felt challenged by these changes.

Their collective reaction can best be summed up by the statement: "Just when and how do you expect me to do all of this?" Of course this also had a ripple effect on the lieutenants. If

this concern is not addressed, supervisors may not participate effectively in the new process. You can have the greatest evaluation system ever devised, but as was the case with team policing years ago, if the "players don't want to play, nothing is going to get accomplished thereby allowing the status quo to win another round." Process must be perceived as a means to accomplish anticipated and expected results.

The effort to alter traditional performance evaluation processes in Houston led us to the following observations and conclusions:

- Having citizens, officers, sergeants, and lieutenants talk about performance evaluation criteria helps clarify expectations regarding activities to be performed and results to be attained.

- Developing new performance criteria will often result in the need to retrain sergeants and lieutenants. New skills will need to be developed so they can provide appropriate guidance and direction.

- Requiring officers and citizens, officers and sergeants, sergeants and lieutenants, or all four parties to regularly discuss officer performances and accomplishments will automatically ensure that other pertinent service delivery issues, organizational impediments, and managerial concerns will be discussed.

- The process of conducting performance evaluations should reinforce a commitment to teamwork. The team, however constructed, should include citizen involvement. As the value of teamwork emerges within the organization, individual evaluations may give way to team assessments. Attention may focus less on measuring the performance of activities and more on how and why results were attained or not attained.

- An emerging evaluative perspective will be on attaining substantive results which will be directly linked to management's ability to properly integrate the organizational support systems used by the patrol officers. Less attention will be placed on designing processes that emphasize efficiency based on administratively convenient decision making. The emphasis on using individual assessments as a controlling device will diminish. Performance should be analyzed in terms of contributions to the collective effort of the whole.

- Performance evaluation should become a continuous learning process for officers and management. The decision to conduct formal bi-annual, quarterly, or monthly assessments is probably based more on organizational tradition than anything else.

- Feedback should expand beyond identifying personal strengths and weaknesses. Personnel of all ranks should come to understand that what they do or don't do affects their fellow employee, operational and administrative processes, and the ability of others to attain specific results.

- The process of evaluating performances should not be one-dimensional. Universal instrumentation does not recognize a person's position, assignment, or time in grade. One's superior should not be the sole provider of information about performance. There are too many other sources of input that can be used to verify performance.

- The value performance evaluation has for organizational development needs to be recognized. As the collective capability of the agency's personnel improves, the organization stands to benefit from enhanced managerial acuity, a commitment to innovation and creativity, and a willingness on behalf of the employees to view change as a challenge worth pursuing rather than a threat to be avoided.

One final observation meriting attention is that process should be perceived as a means to an end. Performance evaluation should not be viewed as "just another routine assignment." The process should be used as a tool which brings parties together to make decisions that further the attainment of results.

D.   Issue #3: Procedures

Markedly different procedures are a potential impediment to successfully implementing a new performance evaluation process. A new procedure may be resisted if it is more complex than the one it replaces. We found a number of instances when sergeants and lieutenants did not follow the operating procedures for this experiment because of the demand the new procedures placed on them.

Although a majority of sergeants attempted to comply with the new experimental procedures, some sergeants were opposed to the number of forms in the new evaluation packet despite being held directly accountable for only two of them. The remaining forms were the responsibility of the officers to use as they deemed appropriate.

After having worked with the instruments for six months, sergeants shared a number of observations concerning each of the forms and associated procedures with the researchers. Those observations are listed below:

1) The Bi-Annual Assessment form received great support from the rank and file, sergeants, and lieutenants. There appears to be support for continuing biannual evaluations based on date of entry versus the traditional February and August time frames. This would stagger grading periods so that sergeants would conduct only a few each month. The sergeants would also like to reduce the documentation requirement for each of the performance criteria.

2) The Patrol Officer's Monthly Worksheet received mixed reviews from officers and sergeants. Those who supported it felt it helped them organize their uncommitted time. Sergeants felt it gave them a better picture of what the officers were trying to do or wanted to do. Detractors saw the form as busy work, not necessary, and too time consuming. This form may need revision to be accepted as a management tool for officers and sergeants.

3) The Community Information form was hardly used by the officers. This could be due to the fact they were unaware of its existence or thought the sergeants were responsible for using it to obtain feedback from the citizens. The utility of this form is based on the amount of involvement officers have with citizens working on problems of mutual interest. The sergeants may not have felt the citizens could offer additional insight about officers' performance and therefore did not promote it. However, there will be instances when citizens are the only ones who can verify officer performance when sergeants are unable to do so.

4) The Calls For Service - Citizen Feedback form led many sergeants to complain bitterly about having to follow-up on "one call a month, to ask citizens to respond to five questions." Some sergeants felt it took too much time to do for the value received. Most of the feedback from the citizens was very positive. Only report calls were used; calls placing officers in an adversarial position were exempt. The officers' original intention was to demonstrate their effectiveness in handling calls for service. Also, since this is their most frequent form of contact with the citizens, they felt their sergeants should be exposed to the quality of their work. Management should decide if it wants to incorporate this type of feedback into the evaluation process.

5) The Investigator Questionnaire was designed to obtain feedback from investigators about the contributions and quality of work officer perform during the course of assisting or conducting an investigation(s). Patrol officers were given the option of using this form, and they chose to use it only sparingly during the experiment. This form may become less relevant if police officers begin replacing investigative sergeants, and begin performing investigative responsibilities. This would result in having the investigative officers evaluate the performance of patrol officers. Peer evaluations were rejected by the design task force.

6) The Officer's Immediate Supervisor Assessment form also received mixed reviews. Everyone was concerned about the accuracy of the information since officers had the option of signing their name to the document. It represents an interesting option that lieutenants should actually address, since it is tool for them to use in working with their sergeants.

There is consensus to continue using six month evaluations with a willingness to use the staggered time frames. There is also consensus that the Bi-Annual Assessment form should replace the present instrument with certain modifications. There was no strong consensus on any of the other forms. Management may want to examine the utility of some of the forms (e.g., calls for service and monthly worksheet). Pending that decision, a workshop involving patrol sergeants and lieutenants should be convened to refine the instrumentation and asso-

ciated procedures prior to actual implementation. The new evaluation process should be discussed with the Director of Civil Service to ensure no problems are encountered with the transformation procedures. Finally, training time lines should be established to teach the parties how to use the new instruments.

E.   Conclusion

This experiment represented a comprehensive attempt to examine one facet of the Houston Police Department's performance evaluation system. It is only a first step. Altering the officers' roles and responsibilities will have a corresponding effect up the chain-of-command, and relevant performance evaluations should change accordingly for each rank.

A prototype performance evaluation instrument for sergeants was developed during this project, but was never sanctioned for experimentation. There were discussions about the need to repeat the process for lieutenants, but no action was taken.

The parties involved in this experiment made a tremendous contribution to the department. Numerous opportunities await action by the organization's command staff. It is hoped that what appears to be a promising start will continue with the same level of dedication, esprit de corps, and commitment already put forth by hundreds of fellow officers.

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Appendix A

Current Houston Police Officer
Performance Evaluation Instrument

FORM CSC 210

City of Houston
Civil Service Commission
REPORT OF EMPLOYEE PERFORMANCE RATING

Prepare in quadrulicate. Original to Civil Service Commission duplicate to member reported on; triplicate to head of department for filing; with fourth copy being retained by the division or grading officer.

For

(Semi-annual period ending _____

(Probationary period ending _____

(Transfer or Termination
   period ending _____

Name of Employee _____   ☐ Supervisory or staff position

Title of Position _____   ☐ Non-supervisory position

Department _____   Division - District - Station _____

FACTOR OR ELEMENT	CHECK APPLICABLE FACTOR DEGREE OF PERFORMANCE				
	UNSATIS. FACTORY	FAIR	SATIS. FACTORY	VERY GOOD	OUT. STANDING
1) Quality of Work					
2) Dependability and Adaptability					
3) Initiative and Leadership					
4) Safety Mindedness					
5) Cooperation and Loyalty					

Suggestions for Improvement by Immediate Superior Officer:

_____

_____

Basis for "Unsatisfactory" or "Outstanding" Rating and Grade (see note below)

(Use other side if necessary)

Rated by _____
(Signature of Immediate Superior Officer)   (Title) _____   (Date) _____

Reviewed by _____
(Signature of Higher Superior Officer)   (Title) _____   (Date) _____

Approved by
Department Head _____   Total Points _____   Adjective Rating _____

Report Furnished to Civil Service Commission _____   Date _____

Report Furnished to Employee _____   Date _____

Note: The basis and reason for each rating of "unsatisfactory" and "outstanding" for any member of the department will be given for each specific "unsatisfactory" or "outstanding" performance or behavior warranting such rating and

Appendix B

Experimental Houston Police Officer Performance Evaluation Instruments

HOUSTON POLICE DEPARTMENT

Patrol Officer's Bi-Annual
Assessment Report

OFFICER INFORMATION			ACTIVITY PERIOD BASED ON DATE OF ENTRY
NAME:_____			
Last *First* *MI*			FROM:(m/d/y)_____
EMPLY.NO.:_____ SHIFT:_____ DISTRICT/BEAT:_____ NEIGH.:_____			TO:(m/d/y)_____
COMMAND/BUREAU/DIVISION:_____			

SECTION I

WORK ASSIGNMENT	List any changes in work assignment, responsibilities, or work environment which affect an officer's ability to complete assigned tasks.

PROGRESS	Describe status of and progress made toward attaining objectives set forth in previous monthly assessments.

ACCOMPLISHMENTS	List successful completion of specific projects, notable actions taken, and any other significant deed(s) initiated by the officer.

SPECIAL RECOGNITION	List any awards, letters of commendation, or recognition for activities performed by the officer.

SECTION II

DIRECTIONS: From the following scale, circle the response which most closely describes the quality of work demonstrated by the officer. Following each response, a written explanation of each choice is necessary. If the performance criterion is not observed by the supervisor or not verified through other means (i.e., survey questionnaires), circle the "Not Observed" (N.O.) response.

