

A PROPOSED MODEL PROMOTIONAL PROCEDURE  
TO BE UTILIZED IN THE SELECTION OF MUNICIPAL  
POLICE SERGEANTS AND LIEUTENANTS

Thesis for the Degree of M. S.  
MICHIGAN STATE UNIVERSITY  
CLIFFORD G. RYAN

1968

THESIS



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By

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AN ABSTRACT OF  
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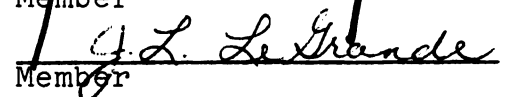
Submitted to  
Michigan State University  
in partial fulfillment of the requirements  
for the degree of

MASTER OF SCIENCE

School of Police Administration  
and Public Safety

1968

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## ABSTRACT

### A PROPOSED MODEL PROMOTIONAL PROCEDURE TO BE UTILIZED IN THE SELECTION OF MUNICIPAL POLICE SERGEANTS AND LIEUTENANTS

by Clifford G. Ryan

The first level of supervision in any police department is the sergeant. He, and his immediate supervisor, the lieutenant, are the commanders, the administrators, and the operators of the police organizations in thousands of municipalities across the United States. They are first on the scene to represent the administration, to insure prompt, courteous, fair police service, and to implement department policy developed by the executive level of the department. Since police command officers traditionally rise from the ranks, they form the reservoir from which future chiefs, deputy chiefs, and inspectors will be drawn. The importance of selecting the best possible men to fill these responsible positions cannot be overemphasized. This responsibility of selecting the best men to fill the sergeant and lieutenant positions lies with the chief executive of the department working through his personnel director.

From the point of view of the patrolman, the sergeant's stripes are the first step on the way to success

in his chosen profession. The desire for this success is natural and is a part of every man who joins a police department. This desire is also necessary to the department for, as patrolmen compete for this success, their performance and knowledge improve and the quality of the entire police service is raised. This competition is keen and spirited because the stakes are high. With this fierce competition, there is a wary eye forever directed at the promotional procedure. The written exam--is it fair? The seniority--is it computed accurately? The personnel evaluation--did the supervisor rate objectively? The oral interview board--who are they and do they have any favorites?

If the entire promotional procedure is consistent, the written examination is fair and honestly administered, the seniority is accurately computed, the personnel evaluations objective and backed up with recorded incidents of outstanding performance, the oral interview board composed of such outstanding individuals that there can be no question of their integrity, the best men will be selected for the positions and the morale of the entire department will benefit.

The basic hypothesis of this research is that the model selection process which is offered herein is valid, and can be supported by the literature and logical reasoning. To test this hypothesis, the literature in

the field was reviewed and compared with the model. The actual promotional procedure in practice in twenty-three representative American cities was surveyed and studied. Countless hours were spent in informal discussion with police personnel directors, attempting to determine the best possible plan for the proper selection of candidates.

The findings indicated that the model selection procedure was supported by the literature. The analysis of the empirical data revealed that the use of the model selection procedure will produce two results: (1) the best possible men will be selected based upon knowledge, experience, performance, and potential and demonstrated qualities of leadership, and (2) the morale of the department personnel will benefit as they see an equitable procedure produce effective leadership.

The study suggests that considerable emphasis needs to be placed on demonstrated leadership by police executives as an example to the supervisors who are responsible for the personnel evaluations and promotional ratings. The result will be a better police service.

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## ACKNOWLEDGMENTS

I would like to express my profound thanks to the Federal Office of Law Enforcement Assistance and to the Commissioner of the Detroit Police Department, for making this period of advanced study possible.

My sincere appreciation to Mr. Raymond T. Galvin, my thesis advisor, for his time, effort, and many worthwhile suggestions.

My thanks to the busy police executives who gave so generously of their time and shared their opinions and experiences.

My special thanks to my wife, Jennie, and my children, who are firmly convinced that I have been on vacation during this entire year and would like to see me back in uniform.

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## CHAPTER I

### INTRODUCTION

A recent study of seventy-two men who quit police work to go into other professions or fields of endeavor reported the following reasons given by the men for their decisions.

1. Poor opportunity for promotion
2. Night work
3. Politics
4. Unfairness in advancement

Commenting on this study, authors Richard H. Blum and William J. Osterloh wrote:

It seems clear that good men who quit police work could have been kept in police work, if politics and influence were kept out of advancement, if promotions were dependent on valid tests of ability and suitability, if department tables of organization allowed for more men at higher echelons or if there were some other means of awarding men with a sense of achievement and satisfaction of ambition even if the higher ranks cannot be expanded. Good men can also be kept in police work if supervisors themselves get better training in how to do their jobs, if they back their men when right and if they are sensitive to the needs of their men.<sup>1</sup>

In the squad rooms of our municipal police departments and in the police cars of our cities this subject

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<sup>1</sup>Richard H. Blum and William J. Osterloh, "Keeping Policemen on the Job," Police (May-June, 1966), 28.

of promotion dominates all others in the officers' discussion. Very often, the discussion centers around Chief Justice Earl Warren's favorite question, "Yes, but is it fair?" Very often, these officers, the ones who are living with a promotional system are in the best position to observe its weaknesses or its unfair practices. When a system is accepted as fair to all members of a department and does provide the administration with first line supervisors who are the best qualified of those tested, the morale of the department is bound to improve. Conversely, when the promotional procedure is unfairly designed, or favors one segment of the department at the expense of the others, or is poorly administered, the best qualified men will not be selected and the morale of the entire department will suffer.

When members of different police departments meet at study seminars or training sessions, promotional procedures are compared and inevitably a wide variation is noted. Police authors have shown the same variation in their approach to the subject.

## I. STATEMENT OF THE PROBLEM

It was the purpose of this study (1) to construct a model promotional procedure to be utilized in the selection of municipal police sergeants and lieutenants; (2) to review the existing literature in the

field and compare it with the recommended model to determine if it will support or reject the model; and (3) to compare the recommended model with the actual promotional procedures being utilized in representative American police departments to determine if the recommendations are practical.

The basic hypothesis of this research is that the recommended model promotional procedure, which is offered in Chapter II, is valid and that this contention is supported both by the literature and by an analysis of the practice in the field. An attempt will be made to test the model by collecting and citing field data from selected police departments throughout the United States, indicating that each of the features proposed in the model is being utilized by some major department.

There are three key questions which the study will attempt to answer:

1. Is the model promotional procedure a valid test to be utilized in selecting the best possible leaders and administrators?

2. Do the police departments represented in the survey follow a rational procedure in selecting their sergeants and lieutenants?

3. Would adherence to the model promotional procedure have increased or decreased the quality of the leaders and administrators selected?

Conclusions will be developed after the hypothesis has been tested and the key questions have been analyzed.

## II. IMPORTANCE OF THE STUDY

[ Because of the long established American police practice, reinforced by pension and insurance programs, of selecting command officers and even chiefs of police from within the department, it must be recognized that the new sergeant or lieutenant selected today is the nucleus of the manpower reserve from which future command officers and chiefs will be selected. The complex nature of modern society demands an ever increasing awareness and knowledge of our police administrators, and the selection of the best possible men to lead our police departments.

The value of this study will depend upon the use that police administrators make of the recommended model, and the quality of the leaders who are selected as a result of the model selection procedure.

## III. METHODOLOGY

The scope of this research will be limited as indicated below:

1. A model promotional procedure will be constructed for the selection of municipal police sergeants and lieutenants. Although the model should be valid for any

municipal police department some minor variations may be indicated between the very largest and the smallest.

2. The literature reviewed for the comparison will be limited to published books and articles on the subject.

3. The empirical study will be completed in selected representative cities throughout the United States. The police administrator interviewed will be at a level sufficient to guarantee his familiarity with the promotional procedures currently being utilized in his department.

#### IV. TERMS USED AND THEIR DEFINITIONS

In order to insure complete understanding, several terms featured in the recommended model will be defined in the light of their intended meaning. The terms, when used throughout the thesis, will not be referenced since they are the combinations of many ideas in addition to those of the author.

##### Written Examination

A written examination is a formal testing of the candidate's knowledge and experience accumulation. Included questions should be directed to determining the candidate's knowledge of department policy and procedures, rules and regulations, principles of supervision, administration, law and evidence, and the operation of the major divisions of the department.

### Personnel Evaluation

The term personnel evaluation includes the ideas expressed by service rating, efficiency report, merit appraisal, or performance test and is a measure of the individual as reported by his immediate work supervisors. In order to be of value to the administration in the selection of candidates, a personnel evaluation should include a measure of work performance in the candidate's present rank level as well as a measure of leadership and administrative potential.

### Oral Interview

The oral interview is a process in which the candidate appears before a selection board charged with the responsibility of evaluating his value to the department and his potential as a leader or administrator.

### Seniority

Seniority is the accumulation of years of service in the department or in a given rank level.

### Promotional Rating

A promotional rating is a measurement of the leadership and administrative potential of a candidate, awarded after a considered opinion by his immediate supervisors in lieu of his appearance before an oral interview board.

### Veterans Preference

The term, veterans preference, refers to point credit on a promotional examination, awarded to a candidate, for honorable service in the armed forces of the United States during specified periods of national emergency.

### Civil Service or Central Civil Service

The term civil service, or Central Civil Service Commission, refers to a city or state body of personnel administrators, charged with the responsibility of administering to the personnel needs of all of the departments within a city or state.

## V. ORGANIZATION OF THE REMAINDER OF THE STUDY

The remainder of this study is divided into four additional chapters as follows:

Chapter II will present the recommended model for the selection of municipal police sergeants and lieutenants with an explanation of the procedure.

Chapter III presents a review of the literature and an analysis of the comparison of the recommended model with the literature.

Chapter IV is a report on the findings of the field survey.

Chapter V offers a summary of the study and develops appropriate conclusions.

## VI. SOURCES OF INFORMATION

As was indicated earlier, the basic techniques utilized for data collection in this study were library research and personal interview.

In the library research every effort was made to find literature on the subject of police promotion or on any one of the features which are included in the recommended model. Most of the information ultimately used was taken from the writings of a very small group of professional police authors. Specific authors or writings will be credited throughout the study.

The cities selected for the empirical research represent a cross section of the United States municipal police departments. Geographically, all sections of the United States are represented, ranging from New York City in the East to Los Angeles in the West, and from Savannah in the South to Minneapolis in the North. The Southwest is represented by Houston and Dallas. Seventeen other cities represent the Midwest and central United States.

Six of the ten largest cities in the United States are represented and four cities in the study have a population of one hundred thousand or less. New York City, with a population of over seven million and a police

department strength in excess of twenty-eight thousand was the largest city studied. La Crosse, Wisconsin, with a population of forty-seven thousand and a police strength of seventy-four, was the smallest city studied. Four cities in the study have a population of one million or more, four cities have a population between five hundred thousand and one million, and eleven cities have a population over one hundred thousand but less than five hundred thousand. The remaining four cities have a population of less than one hundred thousand.

The empirical research was conducted through personal interview with a police representative of a supervisorial level from each of these cities.

The nucleus for this study was found right on the campus at Michigan State University, among the officers of the Fellowship program provided by the Office of Law Enforcement Assistance. Officers on the campus participating in this program represented the police departments of New York City, Los Angeles, Detroit, Cincinnati, Minneapolis, Dayton, Savannah, and LaCrosse, Wisconsin. In addition to the time spent in formal interview, using a prepared interview guide, countless hours were spent in informal discussions over a cup of coffee or during class breaks. Variations in procedures were noted and discussed, analyzed and criticized, or approved, by these informal groups.

The interviews with the representatives of the Houston and Dallas police departments were conducted at the United States Army Command and General Staff College at Fort Leavenworth, Kansas, where these officers were in attendance.

The remaining fourteen cities were visited personally by the author and the interviews were conducted at their headquarters buildings.

## CHAPTER II

### CONSTRUCTION OF A RECOMMENDED MODEL FOR THE SELECTION OF MUNICIPAL POLICE SERGEANTS AND LIEUTENANTS

The number of patrolmen competing for the rank of sergeant in any municipal police force greatly exceeds the number of sergeants who are competing for the rank of lieutenant. This sheer force of numbers, in a large department, precludes one oral interview board from examining all of the prospective candidates for sergeant, which is an essential feature of the oral interview as will be discussed later. Hence, there is a slight variation in the recommended model for selecting sergeants as compared with the model procedure for selecting lieutenants.

#### Recommended Model for Selecting Sergeants

1. Written Examinations	60%
2. Seniority	10%
3. Promotional Rating	<u>30%</u>
Total	100%

### Recommended Model for Selecting Lieutenants

1. Written Examination	60%
2. Seniority	10%
3. Oral Interview	<u>30%</u>
Total	100%

#### Explanation of the Model

Although the features of the recommended model are self-descriptive some further explanation will be offered to insure a complete understanding of the author's concept of each feature. Research in the literature and in the field has indicated that while certain features are common to many promotional procedures the concepts covered by the same title vary greatly from city to city.

Feature 1--The Written Examination. All candidates will be advised well in advance of a promotional examination. The procedure for selecting the candidates will be clearly explained in an official notice to all members of the department. Eligibility to compete will be clearly spelled out. This official notice of a pending promotional examination will also include a concise listing of the areas of knowledge and experience that will be tested, as well as a list of recommended texts and publications that will be used as authority for the test questions. In those cities in which the examination

is prepared by a central civil service agency the test authors will coordinate with selected command officers of the department to insure the complete reliability of the information contained in the test. Test authors will also coordinate with the training officers of the department both prior to the written examination and after to insure maximum benefit to the department from the self-study each of the candidates engages in in preparation for the written examination. Training officers will recommend areas of knowledge, texts, and general subject material that should be included in the written examination. Test authors and administrators will report back to the training officer of the department any areas of knowledge in which a general deficiency is noted in the men writing the examination.

All written examination papers will be scored on a basis of one hundred per cent and this written examination will be weighted sixty per cent of the final promotional score.

Feature 2--Seniority. Each candidate will be credited with one full point for each year of service and one full point for each full year of college credit completed to a maximum of ten seniority points. As will be pointed out in the review of the literature on this subject, there is a great deal of controversy regarding the

correct percentage to award to seniority in a promotional procedure. Most police authors recommend no more than five per cent and some departments award as high as twenty per cent seniority credit. The author contends that this controversy should more properly be directed at the method of earning seniority points rather than the weighted percentage awarded to seniority points. The only important consideration in the final score is the difference in the seniority total between a relatively young officer and a senior patrolmen. This possible difference should not be so great that it dampens ambition or mathmatically precludes the young officer from consideration.

Feature 3--The Promotional Rating and/or the Oral Interview. Included within this concept is a recommendation that a personnel evaluation be made for each member of the department at a regular interval, at least semi-annually. This personnel evaluation will be completed by the immediate supervisors of the rated officer and will consist of at least two parts: (1) an evaluation of the officer's performance in his present capacity as compared to other officers performing in the same capacity and with the same relative experience, and (2) an evaluation of the potential leadership and administrative abilities of the officer based upon observed personality characteristics and recorded incidents in which such potential was

demonstrated. These personnel evaluations, compiled over a period of time as the officer works in different assignments and for different supervisors, will provide a comprehensive background of information on each officer and will be a part of his personnel file.

