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Identifying Characteristics of Exemplary Baltimore Police Department First Line Supervisors

A Locally Initiated Research Partnership

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RESEARCH PARTNERSHIP

Baltimore Police Department
Baltimore, Maryland

Johns Hopkins University
School of Professional Studies in Business and Education
Police Executive Leadership Program
Baltimore, Maryland

The Citizens' Planning and Housing Association
Baltimore, Maryland

FINAL REPORT *Archer*

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EXECUTIVE SUMMARY

IDENTIFYING CHARACTERISTICS OF EXEMPLARY BALTIMORE POLICE DEPARTMENT FIRST LINE SUPERVISORS

In 1995, the National Institute of Justice (NIJ), United States Department of Justice (USDOJ) funded the Baltimore Police Department (BPD) to form a partnership with the Johns Hopkins University (JHU) to conduct research. Support was provided under an NIJ initiative entitled: Locally Initiated Research Partnerships with funding under authority of the Public Safety Partnership and Community Policing Act (Title I), 1994 (the Crime Act).

In subsequent partnership discussions on significant issues in policing, the research team focused on first line supervision and decided to examine characteristics of exemplary sergeants as a starting point for improvements in promotional processes, training, and accountability systems.

The resultant study consisted of three research questions: What are the characteristics of exemplary sergeants which distinguish them from their less effective peers? Are the characteristics easily measured and how? Is there extant police personnel data that would correlate with measurable characteristics?

A broad literature review found that while there is significant research on characteristics of leaders, for the most part, characteristics are not correlated with actual performance. Also, there is a paucity of research on characteristics of first line supervisors, per se. Characteristics cited in police management texts are theoretical and have not been validated. Secondly, there are a number of leadership measurements but each is associated with a particular philosophy of management. Further, previous research supported the idea that tacit knowledge was more significant than formal knowledge and that peer nominations were a more reliable indicator of success than either formal testing or performance evaluations.

Research Plan

The approach of the research team was to develop a set of characteristics of exemplary sergeants using focus groups of commanders, supervisors, and police officers. The indigenous set of characteristics would then be used by peers to identify sergeants considered exemplary and/or less than exemplary. While the research team had not identified any particular model or framework, easily administered tests and personal interviews for the following areas were selected: family background, motivation, moral reasoning, attitudes towards work, psychological and cognitive characteristics, education levels, and significant personal experiences. Performance evaluation, job assignments, special training, commendations, disciplinary actions, sick leave patterns, and other data would be collected from police personnel records.

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Focus group survey resulted in the identification of 42 characteristics which were subsequently clustered and reduced to the following: character and integrity, knowledge of the job, management skills, communication skills, interpersonal skills, ability to develop entry-level officers, problem-solving and critical thinking skills, effectiveness as a disciplinarian, effectiveness as role model, and ability to be proactive. The peer nomination process resulted in the identification of 24 exemplary sergeants, and 26 controls. Originally the study team expected to identify clear and unequivocal categories, e.g., exemplary vs. average and/or below average. However, the final sample resulted in exemplary vs. average and above average sergeants.

A series of formal tests were administered as follows: Genogram, Leadership Practices Inventory, Motivation Questionnaire, and the Personality 16 PF Scale. Moral reasoning was tested through moral dilemmas, one classical moral dilemma developed by Lawrence Kohlberg and 4 police related moral dilemmas. An extensive personal interview was conducted and data was collected from police personnel files.

Results

There were three important sets of results of this research. Variables among nominees and controls which were alike; variables with slight variation; and variables with significant variation.

As might be imagined, there were a number of variables for which nominees and controls rated the same:

1. Parents had strong work ethics
2. Leadership characteristics
3. Motivated by achievement and power
4. Personality characteristic- "tough mindedness"
5. Became a police officer for job security, helping others, to make a difference, and had a friend or relative that was a police officer
6. Remained in policing out of love of the job
7. Took the sergeants exam for career advancement
8. Requested and received special training at about the same rate
9. Perceived complexity of the job of sergeant in the same way
10. Evaluated field training and training for sergeant similarly
11. Did not regard training as a significant role for a sergeant
12. Numbers of assignments, transfer, etc. were similar
13. No difference in overall performance ratings, both groups rated as "good" or "very good"
14. Education levels, including moral education and military service were similar.

Those variables where in there was slight variation between nominees and controls are:

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1. On reasons for remaining a police officer, nominees focussed slightly higher on job security
2. On reasons for taking the sergeants' exam, nominees were slightly less likely to mention salary as a motivating factor
3. In the year prior to promotion to sergeant, controls typically scored higher than nominees; however, in the last two years as sergeant, nominees typically scored higher
4. Lieutenants selected nominees more often than controls as being desirable to have in one's command in a crisis situation
5. Nominees scored above average in "sensitivity" on the 16 PF Scale and slightly lower on the "toughmindedness" than controls, and tended to score as being more open to change
6. Nominees had a slightly higher rate of re-enlistment in their military service
7. Nominees cited "being in the middle" between management and line officers as the most difficult part of the job; controls did not
8. Nominees rated themselves higher on "communication skills" than did controls
9. Ratings by supervisors and subordinates were closer to the self-ragins of nominees than those of the controls
10. Nominees reported having fewer positive factors in their early years compared to controls

Variables with statistically significant differences are as follows:

1. Nominees scored significantly higher on all three moral reasoning variables than controls
2. Nominees selected friends, relatives, and authority figures in their lives as moral exemplars where controls selected well-known religious and/or historical figures
3. Nominees were promoted to sergeant faster than controls and promoted to lieutenant at a slower rate than controls
4. Nominees used fewer non-lin-of-duty sick days, as well as using them in characteristically different ways.