STATEMENTS and EXPLANATIONS	SCALE

PROFESSIONALISM

	Not Observed	Strongly Disagree	Disagree	Average	Agree	Strongly Agree
1. Consistently exhibits a professional appearance.	N.O.	1	2	3	4	5
Explanation: _____						
2. Displays adaptability and flexibility.	N.O.	1	2	3	4	5
Explanation: _____						
3. Shows initiative in improving skills.	N.O.	1	2	3	4	5
Explanation: _____						
4. Exercises prudent care and use of equipment.	N.O.	1	2	3	4	5
Explanation: _____						

KNOWLEDGE

	Not Observed	Strongly Disagree	Disagree	Average	Agree	Strongly Agree
5. Demonstrates working knowledge of laws.	N.O.	1	2	3	4	5
Explanation: _____						
6. Demonstrates working knowledge of General Orders/SOPs.	N.O.	1	2	3	4	5
Explanation: _____						
7. Demonstrates working knowledge of patrol tactics.	N.O.	1	2	3	4	5
Explanation: _____						
8. Demonstrates proper knowledge of completing routine forms.	N.O.	1	2	3	4	5
Explanation: _____						

STATEMENTS and EXPLANATIONS	SCALE					
	Not Observed	Strongly Disagree	Disagree	Average	Agree	Strongly Agree

RELATIONSHIPS

9. Effectively expresses oneself verbally.   N.O.   1   2   3   4   5
Explanation: _____
_____

10. Successfully interacts well with other officers.   N.O.   1   2   3   4   5
Explanation: _____
_____

11. Establishes and maintains constructive rapport with citizens.   N.O.   1   2   3   4   5
Explanation: _____
_____

PATROL MANAGEMENT

12. Efficiently manages uncommitted time.   N.O.   1   2   3   4   5
Explanation: _____
_____

13. Identifies problems and concerns in his/her area.   N.O.   1   2   3   4   5
Explanation: _____
_____

14. Formulates appropriate plan(s) of action.   N.O.   1   2   3   4   5
Explanation: _____
_____

15. Effectively implements plan(s) of action.   N.O.   1   2   3   4   5
Explanation: _____
_____

16. Efficiently manages calls for service.   N.O.   1   2   3   4   5
Explanation: _____
_____

17. Consistently completes acceptable offense reports.   N.O.   1   2   3   4   5
Explanation: _____
_____

18. Conducts quality follow-up investigations.   N.O.   1   2   3   4   5
Explanation: _____
_____

STATEMENTS and EXPLANATIONS	SCALE					
SAFETY	Not Observed	Strongly Disagree	Disagree	Average	Agree	Strongly Agree
19. Exercises proper judgement when handling requests for service. Explanation: _____ _____ _____	N.O.	1	2	3	4	5
20. Uses caution when handling suspects/prisoners. Explanation: _____ _____ _____	N.O.	1	2	3	4	5
21. Maintains self-control in stressful situations. Explanation: _____ _____ _____	N.O.	1	2	3	4	5
22. Proficiently uses communications equipment. Explanation: _____ _____ _____	N.O.	1	2	3	4	5

SECTION III

OFFICER COMMENTS: This section is reserved for officer's comments relative to his/her interpretation of this assessment.

SECTION IV

This report is based on my observation and/or knowledge. It represents my best judgement of the officer's performance.

Rated by: _____ Date: _____
(Signature of Immediate Superior Officer)   *Title*

Received by: _____ Date: _____
(Signature of Higher Superior Officer)   *Title*

Approved by Department Head: _____ Date: _____

Report Furnished to Civil Service Commision: _____ Date: _____

I certify this report has been discussed with me. My signature indicates that I   ❑ Agree   ❑ Disagree with this assessment.

Officer's Signature: _____ Date: _____

HOUSTON POLICE DEPARTMENT

Patrol Officer's Monthly Worksheet

EMPLOYEE INFORMATION

NAME:_____
          Last   *First*   *MI*

EMPLY.NO._____ SHIFT:_____ DIST/BEAT:_____ NEIGHBORHOOD:_____

DATE:_____

SECTION I: Objective Setting / Reporting

OBJECTIVE #1   ❑ NEIGHBORHOOD   ❑ BEAT   ❑ DISTRICT

PROGRESS/STATUS: ❑ COMPLETED   ❑ ON-GOING   ❑ MODIFIED   ❑ DEFERRED   ❑ CANCELLED

OBJECTIVE #2   ❑ NEIGHBORHOOD   ❑ BEAT   ❑ DISTRICT

PROGRESS/STATUS: ❑ COMPLETED   ❑ ON-GOING   ❑ MODIFIED   ❑ DEFERRED   ❑ CANCELLED

OBJECTIVE #3   ❑ NEIGHBORHOOD   ❑ BEAT   ❑ DISTRICT

PROGRESS/STATUS: ❑ COMPLETED   ❑ ON-GOING   ❑ MODIFIED   ❑ DEFERRED   ❑ CANCELLED

OBJECTIVE #4	❏ NEIGHBORHOOD	❏ BEAT	❏ DISTRICT

PROGRESS/STATUS: ❏ COMPLETED ❏ ON-GOING ❏ MODIFIED ❏ DEFERRED ❏ CANCELLED

SECTION II - Community Contacts

RESIDENTIAL/CIVIC ASSOCIATION:

1. Name:_____

   Phone No._____

2. Name:_____

   Phone No._____

3. Name:_____

   Phone No._____

4. Name:_____

   Phone No._____

5. Name:_____

   Phone No._____

BUSINESS/OTHER ORGANIZATIONS:

1. Name:_____

   Phone No._____

2. Name:_____

   Phone No._____

3. Name:_____

   Phone No._____

4. Name:_____

   Phone No._____

5. Name:_____

   Phone No._____

SECTION III - Special Project Assignment

_____
_____
_____

SECTION IV - Officer Comments / Suggestions

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

HOUSTON POLICE DEPARTMENT

Community Information Form

OFFICER'S NAME:_____DATE:_____

SHIFT:_____DISTRICT:_____BEAT:_____NEIGHBORHOOD:_____

According to the records of Officer_____ , you have had
an opportunity to interact with this officer. In order to help us with our evaluation of this
officer's performance, we would appreciate you taking a few minutes to complete this ques-
tionnaire. Your input is sincerely appreciated.

COMMUNICATIONS / RELATIONSHIPS:

1. Based on your observations, how does the officer effectively interact with you or your
    organization? Explain.

    _____

    _____

    _____

2. To the best of your knowledge, does the officer attend community meetings?

    _____

    _____

    _____

3. How does he/she actively participate in those meetings? Explain.

    _____

    _____

    _____

4. How was the officer able to help you or your organization? Explain.

    _____

    _____

    _____

    _____

PROBLEM SOLVING:

1. How did the officer participate with you or your organization in identifying neighborhood problems? Explain.

_____

_____

_____

2. To the best of your knowledge, how was the officer involved in developing and/or implementing a plan of action to address a particular type of problem?

_____

_____

_____

3. Did the officer keep you advised of the status of the plan? Explain how this was done.

_____

_____

_____

_____

4. Please identify any crime prevention suggestions the officer has presented that would improve your neighborhood.

_____

_____

_____

_____

GENERAL COMMENTS:

_____

_____

_____

_____

_____

NAME:_____DATE COMPLETED:_____

ORGANIZATION:_____
DATE RECEIVED
BY SUPERVISOR:_____

HOUSTON POLICE DEPARTMENT

Calls For Service - Citizen Feedback

OFFICER INFORMATION

NAME:_____
          Last   *First*   *MI*

SHIFT:_____ DISTRICT/BEAT:_____ NEIGHBORHOOD:_____

DATE OF CALL:_____LOCATION OF CALL:_____

SECTION I - Assessment Criteria

1.) He/she was courteous/polite to me.   ☐ Agree   ☐ Disagree

2.) He/she was knowledgeable in addressing my problem.   ☐ Agree   ☐ Disagree

3.) He/she offered advice on how to address my problems.   ☐ Agree   ☐ Disagree

4.) He/she demonstrates concern while attempting to address my problem.   ☐ Agree   ☐ Disagree

5.) He/she handled the call in a professional manner.   ☐ Agree   ☐ Disagree

SECTION II - General Comments

COMPLAINANT'S NAME:_____ SUPERVISOR'S NAME:_____
                                                                                              (Employee No.)

DATE COMPLETED:_____ DATE RECEIVED:_____

HOUSTON POLICE DEPARTMENT

Investigator Questionnaire

OFFICER'S NAME:_____EMPLY.NO.:_____DATE:_____

SHIFT:_____DISTRICT:_____BEAT:_____NEIGHBORHOOD:_____

According to divisional records, Officer _____ has had an opportunity to interact and work with you on a number of occassions. In order to assist this officer's immediate supervisor in his/her assessment of the officer's performance, please take a few minutes to complete this questionnaire.

1. How well does the officer communicate and cooperate with you or other investigators? Explain.

_____

_____

_____

_____

_____

_____

2. How well does the officer communicate through his written reports (e.g., accuracy, content, thoroughness, legibility, etc.)? Explain.

_____

_____

_____

_____

_____

_____

_____

_____

_____

3. What type of working knowledge of the proper procedures does the officer have regarding the filing of charges, filing hold cards, and conducting F-6 checks? Explain.

_____
_____
_____
_____
_____

4. When provided the opportunity, does the officer show initiative in following-up on investigations? Explain.

_____
_____
_____
_____
_____

5. Please identify any area(s) in which this officer should attempt improvement.

_____
_____
_____
_____
_____
_____

INVESTIGATOR'S NAME:_____EMPLY.NO.:_____DATE COMPLETED:_____

HOUSTON POLICE DEPARTMENT

Officer's Immediate-Supervisor
Assessment Form

SGT.'S NAME:_____	ACTIVITY PERIOD
	FROM:(m/d/y)_____
SGT.'S SHIFT:_____SGT.'S DISTRICT:_____	TO:(m/d/y)_____

1. My supervisor is knowledgeable about departmental rules and procedures.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

2. He/she fairly and consistently applies and enforces these guidelines

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

3. He/she tries to accommodate my requests when possible.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

4. He/she encourages me to perform well or to do a good job.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

5. He/she sets a good example for top performance.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

6. He/she lets me know when I have done something well.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

7. He/she demonstrates concern for me as an employee.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

8. He/she assists me in resolving problems in my beat.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

9. He/she is readily available when needed.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

10. He/she treats me with respect.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

11. He/she is too lenient.

    _____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

12. I could benefit from more leadership from my supervisor.

_____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

13. He/she makes decisions that affects my ability to perform my duties in a timely manner.

_____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

14. He/she affects my morale positively.

_____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

15. He/she conducts effective monthly performance meetings.

_____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

16. He/she helps me resolve difficulties I encounter in the performance of my duties.

_____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

17. He/she is an overall effective supervisor.

_____Strongly Disagree   _____Disagree   _____Neutral   _____Agree   _____Strongly Agree

COMMENTARY:

Please put any comments or suggestions you may have about your supervisor and the way in which he/she conducts his/her job that you feel would be beneficial on the remainder of this page. For example, you might give specific suggestions on how your supervisor could be more effective with you or others. Also, add any comments you might have about this form, or questions and areas you think should be included on it.

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

OPTIONAL:

OFFICER'S NAME:_____ DATE:_____

Appendix C

Houston Police Officer Performance Evaluation Pilot Program Booklet

Please note, this is an original version of the Program Booklet; therefore, the page numbers will be inconsistent with the rest of this document.

Introduction

A new performance evaluation instrument has been developed for patrol officers. This instrument was designed by a committee of patrol officers assigned to each of the three major shifts at the Westside Command Station. They worked for several weeks in an effort to design an instrument and a series of procedures which would allow officers an opportunity to receive credit for the many things they do during the course of their regular tour of duty.

During the months of March thru August, the department will be conducting an experiment with the new performance evaluation instrumentation and accompanying procedures. Both the Westside and North Shepherd Patrol Divisions will be participating in the experiment.