Also included in each officer's personnel file will be a record of his training, work experience, and formal education. Letters of commendation, awards for outstanding police service, as well as letters of demerit, will be included in this personnel file.

In the recommended model procedure for the selection of police sergeants, the names of the patrolmen who have achieved a qualifying score on the written examination will be forwarded to their Commanding Officers for a promotional rating. Each Commanding Officer will convene a board consisting of the next two immediate supervisors of the officer to be rated and himself. This board will review the entire personnel file and based upon this review and their own knowledge of the officer, award a numerical promotional rating. This promotional rating will be weighted thirty per cent of the final promotional score.

In the oral interview, which is recommended for the selection of lieutenants, and also could be used for selecting sergeants in the smaller departments, the interview board will be composed of two senior command

officers of the department and one personnel expert from outside the department. This personnel expert could be a member of the faculty of a local university or a member of the Civil Service Commission.

The oral interview board will review the personnel files of each lieutenant who has achieved a qualifying score on the written examination. Based upon this review, and a personal interview with each candidate of at least thirty minutes duration, the oral interview board will evaluate the leadership and administrative potential of each candidate and assign a numerical rating to this evaluation. This numerical rating of the oral interview board will be weighted thirty per cent of the final promotional score.

When all of the weighted scores of the candidates for sergeant and lieutenant have been compiled, they will be added and a final promotional score determined. The candidates for each rank will then be listed, in descending order of excellence on a roster and this roster will be presented to the chief administrator of the department and certified by the personnel department as "best qualified."

The chief administrator of the department will then promote the men from each list, in numerical order, as the vacancies occur in each rank.

## CHAPTER III

### REVIEW AND ANALYSIS OF THE LITERATURE

In this chapter the literature will be reviewed as it discusses promotion in the police service, in general, as well as specific subjects such as written examinations, personnel evaluation, seniority, oral interviews, promotional ratings, and medals and awards. The recommended model will then be compared with the literature.

#### I. GENERAL REVIEW

The selection and management of personnel is the Chief's most important administrative task. A high quality of service is dependent upon his unwavering insistence upon the application of two principles: (1) the best man must invariably be selected for appointment, promotion, and assignment, and (2) doubt in reference to appointment, promotion, or separation from service must be resolved in favor of the department.<sup>1</sup>

Final responsibility for the consequences of appointment, assignment, promotion and discipline rests with the Chief. Subject to the direction of the

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<sup>1</sup>O. W. Wilson, Police Administration (New York: McGraw-Hill Book Company, 1963), p. 130.

administrative head of the city, he should have freedom to select for appointment and promotion and to assign and remove policemen from service.<sup>2</sup>

Promotion in police service means advancement to a position of leadership. The officer's first promotion is normally to a supervisory position (from patrolman to sergeant). In the original selection of a patrolman, qualities of leadership over and above those needed for the performance of the usual patrol tasks should be sought. When patrolmen are to be promoted to the rank of sergeant, it is essential to choose those who possess the greatest potential qualities of leadership and not necessarily those who have displayed the greatest proficiency in their duties as patrolmen. From among the group of sergeants will subsequently be drawn those for advancement to higher responsibilities of command.<sup>3</sup>

Author Raymond E. Clift points out the value of frequent and reasonable opportunities for patrolman promotion when he writes: "Every man wants to get ahead and hardly a recruit wears the uniform who doesn't visualize himself as either a detective or an officer. . . . A patrolman was once asked if he thought he would ever be

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<sup>2</sup>Ibid., p. 131.

<sup>3</sup>Ibid., p. 158.

a sergeant and he replied that he expected to be Chief before he left the service."<sup>4</sup>

Police leadership is usually "up through the ranks," and only rarely are outsiders allowed to compete for position in the police service above the entrance level. Because of this fact, the promotional appointee is potentially the Chief of tomorrow, and must be selected with consideration for this eventuality.<sup>5</sup>

Germann reports police promotions are usually made in one of three ways. First is the arbitrary selection by the administrator. This procedure is used primarily in the smaller departments and is defended by the administrator's claim to know every man, their strengths and weaknesses, and their suitability for promotion. True as this may or may not be, it is just as true that the qualified man will be able to pass a properly administered competitive examination--and if he cannot, the original evaluation of his capacity and competency has been overrated, and the personal decision a defective one. For the sake of morale, in the interests of impartiality, and as a protection against arbitrary whim, simony, nepotism, gross favoritism or crude prejudice, all

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<sup>4</sup>Raymond E. Clift, A Guide to Modern Police Thinking (Cincinnati: The W. H. Anderson Co., 1965), p. 48.

<sup>5</sup>A. C. Germann, Police Personnel Management (Springfield: Charles C Thomas, Publisher, 1958), p. 70.

promotional appointments, even in the smaller agencies, should be by competitive process.

The second procedure for promotional appointments listed by Germann is strict seniority. Generally, this is not a guarantee that the best man will be selected for positions of leadership. This does not mean that senior employees do not deserve consideration, all other qualifications being equal; on the contrary, seniority credit can be added to final passing scores much like veterans preference points are added to final scores for entrance level people. But whenever seniority is made the sole determining factor, it is dangerous to the agency and inequitable to the individual officers of the agency.

The third promotional procedure discussed by Germann is the competitive process. The spirit of civil service or "merit" system calls for promotion according to merit, and usually utilizes some form of screening and examining process.<sup>6</sup>

Commenting on police leadership and the selection and responsibilities of police leadership, V. A. Leonard writes:

As one goes up the scale of supervisory and command personnel in a police department from the sergeant through the lieutenant, captain, inspector, and deputy to the Chief executive, emphasis is placed increasingly on judgment, self reliance and resourcefulness. The scope of duties gradually

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<sup>6</sup>Ibid., pp. 70-73.

broadens and planning in advance expands in importance until one comes to the Chief executive who is the strategist and the one who is responsible for the operation of the entire enterprise.<sup>7</sup>

However, the relative importance of the first supervisory ranks cannot be underestimated. General Pershing when asked to identify the most important rank in army organization replied--without hesitation--the Sergeant! The same can be said of police organization.<sup>8</sup>

Bruce Smith is critical of the past practices of police departments in selecting command officers:

One of the greatest handicaps suffered by the merit system as now practiced is that its mechanisms and processes are largely concerned with a personnel of mediocrity. Rarely is there provision for ways and means by which a real career in the higher administrative posts can be quickly achieved by qualified men. Hence ambitious and qualified youth must spend years in the lower ranks and grades, in the course of which it acquires no practical experience or training in administrative leadership, before it can hope to share the responsibilities and enjoy the prerogatives of high command. If and when the merit system finally produces a leader the weight of years is already upon him, the erosive effects of routine have worn him down, and an ultimate promotion to high administrative rank is likely to mean only that his retirement annuity will be the larger for it.

The Army and the Navy do not commit such blunders. They recruit and discharge without fear or favor, on the basis of merit alone, and without the aid of any civil service commission. They also, and this is an especially important point, recruit officer personnel which is thoroughly trained at the great service academies at West Point and Annapolis. In other words, they provide a separate career service

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<sup>7</sup>V. A. Leonard, Police Organization and Management (Brooklyn: The Foundation Press, Inc., 1964), p. 45.

<sup>8</sup>Ibid., p. 120.

for military and naval leadership. So do the police systems on the Continent, with their special educational requirements for officers. So does the Royal Canadian Mounted Police, which draws its commissioned personnel in part from the graduates of the Royal Military College and from the commissioned grades of the Militia.<sup>9</sup>

Some state and municipal forces accept the principle of pre-service training for recruits and others have laid secure foundations for in-service training of aspirants to the higher ranks and grades. We need now to mark the road to promotion by the establishment of pre-service training of true professional grade as a standard for direct admission to the administrative level. It is an undertaking which should evoke, as it will surely demand, the full cooperation of police commanders, personnel administrators, universities, and state colleges. These have it within their power to provide new administrative careers in the police service that are generally comparable with those already available in the Army and Navy, and in education, public health, engineering, forestry and other professional fields.<sup>10</sup>

The President's crime commission directed its attention to this same problem when they observed the difficulty in recruiting college graduates. College graduates are likely to be deterred from a police career by the fact that it traditionally and almost universally starts at the bottom. A young man enters a police department as a uniformed patrolman and serves in that capacity for a considerable period of time--rarely less than two years and more often four or five--before becoming eligible for promotion. The knowledge and skill that college education

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<sup>9</sup>Bruce Smith, Police Systems in the United States (New York: Harper & Brothers, Publishers, 1960), p. 319.

<sup>10</sup>Ibid., p. 320.

can provide must receive recognition at the entry level, through pay, rating, and an immediate opportunity to do interesting work before massive numbers of college graduates will be attracted to the police.<sup>11</sup>

This restrictive nature of police employment also draws the commentary of Jerome Skolnick.

Police typically find themselves in a position where their opportunities to change employers are highly restricted, except at the highest executive levels. If a man is an associate professor at a college or university, he can move on to another at that or a higher rank, if another institution makes him an offer. There is 'free enterprise,' a free employment market. Police by contrast are far more restricted in their employment opportunities, since most departments require that a man start at the lowest rank when he is recruited into the department, except for employment at the highest executive level. In effect, each municipality has a separate army, and every recruit has to start from scratch.

Such a system has obvious disadvantages for developing professionalism in the police. It limits their employment opportunities. It tends to make them primarily responsive to local demands and conditions, thus giving a parochial character to their work. It may lay the structural foundations for corruption. It restricts freedom to disagree with or challenge superiors, for under these conditions police are in a practical sense a form of indentured public servant. It tends to limit the policeman's appreciation of the assertion of rights by others, since under such a system police themselves are restricted in their freedom to dissent from the opinions of their superiors. Finally, the system works in the long run to reduce police salaries, since municipalities do not have to compete with one another for the services of already trained,

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<sup>11</sup>The President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society (Washington: Government Printing Office, 1967), p. 107.

middle-level police officials, such as experienced patrolmen, sergeants or lieutenants.<sup>12</sup>

The President's Crime Commission also looked into the area of promotional procedures and made the following observation. Able recruits may be the most pressing police personnel need, but it is not the only one. Better personnel are needed throughout most departments. Traditional procedures often inhibit the rapid promotion of able officers into supervisory or command positions. As has already been mentioned, patrolmen must serve a considerable number of years, usually at least four or five, before becoming eligible for promotion. In addition, promotions are made, more often than not, from a civil service "list" that is compiled on the exclusive basis of grades scored on technical written examinations. A list arrived at in such a fashion takes no account of the evaluation of individual officers by their superiors, of the special qualifications of certain officers for certain jobs, of the performance records of officers, and the awards and commendations (or reprimands) they have received.<sup>13</sup>

The Commission recommends: promotion eligibility requirements should stress ability over seniority.

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<sup>12</sup>Jerome H. Skolnick, Professional Police in a Free Society (National Conference of Christians and Jews: New York, 1967), p. 20. (Pamphlet.)

<sup>13</sup>The President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society, op. cit., p. 111.

Promotion "lists" should be compiled on the basis not only of scores on technical examinations but on prior performance, character, educational achievement and leadership potential.<sup>14</sup>

Superintendent O. W. Wilson, in his book, Police Planning, answers the specific question: On what basis should officers be selected for promotion?

Promotion in police service brings with it ever-increasing need for the qualities of leadership. For this reason, selection for promotion should be based principally on these qualities.

It is sound policy to discover qualities of leadership and utilize these talents by promotion to ever-higher ranks as quickly as the experience of the talented officer justifies and opportunity presents itself. Qualities of leadership are not necessarily enhanced by length of service nor do acts of heroism invariably reflect these attributes. Length of service and acts of heroism should not, therefore, be considered in selecting officers for promotion except when all other factors are equal.

The practice of basing promotions exclusively or largely on written tests of police knowledge is not considered a wise procedure. Professional knowledge is a necessary attribute of the leader, but it is not the most important one. Written tests of police knowledge should be made but the principal weight should be given to the qualities of leadership reflected in service ratings and summaries of significant incidents. Promotions to positions above the rank of sergeant should also be based on the qualities of leadership demonstrated in the lower supervisory position.

Promotion in a department that has not used general intelligence tests in recruitment should be limited to those who have a minimum intelligence quotient of 112. Intellectually inferior officers do not usually make successful supervisors of their intellectual superiors.

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<sup>14</sup>Ibid.

A qualified psychiatrist should interview each candidate for promotion and submit a confidential report of his conclusions to the Chief.<sup>15</sup>

Germann's answer to the same question concurs generally with Wilson.

In the promotional competitive process, the written examination is usually heavily weighted--50 to 75 per cent; the oral interview and service rating less heavily weighted--20 to 40 per cent; and the points for meritorious service or seniority only added to passing grades with a light weight--normally 10 per cent or less.

The following is recommended as an equitable weighting scale:

Written Examination	60 per cent
Oral Interview/Group Interview	20 per cent
Service Ratings	10 per cent (maximum)
Seniority or Meritorious Service	10 per cent (maximum) <sup>16</sup>

Some of the difficulties which obstruct the formulation of a sound promotion policy are summarized by the International City Managers Association.

1. Unlimited promotion is not available to every employee who enters at the bottom of the scale. In small cities the number of promotional positions is usually larger in proportion to the number of patrolmen, but even in these cities the principle still holds true.

2. There is a serious conflict between using seniority as against effectiveness as the principal basis of promotion. Because of the semi-military nature of police

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<sup>15</sup>O. W. Wilson, Police Planning (2nd ed.; Springfield: Charles C Thomas, Publisher, 1968), pp. 238-239.

<sup>16</sup>Germann, op. cit., p. 79.

department organization there has been a tendency to rely heavily on seniority as the determining factor in promotion. It is obvious that this tends to have a deadening effect on employees who have a capacity for more rapid advancement than their seniority would warrant. For this reason, some authorities have recommended that a maximum weight of one out of ten be allotted to seniority in promotional examinations, and many have recommended that no weight be given.

3. In filling the higher posts in the department there is a conflict between the stimulus to the morale of the men in the department which results from making promotions entirely from within the department and the advantages that accrue from a policy of opening the top positions to competition by non-residents. This conflict may be resolved by giving preference to members of the local department where other qualities are equal, but appointing outside men where their ability is clearly superior.<sup>17</sup>

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<sup>17</sup>International City Managers Association, Municipal Police Administration (2nd ed.; Chicago: International City Managers Association, 1943), p. 128.

## II. SPECIFIC CONSIDERATIONS

### Written Examinations

Germann has observed that the use of the written examination is characteristic of most all competitive promotional procedures. It has a tendency in some places to be overweighted, but is definitely a most effective device, not only in determining relative rank order among candidates, but in stimulating daily work, assisting the administration in planning for training, and encouraging study.<sup>18</sup>

Wilson voiced the same sentiment in his book,  
Police Administration.

As a general rule, police departments--especially the larger ones, and those under the influence of central personnel agencies--rely too heavily on written tests of knowledge in selection for promotion. The popularity of the written test for this purpose arises from a sincere desire to be able to select men on a basis of merit free of outside or departmental favoritism. The test is easily administered, it provides a numerical score, and it seems fair in that the candidate can blame only himself for an unsatisfactory result. Suitable tools and procedures for evaluating other desirable qualifications have been slow to develop, and it is not surprising, in consequence, that the use of the written test is so wide spread. The department personnel officer should be continuously alert to new methods of appraisal and should assist in their development in order to lessen the need for the written examination.<sup>19</sup>

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<sup>18</sup>Germann, op. cit., p. 74.