Discussion, implications and recommendations

While this research study is complex and extensive, the results were severely comprised as a result of the final sample size. Researchers had anticipated samples of nominees and controls at about 50, when in fact the results were sample sizes less than 30. Therefore, this project, clearly intended to be a significant study of exemplary sergeants must be considered instead an exploratory study with extremely important results to support further research. Also, researchers had anticipated a comparison of clearly defined groups, e.g., exemplary vs. average to poor. In fact, the resultant groups were exemplary vs. average and above average. The researchers realize that the study results may not be generalizable beyond Baltimore City, Maryland, and were disappointed that the community was not informed enough about sergeants to be able to participate in the study.

The critical finding of this study which should serve as a basis for future research of exemplary sergeants is that exemplary sergeants appear to have a more sophisticated skill in defining and solving moral dilemmas. Future research is needed to identify validated testing procedures for these skills, and to test groups of sergeants nationally to verify this finding. If this finding were verified, the results would have significant implications for selection, training, and accountability measures.

Sick leave differences are also highly significant and should be compared nationally. The pattern results for the Baltimore exemplary sergeants, e.g., only using sick leave when absolutely necessary, suggest either a different set of values, motivations, or objectives pertaining to work. This difference is extremely important and should be verified not only for whether or not similar results are found nationally but also in terms of the exact nature of the type of professional that is considered exemplary in the police profession.

Further, national and larger samples have the potential to verify or deny the slight differences between exemplary and non-exemplary sergeants in several areas.

There were implications of the research results which applied to the Baltimore City Police Department.

Conclusions

The purpose of this research was to identify distinguishing characteristics of exemplary first line supervisors, experiment with ease of measurement, and to examine whether data identifying superior performers was evident in personnel records. While the findings of the study were compromised due to methodological issues, the preliminary results are remarkable and further research needs to be conducted. Essentially, the research found that there are profound differences among high and average to above average performers at the rank of sergeant in the area of cognitive and/or moral reasoning abilities. A test of moral reasoning detected this difference. Further research is needed to validate the results; determine which is the core difference related to moral reasoning, e.g., a moral grounding or a unique reasoning ability; and, determine how or why certain individuals have this ability. This research should be followed by: 1) the development of an easy-to-administer measurement instrument; 2) a determination of whether or not this skill can be taught to adults; and, 3) development of law enforcement processes to provide corroborating data to predict high performers.

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I. INTRODUCTION

In 1996, the National Institute of Justice (NIJ), USDOJ, provided funding to the Baltimore Police Department (BPD) to form a partnership with the Johns Hopkins University (JHU) to conduct research. Funding was provided under an NIJ initiative entitled: Locally Initiated Research Partnerships (LIRP) with funding under authority of the Public Safety Partnership and Community Policing Act (Title I), 1994 (the Crime Act).

Professionals in the BPD and the JHU Police Executive Leadership Program (PELP) recognize that the rank of sergeant, or first line supervisor, is a critical one in policing. Sergeants, having direct supervisory responsibility over police officers, become a significant quality control factor within a police agency. Sergeants can exhibit positive and constructive leadership characteristics resulting in productive and satisfied subordinates, or they can exhibit negative and destructive characteristics resulting in dissatisfied and non-productive personnel.

In discussions, police executives admit that the work group needing the greatest improvement is first line supervisors. Reasons range from lack of training and other preparation for the position to weak promotional processes. Other reasons include poorly defined roles, lack of support from management, and low expectations by executives.

In partnership discussions on the importance of first line supervisors, BPD and JHU professionals considered a range of research that would improve the understanding of police agencies of the sergeant dilemma. One issue continuously appeared as a logical starting point: what are the characteristics of exemplary sergeants that distinguish them from less effective peers? This information would be valuable in order to select candidates that would perform in a manner superior to others. An ability to select and train first line supervisors to a determined set of characteristics would allow police agencies to progress towards a sound personnel system, an important step towards uniform quality control. Questions attendant to the first one are: If distinguishable characteristics can be isolated, can these characteristics be measured using readily available tests? Do indicators of these characteristics exhibit themselves in normal personnel records of police officers?

Purpose

The purpose of this study was first, to identify the characteristics common to exemplary sergeants. The theoretical framework for identifying characteristics related to integrity, influence on others, influence on organizational culture, employee job satisfaction, problem solving skills and service to the community. A second purpose was to determine if exemplary sergeants could be distinguished from other first-line supervisors by using off-the-shelf instruments that aim to measure these exemplary characteristics, behaviors, and habits. Further, the research team set out to determine whether any of the personnel data regularly collected by a police agency would be consistent with measured characteristics and, therefore, useful in predicting and selecting quality first line supervisors.