*As a part of the experiment, participants will be required to follow new procedures and use different types of evaluation forms. Probably the most difficult aspect of the project will be adherence to the time line. Participants will be involved in **bi-monthly** evaluations, not semiannual ones.*

This booklet has been prepared to assist the participants in this endeavor. Specific instructions have been developed which will describe how each form within the packet is to be used. Efforts will be made to discuss the material with each of the participants during the training session preceding the start-up of the experiment.

Table of Contents

Performance

Evaluation

Instrumentation

Performance
Evaluation
Instrumentation

Overview

The new performance evaluation instrumentation consists of several new forms. They include the Patrol Officer's Bi-Annual Assessment Report, Patrol Officer's Monthly Worksheet, Community Information Form, Calls For Service - Citizen Feedback Form, Investigator Questionnaire and Officer's Immediate Supervisor Assessment Form.

Each of these forms is intricately related to one another. At first glance, this may seem to look like an excessive amount of paperwork for a sergeant to complete. In actuality, this is not the case. The sergeant will be responsible for completing the Bi-Annual Assessment Report. Other personnel will be required to complete the remainder of the forms as a means of helping the sergeant verify the performance of an officer.

The sergeant will be responsible for managing the distribution and collection of the forms. This will prove cumbersome during the experiment because the sergeants are being required to repeat the process in bi-monthly increments as opposed to the standard six-month time frame presently being used.

Keep in mind, this new time frame is to be used only during the experiment.

Sergeant will be responsible for filling out the
Patrol Officer's Bi-Annual Assessment Report
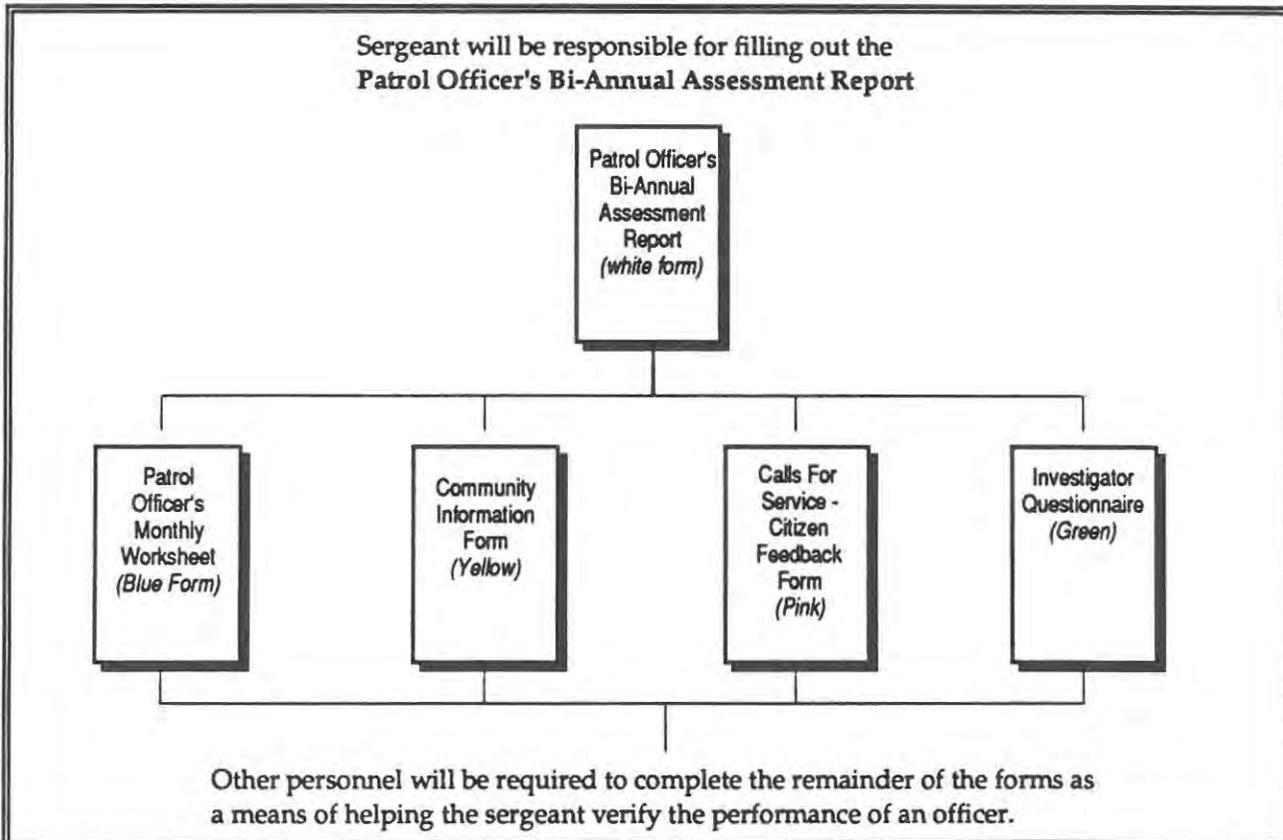
Patrol Officer's
Bi-Annual
Assessment
Report
(white form)

| Patrol Officer's Monthly Worksheet *(Blue Form)* | Community Information Form *(Yellow)* | Calls For Service - Citizen Feedback Form *(Pink)* | Investigator Questionnaire *(Green)* |

Other personnel will be required to complete the remainder of the forms as a means of helping the sergeant verify the performance of an officer.

Patrol Officer's Bi-Annual Assessment Report:

Patrol Officer's
Bi-Annual
Assessment
Report
(white form)

This form will serve to record the officer's performance from multiple perspectives, inclusive of 22 different performance criteria;

Patrol Officer's Monthly Worksheet:

Patrol
Officer's
Monthly
Worksheet
(Blue Form)

Provides the officer with an opportunity to have direct input into his/her own evaluation. Officers can identify the different types of projects, strategies; or programs they are working on for a specified period of time, as well as the accomplishments they are making;

Community Information Form:

Community
Information
Form
(Yellow)

There will be times when an officer spends a lot of time working in the community with citizens on various types of projects. This form is designed to obtain information from the citizens who have worked with the officers. The information requested is quite specific and will provide the sergeant with additional insight as to how and what officers are trying to accomplish;

Calls For Service - Citizen Feedback Form:

Calls For
Service -
Citizen
Feedback
Form
(Pink)

The most frequent form of officer-citizen contact is during the handling of calls for service. This form is designed for the sergeant to use in obtaining information about the nature of the contact. The citizens will be asked a few questions about the quality of the interaction;

Investigator Questionnaire:

Investigator
Questionnaire
(Green)

Officers have been and will continue to be expected to conduct quality criminal investigations. This work is seldom reviewed by the officer's immediate supervisor, yet the information contained within their report is of extreme value to the investigating sergeant. This form is designed to obtain information from the investigative sergeant about the officer's knowledge and performance in the handling of preliminary or follow-up investigations; and

---

Officer's Immediate Supervisor Assessment Form:

Officer's
Immediate-
Supervisor
Assessment
Form
(Orange)

Officers will be provided with an opportunity to assess the performance of their immediate sergeant across a number of different topics. Although cursory in nature, this information when given to the lieutenant has the potential of identifying significant trends about the nature of the relationship between a sergeant and his/her officers.

Patrol

Officer's

Bi-Annual

Assessment Report

Patrol Officer's Bi-Annual Assessment Report

This report is to be completed by the officer's immediate supervisor. The report is comprised of four sections. Each section requires specific types of information.

Section I: Accomplishments

Work Assignment- a disclaimer section for the officer and supervisor. Should an officer be newly assigned or be required to work on special projects or assignments which would keep him/her from performing their normal responsibilities, it would be noted here;

Progress- information for this section should come directly from the officer's monthly worksheet, supplemented by the sergeant's own observations or knowledge. The intent of this component is to identify how well the officer is progressing on the objectives he/she set and agreed with the sergeant;

Accomplishments- information is again extracted from the officer's monthly worksheet and supplemented by direct observations or knowledge of the sergeant. The intent of this component is to stress the importance of results obtained for a given project or assignment; and

Special Recognition- As unpredictable as police work is, there are times when officers perform admirably and are recognized for such actions. This component is designed to recognize such acts and use it as support in documenting what an officer has done during the rating period.

Section II: Performance Criteria
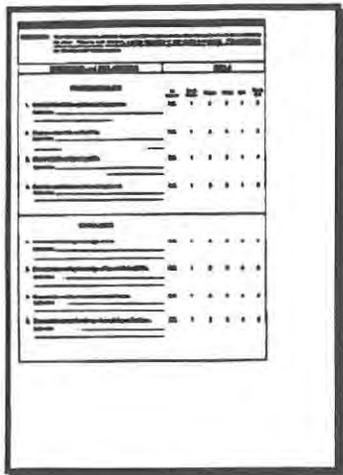
The purpose of this portion of the report is to provide the sergeant with specific guidelines to direct the evaluation of officer performance. There are a total of five subcategories within this section.

Subcategories:

Professionalism

Knowledge

Relationships

Patrol Management

Safety

Performance Factors for Patrol Officer's Bi-Annual Assessment (see pages 32-34)
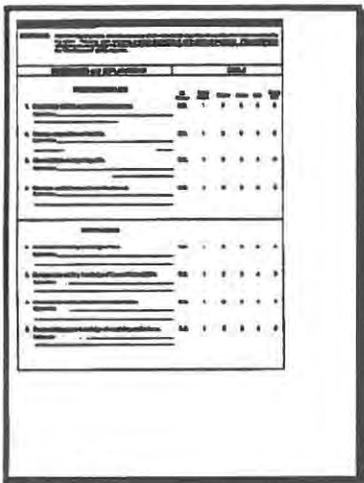
Contained within each of these subsections are a varying number of performance criteria. These criteria, 22 in all, are presented as declarative statements about the officer's performance.

For each performance criteria, i.e., **Demonstrates Working Knowledge of the Law**, there is a series of performance factors. These factors specifically identify the behavior the sergeant is to assess for a given performance criterion.

For example, the performance factors for Demonstrating Working Knowledge of the Law include: general knowledge of city ordinances, general knowledge of traffic laws, general knowledge of penal code, and the ability to apply proper charges in criminal offenses. A complete listing of the performance criteria and accompanying performance factors are listed in the next section.

Section III: Officer Comments
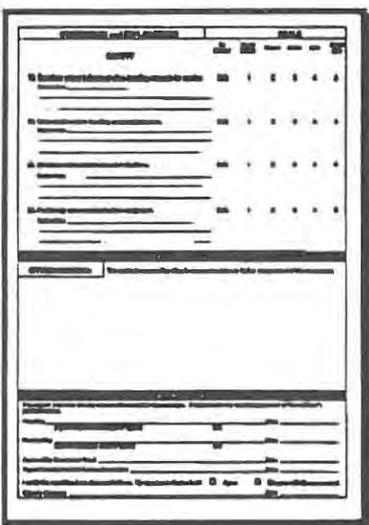
The officer has an opportunity to express his/her viewpoints about the nature of the evaluation. There may be instances when officers wish to clarify a part of the evaluation; challenge the evaluation on certain merits; or expand upon comments made by the sergeant.