<sup>19</sup>Wilson, Police Administration, op. cit., p. 159.

Wilson's attitudes regarding the central civil service commission are further amplified in his book, Police Planning.

The most common weakness found in police service stems from a failure on the part of the chief of police to exercise suitable authority in the management of his personnel. The failure sometimes results from lack of courage or lack of appreciation of the need for action, and sometimes from ignorance as to methods to use in the administration of personnel. More often, however, and with increasing frequency, the failure results from restrictions that have been unwisely imposed on the Chief in the management of his personnel. Some Civil Service Charter provisions defeat this alleged purpose by making difficult if not impossible the application of sound principles of personnel administration. They take from the Chief important authority over the control of the members of his department. A police chief cannot be held responsible for the quality of service rendered by his force under these circumstances. . . .

To say that the universal demand for personnel administration on a merit basis and for job security for honest and competent policemen can be attained only through civil service is to ignore the fact that some of the best police agencies at local, state, and federal levels are not under civil service and actively resist all efforts to take from them the management of their personnel. The Detroit Police Department, the New York State Police, and the F.B.I. are examples.<sup>20</sup>

This argument is refuted by the International City Managers Association who observe:

Functioning independently of the local governing body or chief executive, there is a tendency for such boards to encroach on the authority of the Chief Administrator and at times to work counter to local policies adopted by the City Council. The personnel problem is substantially similar in all departments and can be handled best on a central

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<sup>20</sup>Wilson, Police Planning, op. cit., p. 225.

staff basis without according privileged status to special groups, whether police or any other.<sup>21</sup>

Germann offers further guidelines for the development of the written examination.

The planning of a promotional written examination requires coordination between the subject matter specialist in the police department and the test technician from the personnel bureau. The test must be carefully planned, its content must be analyzed and developed, it must be sampled, and after its administration it must be evaluated and revised.<sup>22</sup>

V. A. Leonard is enthusiastic in his approval of the written competitive examination.

The means for improving selection methods in police personnel procedure are now ready at hand. With the employment of carefully validated and standardized tests, there is as much difference between selection on the basis of their results and haphazard selection as between the purchase of an automobile "sight unseen" and its purchase after careful trial. Where such tests are not a part of the screening process at the intake, selection and replacement are necessarily uncertain matters. The myth of the man who can correctly judge character or ability at a glance has been exploded by an extended array of psychological experiments. The intelligent use of tests and examinations, now accepted as a part of standard procedure in the best American police departments will go far toward reducing the element of chance in the process of selection, placement and promotions.<sup>23</sup>

While not completely critical of the written examination in promotional procedures, Smith points out the

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<sup>21</sup>International City Managers Association, Municipal Police Administration (5th ed.; Chicago: International City Managers Association, 1961).

<sup>22</sup>Germann, op. cit., p. 74.

<sup>23</sup>V. A. Leonard, op. cit., p. 104.

fact that written examinations do not test those qualities of leadership or administrative capacity which are presumably a major consideration in promotions to higher rank. Such qualities are therefore largely ignored because the more familiar techniques of personnel management do not attempt any such evaluation of human personality.<sup>24</sup>

### Personnel Evaluation

Personnel evaluation is the one area in each promotional procedure which is the most controversial and at the same time, the least understood. Whether it be known as a service rating, an efficiency report, a merit appraisal or a performance test, the controversy and confusion remains. Those men who are being rated generally distrust the system and see it as a form of patronage with certain favored individuals being rewarded by supervisors who are unaware of the real police work being done in the city. Generally, this feeling is a result of a poorly administered and incomplete personnel evaluation procedure. Unfortunately, many of the personnel evaluation systems currently in use are poorly conceived and the supervisors charged with administering the systems poorly trained to make the necessary judgments. In many cases, the personnel evaluations are designed to measure work

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<sup>24</sup>Smith, op. cit., p. 134.

competence at a patrolman level and used to select supervisors without an effective measure of leadership or administrative potential. The result may well be the situation decried by police personnel experts, that of producing promoted patrolmen rather than leaders and administrators.

Supervisors, responsible for rendering a personnel evaluation of a subordinate are cautioned by Clarke and Saxenian to keep three important goals in mind.

1. Greater uniformity in ratings given men for comparable performance.
2. Increase in courage in giving both high and low ratings as deserved.
3. Greater open-mindedness both in the periodic performance evaluation and in actual daily police supervision.<sup>25</sup>

Wilson discusses personnel evaluation in each of his three books. In Police Records, first published in 1942, he wrote:

Although no very satisfactory service rating system has yet been devised, there is general agreement that evaluations produced by some rating systems serve a useful purpose. They at least force commanding officers to evaluate the performance of their men. . . . The rating system devised by

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<sup>25</sup>Victor J. Clarke and Hrand Saxenian, "Objectivity in Performance Evaluation," Police, (November-December, 1965).

Ordway<sup>26</sup> has the advantage of giving special advantage to the unusually competent and the unusually incompetent. Any act which might be considered justification for placing an officer in either of these two extreme groups is reported in detail by the supervising officer. If the services performed are properly recorded and analyzed, an objective record of the officer's value to the service is available to the administrator who is responsible for promotions, demotions, and separations from service.<sup>27</sup>

By the time he wrote Police Administration, published in 1950, Wilson's attitude regarding service ratings seemed a bit more positive.

A service rating should be prepared by superior officers once each month or quarterly on probationers and once every six months on other subordinates. Unit Commanders should be aware that an "outstanding" worker will be penalized on a promotional examination when there is not a sufficient difference between his grade and the grade of a member whose performance is "fair."

Service ratings should be uniformly consistent throughout a department. In a large department some raters will be more generous than others, and the officer who was rated more stringently is at a serious disadvantage in competition for promotion. This lack of uniformity in rating may be deminished by requiring that the average of the scores of each component unit in a department approximate the department average. Another form of rating is one which forces the superior officer to designate 10 per cent of his men as the most competent and another 10 per cent as the most deficient in each factor. Those who consistently remain in the upper

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<sup>26</sup>Samuel H. Ordway, Jr. and John C. Laffan, "Approaches to the Measurement and Reward of Effective Work of Individual Government Employees," National Municipal Review (October, 1935), pp. 557-601, quoted in O. W. Wilson, Police Records (Chicago: Public Administration Service, 1942), p. 162.

<sup>27</sup>Ibid.

bracket should be considered for promotion and special assignment. Those who consistently remain in the lower bracket need special training, reassignment, and when on probation should be considered for separation from the service.<sup>28</sup>

Earlier, in this same book, in discussing the duties of the police personnel officer Wilson described one of his many duties as the appraisal of each member's value to the service.

Performance and accomplishments should be noted and evaluated. The exceptionally competent have to be discovered so that their talents may be used most advantageously in assignment and promotion; the deficient must be detected in order that action may be taken to correct their weaknesses and prevent the development of future ones.<sup>29</sup>

In his third book, Police Planning, Wilson remains consistent with his attitudes expressed in Police Administration, advocating the identification of the extremes in ability, the top 10 per cent and the bottom 10 per cent. He adds a somewhat surprising statement, however, when he stated, "An accurate appraisal of the service value of the policeman of average ability is not important."<sup>30</sup>

V. A. Leonard cites an unpublished manuscript by J. S. Greening, former Chief of Police in Berkely, California, to answer a question he posed. Leonard asked, "Why have rating systems?" Greening's answer:

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<sup>28</sup>Wilson, Police Administration, op. cit., pp. 154-155.

<sup>29</sup>Ibid., p. 134.

<sup>30</sup>Wilson, Police Planning, op. cit., p. 237.

- (1) For the same reason that we have examinations to determine the applicant's degree of intelligence and adaptability.
- (2) To determine his efficiency on the job.
- (3) To assist him in increasing his efficiency and thereby the efficiency of the organization.
- (4) As a basis for determining his fitness for promotion or salary increase.
- (5) As a basis for determining what branch of the service he is best fitted for.
- (6) To stimulate and keep alive the personnel spirit.
- (7) To make supervisory officers more analytical in their judgments of the men under their supervision.
- (8) To rate, by use of the rating scheme, the ability of the person doing the rating and his success in building up the efficiency of his subordinates.
- (9) To discover the reason why men who have previously done good work go into a slump, and to help them overcome the difficulty.
- (10) To eliminate probationers that the examinations failed to detect as inadaptable, or who are adaptable but will not apply their abilities.
- (11) Order of lay off.<sup>31</sup>

It is generally conceded that a rating scale is just as valid as its design and the degree of intelligence, judgment, honesty and understanding of the rating instrument, exercised by the raters. Men on the same intellectual level will vary somewhat in their ideals; their degree of honesty may differ slightly, but as a general rule, aside from personal idiosyncrasies, their judgment and understanding of the design and purpose of the rating instrument and knowledge of human values will reduce the element of error.<sup>32</sup>

Leonard also adds a word of caution regarding the design of rating forms which is characteristic of most of

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<sup>31</sup>Adapted from an unpublished manuscript by J. A. Greening, former Chief Division Deputy, Sheriff's Department, Oakland, California, and former Chief of Police, Berkley, California, quoted in V. A. Leonard, op. cit., pp. 108-109.

<sup>32</sup>Leonard, op. cit., p. 109.

the authors of his time. He warns of the inherent dangers involved in attempting to embrace too many qualities under one heading or in attempting to rate too many qualities in one individual. He reports that as of the date of his writing the United States War Department and the State Department were doing important developmental work with personnel evaluations. He warns that the same rating form is not applicable to all members of the department since there is so great a variation in the experience, abilities and desired qualities of the various positions in a police department. His writings were first published in 1951. It is interesting to note that the research then being conducted by the War Department and continued by the Defense Department has led to a form, seven times revised and which now incorporates 26 individual qualities to be rated and which applies to all officers in the Army. This form will be discussed in detail later.

In his writing, Leonard recommended there is evidence to support the belief that there should be five different grades of rating scales used by police agencies. He would include the following:

- (1) For recruits covering a two year period, with short period ratings being made.
- (2) For detecting those qualities which merit promotion.

- (3) For sergeants to cover qualities necessary for supervision, and some of the qualities of leadership that should be present in lieutenants, together with qualities that indicate detective ability.
- (4) For detectives showing their success in this division qualitatively and quantitatively combined with leadership ability demonstrated.
- (5) For lieutenants, showing leadership ability and administrative qualities.
- (6) For captains, covering qualities necessary to point out presence or lack of executive ability and administrative accomplishment.<sup>33</sup>

Leonard concludes his discussion of service ratings with the following observation.

If it points out the highly adaptable,  
 If it points out the leaders,  
 If it points out the energetic workers,  
 If it points out the drones,  
 If it points out those with special abilities,  
 If it points out the temperamentally unfitted,  
 If it points out the morale tone of the individual,  
 If it points out the defects in the organization,  
 If it aids in morale development,  
 If it speeds up the organization,

then the rating scale is decidedly worth while and justifies all the time and effort necessary to administer and analyze it.<sup>34</sup>

Smith's book, first published in 1940, also presents a rather dated approach to this subject. After making a strong recommendation for the use of the oral interview in the selection process, and noting that the oral interview had not been well received in the past, he suggested that perhaps a possible substitute for the oral interview might be a review of all of their subordinates by the

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<sup>33</sup>Leonard, op. cit., pp. 109-110.

<sup>34</sup>Ibid.

police supervisors using one of the personnel rating forms for the purpose. He then added that while such forms had found rather wide acceptance in business and industry they had not yet commended themselves to police administrators. He reported the reasons were various.

In some cases the police have not yet troubled to master the technique of rating, or have not given the rating system a fair trial. In other instances, and particularly in the larger police establishments, different sets of superior officers have graded their subordinates according to differing standards which proved difficult to reconcile.<sup>35</sup>

As will be pointed out in the results of the empirical study reported in Chapter IV, this situation is no longer true. Twenty-two of the twenty-three cities studied do use a personnel evaluation to good advantage.

Smith concurs with the thoughts expressed previously by Leonard when, in discussing the rating forms, he recommends that the form be simplified to provide a more honest evaluation of the man as a whole rather than rating too many characteristics and as a result requiring the rater to "fragment his personality and achievement." He concurs also with the thoughts expressed by Wilson when he reports that many departments "commendably" have limited the number of rating degrees to three: below average, average, and far above average. Smith also advocates that the rating be accomplished by one, or at the most,

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<sup>35</sup>Smith, op. cit., p. 134.

two direct line supervisors who are in a position to evaluate personality and performance.<sup>36</sup>

Germann offers the opinion that

The service rating should never be connected with promotion or pay raises, for whenever the ratings directly affect rank or pay, the supervisors will gravely consider the possible effects of their ratings and make ratings in terms of these effects rather than in a truly objective fashion. This will cause the ratings to form a rather flat and uniform curve, rather than distributing themselves normally.<sup>37</sup>

Germann feels that if service ratings are to be used in the promotional process, they should be merely qualifying, rather than competitive.<sup>38</sup>

Germann also directs his attention to the traits that should be included in a rating process and concludes, as did Wilson, Leonard, and Smith, that they should be kept as simple as possible and limited to those traits which can be observed and which are characteristic of the position being rated. He would include:

- (1) Work attitude
- (2) Judgment
- (3) Initiative
- (4) Personal appearance
- (5) Contact with public
- (6) Quality of work
- (7) Knowledge of work
- (8) Loyalty
- (9) Punctuality.<sup>39</sup>

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<sup>36</sup>Smith, op. cit., p. 135.

<sup>37</sup>Germann, op. cit., p. 177.

<sup>38</sup>Ibid., p. 78.

<sup>39</sup>Ibid., p. 177.

He also concurs with the previous authors that the ratings should be completed by the officer's immediate superivors and should be accomplished at least semi-annually after the probationary term has been completed. After having given his recommendation that the rating not be tied to a promotional process he further cautions that if the rating is keyed to the promotional or pay scheme, an appeal procedure should be provided.

Germann concluded his discussion of service ratings by attacking the problem of over-rating or inflated ratings. His recommendation is a bit more detailed than the top 10 per cent--bottom 10 per cent advocated by Wilson but still is not very different. He would require the ratings of the patrolmen to conform to the following spread:

8 per cent	Superior
24 per cent	Good
36 per cent	Average
24 per cent	Fair
8 per cent	Poor.

The International City Managers Association reports that in some cases service ratings have been abused or misconstrued so as to cause a breakdown in the promotional system and then goes on to recommend rather than weighting the service rating as a part of the promotional examination, which gives officers a chance to play favorites, such ratings should be looked upon as a means of

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<sup>40</sup>Ibid., pp. 176-181.

inspiring discipline and devotion to duty, and ascertaining the assignment in which a man will be most useful in a given grade. Such rating may well be considered qualifying in that no man having a low service rating should be eligible to take examinations for promotion without clarification of his rating.<sup>41</sup>

Similarly, in selecting army officers for promotion, the Office of Personnel Operations at Department of the Army consolidates all of the candidates efficiency reports for presentation to a selection board specifically convened for this purpose. These reports are considered as qualifying or nonqualifying by the board, rather than having a specific numerical value attached.