1

This final technical report includes a literature search, a strategic methodology plan, research results, implications, and recommendations for further research.

2

II. LITERATURE REVIEW

Most police commanders and chiefs regard first line supervisors as the work group that needs significant improvement. Few police agencies believe that their sergeants are fulfilling their roles adequately. Reasons range from lack of training and other role preparation to weak promotional processes, poorly defined roles, and low expectations, monitoring, or rewards. Some of the reasons for inadequacy are profound. For example, Former Chief of Police, Elizabeth Watson[1], stated at a national conference that: "Supervisors, however, need to be taught what it means to make core values part of the department's operations and how to translate those values to apply them to judgments of subordinates' behavior."

The research areas for this study derived from a need to identify characteristics of exemplary sergeants for effective selection and preparation. This information is critical to assist police agencies to select and train first line supervisors to superior performance. The critical questions are:

> What are the common characteristics that an exemplary sergeant exhibits that distinguishes him or her from less effective peers?
>
> Can common characteristics be measured easily and effectively?
>
> Do these characteristics exhibit themselves in police personnel files?

As a result of discussions, the research team concluded that "characteristics" may include: leadership styles, psychological and cognitive behaviors, attitudes towards, and motivation to, work, and problem solving styles. (Problem solving styles may include moral reasoning.) Further, the source of characteristics of high performing sergeants may be personality type, family background, personal experience, and/or a personal knowledge base.

The research team also concluded that there was a need to distinguish between research conducted to identify the characteristics of high performing sergeants, and research designed to correlate competency levels with characteristics.

Management and Leadership Styles

The first challenge became that of identifying a set of characteristics that would be applicable to exemplary sergeants in the Baltimore Police Department. Leadership characteristics described in the literature are broad and generic, and do not necessarily apply to the rank of sergeant, or they are idiosyncratic to one department or another when derived from knowledge, skills and abilities (KSAs). KSAs tend to describe tasks to be performed, and in a mechanistic manner, and, therefore, may not be sufficiently discriminatory for the identification of exemplary sergeants. It is important to note that

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[1] Watson, Elizabeth *Police Integrity: Public Service with Honor;* S. Gaffigan and P.P. McDonald (eds.) Washington, D.C.: U.S. Department of Justice, 1997, page 29.

KSA assessments which attempt to verify a set of tasks that sergeants typically perform, are most often derived from surveys and focus groups rather than through observations and other documentation.

There is a plethora of publications which comment on, theorize, and describe the role of sergeants in a police department. Melnicoe and Mennig[2] emphasize that the police supervisor is an integral part of the management team within the department and, as such, must be vitally concerned with the accomplishment of basic police purposes within the policy framework of the organization. They establish that "too many supervisors think of themselves as peers in their relationship with subordinates and thus cannot perform effectively in their roles as supervisors," (page 17). They continue to describe the supervisor's role as follows:

"1. The police supervisor must make certain that all subordinate personnel have the requisite qualifications for the positions they occupy and are placed where they can best serve. Rules governing lines of authority must be enforced...
2. The supervisor must enforce the observance of rules and regulations, general and special orders, and departmental policies; this enforcement must be humane and rational.
3. The supervisor must constantly search for flaws in the structure of the department...The reasons for failures in any phase of the department's operation must be discovered and thoroughly analyzed.
4. The supervisor must see that all subordinates are striving to achieve departmental objectives.
5. The supervisor must also take responsibility for training, planning, counseling, and motivating subordinate personnel (page 3)."

The US Department of Labor Occupational Outlook Handbook[3] states that the primary task of the first-line supervisor "is to ensure that workers, equipment, and materials are used properly to maximize productivity. First-line supervisors organize workers' activities, make necessary adjustments to ensure that work continues uninterrupted, train new workers, and ensure the existence of a safe working environment. Because they serve as the main conduit between ...workers and management, supervisors have many interpersonal tasks related to their jobs. They inform workers about...plans and policies; recommend good performers for ...awards or promotions; and deal with poor performers by outlining expectations, counseling workers in proper methods, issue warnings or recommending disciplinary actions (page 281)."

When general role descriptions are converted to KSA's they may appear as follows:

A sergeant should have knowledge of:

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[2] Melnicoe, William B., and Mennig, Jan *Elements of Police Supervision, Second Edition;* Macmillian Publishing Co.-New York, 1978.
[3] US Department of Labor, Bureau of Labor Statistics *Occupational Outlook Handbook, 2000-01 Edition;* USGPO-Washington, D.C. 20001.

- ➢ Principles and practices of supervision and personnel administration
- ➢ United States and Arizona Constitutions, Federal, State, and City criminal and traffic laws and ordinances, and related court decisions
- ➢ General social problems and cultural diversity of citizens
- ➢ Modern police methods, practices and procedures
- ➢ The geography of the city
- ➢ City of Phoenix Personnel Rules/Policies…

A sergeant should have the <u>ability</u> to:

- ➢ Perform a broad range of supervisory responsibilities over others
- ➢ Communicate in the English language by phone, police radio system, or in person in group or one-to-one setting
- ➢ Evaluate a situation, make effective decisions under pressure, and take appropriate action
- ➢ Work cooperatively, courteously, but firmly with all segments of the public
- ➢ Recognize and control sources of personal stress in order to perform class requirements
- ➢ Maintain moral integrity[4]

While the City of Phoenix lists "maintaining moral integrity" as an ability, the International Association of Chiefs of Police (IACP) text on police supervision states that the police supervisor has "the responsibility of seeing to it that his officers behave in accordance with the principles of police ethics…[5] (page 15).