Officers should not be forced to complete this portion of the report; however, sergeants should indicate the officer was provided an opportunity to do so but declined. Officers are not required to identify nor are the sergeants expected to offer their own viewpoints as to why an officer refused to complete this section of the report.

Section IV: Sign-Off

An administrative section requiring signatures by the effected parties. Also note, the officer must acknowledge a discussion ensued with his/her immediate sergeant about the report; and, an indication must be made as to the acceptance or rejection of the assessment.

Patrol

Officer's

Monthly

Worksheet

Patrol Officer's
Monthly Worksheet

The Patrol Officer's Monthly Worksheet contains four sections. Each section requires a certain amount of information to be developed by the officer and sergeant or provided solely by the officer.

This form is designed to allow the officer an opportunity to have input into his/her own evaluation. The best way this can occur is to allow the officer and sergeant to agree upon what responsibilities, actions, projects, programs, tactics, or strategies an officer is seeking to perform during the rating period. It is anticipated the officer will have an undetermined amount of "uncommitted time" available during a six month period. It is during these time frames officers are expected to engage in assignments deemed appropriate by them and their sergeant.

The form consists of four sections:

SECTION I
Objective Setting/Reporting

SECTION II
Community Contacts

SECTION III
Special Project Assignment

SECTION IV
Officer Comments/ Suggestions

SECTION I: Objective Setting/Reporting

At the beginning of the month, the sergeant should meet with the officer to identify major assignments or projects to be performed. This information can be generated by either the officer or the sergeant. Each assignment can occur within a neighborhood, beat, or district. The determination is based on the nature and size (i.e., resource demand) of the assignment or project.

During the course of the rating period, the sergeant and officer should meet during the month. The purpose of this meeting is to identify the progress being made on each assignment. Again, a series of choices is available for officers to select and report on.

Status

Completed:
an assigned is finished, results should be recorded;

On-going:
the assignment is still active, activities performed and results recorded (if any at this point in time);

Modified:
because of the situation encountered, changes need to be made.

These changes are prompted by unexpected events which alter the existing assignment or require the creation of a new one;

Deferred:
unexpected, competing assignments occur which require this assignment to be reprioritized. Work will be addressed at a later date which is mutually agreed upon by the sergeant and officer; and

Cancelled:
unexpected, competing assignments occur which require this assignment to be cancelled. The assignment may be more than the officers can handle resulting in the cancellation. The sergeant may dictate cancellation for legitimate reasons. It is questionable as to whether the assignment will be pursued in the future.

Changes

The sergeant and officer should continue to meet on a monthly basis once the initial assignments have been agreed upon. During those ensuing meetings, the sergeant and officer must determine if changes are to occur within this section of the worksheet. For example, if one of the initial assignments requires a long term commitment, there may not be a need to identify new commitments. However, if short term assignments are made and completed, the officer and sergeant should agree upon new projects. This new information would then be recorded on the existing form, if room is available, or a new form if room is not available.

Section II: Community Contacts

There will be instances when an officer's assignment will require him/her to spend a lot of time working with members of the community. Certain projects may be administered within residential or commercial neighborhoods. This section has been provided so the officer can identify who he/she has been working with.

Examples would include when officers work with apartment managers, civic club associa-tions, business merchants, or other police agencies or security companies.

What <u>must</u> <u>be</u> <u>avoided</u> is requir-ing officers to seek out 10 com-munity contacts for the sake of completing the form.

This will result in officers spend-ing their time needlessly.

The purpose of identifying these contacts is to allow the sergeant an opportunity to obtain infor-mation from the citizen about the quality of the contact (through the use of the Community Information Form). This infor-mation will be useful to the sergeant in completing certain portions of the Bi-Annual Assessment Report. Since the officer's sergeant will not always be available to personally ob-serve how well the officer is per-forming, this information ex-change will serve to verify what has actually transpired because of the officer's commitment.

SECTION III: Special Project Assignment

If an officer is assigned to work on a committee, conduct research, work with a special unit, is tem-porarily reassigned to another detail, etc., it should be recorded in this section. If possible, any results accomplished by the officer during his special as-signment should be recorded.

SECTION IV: Officer Comments/Suggestions

An open forum for the officer to make recommen-dations or record observations which occurred but do not necessarily lend themselves to being recorded using the existing forms. Officers may en-counter unexpected events which they handle effi-ciently and would like the sergeant to be aware of.

Community

Information

Form

Community
Information Form

The purpose of this form is to assist the sergeant in assessing an officer's involvement in the community. The questionnaire is one of several sources of information the officer should be assessed on. It was designed merely to assist the officer's sergeant and in no way is the information extracted from the survey to be considered the sole criteria for an assessment of an officer's performance.

The questionnaire is meant to solicit opinions on an officer's activities, skills, and accomplishments from business personnel, civic club leaders or personnel, apartment managers, and/or community association personnel. This questionnaire was not designed to solicit opinions from citizens an officer may interact with when handling calls for service. Respondents may be randomly selected from any number of sources maintained by the officers, such as: the monthly worksheets, patrol management plans, or attendees from the Positive Interaction Program.

The sergeant should attempt to incorporate within each Bi-Annual Assessment Report citizen input from at least three independent sources. This means the use of the questionnaire is optional. If an officer does not have a chance to work with the citizens for a period of time which is conducive to providing the necessary information, then the sergeant should not use the form. However, it is to the officer's advantage to make these contacts and require the sergeant to administer this questionnaire. Therefore, sergeants should not resist any requests by the officers unless the sergeant has sufficient reason for doing so.

When administered, the three questionnaires should be completed during the course of the six months instead of completing them at the end of the assessment period. The questionnaire may be mailed to a citizen, given to a citizen by an officer, or given to a citizen by the officer's immediate sergeant. The questionnaire contains three sections.

Sections

Communications/ Relationships

four questions are posed, asking about the type of interaction, attendance at meetings, participation, and assistance to the organization

Problem Solving

four questions are posed, asking about the identification of problems, the development of an action plan, and suggestions regarding crime prevention tips

General Comments

providing the citizen an opportunity to freely express their thoughts about their involvement with the officer.

The questionnaire must always be returned directly to the sergeant by the citizen. The sergeant must personally contact the citizen after or during the completion of the questionnaire.

This will allow the sergeant an opportunity to personally answer any questions the citizen may present. This will also give the sergeant the opportunity to review the questionnaire in the presence of the citizen in case the

sergeant is unsure of any comment or answer.

It is imperative the questionnaire be delivered to the citizen and returned to the sergeant in the most expedient manner possible.

Call

For

Service-

Citizen FeedBack

Calls For Service - Citizen Feedback

The purpose of this form is to acquire basic information about how well an officer handled a call for service.

HOUSTON POLICE DEPARTMENT
Calls For Service - Citizen Feedback

OFFICER INFORMATION

NAME:
Last _First_ _MI_

EMP#: DISTRICT/BEAT: NEIGHBORHOOD:

DATE OF CALL: LOCATION OF CALL:

SECTION I - Assessment Criteria

1.) He/she was courteous/polite to me. ☐ Agree ☐ Disagree

2.) He/she was knowledgeable in addressing my problem. ☐ Agree ☐ Disagree

3.) He/she offered advice on how to address my problems. ☐ Agree ☐ Disagree

4.) He/she demonstrated concern while attempting to address my problem. ☐ Agree ☐ Disagree

5.) He/she handled the call in a professional manner. ☐ Agree ☐ Disagree

SECTION II - General Comments

COMPLAINANT'S NAME: SUPERVISOR'S NAME: _(Employee No.)_

DATE COMPLETED: DATE RECEIVED:

The most frequent form of contact experienced by officers is during the handling of calls for service. In most instances, this is a citizen's primary encounter with the police. It also places a heavy demand upon an officer because he/she does not know what to expect, other than through the preliminary information provided by the dispatcher; and, it requires the officer to be a "jack-of-all-trades." In other words, the citizen expects the officer to be able to help him despite the nature of the problem or concern expressed.

In the majority of cases, the officers handle the calls in an efficient manner. However, the officer seldom, if ever, receives any credit for his/her performance. While the department has historically been concerned with the "quantity" of calls handled, it has disregarded how well the officer has handled the call.

The purpose of this form, consequently, is to acquire basic information about how well an officer handled a call for service.

Since there is such a large variety of calls an officer handles and, given that many of these calls place an officer in a "confrontational mode" with the citizen (i.e., handling disturbance calls), the utilization of this questionnaire will be limited to report calls.

Using the Form

Sergeants will be required to randomly select two calls per month, per officer, and administer this questionnaire accordingly. The sergeant is required to complete the form. It will not be mailed to the citizen or will the officer be allowed to give it to the citizen and wait around for the citizen to complete the form before returning it to the sergeant.

The sergeant may observe how an officer handles such a call and then upon the officer's departure ask the citizen to help him complete the questionnaire. Or the sergeant may select a call from the call history file and return at a later time to collect the information. The delay should not be too long or the citizen may not remember the encounter.

The sergeant should use this information as a basis for helping complete the Bi-Annual Assessment Report.

Investigator

Questionnaire

Investigator Questionnaire

The purpose of this questionnaire is to assist sergeants in the assessment of their assigned officers. The questionnaire will supply the sergeant with input from investigators who work with the officer by virtue of their geographical assignment.

This questionnaire represents only one of several sources of information available to assess the officer's performance. The questionnaire is in no way meant to be the sole criteria for the assessment.

Sergeants should incorporate within each Bi-Annual Assessment Report feedback from at least one investigative sergeant. Input from more than one investigative sergeant may be appropriate depending on what neighborhoods officers and investigative sergeants are assigned to. The investigator who is assigned to the same neighborhood (or beat) as the officer being assessed should be the person who completes the questionnaire.

The sergeant shall give the questionnaire to the officer's assigned investigative sergeant(s). The questionnaire contains five questions which require a narrative response. The investigative sergeant(s) must answer each of the five questions based upon his/her own experiences with the officer. If necessary, the investigative sergeant may seek input from another officer's assigned investigative sergeant concerning the officer's performance as it relates to the questionnaire.

The officer's assigned investigative sergeant shall always be the person who completes the questionnaire. The investigative sergeant must return the questionnaire directly to the officer's immediate sergeant as soon as possible upon completion.

An officer may advise his/her immediate sergeant as to which investigator the officer works with the majority of the time. An officer may also contact the shift lieutenant to determine which investigator is assigned to the officer's area of responsibility.

3. What type of working knowledge of the proper procedures does the officer have regarding the filing of charges, filing hold cards, and conducting F-6 checks? Explain.

_____
_____
_____
_____
_____
_____

4. When provided the opportunity, does the officer show initiative in following-up on investigations? Explain.

_____
_____
_____
_____
_____

5. Please identify any area(s) in which this officer should attempt improvement.

_____
_____
_____
_____
_____
_____
_____

INVESTIGATOR'S NAME:_____ EMPLY. NO.:_____ DATE COMPLETED:_____

Officer's

Immediate

Supervisor

Assessment Form

Officer's Immediate-Supervisor Assessment Form

The purpose of this form is to provide the officer with an opportunity to critique their immediate sergeant on a number of different topics.