The one agency which is most actively engaged in personnel research is probably the United States Army. The Officers Efficiency Report, or OER as it is more familiarly known, has been revised seven times since the 1920's, each time becoming a little more realistic and more effective. The sixth revision was made in 1963 to correct a problem of inflated ratings. The latest revision (see Form 1) introduced this year and not actually to be used until September, 1968, eliminates still other deficiencies discovered in earlier reports and incorporates the features found by a constant review, research,

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<sup>41</sup>International City Managers Association (2nd ed.), op. cit., p. 131.

**IMPORTANT: THE PREPARATION OF AN EFFICIENCY REPORT IS A SERIOUS RESPONSIBILITY. EACH INDIVIDUAL WILL TAKE THE SAME PAINSTAKING CARE IN THE PREPARATION OF THE REPORT FOR HIS SUBORDINATES THAT HE WOULD EXPECT HIS RATING OFFICER TO TAKE IN THE PREPARATION OF HIS OWN REPORT. ALL ENTRIES WILL BE TRUE AND IMPARTIAL. READ CAREFULLY REFERENCED PARAGRAPH IN AR 623-105 BEFORE ATTEMPTING TO FILL OUT ANY ITEM.**

PART I - PERSONAL DATA (Read paragraph 3-2a, AR 623-105)													
a. LAST NAME - FIRST NAME - MIDDLE INITIAL				b. SERVICE NUMBER		c. SSAN	d. GRADE	e. DATE OF RANK	f. BRANCH				
g. UNIT, ORGANIZATION, STATION, AND MAJOR COMMAND													
PART II - REPORTING PERIOD AND DUTY DATA (Read paragraph 3-2b, AR 623-105)													
a. PERIOD COVERED			b. REASON FOR SUBMITTING REPORT (Check)			c. REPORT BASED ON (Check)		RATER	INDORSER				
FROM			TO			ANNUAL		DAILY CONTACT					
DAY	MONTH	YEAR	DAY	MONTH	YEAR	CHANGE OF RATER		FREQUENT OBSERVATION					
DUTY DAYS			OTHER DAYS			PCS RATED OFFICER		INFREQUENT OBSERVATION					
						CHANGE OF DUTY FOR RATED OFFICER		RECORDS AND REPORTS					
						OTHER (Specify)		OTHER (Specify)					
PART III - AUTHENTICATION (Read paragraph 3-2c, AR 623-105)													
a. SIGNATURE OF RATER				TYPED NAME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATION, AND DUTY ASSIGNMENT				DATE					
b. SIGNATURE OF INDORSER				TYPED NAME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATION, AND DUTY ASSIGNMENT				DATE					
c. REVIEWER (Read chapter 5, AR 623-105)				MY REVIEW <input type="checkbox"/> INDICATES NO FURTHER ACTION <input type="checkbox"/> RESULTS IN ACTION STATED ON INCLOSURES									
SIGNATURE OF REVIEWER				TYPED NAME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATION, AND DUTY ASSIGNMENT				DATE					
d. THIS REPORT HAS _____ INCLOSURES. (Insert "0" if appropriate)				DATE ENTERED ON DA FORM 86			PERSONNEL OFFICER'S INITIALS						
TO COMPLETE PARTS IV, VI, VII, VIII, IX, X, AND XI, EVALUATE THE RATED OFFICER IN COMPARISON WITH OTHER OFFICERS OF THE SAME GRADE, SIMILAR EXPERIENCE, MILITARY SCHOOLING, AND TIME IN GRADE. ITEMS DESIGNATED BY ASTERISK REQUIRE EXPLANATION IN PART XI.													
PART IV - PERSONAL QUALITIES (Read paragraph 4-3d, AR 623-105)													
DEGREE		TOP		SECOND		MIDDLE		FOURTH		BOTTOM*		NOT OBSERVED	
RATER	INDORSER	1	2	3	4	5	6	7	8	9	10	11	12
		a. ADAPTABILITY (Adjusts to new or changing situations)											
		b. AMBITION (Seeks and welcomes, within bounds of military propriety, additional and more important responsibilities)											
		c. APPEARANCE (Possesses military bearing and is neat, smart, and well-groomed)											
		d. COOPERATION (Works in harmony with others as a team member)											
		e. DECISIVENESS (Ability to reach conclusions promptly and decide a definite course of action)											
		f. DEPENDABILITY (Consistently accomplishes desired actions with minimum supervision)											
		g. ENTHUSIASM (Motivates others by his keen interest and personal participation)											
		h. FORCE (Executes actions vigorously)											
		i. INGENUITY (Creative ability in devising means to solve problems)											
		j. INITIATIVE (Takes necessary and appropriate action on his own)											
		k. INTEGRITY (Adherence to principles of honesty and moral courage)											
		l. INTELLIGENCE (Acquires knowledge and grasps concepts readily)											
		m. JUDGMENT (Thinks logically and makes practical decisions)											
		n. LOYALTY (Faithful and willing support to superiors and subordinates)											
		o. MORAL COURAGE (Intellectual honesty, willingness to stand up and be counted)											
		p. NON-DUTY CONDUCT (Keeps his personal affairs in order)											
		q. SELF-DISCIPLINE (Conducts himself in accordance with the highest standards)											
		r. SELF-IMPROVEMENT (Takes action to improve himself)											
		s. SELFLESSNESS (Subordinates his personal welfare to that of the organization)											
		t. SOCIABILITY (Participates freely and easily in social and community activities)											
		u. STAMINA (Performs successfully under protracted physical and mental stress)											
		v. TACT (Says or does what is appropriate without giving unnecessary offense)											
		w. TENACITY (The will to persevere in face of obstacles)											
		x. UNDERSTANDING (Appreciation for the needs and viewpoints of others)											

RATED OFFICERS NAME, GRADE, SERVICE NUMBER AND SSAN _____															
<b>PART V - DUTY ASSIGNMENT FOR RATED PERIOD</b> (Read paragraph 4-3e, AR 623-105)															
a. PRINCIPAL DUTY _____		b. DUTY MOS _____			c. AUTH GRADE _____										
d. MAJOR ADDITIONAL DUTIES _____															
<b>PART VI - PERFORMANCE OF DUTY FACTORS</b> (Read paragraph 4-3f, AR 623-105)								<b>PART VIII - PROMOTION POTENTIAL</b> (Read paragraph 4-3h, AR 623-105)							
DEGREE		TOP	SECOND	MIDDLE	FOURTH	BOTTOM*	NOT OBSERVED								
RATER	INDORSER	1	2	3	4	5	N/O	R	I						
		a. DISPLAYS A PROFESSIONAL KNOWLEDGE OF ASSIGNED DUTIES								PROMOTE AHEAD OF CONTEMPORARIES (EXHIBITS CHARACTERISTICS WHICH SHOULD BRING HIM TO THE HIGHEST POSITIONS IN THE ARMY.)					
		b. MANAGES RESOURCES EFFICIENTLY AND ECONOMICALLY								PROMOTE ALONG WITH CONTEMPORARIES					
		c. ESTABLISHES AND ACHIEVES HIGH STANDARDS OF PERFORMANCE								DO NOT PROMOTE AT THIS TIME*					
		d. FULFILLS HIS RESPONSIBILITIES IN THE DEVELOPMENT OF SUBORDINATES								DO NOT PROMOTE THIS OFFICER*					
		e. PLANS BEYOND THE IMMEDIATE REQUIREMENTS OF ASSIGNED DUTIES													
		f. DELEGATES AUTHORITY AS APPROPRIATE													
		g. EXERCISES PROPER DEGREE OF SUPERVISION													
		h. COMMANDS CONFIDENCE AND RESPECT													
		i. ACCEPTS FULL RESPONSIBILITY FOR HIS ACTIONS													
		j. WILLINGLY ACCEPTS AND ACTS UPON SUGGESTIONS AND CONSTRUCTIVE CRITICISM													
		k. EXPRESSES HIMSELF CLEARLY AND CONCISELY ORALLY								HIGHEST MILITARY SCHOOL COMPLETED					
		l. EXPRESSES HIMSELF CLEARLY AND CONCISELY IN WRITING								SENIOR SERVICE COLLEGE AHEAD OF CONTEMPORARIES					
		m. MAINTAINS AN APPROPRIATE LEVEL OF PHYSICAL FITNESS								SENIOR SERVICE COLLEGE WITH CONTEMPORARIES					
		n. HAS CONCERN FOR THE WELFARE OF SUBORDINATES								CGSC OR EQUIVALENT AHEAD OF CONTEMPORARIES					
										CGSC OR EQUIVALENT WITH CONTEMPORARIES					
										NOT RECOMMENDED FOR FURTHER SCHOOLING AT THIS TIME					
										NOT APPLICABLE					
<b>PART VII - DEMONSTRATED PERFORMANCE OF PRESENT DUTY</b> (Read paragraph 4-3g, AR 623-105)															
RATER	INDORSER	PERFORMS THIS DUTY BETTER THAN ANY OTHER OFFICER I KNOW *						RATER							
		PERFORMANCE OF THIS DUTY EQUALED BY VERY FEW OFFICERS						INDORSER							
		PERFORMS THIS DUTY BETTER THAN MOST OFFICERS						<b>PART X - ASSIGNMENT POTENTIAL</b> (Read paragraph 4-3h, AR 623-105)							
		PERFORMS THIS DUTY AS WELL AS MOST OFFICERS						R	I	1	2	3	4	5*	N/O
		PERFORMANCE OF THIS DUTY MEETS MINIMUM STANDARDS								POTENTIAL FOR HIGHER LEVEL COMMAND					
		PERFORMS THIS DUTY IN AN UNSATISFACTORY MANNER *								POTENTIAL FOR HIGHER LEVEL STAFF					
<b>PART XI - COMMENTS</b> (Read paragraph 4-3i, AR 623-105)															
a. RATER _____															
b. INDORSER <input type="checkbox"/> I AM UNABLE TO EVALUATE THIS OFFICER FOR THE FOLLOWING REASON: _____															
<b>PART XII - OVER-ALL VALUE TO THE SERVICE</b> (Read paragraph 4-3j, AR 623-105)															
a. OFFICERS OF THIS GRADE PERFORMING SIMILAR FUNCTIONS I CURRENTLY RATE OR INDORSE		TOTAL	PLACEMENT OF OFFICERS (Enter * in appropriate group)					RANKING WITHIN OVER-ALL GROUP							
			BOTTOM 5TH	FOURTH	MIDDLE	SECOND	TOP								
RATER															
INDORSER															
b. RANKING OF THIS OFFICER IN COMPARISON WITH ALL ARMY OFFICERS OF THIS GRADE AND BRANCH I KNOW WELL ENOUGH TO RATE															
RATER															
%	0	10	20	30	40	50	60	70	80	90	100				
INDORSER															

and development program to be desirable in a personnel evaluation form. Part IV of the new form, labeled DA Form 67-6--U. S. Army Officer Efficiency Report, lists twenty-six personal qualities. "Each of these qualities, when developed to a high degree, is generally accepted as a leadership attribute."<sup>42</sup> Part V deals with the duty assignment of the rated officer during the rated period and Part VI is a measure of the performance of current duties. Part VIII requires the rater to recommend the promotional potential of the officer and Part IX requires an evaluation of the potential for further schooling possessed by the rated officer.

The instructions accompanying this OER caution the rater to consider each officer to be rated, in competition with other officers of the same rank and experience when performing the evaluation.<sup>43</sup>

The Army Regulation which governs the use of the OER carries this resume:

Officer efficiency reports provide a measure of an officer's overall value to the service and information essential to the career development, including assignments of individual officers. Each report is intended to report manner of performance of specific duties and for specific periods in a form which is readily usable by boards appointed for various personnel activities, such as promotions, and in the

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<sup>42</sup>A. F. Jones, "OER Spells Your Future," The Army Digest (March, 1968), p. 44.

<sup>43</sup>Army Regulation 623-105.

assignment of officers. A single report provides an estimate of the officer's personal qualities, manner of performance, professional qualifications, and potential as demonstrated during a specific period and in a particular duty assignment. Normally, no single report will be used as the sole basis of any personnel action. The information produced by a series of reports submitted by different rating officers in a variety of duty situations becomes an indication of each officer's progressive development and a basis for measuring his value as compared to his contemporaries. Ultimately, this information, when incorporated into and considered with the whole record, becomes a sound basis for competitive personnel actions--in short, the qualitative management of officers' careers.<sup>44</sup>

In his preliminary remarks on the subject of personnel evaluation, Wilson wrote,

The importance to a large department of rating its personnel is apparent and there is every justification for urging the police personnel officer to develop new and improved procedures or to encourage their development by other agencies.<sup>45</sup>

Wilson's admonition would seem to encourage modern administrators to look closely at this new army development in personnel evaluation for features adaptable to the police profession.

### Seniority

The President's Commission on crime recommends: promotional eligibility requirements should stress ability over seniority.<sup>46</sup>

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<sup>44</sup>Ibid., p. 1-1.

<sup>45</sup>Wilson, Police Administration, op. cit., p. 152.

<sup>46</sup>The President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society, op. cit., p. 111.

Length of service should be considered in the promotional procedure only when all other factors are equal, which will rarely be the case. Length of service will be considered, only in that it may have given the candidate better judgment, greater self-confidence and decisiveness, greater knowledge, and an improved ability to get along with people. In others, the greater length of service may have resulted in diminished energy, initiative, enthusiasm, interest in work, and willingness to accept responsibility. The factor, then, should be measured only in these terms, and not in the numerical years of service.<sup>47</sup>

Qualities of leadership are not necessarily enhanced by length of service nor do acts of heroism invariably reflect these attributes. Length of service and acts of heroism should not, therefore, be considered in selecting officers for promotion except when all other factors are equal.<sup>48</sup>

Clift, on the other hand, contends that real harm can be done to the service when a man goes up too fast. The men will not respect the inexperienced officer who has not been one of them and will conclude he has been a special favorite with the examiners. Clift compares police work to the medical profession in that a

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<sup>47</sup>Wilson, Police Administration, op. cit., p. 158.

<sup>48</sup>Wilson, Police Planning, op. cit., p. 238.

substantial period of internship is necessary before one can consider himself a seasoned officer. He recommends a minimum of three years as a patrolman before eligibility for sergeant and at least two years in each succeeding rank before promotion.<sup>49</sup>

The ICMA comments on the deadening effect a strong seniority program has on a promotional procedure and reports that some authorities recommend a weight of no more than 10 per cent be awarded to seniority while still others argue that no weight or consideration be given to seniority.<sup>50</sup>

Germann concurs with this attitude as expressed by the authors cited and recommends a maximum weighted score of 10 points.

Curiously, none of the authors or works reviewed directed their attention to the method in which the seniority points were to be earned. Consider the difference between Chicago and Indianapolis, two cities studied. Chicago awards one seniority point per 6 months of service to a maximum of 5 years, 10 points. Indianapolis awards one point per year to a maximum of 20 years or 20 points. The young officer of ability in Chicago is able to completely overcome seniority in 5 years. An officer

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<sup>49</sup>Clift, op. cit., p. 49.

<sup>50</sup>International City Managers Association (2nd ed.), op. cit., p. 128.

of comparable ability may fight seniority for over 15 years in Indianapolis.