There are many theorists and organizational developers who have written well-known publications which attempt to pin point components of leadership. Among these are Warren Benis,[6] James McGregor Burns,[7] Peter Drucker,[8] Peter Senge,[9] and Stephen Covey.[10] Many of the characteristics described are familiar. For example, the Office of Personnel Management for the U.S. government listed the following as leadership competencies:

1. Leading Change, to include continual learning, creativity and innovation, external awareness, flexibility, resilience, service motivation, and strategic thinking.
2. Leading People, to include conflict management, cultural awareness, integrity/honesty, and team building.

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[4] City of Phoenix, Arizona *Police Sergeant Job Code 62220; Job Descriptions/Job Specs;* effective date 3/95.

[5] International Association of Chiefs of Police *Police Supervision: A Manual for Police Supervisors;* Alexandria, VA, 1985.

[6] Benis, Warren *On Becoming a Leader;* Addison-Wesley Publishing Co.-Reading, MA 1989.

[7] Burns, James McGregor *Leadership,* New York: Harper and Row, 1978.

[8] Drucker Peter *The Changing World of the Executive;* Times Books-New York, 1982.

[9] Senge, Peter, et al *The Fifth DisciplineFieldbook: Strategies and Tools for Building a Learning Organization;* Doubleday—New York, 1994.

[10] Covey, Stephen *The Seven Habits of Highly Effective People;* Simon and Schuster--New York, 1989.

3. <u>Results Driven,</u> to include accountability, customer service, decisiveness, entrepreneurship, problem solving, and technical credibility.
4. <u>Business Acumen,</u> to include financial management, human resources management, and technology management.
5. <u>Building Coalitions/Communications,</u> to include influencing/negotiating, interpersonal skills, oral communication, partnering, political savvy, written and communication.[11]

Benis[12] approaches the description of leadership in a proactive way. His descriptors are, in essence, commands and are follows:

1. Create constancy of purpose
2. Improve constantly and forever the system of production and service
3. Drive out fear
4. Institute leadership
5. Eliminate numerical quotas
6. Eliminate slogans, exhortations, and targets for the workforce
7. Remove barriers to pride of workmanship
8. Institute a vigorous program of education and retraining
9. Break down barriers between staff areas.

While Covey, similarly, exhorts managers to: 1) be proactive; 2) begin with the end in mind; 3) put first things first; 4) think win/win; 5) seek first to understand, and then to be understood; 6) synergize; and, 7) sharpen the saw. Kouzes and Posner[13] advise leaders to: search for opportunities, confront and change the status quo; experiment and take risks; learn from mistakes and success; envision the future, imagine ideal scenarios; enlist others, attract people to common purposes; foster collaboration, get people to work together; strengthen others, share power and information; set the example, lead by doing; plan small wins, build commitment to action; recognize contributions, link rewards with performance; celebrate accomplishments, value the victories.

Leadership attributes of sergeants are not terribly different from those specified for managers. For example, The IACP police supervision text lists the following leadership qualities for sergeants:

Bearing	Initiative
Courage (physical and moral)	Integrity
Decisiveness	Judgment
Dependability	Justice
Endurance	Knowledge
Enthusiasm	Loyalty

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[11] Senior Executive Service, U.S. Office of Personnel Management *Handbook Guide: Appendix A- Leadership Competency Definitions,* at web site www.opm.gov/ses/define.html.

[12] Benis, Warren *The Deming Management Method;* Putnam Publishing: New York, 1986.

[13] Kouzes, James M, & Posner, Barry Z., *The Leadership Challenge: How to Get Extraordinary Things Done in Organizations;* Jossey-Bass—San Francisco, 1989.

Melnicoe and Mennig[15] focus on the following for police supervisors:

> Win respect by: finish what is started, know what is going on, avoid unnecessary activity, expect good work and conduct, acknowledge good work with praise, be consistent, be patient and calm—practice self control, give credit for ideas, take personal responsibility for errors, be competent....make prompt decisions, exhibit personal integrity, maintain good personal appearance and physical condition.

> Win confidence by: insist on honesty, keep subordinates informed, avoid criticism of superiors, keep promises, support the valid interests of subordinates, get things done for subordinates on time, help subordinates to do their jobs, list to subordinates complaints, appear confident, respect confidence of subordinates.

> Win loyalty by: be pleasant, be available, be sympathetic, recognize subordinates as individuals, be concerned with the health of your subordinates, maintain standards of safety, responsibility for accidents...(pages 72-88).