The responses from the officers will collectively represent a descriptive analysis of the nature of the relationships a sergeant has with his/her officers.

The shift lieutenant is responsible for administering this form. The administration of the form must coincide with the completion of an officer's rating period. Generally speaking, an officer's evaluation should be completed by the sergeant before the officer completes this form. The officer is required to complete the form and return it directly to the lieutenant.

The form contains 17 statements requiring a response to be selected from a Likert scale encompassing five points ranging from strongly disagree to strongly agree. A general comment section is available for the officer to record any additional observations. The officer also has the option of signing his/her name to the form.

The lieutenants are expected to use this information in an appropriate manner. It is anticipated the information will be shared with their respective sergeants.

12. I could benefit from more leadership from my supervisor.
____Strongly Disagree   ____Disagree   ____Neutral   ____Agree   ____Strongly Agree

13. He/she makes decisions that affects my ability to perform my duties in a timely manner.
____Strongly Disagree   ____Disagree   ____Neutral   ____Agree   ____Strongly Agree

14. He/she affects my morale positively.
____Strongly Disagree   ____Disagree   ____Neutral   ____Agree   ____Strongly Agree

15. He/she conducts effective monthly performance meetings.
____Strongly Disagree   ____Disagree   ____Neutral   ____Agree   ____Strongly Agree

16. He/she helps me resolve difficulties I encounter in the performance of my duties.
____Strongly Disagree   ____Disagree   ____Neutral   ____Agree   ____Strongly Agree

17. He/she is an overall effective supervisor.
____Strongly Disagree   ____Disagree   ____Neutral   ____Agree   ____Strongly Agree

COMMENTARY:

Please put any comments or suggestions you may have about your supervisor and the way in which he/she conducts his/her job that you feel would be beneficial on the remainder of this page. For example, you might give specific suggestions on how your supervisor could be more effective with you or others. Also, add any comments you might have about this form, or questions and areas you think should be included on it.

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

OPTIONAL:

OFFICER'S NAME:_____   DATE:_____

Performance

Factors for

Patrol Officer's

Bi-Annual Assessment

Performance Factors for Patrol Officers' Bi-Annual Assessment

Section II of the **Patrol Officer's Bi-Annual Assessment Report** contains 22 different performance criteria. Each criteria is listed as a declarative statement. The sergeant has a series of responses available to use ranging from strongly disagree to strongly agree; and, when applicable, not observed.

Since the sergeant is expected to select one number that adequately depicts how well the officer performed in accordance with these factors, the sergeant's response must accurately reflect a predetermined level of value. The following page describes the rating scale.

Each of the value descriptions should be utilized by the sergeant in an effort to select the appropriate response for each declarative statement. Remember, each statement contains a specific performance criteria (e.g., Professional Appearance, etc.) upon which the officer's performance is measured.

Applying the Rating Scale To The Performance Criteria

Step 1.   In using the below listed example (i.e., PROFESSIONALISM), the sergeant must know what the appropriate Performance Factors are for this criteria. In this example, by referring to page 32 we find factors that include Hair Standards, Facial Hair, Physical Standards, etc.

Step 2.   Once the sergeant is familiar with the Performance Factors, a decision must be made in response to the statement that includes the Performance Criteria (i.e., Consistently Exhibits a Professional Appearance). There are six potential responses from which the sergeant can select. Before doing so, the sergeant must fully understand what each response represents. Therefore, the sergeant should review the Ratings Scale Value Descriptions listed on page 30-31.

Step 3.   The sergeant should match the Rating Scale Value Description (i.e., 1-5, or N.O.) to the observed or documented behavior demonstrated by the officer.

Again, in using our example, if a sergeant circles number 2 (Disagree) this response indicates that the officer's appearance can best be characterized by the Rating Scale value description designated for this response. If the sergeant cannot match this description to the personal observations or documentation, chances are the response selected is inappropriate and should be reassessed.

STATEMENTS and EXPLANATIONS			SCALE			

PROFESSIONALISM	Not Observed	Strongly Disagree	Disagree	Average	Agree	Strongly Agree
1. Consistently exhibits a professional Appearance	N.O.	1	2	3	4	5

- Hair Standards
- Facial Hair
- Physical Standards
- Physical Hygiene
- Dress Standards

*(see pages 32-34 for **Performance Factors**)*

Rating scale number "1" represents the following type of behavior:

The performance exhibited in each of the rating categories causes one to be concerned over the officer's capabilities; work is below minimum standards; there is an almost complete lack of skill in being able to perform the responsibilities; consistently disregards responsibilities or adherence to standards; the officer does not exercise sound judgement is unwilling to work shows no desire to work; learns slowly, requires repeated instructions with extensive directions; performance is consistently unacceptable leading one to question the competency of the officer; the performance is poor.

Rating scale number "2" represents the following type of behavior: The performance exhibited in each of the rating categories is considered to be barely satisfactory; the work is considered to be marginal; there is a limited ability to perform the appropriate skills for a given responsibility; the officer frequently disregards performing responsibilities or adherence to standards; the officer occasionally exercises sound judgement; the officer is generally unwilling to do the job; but will do so upon demand; learns the job, but only with instructions and directions; performance is sufficient, consistent, effective, and efficient but only to the degree of being minimally acceptable.

Rating scale number "3" represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be generally acceptable; the officer performs work beyond minimum requirements; work is performed in a steady manner; there is an effective application of skills to a given responsibility(s); the officer occasionally disregards responsibilities or adherence to standards; in most instances, the officers uses sound judgement; the officer is usually desirous and willing to do the job; is able to do the job with minimal instructions and directions; performance is considered to be consistent, sufficient, effective, and efficient but only to the degree of being average.

Rating scale number "4" represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be above average; the work performed regularly exceeds basic requirements; the officer demonstrates an advanced ability to apply skills to a given responsibility(s); there is a conscientious effort to perform responsibilities and maintain adherence to standards; sound judgement is always exercised; the officer is always desirous and willing to do work; is able to do the job with no instructions or directions; performance is considered to be above average satisfaction, more than sufficient, always effective and obviously efficient but only to the degree of exceeding expectations.

Rating scale number "5" represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be exceptional; work is consistently excellent as to quality, accuracy, thoroughness, and technical excellence; the officer has an exceptional understanding of what work is to be accomplished; almost without exception, the officer initiates and completes responsibilities while adhering to standards; there is never any doubt as to the exercise of sound judgement; the officer is desirous of seeking additional work upon completion of normal duties; assumes responsibility for performing job without prompting; performance is consistently far above department expectations to the degree of being superior.

Rating Scale Value Descriptions

Since the sergeant is expected to select one number that adequately depicts how well the officer performed in accordance with the performance factors, the sergeant's response must accurately reflect a predetermined level of value. Five value descriptions have been developed to help establish reliability and continuity among supervisory rating decisions. These value descriptions are as follows:

Rating scale number "1" represents the following type of behavior:

The performance exhibited in each of the rating categories causes one to be concerned over the officer's capabilities; work is below minimum standards; there is an almost complete lack of skill in being able to perform basic responsibilities; consistently disregards responsibilities or adherence to standards; does not exercise sound judgement; is unwilling to work, shows no desire to work; learns slowly, requires repeated instructions with extensive directions; performance is consistently unacceptable leading one to question the competency of the officer; performance is <u>poor</u>.

Rating scale number "2" represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be barely satisfactory; the work is considered to be marginal; there is a limited ability to perform the appropriate skills for a given responsibility; the officer frequently disregards performing responsibilities or adherence to standards; occasionally exercises sound judgement; is generally unwilling to do the job but will do so upon demand; learns the job but only with instructions and directions; performance is sufficient, consistent, effective, and efficient but only to the degree of being <u>minimally</u> <u>acceptable</u>.

Rating scale number "3"
represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be generally acceptable; the officer performs work beyond minimum requirements; work is performed in a steady manner; there is an effective application of skills to various responsibilities; occasionally disregards responsibilities or adherence to standards; in most instances, uses sound judgement; is usually desirous and willing to do the job; is able to do the job with minimal instructions and directions; performance is considered to be consistent, sufficient, effective, and efficient but only to the degree of being <u>average</u>.

Rating scale number "4"
represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be above average; the work performed regularly exceeds basic requirements; the officer demonstrates an advanced ability to apply skills to various responsibilities; there is a conscientious effort to perform responsibilities and maintain adherence to standards; sound judgement is always exercised; the officer is always desirous and willing to do work; is able to do the job with no instructions or directions; performance is considered to be above average satisfaction, more than sufficient, always effective and obviously efficient but only to the degree of <u>exceeding</u> <u>expectations</u>.

Rating scale number "5"
represents the following type of behavior:

The performance exhibited in each of the rating categories is considered to be exceptional; work is consistently excellent as to quality, accuracy, thoroughness, and technical excellence; the officer has an exceptional understanding of what work is to be accomplished; almost without exception, the officer initiates and completes responsibilities while adhering to standards; there is never any doubt as to the exercise of sound judgement; the officer is desirous of seeking additional work upon completion of normal duties; assumes responsibility for performing job without prompting; performance is consistently far above department expectations to the degree of being <u>superior</u>.

Performance Criteria and Performance Factors

(For Section II of the Patrol Officer's Bi-Annual Assessment Report.)

Category #1 - Professionalism

Item #	Criteria:	Performance Factors:
1.	**Consistently Exhibits Professional Appearance.**	• Hair Standards • Facial Hair • Physical Standards • Physical Hygiene • Dress Standards
2.	**Displays Adaptability and Flexibility**	• Willingness and Ability to Conform as Needed or Directed
3.	**Shows Initiative in Improving Skills**	• Advancement of Job-Related Training • Advancement of Education; and • Learning New Techniques
4.	**Exercises Prudent Care and Use of Equipment**	• Knowledge of how to Properly Use Equipment • Misuse of Personal Equipment • Abuse of Personal Equipment • Misuse of City Issued Equipment • Abuse of City Issued Equipment

Category #2 - Knowledge

Item #	Criteria:	Performance Factors:
5.	**Demonstrates Working Knowledge of Laws**	• General Knowledge of City Ordinances • General Knowledge of Traffic Laws • General Knowledge of Penal Code • Ability to Apply Proper Charges in Criminal Offenses
6.	**Demonstrates Working Knowledge of General Orders/SOP**	• Adherence to General Orders • Adherence to S.O.P. • Requirement of Minimal Assistance With Departmental Policies and Procedures
7.	**Demonstrates Working Knowledge of Patrol Tactics**	• Use of Appropriate Tactics When on Calls For Service • Use of Appropriate Tactics when Conducting Self-Initiated Investigations • Ability to Innovate.
8.	**Demonstrates Proper Knowledge of Completing Routine Forms**	• Ability to Complete Daily Forms Without Assistance • Frequency of Errors in Daily Forms • Accuracy of Information Submitted