### Oral Interview

The greatest advocate of the use of the oral interview in the police promotional procedure is Professor A. C. Germann. In his book, Police Personnel Management, he states:

Because administrative ability and leadership potential are the sine qua non for the supervisor or command officer, even more important than the acquisition of knowledge, skills, and experience, the oral interview is considered an essential part of the competitive process for promotion. Knowledge, skills, and the results of experience can be measured, to a good degree, by the written examination, but personality factors cannot--hence, the need for careful oral examination.<sup>51</sup>

Germann then cites the dangers inherent in composing the oral interview board completely of command or supervisory officers of the testing department, favoritism and prejudice for example, and concludes by recommending that the oral interview board be composed of the following:

An expert in oral examining from the Civil Service Commission or personnel office; an expert or experts in law enforcement--from other jurisdictions or from the colleges and universities offering law enforcement training; and a representative of the agency who is familiar with the policies and procedures of his agency.<sup>52</sup>

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<sup>51</sup>Germann, op. cit., p. 75.

<sup>52</sup>Ibid.

If Germann is to be considered an advocate of the individual oral interview, he must be considered an even stronger advocate of the group oral interview. As the terms imply, in the individual oral interview, one candidate is interviewed by a board and a report rendered. In the group oral interview several candidates, as many as six, are assembled and presented with a topic or problem, and then observed as they discuss the topic or attempt to arrive at a solution. As the group works the personalities and mental capacities of the group can be observed and rated by the interviewers.<sup>53</sup>

One critic of the oral interview is Professor William H. Hewitt who states:

The popular notion that some people have a natural gift for sizing up others is one of the myths which has blocked progress in this field. Undoubtedly, some persons are better qualified for this work than others, but, as is true of all other personnel workers, interviewers must be trained. Practice interviewing, for example, provides an excellent apprenticeship, just as practice teaching or coached case work visitation. Research on the reliability and validity of the interview is difficult precisely for this reason. Interviewers vary so greatly in skill that if the most precise results are desired, research needs to be done with each separate interviewer.<sup>54</sup>

The present state of the art of interviewing and the need for more scientific study of the subject is discussed at considerable length and depth by John Guidici

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<sup>53</sup>Ibid., pp. 75-77.

<sup>54</sup>William H. Hewitt, "Police Personnel Administration," Police (September-October, 1966), p. 22.

in a chapter on the oral board written for the book Police Selection, edited by Richard H. Blum. Guidici summarizes his discussion of the oral board with a plea for objectivity and further study to improve present procedures. He discusses the composition of the board and concludes that the board should include one key figure, the "examiner" or "personnel technician" and two or more interviewers. The examiner is, or should be, a professional personnel man.<sup>55</sup>

It is very important that qualified interviewers be assigned to service on oral boards. It will be of little avail to carefully prepare a good interviewing program only to have it undone by incompetent interviewing. It is difficult to understand why so much inexperienced employment interviewing is accepted in law enforcement hiring practice in view of the great respect held for competent interviewing in our other police activities. What has not been already understood is that employment interviewing is an activity calling for particular skills of the highest order.<sup>56</sup>

Guidici cites an American Management Association study by Mandell.<sup>57</sup>

The (employment) interviewer has one of the most complex of all jobs. He needs some knowledge of psychology; he should have a thorough

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<sup>55</sup>John Guidici, "The Oral Board, in Police Selection, ed. by Richard H. Blum (Springfield: Charles C Thomas, Publisher, 1964), p. 185.

<sup>56</sup>Ibid., pp. 191-192.

<sup>57</sup>M. M. Mandell, The Employment Interview (American Management Association: Research Study No. 47), cited by John Guidici, Police Selection, edited by R. H. Blum, op. cit., p. 192.

and up to date knowledge of job requirements in general and those of his organization in particular; and he must be able to relate these factors to the problem at hand and so project the behavior of the applicant. And he must base his difficult task upon the inadequate information obtained in an artificial situation: the interview.

Guidici cites Ordway's<sup>58</sup> comments on the same subject:

The effectiveness of the oral test depends in great part on the skill of the examiners (interviewers). Thus, the examiner should possess considerable aptitude for his work before he is selected to serve as a member of an examining board. Skill in the procedure of the interview, however, may be acquired and perfected through training.

In the opinion of Guidici, the controversy over department interviewers vs. outside interviewers avoids the basic consideration of competence of the interviewer. If the police department has, among the personnel in command positions, men who are competent interviewers, they should be used. If not, outside interviewers should be utilized until such time as competent department interviewers can be selected, trained and can become experienced. An apprenticeship interviewing program is recommended for this training.

These then are the basic ingredients for a successful oral board procedure:

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<sup>58</sup>Samuel H. Ordway, Jr., Chairman, Committee on Oral Tests in Public Personnel Selection, Report submitted to the Civil Service Assembly, Chicago, 1943, cited by John Guidici, Police Selection, edited by R. H. Blum, p. 192.

- (1) The program material should be set down formally in writing to the greatest extent possible. Program materials must be readily available to the oral board members. Prepared by the examiner, the program will consist of:
  - (a) a statement of objectives;
  - (b) an exact identification of the attitudes, traits, knowledge, skill, and other characteristics which the examiner wants considered and evaluated;
  - (c) a definition of the terms used;
  - (d) the criteria, standard or values which will be applied in the consideration and evaluation of the qualities, and finally
  - (e) a description of the scoring system to be used in reporting the evaluations of the interviewer.
- (2) The successful oral board procedure is a product of the interviewers. It requires a high degree of knowledge and skill in order to effectively implement the interview procedure.

Experience has clearly shown that the oral interview is an important and meaningful device in screening men. It may be, in fact, the best device we now possess to do our selection job.<sup>59</sup>

Smith comments on the reluctance of many civil service commissions to utilize the oral interview and suggests two basic reasons for this reluctance: (1) a belief that a formal test can be developed that will meet all the requirements of the interview, and at the same time lend itself to a simple and easily demonstrable system of grading, and (2) popular distrust concerning the fairness of the examination process. Since the system is devised and administered by the examiners it is

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<sup>59</sup>Ibid., pp. 195-196.

not subject to easy review. There is some danger that the oral interview will be criticized as a department device for avoiding the restrictions placed upon individual judgment by the civil service commission. This criticism can be easily overcome by appointing superior men to the oral interview board, men who are above this type of criticism. At any rate, the oral examination is an important supplement to the written test and it can be administered so as to avoid any reasonable suspicion of personal bias or partisanship on the part of the examiners.<sup>60</sup>

#### Promotional Ratings

In the proposed model for the selection of municipal police sergeants, the oral interview is replaced by the promotional rating. The primary reason for this substitution is the sheer force of numbers involved in this selection process. Hundreds, and even thousands, of men may be competing for the rank of sergeant in a large department. The promotional rating arrived at by the recommended board convened by each individual's commanding officer is an acceptable substitute and draws some support from O. W. Wilson, who states:

The evaluation made by an oral board in the relatively short time at its disposal cannot be as accurate as a composite evaluation made by all the supervising officers who have observed the work of

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<sup>60</sup>Smith, op. cit., p. 134.

the candidate over a period of time. There is also the danger in oral board review that favoritism or other factors of personal acquaintance may influence the rating of the candidate. In the case of promotions to the rank of sergeant and lieutenant, a rating scale, similar to that used in the rating of personal qualities of recruits, should be prepared by each officer who has rated the candidate previously during his service.<sup>61</sup>

### Veterans Preference

The influence of veterans preference points on a promotional examination have been largely negated in an age when most police candidates are veterans. Leonard, however, has voiced a very realistic criticism of the practice.

Veterans preference may influence favorably the final score of the individual candidate although it must be conceded that the allowance of extra grade points on this basis is in conflict with the merit principle. Veterans Preference is obviously a question of politics and outside the pale of sound personnel administration. In approaching this problem, governmental agencies must decide how far they are willing to go in compromising the merit concept. It should be emphasized at this point that military experience is definitely an asset to a career officer; however, if credit is given, it should be variable and based upon an examination of the extent and character of military experience rather than mere status as a veteran. Veterans Preference as presently understood and applied in most jurisdictions is basically unsound.<sup>62</sup>

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<sup>61</sup>Wilson, Police Administration, op. cit., p. 159.

<sup>62</sup>Leonard, op. cit., p. 106.

### III. COMPARISON OF LITERATURE WITH THE PROPOSED MODEL

This section will compare the literature with the selection model proposed by this thesis. For the sake of clarity, each of the features included in the model will be compared separately. For the most part, the information referenced in the preceeding section will not be duplicated here. The reader, however, is advised to consider the literature presented on each of the features as they are discussed.

#### Feature 1--The Written Examination

The model envisions a written examination, prepared by a central civil service commission or department personnel section working in very close coordination with the command and training officers of the department to insure maximum training value accrues to the department as a result of the written examination.

A numerical score will be awarded, based on a maximum of 100 per cent which will then be weighted at 60 per cent of the final promotional examination.

The written examination is supported by all of the police literature although reluctantly in some cases. Wilson warns of "too heavy" a weighting in some cities.<sup>63</sup>

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<sup>63</sup>Wilson, Police Administration, op. cit., p. 158.

Germann recommends a weighting of 60 per cent.<sup>64</sup> Germann also points out the great training value accruing to a department as a result of a well prepared and well coordinated written examination.<sup>65</sup>

Wilson,<sup>66</sup> Smith,<sup>67</sup> Leonard,<sup>68</sup> and Germann<sup>69</sup> all point to the need for the personnel examiner to develop more scientific devices for evaluating leadership and administrative potential but to date none has been developed. Leonard, perhaps, offered the most enthusiastic endorsement when he wrote:

The intelligent use of tests and examinations, now accepted as a part of standard procedure in the best American police departments, will go far toward reducing the element of chance in the process of selection, placement, and promotion.<sup>70</sup>

The written examination, weighted at 60 per cent of the complete promotional examination, is supported by the literature.

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<sup>64</sup>Germann, op. cit., p. 79.

<sup>65</sup>Ibid., p. 74.

<sup>66</sup>Wilson, Police Administration, op. cit., p. 159.

<sup>67</sup>Smith, op. cit., p. 134.

<sup>68</sup>Leonard, op. cit., p. 102.

<sup>69</sup>Germann, op. cit., p. 70.

<sup>70</sup>Leonard, op. cit., p. 104.

## Feature 2--Seniority

The model envisions one full point for each year of service with the department and one full point for each full year of college credit completed to a maximum of ten seniority points in the complete promotion examination.

The literature is generally critical of seniority as a factor in selection for promotion and although not condemning it completely advises that seniority credit be awarded only after all other factors are considered and found to be equal.

The chief critics of seniority points to the fact that promotion based upon seniority is deadening and penalizes qualified young men, influencing many to avoid the police profession in favor of other professions where they may advance more rapidly.

None of the works reviewed considered the innovative characteristic of this particular feature, that is, equating college education to experience.

Germann awards a final weight of 10 per cent to seniority in his proposed model.<sup>71</sup>

While not completely condemned by the literature, this feature does not receive strong support.

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<sup>71</sup>Germann, op. cit., p. 79.

Feature 3--The Oral Interview and/or  
the Promotional Rating

Whether the final rating be arrived at by an oral interview board in the case of prospective lieutenants, or a specially convened promotional rating board in the case of prospective sergeants, this feature includes the concept of continuing and regular personnel evaluation by the candidates' immediate supervisors and a one-time career evaluation and estimate of future potential rendered by a special board, convened for this purpose.

The support for a personnel evaluation program in the literature is unanimous, as demonstrated by the preceding section. Germann offers some cautions against including the results in the promotional or pay procedures and advocates a qualifying--non-qualifying rating instead.<sup>72</sup> This position is also proposed by the I.C.M.A.<sup>73</sup> However, there can be no question, based upon the literature, that personnel evaluation is a necessary and important activity in modern police personnel administration.

The support of the authors cited in the review of the literature is equally unanimous in favor of police administrators selecting the best qualified candidates

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<sup>72</sup>Ibid., p. 177.

<sup>73</sup>International City Managers Association (2nd ed.), op. cit., p. 131.

based upon demonstrated personal qualities, work experience (not necessarily seniority), compiled personnel evaluations, police training and formal education completed, and a considered evaluation of leadership and administrative potential. The oral interview is acknowledged to be the best means for accomplishing this task. Wilson acknowledges the need for this type of review of the "whole man" but favors the review being accomplished by the candidates supervisors, past and present.<sup>74</sup>

This feature is supported by the literature.

The complete model, as proposed in Chapter II, is supported by the professional police literature. The support for Feature 2, Seniority, is less than complete and enthusiastic although not considered as proposed in this model.

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<sup>74</sup>Wilson, op. cit., p. 74.

CHAPTER IV

THE PROMOTIONAL PRACTICES IN  
TWENTY-THREE SELECTED CITIES

This chapter will report the results of the field interviews that were conducted. The first section will discuss the methodology used. The empirical data will be presented in Section II. Section III will compare the recommended model with the results of the empirical study.

I. METHODOLOGY

The empirical studies were conducted through personal interviews with the representatives of twenty-three police departments in the United States. The cities selected are representative cities by population and by geographic location. Nine of the police representatives were interviewed on college campuses where they were in attendance and fourteen of the cities were visited personally by the author.

The purpose of this field research was to determine what practices are actually being followed in the field to select municipal police sergeants and lieutenants. To insure accuracy, civil service notices of impending

promotional examination, with the detailed weighted sections spelled out, were collected whenever possible.

All of the interviewing was done by one person and an interview guide<sup>1</sup> was used. The interview guide was designed and then tested in the office of the Director of Personnel of the Detroit Police Department to provide an interview that could be completed in thirty minutes. The author felt that thirty minutes was the most time he could ask of a busy police executive. The author terminated each interview with this informal question, which was not included in the interview guide: If you could change your promotional procedure, how would you change it? The response to this question was immensely interesting and led to further informal discussion which could be terminated at any time by the police executive being interviewed. None of the interviews was completed in less than one and one half hours and many lasted as long as four hours. The interest and the time of these busy police officials which was so freely and generously given is deeply appreciated by the author. The proposed model promotional procedure was undoubtedly influenced by these informal discussions with the men who are charged with the responsibility of administering their own procedures, and the changes they would like to make in those procedures.

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<sup>1</sup>See Appendix A.

## II. MUNICIPAL POLICE PROMOTION PROCEDURES

The information developed regarding each of the promotional procedure features will be summarized and unique or outstanding situations will be discussed in narrative form. Unnecessary details or information which is merely accumulative will be eliminated although every effort will be made to preserve all pertinent data.

The cities surveyed for this study are shown in Table 1.

### Written Examinations

A. Does your department utilize a written examination in the promotional process?

Twenty-two of the twenty-three cities do use the written examination. The only exception is Ft. Wayne, where promotions are made by the mayor of the city.

B. What weight is given to the written examination in the final selection process? For sergeant? for lieutenant?

Individual city responses are shown in Table 2. Only two cities, Detroit and Flint, assign different weights to the sergeants' and lieutenants' examinations. Of the twenty-two cities represented in this study who do utilize a written examination, twelve assign a weight of 60 per cent or more. The weights assigned range from a high of 90 per cent in Cincinnati to a low of 30 per cent in Indianapolis. The average assigned weight for written examinations in all cities surveyed is 57 per cent.