In 1990, Sparrow, Moore, and Kennedy[16] described police supervisors (pre-community policing) as "...expected, quite universally and quite unreasonably, to exercise absolute control over their police officers, according to the theory that close supervision is always effective, provided it is close enough (page 56). Later, in the same publication (page 214) in describing changes which must occur for successful community policing, the authors state: "...mid-level managers must have a new role in defining work: to encourage their officers to harder, broader problems and empower them by letting them know that the organization values their knowledge and experience. They must identify deficiencies in capacity that their officers need help with, and form the necessary partnerships to help solve problems. And they must change individual recognition of a solution into organizational acknowledgment and appreciation and education. In short, it falls to mid-level managers to harness their officers' creative abilities and from them fashion organizational adaptiveness."

While characteristics of exemplary performers are often theorized, research which correlates characteristics with performance levels is rare. Most often research studies correlate specific characteristics with types of resulting behavior, but do not distinguish among levels of performance (See Rothberg, [17] Argyris[18]) Other leadership research

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[14] International Association of Chiefs of Police *Police Supervision: A Manual for Police Supervisors;* Alexandria,
VA, Page 21, 1985.
[15] Melnicoe, William B. & Mennig, Jan *Elements of Police Supervision: Second Edition;* New York: Macmillian Publishing, pages 72-88, 1978.
[16] Sparrow, Malcolm; Moore, Mark; and Kennedy, David *Beyond 911;* Basic Books-US, 1990.
[17] Rothberg, David *Insecurity and Success in Organizational Life;* New York: Praeger, 1981.
[18] Argyris, C. *Personality and Organization: The Conflict Between System and the Individual;* New York: Harper & Row, 1959.

begins with a particular characteristic and matches magnitude of the quality with managerial behavior (See Etzioni[19] and Katz and Kahn[20]).

Measuring Leadership Characteristics

Research on measuring leadership characteristics has evolved and developed significantly over the past 30 years. Measurement approaches and scales relate to prevailing theory. In the late 40s - 60s leadership, it was theorized, depended upon the personality traits of the "leader." Leadership assessment focused on personality traits. In the 70s and 80s, the theory was that an individual would be a leader or not depending upon the circumstances. Thus, attempts were made to identify, isolate, and measure specific characteristics of a situation that affected leaders' performance. Other research efforts to identify leadership qualities focused on the interrelationship between and among personality characteristics, leaders' behaviors, and situational variables. This contingency model approach was expanded in the late 80s to include the notion that dealing with a single leader was too simplistic. These theorists contended that "leadership is not found in one individual's traits or skills but is a characteristic of the entire organization, in which 'leader roles overlapped, complemented each other, and shifted from time-to-time and from person to person.' Related to contingency models was the concept of "transformational leadership" which theorized that 'leaders and followers raise one another to higher levels of morality and motivation.' This thinking lead to a re-focus on personality characteristics and individual behaviors as far as they impacted the success of the organization. Ultimately, the focus became one of studying the qualities of those managers/leaders who could create change in organizations.[21]

Popular measures of leadership style followed theory and examples are described below.

1.   Management Practices Survey-this instrument was developed by Gary Yukl and colleagues at the State University of New York at Albany, Business school. This instrument measures behaviors of leaders essential for success.[22]

2.   Leadership Practices Inventory (LPI)-this instrument was developed by Barry Posner and colleagues at the Leavey School of Business Administration of Santa Clara University. It attempts to shift the behavioral science focus away from psychological leadership characteristics to "what it is that people (managers, leaders, administrators, salespeople, politicians, etc.) do when they are leading.[23]

3.   Campbell Skills Survey (CSS)-this instrument was developed by David P. Campbell, Center for Creative Leadership, North Carolina State. It measures an

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[19] Etzioni, A *A Comparative Analysis of Complex Organizations;* New York: Free Press, 1975.
[20] Katz, D. and Kahn, R *The Social-Psychology of Organizations;* New York: Wiley, 1966.
[21] Southwest Educational Development Laboratory *History of Leadership Research;* at website:www.sedl.org/change/leadership history.html, 2000.
[22] Yukl, G. A. *Leadership in Organizations (3rd Edition);* Prentice-Hall: Englewood Cliffs, NJ, 1994
[23] Posner, B.Z. & Kouzes J.M *The Leadership Challenge: How to get extraordinary things done in organizations;* San Francisco: Jossey-Bass, 1987.

individual's orientation toward work, with particular emphasis on leadership and creativity.[24]

4. Leadership Behavior Questionnaire (LBQ)-this instrument was developed by Marshall Sashkin, Office of Educational Research and Improvement, U.S. Department of Education. It is based on the work of Warren Benis and assesses especially visionary leadership.[25]

5. Leadership Report (LR)-this instrument was developed by W. Warner Burke at Columbia University Teacher's College. It is based on the notion that the way power is used to empower followers is a key factor that distinguishes transformational from transactional leaders.[26]

Psychological Characteristics

The study team theorized further that exemplary sergeants are a product of work habits derived from role models or experience and may be categorized according to psychological characteristics. Subordinates and managers can become highly aware of those psychological characteristics as they typically come into play in relationships with subordinates and managers.