Category #3 - Relationships

Item #	Criteria:	Performance Factors:
9.	**Effectively Expresses Oneself Verbally**	• Command of Language • Public Speaking, and • Articulation
10.	**Interacts Well With Other Employees**	• Cooperation • Tact • Assistance to Others • Leadership • Support
11.	**Establishes and Maintains Constructive Rapport With Citizens**	• Tact • Courtesy • Attitude • Effective With Citizen Concerns • Understanding

Category #4 - Patrol Management

Item #	Criteria:	Performance Factors:
12.	**Effectively Manages Uncommitted Time**	• Structured patrol • Follow-Up Investigations • On-view Incidents • Traffic Enforcement • Self-Initiated Activities • Citizen Interaction
13.	**Identifies Problems and Concerns in Respective Area**	• Initiative • Awareness • Alertness • Use of input • Verification of Problem and Concerns
14.	**Formulates Appropriate Plan(s) of Action**	• Ability to Plan • Organization • Use of Input • Innovation • Thoroughness
15.	**Effectively Implements Plan(s) of Action**	• Knowledge and Use of Resources • Commitment • Coordination • Perseverance • Patience
16.	**Effectively Manages Calls for Service**	• Time Management • Appropriate Action • Scene Preservation • Laziness
17.	**Consistently Files Acceptable Offense Reports**	• Legibility • Content • Accuracy • Thoroughness • Clarity
18.	**Conducts Quality Follow-up Investigations**	• Motivation • Initiative • Knowledge • Interaction

Category #5 - Safety

Item #	Criteria:	Performance Factors:
19.	**Exercises Care and Proper Judgement When Handling Requests for Service**	• Command Bearing/Presence • Knowledge • Appropriate Action • Alertness
20.	**Uses Caution When Handling Suspects/Prisoners**	• Safety Awareness • Thorough Searches • Appropriate Restraints
21.	**Maintains Self-Control in Stressful Situations**	• Professional Demeanor • Discretion • Calmness • Patience • Tolerance
22.	**Proficiently Uses Communication Equipment**	• Possesses Proper Knowledge of How to Use Computer and Radio Equipment • Willingness to Properly Use Computer and Radio Equipment • Misuse of Computer and Radio Equipment • Abuse of Computer and Radio Equipment

Appendix D

Interview Questions About Evaluation Process

Patrol Officer Performance Evaluation Experiment

Post Interview Schedule

Officers

1) Are job performance evaluations necessary? What purpose do they serve?

2) List three things you dislike about the Department's current (i.e., traditional) performance evaluation.

3) List three things you like about the Department's current (i.e., traditional) performance evaluation.

4) List three things you dislike about the "experimental" performance evaluation.

5) List three things you like about the "experimental performance evaluation.

6) Did you learn anything new about your job performance during the performance evaluation experiment?

7) Did you learn anything new about your supervisor during the performance evaluation experiment?

Blue Form: Pink Form: Yellow Form: Brown Form: Green Form:

Sergeants

1) Are job performance evaluations necessary? What purpose do they serve?

2) List three things you dislike about the Department's current (i.e., traditional) performance evaluation.

3) List three things you like about the Department's current (i.e., traditional) performance evaluation.

4) List three things you dislike about the "experimental performance evaluation.

5) List three things you like about the "experimental" performance evaluation.

6) Did you learn anything new about your officers' job performance during the performance evaluation experiment?"

Patrol Officer Performance Evaluation Experiment

Post Interview Schedule

Lieutenants

1) Are job performance evaluations necessary? What purpose do they serve?

2) List three things you dislike about the Department's current (i.e., traditional) performance evaluation.

3) List three things you like about the Department's current (i.e., traditional) performance evaluation.

4) List three things you dislike about the "experimental" performance evaluation.

5) List three things you like about the "experimental" performance evaluation.

6) Do you think the "experimental" performance evaluation helped your sergeants to become more familiar with the skills and deficiencies of their officers?

7) Do you think the "experimental" performance evaluation helped your sergeants become better managers of their officers?

Captains

1) List three things you dislike about the Department's current performance evaluation.

2) List three things you like about the Department's current performance evaluation.

3) Are job performance evaluations necessary? What purpose do they serve?

4) What needs to be done to make performance evaluations more meaningful?

Appendix E

Officer Questionnaire

Instructions

1. Most questions can be answered by checking or circling an appropriate response.
    If you do not find exactly the answer you prefer, please choose the one that is
    closest to it.

2. Some questions may not be applicable to the job you now are doing in the
    department. If a question is not relevant to you, please check the "not applicable"
    code if one has been provided; otherwise, write NA (not applicable) beside the
    item and proceed to the next one.

3. Ignore the numbers in parentheses at the right margin; these are used for
    computerized data entry.

4. The value of this study to you, your associates and the Houston Police
    Department depends on your thoughtfulness and honesty. Please remember that
    you will never be identified with your responses. Your responses are
    confidential.

5. Please print your name and employee identification number below and deposit
    this page in the box the survey administrator will provide.

6. Ask the survey administrator any questions you may have about individual
    survey items, survey procedures, or the way in which the data will be used.

Thank you for your cooperation.

Mary Ann Wycoff
Project Director
Police Foundation

Name: _____

Employee Number:_____   (5-10)

SECTION I:

General Information

Instructions: *Please respond to all questions in this section as they relate to your assignment. Please place an X in the space beside your response, fill in the blanks, or circle the response, as indicated for each item.*

1. What is your district assignment?   (5)

    ___ (1) Three
    ___ (2) Six
    ___ (3) Nineteen
    ___ (4) Twenty

2. How long have you been assigned to this district?   (6-9)

    ___ years ___ months

3. Which shift do you work?   (10)

    ___ (1) First/days
    ___ (2) Second/evenings
    ___ (3) Third/nights

4. How long have you been with the Houston Police Department?   (11-14)

    ___ years ___ months

5. How old were you when you joined the department?   (15-16)

    ___ years of age

6. *Please think about the way in which managers of the patrol function view your job. Consider each of the items below as possible aspects of your job. For each item, please circle the number that represents the priority you believe THESE MANAGERS would assign to this part of your job.*

	Aspects of the Job	Priority				
		High	Moderate	Low	Zero	
a.	Identify patterns across calls in order to find underlying causes	1	2	3	4	(17)
b.	Conduct random patrol	1	2	3	4	(18)
c.	Know the people and types of problems in patrol area	1	2	3	4	(19)
d.	Develop plans to address problems in your patrol area	1	2	3	4	(20)
e.	Make a certain number of traffic stops each week	1	2	3	4	(21)
f.	Work with other city agencies to solve area problems	1	2	3	4	(22)
g.	Recommend early case closure to facilitate case screening following preliminary investigation	1	2	3	4	(23)
h.	Handle calls for service as quickly as possible and return to service	1	2	3	4	(24)
i.	Identify resources to assist you in addressing area problems	1	2	3	4	(25)
j.	Involve citizens in solving area problems	1	2	3	4	(26)
k.	Manage uncommitted time to work on problems in patrol area	1	2	3	4	(27)
l.	Conduct follow-up investigations	1	2	3	4	(28)

7.   *Now, think about each of these items again. If department conditions were ideal and you could perform your job according to your own ideal, what priority would YOU give each of these aspects of the job? Again, circle the number that represents the appropriate priority.*

Aspects of the Job	Priority				
	High	Moderate	Low	Zero	
a. Identify patterns across calls in order to find underlying causes	1	2	3	4	(29)
b. Conduct random patrol	1	2	3	4	(30)
c. Know the people and types of problems in patrol area	1	2	3	4	(31)
d. Develop plans to address problems in your patrol area	1	2	3	4	(32)
e. Make a certain number of traffic stops each week	1	2	3	4	(33)
f. Work with other city agencies to solve area problems	1	2	3	4	(34)
g. Recommend early case closure to facilitate case screening following preliminary investigation	1	2	3	4	(35)
h. Handle calls for service as quickly as possible and return to service	1	2	3	4	(36)
i. Identify resources to assist you in addressing area problems	1	2	3	4	(37)
j. Involve citizens in solving area problems	1	2	3	4	(38)
k. Manage uncommitted time to work on problems in patrol area	1	2	3	4	(39)
l. Conduct follow-up investigations	1	2	3	4	(40)

8.   *Please consider each item one final time. Given present conditions that exist within the department, what priority do YOU give each of the following aspects of your job as you actually perform it?*

Aspects of the Job	Priority				
	High	Moderate	Low	Zero	
a. Identify patterns across calls in order to find underlying causes	1	2	3	4	(41)
b. Conduct random patrol	1	2	3	4	(42)
c. Know the people and types of problems in patrol area	1	2	3	4	(43)
d. Develop plans to address problems in your patrol area	1	2	3	4	(44)
e. Make a certain number of traffic stops each week	1	2	3	4	(45)
f. Work with other city agencies to solve area problems	1	2	3	4	(46)
g. Recommend early case closure to facilitate case screening following preliminary investigation	1	2	3	4	(47)
h. Handle calls for service as quickly as possible and return to service	1	2	3	4	(48)
i. Identify resources to assist you in addressing area problems	1	2	3	4	(49)
j. Involve citizens in solving area problems	1	2	3	4	(50)
k. Manage uncommitted time to work on problems in patrol area	1	2	3	4	(51)
l. Conduct follow-up investigations	1	2	3	4	(52)

17. *Instructions:* *Please think about the previous 20 days/shifts you worked. For each of the activities listed below, please indicate how many times during the previous shifts you have conducted the activity. Circle the response representing the approximate frequency. The response "on-going" is intended for those activities that may be an almost constant part of your job.*

Activities

Number of Times in Last 20 Shifts

		0	1-5	6-10	11-20	21-30	31+	On-Going	
a.	Arrest someone (non-traffic)	0	1	2	3	4	5	6	(72)
b.	Assist citizen needing help (non-crime incident)	0	1	2	3	4	5	6	(73)
c.	Check premises, suspicious persons, or suspicious circumstances	0	1	2	3	4	5	6	(74)
d.	Collect /analyze data about patrol area or an area problem	0	1	2	3	4	5	6	(75)
e.	Discuss area problems with other officers,	0	1	2	3	4	5	6	(76)
f.	Discuss area problems with detectives	0	1	2	3	4	5	6	(77)
g.	Discuss area problems with supervisor	0	1	2	3	4	5	6	(78)
h.	Develop action plan to address area problem	0	1	2	3	4	5	6	(79)
i.	Discuss implementation plan with citizens or representatives from other city agencies	0	1	2	3	4	5	6	(80)
j.	Exchange information with other shifts	0	1	2	3	4	5	6	(81)
k.	Implement planned activity/strategy	0	1	2	3	4	5	6	(82)
l.	Evaluate results of efforts to solve problems	0	1	2	3	4	5	6	(83)
m.	Interview witnesses	0	1	2	3	4	5	6	(84)
n.	Look for suspect(s) in connection with specific crime	0	1	2	3	4	5	6	(85)
o.	Meet with representative from other city agency or institution (e.g., schools, etc.) or private agency (e.g., drug rehabilitation clinic, etc.)	0	1	2	3	4	5	6	(86)
p.	Meet with resident(s), business person(s) or civic group to discuss area problems or conditions	0	1	2	3	4	5	6	(87)

18. *Instruction*: Now, for each activity you have performed at least once during the past 20 shifts, please think about the <u>most recent</u> occasion on which you did this. For that occasion, please use the codes listed below to indicate on the facing page the "Initiator" of the action(i.e., who wanted it done) and the most important (as you saw it) "Reason" for being involved in that action. Leave blank any activity you did not perform during your last 20 shifts.