TABLE 1.--Cities surveyed

Relative Size*	City	Population	Police Strength
1	New York, N.Y.	7,781,984	28,000
2	Chicago, Ill.	3,550,404	11,400
3	Los Angeles, Cal.	2,479,015	5,400
5	Detroit, Mich.	1,670,144	4,468
7	Houston, Tex.	938,219	1,370
10	St. Louis, Mo.	750,026	2,200
14	Dallas, Tex.	679,684	1,500
21	Cincinnati, Ohio	502,550	1,086
25	Minneapolis, Minn.	482,872	851
26	Indianapolis, Ind.	476,258	972
27	Kansas City, Mo.	475,539	900
42	Omaha, Neb.	301,598	465
49	Dayton, Ohio	262,332	435
62	Flint, Mich.	196,940	336
70	Gary, Ind.	178,320	276
71	Grand Rapids, Mich.	177,313	279
78	Ft. Wayne, Ind.	161,776	243
82	Savannah, Ga.	149,245	230
110	Dearborn, Mich.	112,007	182
**	Warren, Mich.	89,246	213
**	Pontiac, Mich.	82,233	136
**	Kalamazoo, Mich.	82,089	136
**	La Crosse, Wis.	47,575	74

\*The Everyday Encyclopedic Edition, Webster's New World Dictionary (Nashville: The Southwestern Company, 1967), p. 1163.

TABLE 2.--Promotional examination weighted scores.

City	Written Exam	Personnel Evaluation	Oral Interview	Seniority	Promotional Rating	Comments
New York	60			40		Seniority in- cludes medals and awards
Chicago	60	30		10		
Los Angeles	50	→	50			
Detroit--Sgt	55	35		10		
Lt	45	20		10	25	
Houston	70	30		10		Seniority added over 100%
St. Louis	?	?	?			Not announced
Dallas	50	45		5		
Cincinnati	90	10		10		Seniority added over 100%
Minneapolis	50	20	20	10		
Indianapolis	30	→	50	20		
Kansas City	60	→	40			
Omaha	60		30	10		
Dayton	70	20		10		
Flint--Sgt	80	20				
Lt	50	20	30			
Gary	50	30	10	10		
Grand Rapids	60	40		10		Seniority Added over 100%
Fort Wayne	--	--	--	--	--	Appointment by Mayor
Savannah	50	15	35			
Dearborn	60	40				
Warren	60	20	20	12 $\frac{1}{2}$		Seniority Added Over 100%
Pontiac	40	25	15	20		
Kalamazoo	50	→	50			
La Crosse	60	30	10	5		Seniority Added Over 100%

→ Indicates accumulated personnel evaluation reports  
are provided to oral interview board.

The St. Louis Police Department is unique in this respect. While they do announce to the candidates that the promotions will be based upon the results of a written examination, a personnel evaluation rating and an oral interview, they do not announce the relative weights assigned to each of these features. And, while they do compile a list of the candidates' final standings, in descending order of excellence, they do not publish this list for the general information of the department. Each candidate must visit the personnel division personally to determine his position on the list and his potential promotional probability.

C. Does your department give official notice to the examinees of the subject matter to be covered in the examination?

Thirteen of the twenty-two cities utilizing a written examination do give official notice of the subject matter to be covered.

D. Does your department recommend study references to the examinees?

Sixteen of the twenty-two cities utilizing a written examination do recommend study references.

Questions C and D were designed to determine if the cities are gaining maximum training advantage from the examination. The activities of several cities are note-worthy in this respect and are fine examples of police administrators who have recognized the full potential of the written examination for inspiring home study by their officers.

New York conducts a series of promotional schools in the police academy prior to the written examination. All of the student officers attend on their own time while the department provides the services of three lieutenants as instructors. Classes are three hours per session and are presented four days each week at hours convenient to the men working the various shifts. Four thousand copies of the week's prepared handouts are printed and distributed to the men. An average of three hundred men attend each class session. A one-half hour resume of the material presented in each class

session is broadcast on the department's closed circuit television system for those officers who miss one of the class sessions.

Using this procedure, the New York Police Department accomplishes thousands of man hours of training with the minimal cost of three lieutenants' salaries and the material needed to prepare the student handouts.

The Chicago Police Department utilizes a different approach to realize the same goal. A small staff in the Chicago Police Academy operates a home study correspondence school, using the department mails to send texts and lesson material to the individual officers. Completed lessons are returned to the academy for grading and credit. The Chicago Civil Service Commission coordinates with the Chicago Police Academy in preparing their written examinations and in reporting back to the academy areas of information in which the examinees are deficient. Again, the result is maximum training with minimal cost to the department.

Indianapolis has developed an equally effective method of directing the study activities of its officers. A promotional school is announced concurrently with the promotional examination notice. The written examination portion of the promotional examination is prepared by the Indianapolis Police Personnel Division and is administered as the final two hours of the 40 hour promotional school. Attendance at the promotional school is voluntary, at no cost to the city.

The most detailed notices of the subject matter to be covered and the study references recommended are made by Kansas City and Dayton. Copies of these notices are shown in Appendices B and C.

E. Does your department give separate written examinations for sergeant and lieutenant? If yes, how do the examinations differ.

All of the cities involved do give different examinations for sergeant and lieutenant. Although there are necessarily many similar questions, the emphasis on the sergeants examinations is on patrol procedures and general police knowledge and

leadership. The lieutenants examinations include leadership and general police knowledge, but add administration and management sections.

F. Who is responsible for preparing your written examinations?

In the vast majority of the cities studied, (15 of 22 who use a written examination) the written examination is prepared by a central city civil service commission. There is excellent coordination between the civil service commission and the department training officers in the preparation of exams in several cities but no coordination in most.

In three cities, Detroit, Indianapolis, and Kansas City, the examination is prepared by department personnel and training officers.

In four cities the examination is prepared by other agencies. The Psychology Department at Washington University in close coordination with the police personnel department prepares the examination for the St. Louis Police Department. The Michigan Municipal League, a commercial organization, prepares the examination for Warren and Pontiac. The Bureau of Personnel, State of Wisconsin, prepares the examination for the La Crosse Police Department.

G. Why is responsible for administering your written examination?

In all cases except St. Louis, the examination is administered by the preparing agency. The St. Louis examination is administered by the personnel office of the St. Louis Police Department.

H. How much time is required to administer the written examination to the prospective sergeants? the prospective lieutenants?

All of the cities reported approximately the same amount of time is required for both examinations.

Four cities, St. Louis, Dallas, Omaha, and La Crosse, require two hours or less to administer the examination.

Two cities, New York and Detroit, require more than four hours to administer the examination.

The remainder of the cities, the majority, require between two and four hours to administer the examination.

I. Who is responsible for scoring your written examination?

In all cases, the examination was scored by the preparing agency.

J. Does your department make use of commercially prepared intelligence exams? If yes, what tests have been used in the past?

The answers to this question were largely affirmative with several commercial intelligence tests being used by more than one department. Most popular of the commercial tests are: the Revised Otis-lennon, the California Short Term Maturity Test, the Hannon Nelson, and the Wunderlicht.

#### Personnel Evaluation

A. Does your department utilize a personnel evaluation in the promotional process? If yes, how is the rating utilized? If no, is a personnel evaluation utilized for any other purpose in your department?

Two cities do not make a personnel evaluation of their officers. In sixteen cities, the personnel evaluation is a feature of the final promotional examination. Weights assigned to personnel evaluation in these cities vary from 10 per cent in Cincinnati to 45 per cent in Dallas.

In four cities the accumulated personnel evaluations are considered by the oral interview board as a part of the entire personnel file of each officer.

One city, New York, prepares a personnel evaluation of its officers but does not use the evaluation in the promotional process.

B. Who is responsible for preparing personnel evaluations for patrolmen? for Sergeant?

In all cases, the personnel evaluations are prepared by the individual officer's next two immediate supervisors.

C. Is training in the preparation of personnel evaluations given to new supervisory personnel?

In response to the formal question on the interview guide, there was a unanimous "yes" to this question. However, in the informal discussion which followed, this training was found to be sketchy, irregular, and incomplete, in the opinions of the department representatives. Most thought that, in order to be effective, any personnel evaluation program should include a thorough indoctrination of all supervisory personnel to spell out the aims and goals of the program and to enlist their support. This indoctrination, they felt, should be followed by a complete review immediately prior to each rating, to reinforce the training previously given.

D. How often are personnel evaluations made?

One city makes a personnel evaluation every 2 weeks. One city makes a personnel evaluation quarterly. Eleven cities make a personnel evaluation semi-annually. Two cities make a personnel evaluation annually. Six cities make a personnel evaluation for each examination. Two cities do not make personnel evaluations.

St. Louis, which makes a personnel evaluation upon the occasion of each promotional examination, makes the evaluation only for those officers who have filed their intent to take the written examination.

E. What steps are taken by your department to avoid the problem of "inflated ratings."

The responses to this question are so varied that no easy summarization can be made. Several representative answers deserve reporting here.

New York uses a system in which the rater is forced to designate his rated men in numerical order of excellence. There can be no inflation.

St. Louis, in addition to requiring that the rated men be designated in numerical order of excellence, requires a department average be maintained.

Several cities reported that supervisors are required to maintain an average rating for the men they supervise. Chicago requires an average of 86, and Detroit an average of 88 on a scale of 100. Houston requires an average of 26 on a scale of 30, but then goes one step further by requiring that the supervisor justify in writing any rating over 26 or under 18. In order to justify these extreme ratings, specific instances of either outstanding or poor performance must be cited. These extreme ratings must then be approved by the Captain in charge of the division before they can become final. Dallas uses a variation of this idea, allowing the average to fall between 70 and 90 on a scale of 100 and requiring special justification, in writing, for any rating which falls outside of these averages.

In Pontiac, the Chief has recognized the problem of inflated ratings and has constituted a special rating board composed of two captains and one lieutenant. The ratings are made semi-annually in Pontiac and each patrolman is rated by his patrol sergeant and his shift lieutenant. When the ratings are complete, the lieutenant must personally appear before the rating board constituted by the Chief, with all of his ratings and present them to the board. Each rated man has the right to appeal disputed ratings to this same board. If the rated man is not satisfied with the decision of the rating board, his final appeal is to the Chief of the department. This system has the added advantage of providing a measure of the supervisory effectiveness of the lieutenants who command the shifts and specialized bureaus.

## The Oral Interview

A. Does your department utilize an oral interview in the selection of new sergeants? new lieutenants?

Thirteen cities do utilize an oral interview in the selection of new sergeants and lieutenants, although Flint's utilization is for lieutenants only.

Nine of these cities utilize the oral interview in addition to the personnel evaluation, with each feature being weighted in the final promotional mark. Four of these cities utilize the oral interview in conjunction with the personnel evaluation, with one weighted mark applying to the final promotional mark. Ten cities do not utilize an oral interview.

B. What is the composition of your oral board?

Are any outside personnel administration experts included?

The responses to this question are extremely varied. Of the thirteen cities who do utilize an oral interview, the composition of the oral boards is as follows:

- Five cities utilize all department command personnel.
- Two cities utilize all outside police administrators.
- Two cities utilize outside police administrators plus university personnel experts.
- Two cities utilize all outside civil service personnel, not personnel experts.
- One city utilizes a group oral by a civil service board, not personnel experts.
- One city utilizes department command personnel plus an outside personnel administration expert.

C. Does the same oral board interview all applicants?

In 10 cities, the same oral board interviews all applicants. In 3 cities the personnel assigned to the oral board varies during the rating period.

D. What weight is assigned to the oral interview in the final selection process?

Weights vary from 10 per cent in La Crosse and Gary to 50 per cent in Los Angeles, Indianapolis, and Kalamazoo (refer back to Table 2 for specific weights in each city).

### Seniority

A. Does your department utilize seniority points in the promotional process?

Fifteen cities do utilize seniority points in the promotional process. Eight cities do not utilize seniority points.

B. How are seniority points computed in your department?

The responses to this question defy summarization and so are reported in Table 3.

C. What is the maximum number of seniority points that can be utilized in the promotional process?

Responses are shown in Table 3.

D. What weight is given to the seniority points in the final selection process?

Responses are shown in Table 3.

E. Is seniority weighted as heavy today as it was 5 years ago? 10 years ago?

Responses to this question indicate little or no changes in the weighting of seniority for many years.

TABLE 3.--Seniority computations

City	Seniority Formula	Maximum Points	Years to Reach Maximum
New York*		40	
Chicago	2 points per year	10	5
Detroit	1/2 point per year	10	20
Houston	1 point per year	10	10
Dallas	1/3 point per year	5	15
Cincinnati	1 point per year, first 4 years		
	.6 point per year, next 10 years	10	14
Minneapolis	1 point per year	10	10
Indianapolis	1 point per year	20	20
Omaha	0 points, first 4 years		
	1 point per year, 5th through 14 years	10	14
Dayton	1 point per year, first 4 years		
	.6 point per year, next 10 years	10	14
Flint	1 point per year	25	25
Gary	1/2 point per year	10	20
Grand Rapids	1 point per year	10	10
Warren	1/2 point per year	12 1/2	25
Pontiac	1 point per year	20	20

\*New York uses a combination of years of service plus medals and awards. See Appendix D for formula.

F. Is there any provision in your promotional process for granting seniority credit for formal years of education?

None of the cities involved in this study grant seniority credit for formal years of education.

G. How many years service are required before a patrolman is allowed to take a sergeants examination?

Responses are reported in Table 4.

H. How many years service are required before a sergeant is allowed to take a lieutenants examination?

Responses are reported in Table 4.

#### Veterans Preference

A. Is veterans preference given any consideration in your promotional process?

Five cities add veterans preference points to the final promotional examination. Eighteen cities do not give any consideration to veterans preference.

B. How are veterans preference points computed?

New York awards 5 points to a disabled veteran, 2 1/2 points to a veteran. Chicago awards 1 point per 6 months of military service to a maximum of 3 1/2 points. Detroit awards 1 month of seniority credit for each 3 months military service--maximum 10 points seniority credit. Minneapolis awards 5 points to a veteran. La Crosse awards 5 points to a veteran.

C. How has the awarding of veterans preference points changed in the past ten years?

Minneapolis reports the only change. Effective June 1, 1968 veterans preference points may be used on only one examination, upon the election of the candidate.

TABLE 4.--Service required to take promotional examination.

City	To Sergeant	To Lieutenant
New York	1*	1 day in rank
Chicago	6 months	6 mo. in rank
Los Angeles	4 years	2 years in rank
Detroit	3 years**	2 years in rank
Houston	2 1/2 yrs.	2 years in rank
St. Louis	3 years	1 year in rank
Dallas	3 years	1 year in rank
Cincinnati	3 years	2 years in rank
Minneapolis	5 years	2 years in rank
Indianapolis	3 years	2 years in rank
Kansas City	2 years	1 year in rank
Omaha	4 years	2 years in rank
Dayton	3 years	2 years in rank
Flint	4 years	1 year in rank
Gary	5 years	no lieutenants in dept.
Grand Rapids	2 1/2 yrs.	6 mo. in rank
Fort Wayne	--	--
Savannah	3 years	2 years in rank
Dearborn	5 years <sup>+</sup>	3 years in rank
Warren	7 years <sup>++</sup>	2 years in rank
Pontiac	5 years	2 years in rank
Kalamazoo	3 years	2 years in rank
La Crosse	5 years	2 years in rank

\*In New York a patrolman may take a written examination after 1 year service but must have three years' service before he can be promoted.