There is a battery of well-known and familiar measures of psychological characteristics that are often used to assess leadership styles or potential. Perhaps the most popular is the Myers-Briggs assessment of psychological types, based on Jungian personality theory. This test was developed by Isabel Briggs Myers and Kathryn Cook Briggs in the 60s. The Minnesota Multiphasic Personality Test assesses personality characteristics by examining 567 items. It was developed at the University of Minnesota in 1940 and is used most consistently by clinical psychologists. The Hermann Brain Dominance test was developed in 1976 by Ned Hermann. This test, while not as popular, measured learning and thinking approaches as determined by right and left brain hemispheres. In 1975, Cattell[27] published a self-report questionnaire that provides detailed information on 16 primary personality traits. It is considered a reliable predictor of normal personality and helps project an individual's fitness for a variety of occupations.

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[24] Campbell, D.P. *"The Campbell Work Orientation Surveys: Their use to capture the characteristics of leaders," Measures of Leadership;* West Orange, N.J.: Leadership Library of America, pages 249-274, 1990.

[25] Sashkin, M. *The Leader Behavior Questionnaire;* King of Prussia, PA: Organizational Design and Development, 1984.

[26] Burke, W.W. *Leadership Report (rev.ed);* Pelham, NY: W.Warner Burke Associates, 1988.

[27] Cattell, Raymond B., Dreger, Ralph Mason *Handbook of Modern Personality Theory;* Washington, D.C.: Hemisphere, 1977.

Moral Reasoning

Patterns of moral reasoning are equally important in determining supervisory behavior. Moral reasoning may be a learned response or one developed by the individual through his/her own thought process.

Perhaps the most challenging part of this research project was devising a measure of moral reasoning or integrity. Most psychologists recognize that there are few, if any, tests that measure levels of integrity in individuals. Klockars[28] developed a test to measure the culture of police integrity, e.g., "the normative inclination of police officers to resist the temptations to abuse the rights and privileges of their office." However, the Klockars test is designed to examine whole agencies rather than individual officers. The test has not been processed to establish reliability either by test-retest or split half method. Nor has it been processed to establish empirical or construct validity. Klockars has begun a standardization process by administering this test to over 30 police agencies for a comparison of results. Unfortunately, the measurement does not provide any reasonable information about an individual officer's integrity level.

However, there are models that provide a structure for assessment of moral reasoning as it operates within the individual. The most widely known model is that of Lawrence Kohlberg, Harvard University.

Kohlberg[29] (page 59) believed that individuals progressed through stages of moral development. He conducted research in over 200 cultures and generally believed that his hypothesis was correct. Based on the work of Jean Piaget, Kohlberg identified three general stages of development and each stage could be further divided into two levels. Stages of development progress from Preconventional - the punishment/obedience level of response to moral decisions; Conventional – the interpersonal concordance and law and order orientations; Post-Conventional – the social contract orientation and universal ethical principals.

Kohlberg's theory of moral development was seriously disputed by his student, Carol Gilligan (Pollox, page 63). She criticized Kohlberg's research since he used only male subjects in his research efforts. Gilligan hypothesized that men and women differed on their development and approach to morality. Women, according to Gilligan, have a 'care' perspective as compared to the male 'law and order' perspective.

A third theory of morality is that of learning theorists (Pollox, page 65). Learning theorists hypothesize that individuals acquire their moral reasoning skills on the basis of modeling. Values and moral beliefs derive from the role model chosen by an individual. Reinforcement and cognitive dissonance explain changes in moral reasoning that may occur as individuals mature.

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[28] Klockars, Carl et al "The Measurement of Police Integrity, *Research in Brief;* Washington, D.C.: National Institute of Justice, USDOJ, 2000.

[29] Pollock, Joycelyn M. *Ethics in Crime and Justice: Dilemmas and Decisions;* Belmont, CA: Wadsworth, 1998.

Vicchio[30] states that a person of integrity's words and actions "should reflect a set of core virtues to which one is freely and genuinely committed." (page 21). Vicchio outlines a list of core virtues that includes: practical wisdom, trust, effacement of self-interests, courage, intellectual honesty, justice, and responsibility (pages 22-23).

Tacit or Practical Knowledge

Sternberg[31] explains that predictors of success in school may not be predictive of success out of school and describes the kind of knowledge that leads to success as "tacit knowledge" as opposed to I.Q. tests. Sternberg describes instruments that measure tacit knowledge as consisting of a set of work-related situations which poses a problem for the subject to solve. Sternberg's research in this area illustrated the value of tacit knowledge, compared with years of experience and background, and found tacit knowledge to be a significant variable, for predicting success independent of background and demographic variables.

Identifying Exemplary Sergeants

It was important for the research team to establish a means to distinguish exemplary sergeants from less effective peers in the Baltimore Police Department. One potential distinguishing measure are performance evaluations. However, many performance evaluations are based on attributes such as endurance, personal appearance, dignity of demeanor, initiative, judgment, leadership, and do not lend themselves to documented behavior. In law enforcement, performance evaluations tend to be highly subjective, and fail to differentiate between employees since almost everyone receives a "satisfactory" rating.[32] This is particular true when the performance evaluation system is tied to salary increases.