CODES

Initiator of Activity	Primary Reason for Activity
(Column A)	**(Column B)**

01 Another officer	01 Address conditions that cause crime in your patrol area
02 Citizen or Community Group	02 Address conditions that cause a noncrime problem in your patrol area (e.g., traffic regulation, trash burning, etc.)
03 Dispatcher	03 Get or give information about conditions in patrol area
04 Self	04 Evaluate activity/strategy
05 Supervisor	05 Identify problem in patrol area
06 Other	06 Learn about neighborhoods/people in patrol area
	07 Organize citizens in patrol area
	08 Promote safety or sense of safety in your area
	09 Solve crime/investigate incidence of crime
	10 Other

18. *continued*

Activities	On Most Recent Occasion:		
	A Initiator	B Reason	
a. Arrest someone (non-traffic)			(88) (104-105)
b. Assist citizen needing help (non-crime incident)			(89) (106-107)
c. Check premises, suspicious persons, or suspicious circumstances			(90) (108-109)
d. Collect /analyze data about patrol area or an area problem			(91) (110-111)
e. Discuss area problems with other officers,			(92) (112-113)
f. Discuss area problems with detectives			(93) (114-115)
g. Discuss area problems with supervisor			(94) (116-117)
h. Develop action plan to address area problem			(95) (118-119)
i. Discuss implementation plan with citizens or representatives from other city agencies			(96) (120-121)
j. Exchange information with other shifts			(97) (122-123)
k. Implement planned activity/strategy			(98) (124-125)
l. Evaluate results of efforts to solve problems			(99) (126-127)
m. Interview witnesses			(100) (128-129)
n. Look for suspect(s) in connection with specific crime			(101) (130-131)
o. Meet with representative from other city agency or institution (e.g., schools, etc.) or private agency (e.g., drug rehabilitation clinic, etc.)			(102) (132-133)
p. Meet with resident(s), business person(s) or civic group to discuss area problems or conditions			(103) (134-135)

SECTION IV:

Job Assignment Personal Attitudes

Instructions: *Circle the number that corresponds to the extent you agree or disagree with each of the following statements as they relate to your attitudes about your job assignment.*

Attitude

Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
19. My supervisor has more good traits than bad ones.	1	2	3	4	5	(136)
20. Almost none of the work I do creates any real enthusiasm on my part.	1	2	3	4	5	(137)
21. I am dissatisfied with the amount of work I am expected to do.	1	2	3	4	5	(138)
22. The amount of money I make has a favorable influence on my overall attitude toward my job.	1	2	3	4	5	(139)
23 The current performance evaluation system provides a fair assessment of my work.	1	2	3	4	5	(140)
24. The supervision I receive is the kind that tends to discourage me from making an extra effort.	1	2	3	4	5	(141)
25. I enjoy nearly all of the things I do in my job assignment.	1	2	3	4	5	(142)
26. The amount of work I am expected to do has a favorable influence on my overall attitude toward my job.	1	2	3	4	5	(143)
27. The way that pay and benefits are handled makes it worthwhile for me to work hard.	1	2	3	4	5	(144)
28. I believe that the department's management considers employee welfare less important than the services provided to the community.	1	2	3	4	5	(145)
29. The way I am treated by my supervisor has a favorable influence on my overall attitude toward my job.	1	2	3	4	5	(146)
30. I like the kind of work I do very much.	1	2	3	4	5	(147)
31. The current performance evaluation system deals with most of the important things I do in my job.	1	2	3	4	5	(148)
32. The amount of work I am expected to do makes it difficult for me to do my job well.	1	2	3	4	5	(149)
33. The examples my fellow employees set encourage me to work hard.	1	2	3	4	5	(150)

		Attitude					
Statement		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
34.	Considering what it costs to live in this area, my pay from the Houston Police Department is adequate.	1	2	3	4	5	(151)
35.	The current performance evaluation system gives me useful feedback about how to improve myself on the job.	1	2	3	4	5	(152)
36.	The Houston Police Department is a good organization to work for.	1	2	3	4	5	(153)
37.	The efforts of my supervisor add much to the success of my work.	1	2	3	4	5	(154)
38.	The kind of work I do has a favorable influence on my overall attitude toward my job assignment.	1	2	3	4	5	(155)
39.	My work load is seldom too heavy.	1	2	3	4	5	(156)
40.	The way co-workers handle their jobs adds very little to the success of my work.	1	2	3	4	5	(157)
41.	The current performance evaluation system makes clear what the department expects patrol officers to do.	1	2	3	4	5	(158)
42.	Very few of my needs are satisfied with the pay and benefits I receive.	1	2	3	4	5	(159)
43.	Working for the Houston Police Department has a favorable influence on my overall attitude toward my job.	1	2	3	4	5	(160)
44.	I am satisfied with the supervision I receive.	1	2	3	4	5	(161)
45.	Most of the time when I complete a day's work, I feel as if I have accomplished something truly worthwhile.	1	2	3	4	5	(162)
46.	There is quite a bit of friction among co-workers on my shift.	1	2	3	4	5	(163)
47.	For the job I do, I believe that the amount of money I make is good.	1	2	3	4	5	(164)
48.	The current performance evaluation system requires my sergeant to be aware of what I do.	1	2	3	4	5	(165)
49.	From my experience, I believe that the department's management treats employees quite well.	1	2	3	4	5	(166)
50.	I frequently think that I would be better off working under a different supervisor.	1	2	3	4	5	(167)
51.	The type of work I do tends to discourage me from doing my best.	1	2	3	4	5	(168)
52.	The current performance evaluation system requires that my sergeant and I spend time together discussing my job.	1	2	3	4	5	(169)

SECTION V:
Local Police Work and Law Enforcement

Instructions: *Listed below are a number of statements specifically related to police work and law enforcement in Houston. Circle the number that corresponds to the extent you agree or disagree with each statement.*

Attitude

Statements	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
53. Patrol officers should not become personally familiar with residents in the area they patrol.	1	2	3	4	5	(170)
54. Patrol officers know better than citizens which police services are required in an area.	1	2	3	4	5	(171)
55. Patrol officers should be sincerely concerned about the well-being of the citizens in their patrol area.	1	2	3	4	5	(172)
56. All laws should be enforced at all times; otherwise, people lose respect for the law.	1	2	3	4	5	(173)
57. Most people do not respect the police.	1	2	3	4	5	(174)
58. The relationship between the police and the public is very good in Houston.	1	2	3	4	5	(175)
59. Patrol officers should make frequent informal contacts with the people in their beat.	1	2	3	4	5	(176)
60. An officer who is doing a good job is bound to get an occasional citizen complaint.	1	2	3	4	5	(177)
61. Citizens do not understand the problems of the police in Houston.	1	2	3	4	5	(178)
62. In investigations of citizen complaints, it seems like a citizen's word is worth more than that of a police officer.	1	2	3	4	5	(179)
63. Police officers really are no different than other citizens.	1	2	3	4	5	(180)
64. Investigations of police misconduct usually are biased in favor of officers.	1	2	3	4	5	(181)
65. Patrol officers should try to solve noncrime problems in their beat.	1	2	3	4	5	(182)

Attitude

Statements	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
66. It is more important for a police officer to have very few citizen complaints than it is to have an impressive record of making arrests.	1	2	3	4	5	(183)
67. If the police put as much effort into crime prevention as they do into crime investigation, we would be further ahead in reducing crime.	1	2	3	4	5	(184)
68. The Houston Police Department has a fair system for recognizing patrol officers who do a good job.	1	2	3	4	5	(185)
69. An officer on foot patrol can develop a greater awareness of citizen expectations of the police than can an officer in a patrol car.	1	2	3	4	5	(186)
70. The use of foot patrols is a waste of personnel.	1	2	3	4	5	(187)
71. Problem solving should not be part of a patrol officers responsibility.	1	2	3	4	5	(188)
72. Today it is better to avoid any chance of citizen complaints than to try and build an impressive arrest record.	1	2	3	4	5	(189)
73. Patrol officers are better informed about problems in their beat than are citizens.	1	2	3	4	5	(190)
74. Good police work requires that officers concern themselves with the consequences of crime and not with its roots or causes.	1	2	3	4	5	(191)
75. Police officers do not really understand the problems of citizens.	1	2	3	4	5	(192)
76. Patrol officers should try to solve the problems identified by citizens in their beat.	1	2	3	4	5	(193)
77. In certain areas of Houston, an aggressive bearing is more useful to a patrol officer than is a courteous manner.	1	2	3	4	5	(194)
78. People in the city generally look up to the police.	1	2	3	4	5	(195)
79. I get enough credit for my performance on the job.	1	2	3	4	5	(196)
80. Patrol officers are often so busy answering calls-for-service that they have no time for conducting random patrols or providing other services.	1	2	3	4	5	(197)

■

HOUSTON POLICE DEPARTMENT
POLICE OFFICER SURVEY

SECTION VI:
Background Information

Instructions: *The following questions have been included to provide some information about police officers and their backgrounds. Please write your answer in the blank space provided.*

108. What is your age?   (225-226)

___years

109. What is your sex?   (227)

___ male
___female

110. What is your ethnic background?   (228)

___(1) White/Caucasian
___(2) Black/African-American
___(3) Hispanic/Mexican-American
___(4) Other (Specify)

111. What is your marital status?   (229)

___(1) Never married
___(2) Not married/living as a couple
___(3) Married
___(4) Separated
___(5) Divorced
___(6) Widowed

112. What is the highest level of formal education you have completed? (Check only one)   (230)

    ___(1) High school graduate or G.E.D.
    ___(2) Some technical school, but did not graduate
    ___(3) Technical school graduate
    ___(4) Some college, but did not graduate
    ___(5) Junior college graduate
    ___(6) College graduate
    ___(7) Some graduate courses, but did not complete degree
    ___(8) Graduate degree

113. How important do you think college education is in helping a patrol officer to do a good job?   (231)

    ___(1) Very unimportant
    ___(2) Moderately unimportant
    ___(3) Slightly unimportant
    ___(4) Slightly important
    ___(5) Moderately important
    ___(6) Very important

114. Have you previously served in the military?   (232)

    ___(1) Yes
    ___(2) No

SECTION VII:

Survey Assessment

Instructions: *The following questions pertain to your opinions about completing this questionnaire. Please circle the number that corresponds to the extent you agree or disagree with each statement.*

Attitude

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
115. Completing this survey was difficult.	1	2	3	4	5	(233)
116. This survey is applicable and relevant to the Houston Police Department.	1	2	3	4	5	(234)
117. Completing this survey was enjoyable.	1	2	3	4	5	(235)
118. This questionnaire was too long.	1	2	3	4	5	(236)
119. Houston Police Department managers should use the information obtained from this survey to help improve the organization.	1	2	3	4	5	(237)

120. In comparison with other questionnaires you have completed, how would you rate this one?　　(238)

___ (1) Very poor
___ (2) Poor
___ (3) Average
___ (4) Good
___ (5) Very Good

SECTION VIII.