\*\*In Detroit a college degree reduces the time required to sergeant to 2 years, to lieutenant to 1 year in rank

+Dearborn utilizes ranks of PFC and Corporal. 2 years to PFC, 2 years as PFC to Corporal, 1 year as Corporal to Sergeant

++Warren utilizes rank of Corporal. 5 years to Corporal, 2 years in rank of Corporal to Sergeant

D. Are veterans preference points added to the total score before all other items are complete?

New York adds the veterans preference points only after a passing score on the written examination.

Chicago adds the veterans preference points only after a passing score on the written examination and the performance evaluation, upon the declaration of the candidate. Veterans preference points may be used on only one examination.

Detroit adds the veterans preference points to the seniority total to a maximum of 10 seniority points.

Minneapolis awards the veterans preference points only after a passing score on all other tests and upon declaration of the candidate. Veterans preference points may be used on only one examination.

La Crosse adds the veterans preference points only after a passing score on the written examination.

### Formal Education

A. Is any credit given for formal education in your promotional process?

Only one city, Omaha, awards credit for formal education in the promotional process.

B. How is this credit computed and awarded?

Each three (3) semester hours of applicable college work shall carry a value of one-fourth ( $1/4$ ) of one (1) promotion point. Points may not accrue or be valued in promotional examinations at a rate in excess of one-half ( $1/2$ ) of one (1) point per semester. A maximum of one and one-fourth ( $1 \frac{1}{4}$ ) points per academic year may be credited (for a complete description of the Omaha plan, see Appendix E).

C. Has any change taken place in the area of education in the promotional process in the past 10 years?

The only change reported is in the city of Omaha.

D. What does your department do to encourage officers to seek additional formal training?

Included among the encouragements to seek additional formal training are additional pay, promotional credit, reduction of time requirements for promotional eligibility, paid tuition, arrangement of work schedules to facilitate attendance, academic paid leave, college credit for police academy attendance and one largely unknown factor, emphasis on formal education in the oral interview. The complete response is shown in Table 5.

The additional pay is being paid by Dallas and Grand Rapids. Dallas has created the position of Master Police Officer with pay midway between patrolman and sergeant or roughly \$500 per year additional pay. Officers qualify as a MPO with 2 full years of applicable college credit. Grand Rapids pays 2 1/2% of a pay step increase per month for one year of applicable college credit or 5% for 2 years of applicable college credit. This amounts to about \$200 per year additional pay for one year of college and \$400 per year for two years of college.

Several cities which utilize an oral interview have indicated that the boards have been placing increasing emphasis on formal education in recent years. This statement was not validated, however, in this study.

### General

This entire section was included in an attempt to gain insight into promotional practices in the survey cities and was chiefly influenced by some of the criticisms in the literature. Generally, the responses in

TABLE 5.--Inducements to seek formal education.

City	Additional Pay	Promotion Credit	Reduce Time in Grade for Promotional Eligib.	Paid Tuition	Arrange Work Hours	Academic Leave	College Credit for Police Academy	Emphasis in Oral Interview
New York					x	x	x	
Chicago					x	x		
Los Angeles					x	x		x
Detroit			x	x	x	x		
Houston					x	x		
St. Louis				x	x	x		x
Dallas	x				x	x		
Cincinatti				1/2	x	x		
Minneapolis				x	x	x		x
Indianapolis				x	x	x		x
Kansas City				1/2	x	x		x
Omaha		x		x	x	x		x
Dayton				1/2	x	x		
Flint*				x**	x	x		
Gary					x			
Grand Rapids	x			x	x	x		
Ft. Wayne					x			
Savanah				x	x	x		x
Dearborn				1/2	x			
Warren					x			
Pontiac				x	x			x
Kalamazoo					x			x
La Crosse					x	x		

\*1 yr. college to apply, 2 yrs. college to captain,  
4 yrs. college to chief

\*\*Paid by Mott foundation

this section have little or no bearing on the proposed thesis of this work.

Promotional examinations in these survey cities are carried out at least every two years. In all of the survey cities, eligibility to write a promotional examination, either for sergeant or lieutenant, is limited to the next lower rank.

Eligible rosters of the candidates for each promotion, arranged in order of excellence, are compiled in all cities except Ft. Wayne. These lists are published in a general department order in all cities except St. Louis and Omaha, when the candidate may visit the personnel office to determine his own position on the roster.

There were three different responses to question F in this section: "Is your chief executive required to promote the top man, in order, from the eligible roster?" The three answers, and the cities responding were:

<u>Yes, no deviation</u>	<u>No, one of three</u>	<u>No, all are eligible</u>
Cincinnati	New York	Detroit
Minneapolis	Chicago	St. Louis
Kansas City	Los Angeles	Indianapolis
Dayton	Houston	Savannah
Gary	Dallas	La Crosse
Dearborn	Omaha	
Warren	Flint	
	Grand Rapids	
	Pontiac	
	Kalamazoo	

The "one of three" rule, found to be most common, requires the chief executive to promote one of the top

three men on the eligible roster to each vacancy which exists. There are various requirements among the cities for actions which must accompany the passing over of any eligible officer on the roster.

### III. COMPARISON OF THE EMPIRICAL DATA WITH THE RECOMMENDED MODEL

An analysis of the promotional procedures actually being used in twenty-three American cities reveals twenty-three different promotional systems. No two procedures are alike because each was developed to fill an existing need, faced with different influences and beset by different pressures. Several cities now approach the recommended model promotional procedure, others are far different.

#### Feature 1--The Written Examination

Twenty-two cities utilize a written examination, although several do not gain maximum training advantage from the experience. The average weight assigned to the written examination is 57 per cent as compared with the recommended 60 per cent. Twelve cities assign a weight of 60 per cent or more to the written examination. This feature is supported by the empirical data.

### Feature 2--Seniority

Sixteen cities include seniority in their promotional procedure with considerable variation in the weight assigned. Ten cities favor 10 per cent as the assigned weight. None of the cities includes seniority credit for formal education although Omaha is beginning to assign promotional points to formal education. All cities have indicated a desire for their officers to seek additional formal training by offering substantial inducements. The inclusion of seniority is supported by the empirical data but the equating of formal education with seniority is not supported.

### Feature 3--The Oral Interview

Thirteen cities of the twenty-three studied do presently utilize an oral interview in the promotional process. In four of these cities, the accumulated results of the personnel evaluation are provided to the oral interview board for a part of the overall consideration of the man's performance in his present position and his potential for leadership. The composition of the oral boards are extremely varied but several closely resemble the recommended model and Savannah is following the model exactly. The composition of the boards in several other cities is not so substantially different that they reject the model. The use of department command personnel and

the use of outside personnel experts are both common practices. The only point remaining is the establishing of a proper balance.

This feature is supported by the empirical data.

## CHAPTER V

### SUMMARY AND CONCLUSIONS

This final chapter contains two sections. The first will summarize the results of the study and the second will deal with conclusions which have been reached as a result of the study. In reaching these conclusions, the recommended model will be compared with the summary of the literature and the field interviews. Finally, certain recommendations for further study will be offered.

#### I. SUMMARY

The literature on the subject of promotional examinations and related factors was interesting but somewhat shallow in several areas. For example, the writings in the area of written examinations warned of the evils of overweighting<sup>1</sup> and the central civil service commission<sup>2</sup> but failed to stress the tremendous training results being obtained from these efforts in some cities and completely ignored in others. The writings in the area of personnel evaluation warned of the confusion arising if more than seven or at the most ten personal qualities are

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<sup>1</sup>Germann, op. cit., p. 74.

<sup>2</sup>Wilson, Police Planning, op. cit., p. 225.

evaluated in a rating form.<sup>3</sup> Admittedly these writings are dated. The latest development in this field is the new Army officers efficiency report which requires the evaluation of twenty-six personal qualities. This form is actually the seventh revision of the series and is the result of a very careful study and evaluation program.<sup>4</sup>

There is a unanimous concensus among police writers that some inducements must be made to recruit university trained candidates into the police service, but other than general references to lateral entry at the command level,<sup>5</sup> which is bitterly opposed in the field, there are few specific recommendations for actions which can or should be taken by police administrators. There is certainly agreement in the literature that the promotional procedures need to be improved in the American municipal police service.

The practices currently being utilized in the field are as varied as the literature.

There were as many different approaches to the process of selecting municipal police lieutenants and sergeants as there were cities surveyed. The features in

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<sup>3</sup>Leonard, op. cit., p. 109; Smith, op. cit., p. 134; Germann, op. cit., p. 177.

<sup>4</sup>A. F. Jones, op. cit., p. 44.

<sup>5</sup>Leonard, op. cit., p. 131.

each process are similar although none of the cities puts the features together to form the same final selection process. The promotional processes are traditional, to a large extent, in each city and changes and improvements are slow to evolve. Pressure groups within police organizations bitterly oppose any change in the established process unfavorable to themselves. The innovative feature of promotional point credit for formal education in Omaha was opposed by the patrolmen's association until the limitation of formal education credit to the rate at which it can now be earned by a patrolman who is just beginning his formal education.<sup>6</sup> Thus, the present college graduate on the Omaha Police Department, and the patrolman who enrolls for 6 credits during the fall term at the University of Nebraska will both accumulate promotion points at the same rate.<sup>7</sup> This concession was necessary in order to overcome the objections of the patrolmen's association.

These same pressure groups are suspicious of changes in the promotion procedure in any way and greatly impede the establishment of innovations and improvements.

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<sup>6</sup>Personal interview with Chief Richard Anderson, Omaha Police Department, May 20, 1968.

<sup>7</sup>See Appendix E.

## II. CONCLUSIONS

### Comparison of the Literature with the Model

Every feature of the recommended model is amply supported by the literature with the possible exception of the innovative feature of equating formal education to seniority. Wilson,<sup>8</sup> Germann<sup>9</sup> and Leonard<sup>10</sup> all advocate inducements to stimulate the recruiting of college graduates to the police service and all are critical of a heavy emphasis on seniority per se. The chief deterrent to a career in the police service for a college graduate, at the present time, is the prospect of long and unrewarding service at the lowest level. The final weights assigned to each feature in the recommended model is consistent with the literature, and in fact, closely approaches the model recommended by Germann.<sup>11</sup>

It can be stated that the available literature supports the recommended model which was proposed by this thesis.

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<sup>8</sup>Wilson, Police Administration, op. cit., p. 130.

<sup>9</sup>Germann, op. cit., p. 70

<sup>10</sup>Leonard, op. cit., p. 104.

<sup>11</sup>Germann, op. cit., p. 79.

### Comparison of the Field Data with the Model

The selection procedures being used in the field are varied and, apparently, each in its own city is producing the kinds of police commanders and administrators that each of these cities desires because changes are extremely slow to come. The written examination is strongly established and deeply rooted in all of these systems and perhaps rightly so. It does provide a concrete definitive listing of excellence so far as excellence can be tested in this manner.

The personnel evaluation is also an established and accepted fact of life in the police service although the method of utilizing this rating is varied with some cities making it a part of the final promotional score and others passing it along to the oral interview board, where it becomes a part of the total evaluation of the candidate.

The oral interview is a common police promotional procedure, although not as well accepted, and the target of considerable suspicion. The composition of the board appears to be the target of most of the suspicion.

Seniority is also deeply rooted and traditional in many departments. Pressure groups, especially senior employees, will fight for its retention.

It can also be stated that the recommended model is supported by the field data.

### Final Conclusions

The research findings support the following statements.

1. The hypothesis was supported. The proposed model selection procedure allows the police administrator to select the best possible men for promotion based upon proven knowledge, experience and training, performance and demonstrated potential for leadership.
2. Specifically regarding the three key questions that were asked:

- a. Is the model promotional procedure a valid test to be utilized in selecting the best possible leaders and administrators? The findings indicate the answer is yes. The test is a proper device for measuring the ability, attitude, knowledge, experience and potential for leadership possessed by each candidate. However, deficiencies may occur where the persons conducting the written examinations or making the personnel evaluations, or rating the individual in a promotional rating, or oral interview, are not men of integrity. There is also some indication in the field that the tests being used are not always specifically designed to test the knowledge or traits that they propose to test. Particular attention needs to be directed to test content to insure the practicality of the subject material and its application to the position in contention.

b. Do the police departments represented in the survey follow a rational procedure in selecting their sergeants and lieutenants? Yes, although it must be remembered that each department developed its own system beset by its own peculiar set of pressures and influences.

c. Would adherence to the model promotional procedure have increased or decreased the quality of the leaders and administrators selected? The use of the model selection procedure might have increased the quality of the leaders selected. The quality of the leaders selected vs the quality of the candidates might provide a basis for an entire new study.

### III. RECOMMENDATIONS

1. It is recommended that further research be conducted concerning the use of this model. This research could take several directions. For example, a study of the comparative effectiveness of various compositions of oral boards, or, a study of the general efficiency of a police department which closely follows the recommended model and one which utilizes administrative selection, such as Fort Wayne. Another study might attempt to refute the model by finding or developing hypothetical situations in which it would not work.

2. It is further recommended that police administrators place increasing emphasis on objectivity and recorded

documentations in the personnel evaluation systems in use. Any of the systems will be effective if an objective evaluation of each officer is an integral part of the system

3. Police administrators should research the problem of recruiting able, educated personnel into the police service. Bold, innovative measures are needed to reverse a dangerous trend and to recruit the best possible candidates to the police service--so that they may then be the persons selected by this model selection procedure.

The equating of formal education to seniority, to reduce the required years in the patrolman ranks, may overcome one of the basic objections college graduates have to police service.

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## APPENDICES

## APPENDIX A

### POLICE PROMOTION INTERVIEW GUIDE

POLICE PROMOTION INTERVIEW GUIDE

DEPARTMENT IDENTIFICATION AND INFORMATION:

DEPARTMENT \_\_\_\_\_

TOTAL STRENGTH \_\_\_\_\_

NUMBER OF SERGEANTS: UNIFORM \_\_\_\_\_

DETECTIVE \_\_\_\_\_

TOTAL \_\_\_\_\_

NUMBER OF LIEUTENANTS: UNIFORM \_\_\_\_\_

DETECTIVE \_\_\_\_\_

TOTAL \_\_\_\_\_

I. WRITTEN EXAMINATIONS

A. Does your department utilize a written examination  
in the promotional process?

For Sergeant Yes\_\_\_ No\_\_\_

For Lieutenant Yes\_\_\_ No\_\_\_

B. What weight is given to the written examination  
in the final selection process?

For Sergeant \_\_\_\_\_%

For Lieutenant \_\_\_\_\_%

C. Does your department give official notice to the  
examinees of the subject matter to be covered in  
the examination?

For Sergeant Yes\_\_\_ No\_\_\_

For Lieutenant Yes\_\_\_ No\_\_\_

D. Does your department recommend study references to the examinees?

For Sergeant Yes\_\_ No\_\_

For Lieutenant Yes\_\_ No\_\_

If yes, what study references do you recommend?

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E. Does your department give separate written examinations for Sergeant and Lieutenant?

Yes\_\_ No\_\_

If yes, how do the examinations differ?

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F. Who is responsible for preparing your written examinations?