An alternative approach is that of peer nomination. The concept of peer nomination evolved from the sociometric work of J.L. Moreno in the 30s. In a study of the validity of peer evaluations, Schwarzwold et al[33], hypothesized that peer ratings were often more accurate than those of supervisors due to the greater number of interactions between and among peers which allowed finer distinctions to be made among evaluation criteria. Managers tend to score everyone high or mediocre to ease the performance evaluation process, whereas peers rating anonymously face no such discomfort. Schwarzwold found that peer nomination provided superior predictions as they correlated higher with the

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[30] Vicchio, Stephen "Ethics and Police Integrity," *Police Integrity: Public Service with Honor;* S.J. Gaffigan and P.P. McDonald (eds.) US Department of Justice: Washington, D.C. 1997.

[31] Sternberg, Robert, et al "Testing Common Sense," *American Psychologist;* American Psychological Association, November 1995, vol. 50, No. 11, pages 912-957.

[32] Bowman, James S. "Performance Appraisal: Verisimilitude Trumps Veracity," *Public Personnel Management;* International Personnel Management Association, 1999, page 557.

[33] Schwarzold, Joseph et al "Peer Ratings versus Peer Nomination during Training as Predictors of Actual Performance Criteria," *Journal of Applied Behavioral Science;* NTL, Vol 35, No. 3, 9/99, pages 360-372.

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criteria and accounted for additional variance beyond that explained by the rating method.

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III.   METHODOLOGY

This methodology section includes a review of the study framework, a list of research questions to guide the study, and a complete description of the data collection techniques employed.   The research would be conducted by a team of researchers from the participating agencies (See page ii, above) and oversight would be provided by an Advisory Board (See Appendix A).

Study Framework

The framework guiding this research will consist of a model for developing characteristics to be measured, a method to classify sergeants into exemplary and less than exemplary categories, a set of measures, and a system to review extant police personnel data.

The model to pursue a set of characteristics began with a general need to identify basic and measurable characteristics of exemplary or high performing first line supervisors. General characteristics may include psychological and cognitive characteristics, motivation levels to work, attitudes towards work, and problem solving patterns. Some explanation of characteristics would be sought by exploring common themes of family make-up, child rearing experiences, education levels, and other significant personal experiences.

Research Questions

The research team examined the original three questions and expanded them as follows:

1. What are the characteristics of exemplary sergeants which distinguish them from their less effective peers?

➢ What are the personality and cognitive characteristics which distinguish exemplary sergeants from less effective peers in the Baltimore Police Department?

➢ What life experiences or biographical characteristics influenced the supervisory style of the exemplary sergeant?

2. Are the characteristics easily measured and how?

3. Is there extant police personnel data that would correlate with measurable characteristics?

➢ What predictors of exemplary first line supervisory performance are present in traditional police personnel records?

Study Design and Data Collection Techniques

The research questions dictated data collection areas and produced the following categories:

1. A system to identify exemplary sergeants including a system to develop a list of characteristics typical of high performers.

2. A system to examine both exemplary and control sergeants to determine if formal testing could distinguish the exemplary sergeants from the control group sergeants in double blind study.

3. A review of police personnel records to determine if records contained data elements which would predict exemplary first line supervisors.

A. System to Identify Characteristics of Exemplary Sergeants

The first phase of the study required that a list of characteristics of exemplary first line supervisors be developed. While many extant lists are available in the literature, the study team wanted to develop an idiosyncratic list to ensure compatibility with local language and reflect local culture. The data collection plan to accomplish this phase would begin with focus groups of four to five participants each. Focus group participants would be drawn from the population of police officers within the geographic region, police officers from the BPD, police command staff from the BPD and citizens. (The BPD had a strong commitment to community policing and, therefore, believed that since there was an increased number of police community contacts as a course of business, the community should be able to distinguish good sergeants from average or poor sergeants and should be included in the processs to identify characteristics as well as to identify the exemplary sergeants.)

Once a list of identifiable characteristics were formulated, a behaviorally-anchored scale of these qualities would be developed to facilitate the work of those who would nominate the exemplary sergeants as follows:

1. Creation of Behaviorally Anchored Rating Scales (BARS): Since the characteristics to be developed, will not have been anchored in objective indicators, steps to construct the behaviorally anchored scale will be:

   a. Fourteen to twenty one Subject Matter Experts (SMEs) will be identified from the Baltimore Police Departments. These individuals will be both subordinates and supervisors of first-line supervisors as well as sergeants themselves.
   b. Two researchers will facilitate meetings at which panelists will review and evaluate the criterion dimensions; SMEs will be trained to write critical incidents. (A critical incident includes a description of an event with all circumstances delineated, including sergeant's behavior in handling the situation.)

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c. SMEs will generate critical incident statements that will form anchor points for each criterion dimension.

d. SMEs will then rate each example of a sergeant's performance in the critical indicdents on a seven point scale.

e. The critical incidents illustrating particular points on the BARS will be selected based on high agreement among the experts on the numerical rating of that particular solution to the situation.