RESPONDENT COMMENTS

Instruction: *Use the space provided on this page for any comments you would like to make about this questionnaire or any matter relating to the quality of your work life with the Houston Police Department.*

(239)

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Thank You

Appendix F

Citizen Questionnaire

Instructions For Administration Of Citizen Survey For The Evaluation of HPD Performance Assessment System

Interview Supervisor Instructions

Your responsibilities as an interview supervisor will include the following: (1) prepare the Incident Report; (2) prepare the Call Record Sheet; (3) make assignments to interviewers; (4) receive assignments from interviewers; and (5) conduct quality control. Each of these tasks is described below.

1. Prepare The Survey Form

    a. Retrieve Incident Report

    On a regular basis, obtain Incident Reports (IRs) for residential burglaries from each of the four project districts. Review each report to make sure it is a residential burglary report.

    b. Assign Case Numbers

    Number the IRs sequentially within districts, using the Case Numbers on the Control Log. The first IR to be assigned for District 20 would be numbered 2001; the first for District 6 would be 6001. For District 19, we will use only the first digit as the district identifier; thus, the first case would be 1001, etc.

2. Prepare Call Record Sheets

    Number the Call Record Sheets sequentially within districts, in the same way the IR forms are numbered. Place this Case Number in the upper right corner of the Call Record Sheet. The interviewer will transfer this number of the space provided in the upper right corner of each page of the Citizen Survey Form.

3. Make Assignments To Interviewers

    a. Assign Interviewer Number

    Assign each interviewer a unique two-digit number. Each interviewer will record his/her unique number on the Call Record Sheet and on each page of the Citizen Survey Form before making any contact with the victim.

    b. Record Assignments On Interviewer Log

    Before making assignments to the interviewers, record the number of each Incident Report on the Master Control Log. The Log is designed to help you

track each case. Prior to assignment, you should therefore record the Incident Report Number, Date Assigned, and Interviewer I.D. Number ("Asgn. To") in the appropriate columns on the log. The rest of the columns should be filled in after the interviewer returns the finalized case.

c. Initial Assignment

At the Interviewer Training Session (March 11), assign each interviewer eight (8) manila envelopes, each containing an Incident Report (IR), a Call Record Sheet (CRSD) and a Citizen Survey form that is attached to the CRS. The IR and the CRS should already carry the same Case Number.

d. Additional Assignments

Interviewers are to finalize at least five (5) cases before they receive additional assignments. Additional assignments should be based on the number of cases finalized by the interviewer during the previous working days finalized cases are of two types:

(1) Completed Interview

A completed interview is one in which the victim has answered all relevant questions in the Citizen Survey form.

(2) Canceled Interview

A canceled interview is one the interviewer has been unable to complete for any of the reasons listed at the bottom of the Call Record Sheet. The codes for "No contact at number" or "Victim never available" should be checked only after the interviewer has made up to six separate attempts at different hours of the day and different days of the week to contact the victim.

4. Receive Assignments From Interviewers

a. Initial Report

After the first evening of interviewing, review each interviewer's work to make sure it has been done correctly. Meet with the interviewer on the second night to discuss any problems you have identified. The idea is to correct problems before interviewing continues. Have a group meeting before each interview session to discuss any common problems.

b. Subsequent Reports

Interviewers should report to you daily (or each day they are assigned to work) to return their finalized work and to pick up more work. Set a schedule for each interviewer and plan to spend a minimum of 5 minutes with him/her to go over the completed work and give new assignments. As mentioned earlier, the num-

ber of new cases you assign to the interviewer should be based on the number of completed and canceled cases returned.

The value of these meetings will depend, of course, on your doing a review of each interviewer's returned work between each interview session. Much of this probably can be done during the interview sessions while the interviewers are making new calls. Validations (see below) should also have been conducted prior to these meetings.

5.   Quality Control Procedures

   a.   Use of Master Control Log

   One important aspect of quality control is to make sure that all Incident Reports that come into the system are tracked to determine their final status. As discussed earlier, the Master Control Log is designed for that purpose. Make sure each IR is logged in and that all necessary information is entered in the appropriate columns of the log.

   b.   Editing Completed Interviews

   After you have logged in the finalized interview, go through it to make sure that all the questions have been answered. Take time to review the Incident Report to make sure that all the relevant information has been accurately transferred to the Citizen Survey form. Discuss any discrepancies you find with the interviewer.

   After review of the survey form, separate the IR from it and file the IR for future research purposes. The completed survey forms will be set aside for mailing to the data entry form. Surveys for which validations have been conducted should have the validation form clipped to the front of the survey form.

   c.   Validation Procedures

   Validation is one of the most important tasks of the supervisor. The process involves your calling back 25 percent of the victims and asking a few questions about the interview and the interviewer, thus providing information on the quality and reliability of the data. The 25 percent should be randomly selected from completed interviews turned in by each interviewer at the end of the evening.

   In addition to validating completed interviews, you should validate about 5 percent of the canceled interviews. This process involves your calling back the selected canceled cases to see if you get the same result as recorded by the interviewer. Canceled interviews in which the victim refused to be interviewed, however, should be excluded from the validation process.

Case Number: _____

Interviewer ID: _____

Citizen Survey Call Record Sheet

Incident Report Number:_____

Record of Telephone Contact Attempts:

	Date	Time	Comments
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____

Result of Contact Attempts (Check One):

1. _____ Interview Successfully Completed

   Interview Canceled Because:

2. _____ No contact with anyone at number.

3. _____ No contact with victim. Victim moved; no forwarding information.

4. _____ No contact with victim. Incorrect information on IR form could not be corrected

5. _____ Contact at number but Victim never available.

6. _____ Contact with victim but language barrier made interview impossible.

7. _____ Contact with Victim, but Victim unwilling to talk or could not recall anyone at address speaking with police.

Interviewer name: _____

Case Number: _____

Interviewer ID: _____

Citizen Survey

Incident Report Data:

Incident Report (IR) number: _____   IR Date: _____

Officer Completing report: _____   _____
                                    (Name)   (Emp. Num)

Victim Data:

Name: _____

Address: _____

Telephone: (Res) _____   (Work) _____

Age: _____   Sex: _____ Female   _____ Male

Race:

_____ Blk   _____ Wh   _____ Hisp   _____ Asian   _____ Other

Interview   Time: _____

Is _____ there?

_____ Yes   _____ No

If "NO" Ask person who answers if the requested person is home. If that person is not home, ask when it might be possible to reach him/her. Record predicted date and time below.

Date: _____   Time: _____

Thank the person with whom you are speaking and say you will call again at the specified time.

If "YES" (You reach the requested person), continue:

My name is _____. I am a cadet at the Houston Police Academy and I am doing a survey for the Houston Police Department to ask citizens about the quality of police services that they recently received.

Interview (2)   Case Number: _____

                                        Interviewer ID: _____

On (date) _____ you talked with the police about someone breaking into your house. Do you recall talking with the police?

____Yes   ____No

If "No", ask: Did anyone else at your house speak to the police?

____Yes   ____No

If "Yes: enter name: _____, and ask if you may speak with that person. If that person is available, begin the interview again.   If that person is not available, try to establish a time when s/he can be contacted and record the predicted date and time below.

Date: _____ Time: _____

If no one else is identified as having spoken with the police, thank the initial respondent for his/her time and terminate the interview.

If "Yes", continue:

I would like to ask you a few questions about what the police did in handling that burglary. This will take only a few minutes. Is that allergist?

____Yes   ____No

If "Yes" continue to Question 1.

If respondent is hesitant, interviewer may say that respondent can call the survey supervisor, Lt. Jim Wilder, at the Houston Police Academy during regular business hours the following day. That number is 230-2300. The interviewer will call respondent again in a day of two.

If respondent is hesitant about time, ask to reschedule interview at another time.

Respondent:

        Refuses the interview

        reschedules to (date) _____   (Time) _____

When you call at the rescheduled time, reintroduce yourself, remind the respondent why you are calling, and begin on page 3 of the interview.

Interview (3)   Case Number: _____

                    Interviewer ID:_____

1.   How many officers came to talk to you?

2.   Do you happen to recall the officer's name? (Or, if more than one, the name of the officer who talked the most?)

      ____Yes   ____No

3.   If "yes": what was his or her name?

4.   I would like to know how courteous or police that officer was. Was s/he:

      ____Very Courteous

      ____Somewhat Courteous

      ____Somewhat Discourteous, or

      ____Very Discourteous?

5.   How knowledgeable was the office in handling your problem?

      ____Very Knowledgeable

      ____Somewhat Knowledgeable

      ____Somewhat Lacking in Knowledge, or

      ____Very Lacking in Knowledge?

6.   How concerned did the officer appear to be about your situation? Was s/he:

      ____Very Concerned

      ____Somewhat Concerned

      ____Somewhat Unconcerned, or

      ____Very Unconcerned?

7.   How carefully did the officer listen to what you had to say?

      Did s/he listen

      ____Very Carefully

      ____Somewhat Carefully

      ____Not Very Carefully, or

      ____Not at all Carefully?

Interview (4)   Case Number: _____

                                     Interviewer ID: _____

8.   Did the officer make an effort to collect physical evidence?

    ____yes   ____No   ____Not Appropriate

9.   Did the officer provide you with the incident number of your report for future reference?

    ____yes   ____No

10. did the officer discuss with you what is likely to happen to your case?

    ____yes   ____No

11. Did the officer give you advise about how to make your home more difficult for someone to break into?

    ____yes   ____No

12. Did s/he tell you how to mark your property so it can be returned to you if this ever happens again?

    ____yes   ____No

13. Did the officer give you advise about where or how to seek

help with any problems this burglary caused you.

    ____yes   ____No

14. Did s/he ask you whether there were any problems or situations in the neighbor-hood that you thought the police should know about?

    ____yes   ____No

15. Did this officer leave you a card with his/her telephone number so you could call inn case you later had questions about the case or had information to add to the case report?

    ____yes   ____No

Interview (5)

Case Number: _____

Interviewer ID: _____

16. Overall, how satisfied were you with the way in which the officer handled your call? Were you:

_____Very Satisfied, (skip to Q.18)

_____Somewhat Satisfied, (skip to Q.18

_____Somewhat Dissatisfied, or (go to Q.17)

_____Very Dissatisfied? (go to Q.17)

If the respondent answered "3" or "4" to question 16, ask:

17. What should the officer have done differently?

18. Is there anything else you would like us to know about how the officer handled your call?

This completes the interview. I have enjoyed talking with you and I thank you for helping us improve policing in Houston.

19. Before we hang up, is there anything you would like to ask?

Thank you again. Good-by.   Time: _____