For Sergeant? \_\_\_\_\_

For Lieutenant? \_\_\_\_\_

G. Who is responsible for administering your written examinations?

For Sergeant? \_\_\_\_\_

For Lieutenant? \_\_\_\_\_

H. How much time is required to administer the written examination to

the prospective sergeants? \_\_\_\_\_ hours.

the prospective lieutenants? \_\_\_\_\_ hours.

I. Who is responsible for scoring your written examinations?

For Sergeant? \_\_\_\_\_

For Lieutenant? \_\_\_\_\_

J. Does your department make use of commercially prepared intelligence examinations? Yes\_\_ No\_\_

If yes, what tests have you used in the past?

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## II. PERSONNEL EVALUATION (Service or efficiency ratings)

A. Does your department utilize a personnel evaluation rating in the promotional process?

For Patrolmen? Yes\_\_ No\_\_

For Sergeants? Yes\_\_ No\_\_

If yes, how is the rating utilized?

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If not used in the promotional process, is a personal evaluation system utilized for any other purpose in your department?

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- B. Who is responsible for preparing personnel evaluations for patrolmen?
- 

For sergeants? \_\_\_\_\_

- C. Is training in the preparation of personnel evaluations given to new supervisory personnel?

Yes\_\_ No\_\_

- D. How often are personnel evaluations made?

\_\_Monthly \_\_Semi-Annual \_\_Annual  
Each examination

- E. What steps are taken by your department to avoid the problem of "Inflated Ratings"?
- 
- 
- 
- 

### III. ORAL INTERVIEW

- A. Does your department utilize an oral interview in the selection of new Sergeants? Yes\_\_ No\_\_

If yes, are all prospective sergeants interviewed by the board? Yes\_\_ No\_\_

If no, how are prospective Sergeants selected for interview?

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If yes, what is the composition of your oral board. Are any outside personnel administration experts included?

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If yes, does the same oral interview board interview all applicants? Yes\_\_ No\_\_

If no, what measures are taken to insure uniformity in the oral interview board results?

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If yes, what weight is assigned to the oral interview in the final selection process?

\_\_\_\_\_ %

COMMENTS: \_\_\_\_\_

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

B. Does your department utilize an oral interview in the selection of new Lieutenants? Yes\_\_ No\_\_

If yes, are all prospective Lieutenants interviewed by the board? Yes\_\_ No\_\_

If no, how are prospective Lieutenants selected for interview?

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

If yes, what is the composition of the oral interview board? Are any outside personnel administration experts included?

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

If yes, does the same oral interview board interview all applicants? Yes\_\_ No\_\_

If no, what measures are taken to insure uniformity in the oral interview results?

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If yes, what weight is assigned to the oral interview in the final selection process \_\_\_\_%

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_

#### IV. SENIORITY

A. Does your department utilize seniority points in the promotional process?

For Sergeant Yes\_\_ No\_\_

For Lieutenant Yes\_\_ No\_\_

B. How are seniority points computed in your department?

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C. What is the maximum number of seniority points that can be utilized in the promotional process? \_\_\_\_\_Points

D. What weight is given to the seniority points in the final selection process? \_\_\_\_\_%

E. Is seniority weighted as heavy today as it was 5 years ago?

Yes\_\_ No\_\_

10 years ago? Yes\_\_ No\_\_

F. Is there any provision in your promotional process for granting seniority credit for formal years of education? Yes\_\_ No\_\_

G. How many years service are required before a patrolman is allowed to take a Sergeant's examination? \_\_\_\_\_ Years

H. How many years service are required before a Sergeant is allowed to take a Lieutenant's examination? \_\_\_\_\_ Years

V. VETERANS PREFERENCE

A. Is veterans preference given any consideration in your promotional process? Yes\_\_ No\_\_

B. How are veterans preference points computed?

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- C. How has the awarding of veterans preference points changed in the past ten years?

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- D. Are veterans preference points added to the total score before all other items are complete?

Yes\_\_ No\_\_

VI. FORMAL EDUCATION

- A. Is any credit given for formal education in your promotional process? Yes\_\_ No\_\_

- B. If yes, how is the credit computed and awarded?

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- C. Has any change taken place in the area of education in the promotional process in the last ten years? Yes\_\_ No\_\_

- D. What does your department do to encourage officers to seek additional formal training?

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## VII. GENERAL

- A. How often does your department give a promotional examination, on the average?

For Sergeant \_\_\_\_\_

For Lieutenant \_\_\_\_\_

- B. Who is eligible to compete for Sergeant?

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- C. Who is eligible to compete for Lieutenant?

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- D. Does your department compile an eligible roster for promotion as a result of this promotional selection process?

To Sergeant Yes\_\_ No\_\_

To Lieutenant Yes\_\_ No\_\_

- E. What is the life expectancy of an eligible roster?

For Sergeant \_\_\_\_\_

For Lieutenant \_\_\_\_\_

F. Is your chief executive required to promote the top man, in order, from the eligible roster?

To Sergeant Yes\_\_ No\_\_

To Lieutenant Yes\_\_ No\_\_

G. Has the emphasis changed from one criteria to another in your department over the past ten years? Yes\_\_ No\_\_

If yes, in what way? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

H. Does your department have an executive development program? Yes\_\_ No\_\_

If yes, how is this program managed? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I. Please describe any other selection criteria in your promotional process?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## APPENDIX B

### WRITTEN EXAMINATION FOR SERGEANT



KANSAS CITY, MO. POLICE DEPARTMENT

## SPECIAL ORDER

DATE OF ISSUE

10-1-66

EFFECTIVE DATE

10-1-66

NO.

66-7

SUBJECT

WRITTEN EXAMINATION FOR SERGEANT

AMENDS

REFERENCE

RESCINDS

A written examination for promotion to the rank of Sergeant will be conducted on December 1, 1966.

To be eligible to participate in this examination, an officer must hold the rank of Class A Patrolman, Corporal or Detective, with a minimum of 4 years current consecutive service.

Any officer who meets these qualifications, and desires to be placed on the new eligibility list for promotion to the rank of Sergeant, must take this written examination.

Eligible officers who desire to register for the written examination must appear in person at the Personnel Unit and make application on or before Friday, October 14, 1966.

The written examination will consist of:

Questions

1-10  
11-15  
16-25  
26-30  
31-40  
41-55  
56-65  
66-75  
76-85  
86-90  
91-100  
101-110  
111-120  
121-125  
126-130  
131-140  
141-155  
155-200

Content

Observation and Recall  
Reading Comprehension  
Patrol  
Courts and Trials  
Interrogation  
Investigation  
Identification  
Juvenile Delinquency  
Crime Prevention  
Vice  
Evidence  
Criminology  
Riot Control  
Uniform Crime Reporting  
Records and Reports  
Public Relations  
Supervision  
Organization, Administration, Financing and  
Policy, Kansas City Missouri Police Department

Officers desiring to review material that will be beneficial to them in this examination should refer to the following publications:

1. Police Administration - O. W. Wilson - 2nd Ed., New York, McGraw-Hill, 1963
2. Municipal Police Administration - International City Manager's Association - 1313 East 60th Street, Chicago, Illinois
3. Police Organization and Management - V. A. Leonard, Foundation Press, 1955

APPENDIX C

BULLETIN

CITY OF DAYTON, OHIO

PROMOTIONAL EXAMINATION

BULLETIN  
CITY OF DAYTON, OHIO  
CIVIL SERVICE BOARD

ROOM 300 MUNICIPAL BLDG. 101 WEST THIRD STREET  
NO. 120 PROMOTIONAL EXAMINATION

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POLICE LIEUTENANT. . . . . . OCTOBER 17, 1967

DUTIES: To act as the responsible head of a relief of the patrol section, or second in command of one of the major sections of the Department of Police. To assign duties to lower ranking officers for the purpose of carrying out administrative policies and procedures of the Police Department; to see that the duties assigned to subordinates are competently performed; to maintain adequate written records; to submit required reports; to make decisions pertaining to police administration on both routine and emergency police situations; to maintain discipline and morale of assigned subordinates; to follow orders as given by superior officers.

QUALIFICATIONS: Five years of experience as a police officer of which at least two years shall have been current and continuous as a Police Sergeant with the City of Dayton, Ohio; thorough knowledge of Police Rules and Regulations, State Law and local Ordinances to be enforced, and of modern police methods and tactics. Must have administrative ability; skill in directing men in police activities; maintaining discipline. Must be certified by Physical Examining Board as physically fit to perform all necessary duties of the position.

SALARY: \$9,453.60 to \$10,306.40 per year, plus uniform allowance.

EXAMINATION WILL BE HELD - OCTOBER 17, 1967 - 8:30 A.M.  
APPLICATIONS MUST BE COMPLETED AND RETURNED NO LATER THAN  
OCTOBER 13, 1967 - 5:00 P.M.

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NOTE: Written examination will test adaptability for general administration and supervision, vocabulary knowledge and ability to write reports, analyze problems and situations by logical reasoning; ability to interpret written material; and knowledge of modern police methods; state laws; city ordinances; Police Rules and Regulations and police administration.

PRINCIPAL SOURCES OF INFORMATION FOR EXAMINATION:

1. Training Bulletins - Dept. of Police (201-393)
2. Essentials of Management for Supervisors - C. H. Broaded
3. Fundamentals of Criminal Investigation - O'Hara (1956 Edition)
4. Homicide Investigation - LeMoyne Snyder (1967)
5. Modern Criminal Investigation - Soderman & O'Connell (5th Edition)
6. Evidence Handbook - Donigan & Fisher (1965)
7. Ohio Criminal Code - Schneider
8. Black's Law Dictionary
9. Manual of Procedure - Dept. of Police
10. Rules and Regulations of the Dept of Police
11. Code of General Ordinances - City of Dayton
12. Ohio Revised Code - State of Ohio
13. Police Administration - O. W. Wilson (Second Edition)
14. Police Organization and Management - V. A. Leonard (1964)
15. Municipal Police Administration - I.C.M.A. (1961)

DATE ISSUED: SEPTEMBER 18, 1967

THE CITY OF DAYTON IS AN EQUAL OPPORTUNITY EMPLOYER

APPENDIX D

THE CITY OF NEW YORK  
DEPARTMENT OF PERSONNEL  
NOTICE OF EXAMINATION

THE CITY OF NEW YORK  
DEPARTMENT OF PERSONNEL  
CITY CIVIL SERVICE COMMISSION

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NOTICE OF EXAMINATION

No. 1453  
PROMOTION TO SERGEANT

This examination is open only to employees of the Police Department. The eligible list resulting from this examination may be selectively certified on the basis of sex.

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The eligible list resulting from the examination will expire two years from the date it is established.

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TESTS: Performance and seniority, weight 40, 75% required; written, weight 60, 75% required.

The written test may include questions on supervisory principles and practices; patrol procedures; departmental regulations and operations; legal aspects of police work; special areas of police operation; and current problems and developments in law enforcement.

Candidates who fail to attain the pass mark which shall be set for any test, subject or part of the examination shall be deemed to have failed the examination and no further test, subject or part of the examination shall be rated.

1. Method of Computing Performance and Seniority:

Beginning with the date of appointment as Patrolman or Policewoman, 75%. For each three months of service in that title during the five years next preceding the date of the written test add 1/2%, or 2% a year, making at the end of five years a maximum of 85%; and for each three months of service in that title during the five years next preceding the above, add 1/4%, or 1% a year, to a maximum of 90%.

2. Awards:

a. Department Recognition--

Department Medal of Honor. . . . .	.add 3.00%
Police Combat Cross. . . . .	.add 1.75%
Medal for Merit. . . . .	.add 1.50%
Honorable Mention. . . . .	.add 1.25%

- Exceptional Merit. . . . .add 1.00%
- Commendation . . . . .add 0.75%
- Meritorious Police Duty. . . .add 0.50%
- Excellent Police Duty. . . . .add 0.25%
- b. Firearms Proficiency--
  - For each year in which there has been awarded the special designation of:
  - Expert . . . . .add .125%
  - Sharpshooter . . . . .add .100%
  - Marksman . . . . .add .075%
- 3. Terms and Conditions Governing Credit for Department Awards:
  - a. Credit for Honorable Mention shall not be given for the same act in addition to the credit for the Department Medal of Honor, the Police Combat Cross, or the Medal for Merit.
  - b. Credit for awards is granted in one successful examination only, i.e., an examination in which the participating candidate attains a place on the eligible list and from which list he is subsequently promoted.
  - c. Credit for awards must be used by the candidate at the earliest opportunity, i.e., in the first successful examination following acquisition and recognition of the award.
  - d. Deductions for penalties: For each day's fine deduct .30%, for each day's vacation fined deduct .15%, and for each reprimand deduct .10%.
  - e. Credit shall be given for awards received while in the eligible rank and deductions made for penalties incurred while in the eligible rank, only during the five years immediately preceding the date of the written test.
  - f. The maximum credit attainable on performance and seniority is 100%.  
The pertinent sections of the General Examination Regulations are also to be considered part of this notice.

APPENDIX E

EXAMINATION POINT CREDIT FOR  
APPROVED COLLEGE TRAINING  
CITY OF OMAHA

CITY OF OMAHA  
DEPARTMENT OF PERSONNEL  
ROOM 105, INTERIM CITY HALL

June 7, 1968

EXAMINATION POINT CREDIT FOR APPROVED COLLEGE TRAINING

As an incentive to continued self-improvement and professional growth, the following point credit program will apply for police officers who complete approved college training:

Effective February 1, 1969 point credit will be added to promotional examination scores of police officers, based upon college credits earned toward an Associate Title or Bachelor's Degree in Law Enforcement. This will give officers the opportunity to enroll in the Law Enforcement course at the University of Nebraska at Omaha in September, 1968 and to earn 6 hours of college credit per regular semester thereafter, plus 3 hours in summer work, which amounts to a total of 15 credit hours for the academic year.

After February 1, 1969 point credit will be added to promotional examination scores. The method of earning such credit shall be in accordance with the following formula:

Each three (3) semester hours of applicable college work shall carry a value of one-fourth ( $1/4$ ) of one (1) promotion point. Points may not accrue or be valued in promotional examinations at a rate in excess of one-half ( $1/2$ ) of one (1) point per semester. A maximum of one and one-fourth ( $1\ 1/4$ ) points per academic year may be credited. This equals 15 semester hours, which can be taken at the rate of 6 per regular semester and 3 in summer sessions.

If an officer completes more than 6 hours per semester or 15 per year, the additional hours will be placed in an inventory reserve for his utilization at a later date when he may not carry 6 hours in a given semester or 15 in an academic year. In no instance shall more than  $1\ 1/4$  points per year be applied, nor shall more than an accumulative total of 10 points earned in academic pursuits be applied.

The following formula shall apply to officers who presently have college credits:

Earned semester hours of approved credit shall apply at the same rate as they may be earned by officers who are enrolled in the course. That is, 6 semester hours, or  $1/2$  point per semester following September 1, 1968.

The application of such earned credits shall be limited in the same manner as limitations apply to officers who are currently enrolled in the course. The following provisions shall be controlling:

1. Transfer college credits shall be applied based upon their acceptance by the Admissions Office of the University of Nebraska at Omaha.

2. In all cases the official transcript of the University the police officer attended shall be the determining document.

3. Only those hours acceptable toward a degree in Law Enforcement by the University of Nebraska at Omaha will be allowed under this policy.

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