B. A System to Nominate Exemplary Sergeants

Nominations would be obtained in a systematized manner from several groups of officers and commanders from the BPD, and groups of community members. A member of the study team and a captain from the BPD would solicit nominees by attending weekly in-service training sessions required of all officers in the ranks of sergeants and lieutenants. Nominations from the officer rank would be solicited by attending firearms qualifications sessions as well as nominations from the ranks of major and colonel. Thus, nominations would be solicited from all ranks of the police department. At each session a packet would be distributed which included (see Appendix B) an introduction to the process and an informed consent statement. A list of the characteristics would be distributed for reference. Participants would be asked to think of police sergeants they had known since 1985 and to name the sergeant who most closely met the criteria. After selecting first choice, participants would select a second best sergeants with an explanation of what characteristics placed the second place sergeant second in ranking. Participants would be asked to supply demographic data about themselves. Community nominations would be obtained by soliciting the names of sergeants from class members in a Neighborhood Leadership Development Institute in the City of Baltimore.

C. Formal Tests to Measure Characteristics of Sergeants

A series of test instruments would be selected and administered to sergeants in both the exemplary and control groups. The instruments would be selected which related to the characteristics of exemplary sergeants identified through the focus groups. A double blind technique would be employed to test all sergeants (exemplary and controls) to determine if the formal testing classified the same sergeants as exemplary as did the focus groups.

Two criteria measures for selecting instruments were used: 1. The instrument had to be relatively easy to administer and to score; and, 2. No instrument was acceptable if it required a licensed psychologist to administer and/or interpret. Areas deemed important for testing included psychological motives for work; family structure and background; leadership qualities; the locally developed criteria scale; and moral reasoning.

Instruments that would provide measures of personality and other characteristics are described below.

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> Genogram: The study team hypothesized that exemplary sergeants may be distinguished from controls by family background, structure, and stability. A genogram is a diagram of the interviewee's family, starting with the family of origin. The objective of a genogram is to explore family background variables that might surface developmental risks or advantages, as well as values that may contribute to a positive work orientation. On the genogram, circles represent female family members and squares represent males. Marriages, births, deaths, and divorces are catalogued using connecting or broken lines to link family members. As the participant identifies a family member, the interviewer asks questions about the characteristics of that person, the participant's feeling about the individual, the nature of the relationship, and the influence that family member had on the participant (McGoldrick & Gerson, 1985). Important non-family figures are also identified and included. Participants are encouraged to discuss their reactions to important life-events. Occupational information and attitudes about work were of particular focus in this interview. The genogram is a recognized tool for eliciting information about family, occupational history, and work values and has been used in career counseling as well (Okiishi, 1987; Moon, Coleman, McCollum, Nelson, & Jenson-Scott 1993).

> Motivation Questionnaire: Because focus group participants consistently described exemplary sergeants as having strong work orientation and motivation, a questionnaire designed to assess three basic work motivations, e.g., achievement, affiliation, power, was included (Mehrabian 1970; McClelland 1975; McClelland 1985). The measure consists of a series of statements with which subjects agree or disagree using a five-point scale with 5 indicating strong agreement, and 1 indicating strong disagreement. (See Appendix C). Achievement items on the questionnaire tap the internal need to excel or to find ways to be more efficient without being motivated by external recognition or reward. Affiliation items focus on the need for relationships and social support, and Power items assess the need to have influence, control, or impact on others. A subset of the Power items forms a scale that measures Helping Power, or the need to have influence in order to help others (Schmidt & Frieze[34]). Because the position of police officer involves both power over and orientation to helping others, researchers wanted to explore the scores on the Helping Power scale.

> Moral Reasoning Questionnaire: Focus group participants consistently identified strong moral and ethical principles as a hallmark of the exemplary sergeant. The questionnaire selected to assess moral reasoning had three sections: responses to moral dilemmas; identification of moral exemplars, and a description of the participant's ethical/moral education. Two moral dilemmas were chosen. One was Lawrence Kohlberg's (1971) classic and well-validated Heinz dilemma, a scenario that pits the right to property against the right to life. The second was one of three dilemmas that a sergeant might actually encounter in the course of daily police work. The three latter scenarios were constructed from actual incidents reported to the study team during the initial focus groups. Details were changed to protect the

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[34] Schmidt & Frieze, I. "A Mediational Model of Power, Affiliation, and Achievement Motives and Product Involvement," *Journal of Business and Psychology;* Vol. 11, pages 425-466.

confidentiality of the officers and departments involved. All scenarios pitted two moral "goods" against each other, e.g., compassion for an individual vs. adherence to rules. For each dilemma, the measure included a list of factors that an individual might consider when resolving the moral dilemma. Participants would be asked to indicate on a scale of 1 to 5, to what extent each factor influenced their decision. Two additional questions were included. Participants would be asked to identify three individuals whom they viewed as moral exemplars and to explain why each had been selected. Finally, participants were asked if they had received any formal religious or ethical training as a child and if they believed that training to be important to the way they currently go about solving moral problems. (A copy of the moral reasoning form and the four dilemmas appear in Appendix D).

➢ Criteria Scale: The characteristics to be identified by the local focus groups would be used subsequently to develop a Criteria Scale for self-rating by the subjects and controls. Each characteristic would be developed along a seven point scale with behavioral anchors describing the extremes and the mid-point of each item. Descriptive behaviors would be drawn from focus group transcripts to ensure authenticity. The instrument was designed to enable subjects and controls to place themselves on the scale at the point which most closely described their performance as supervisors. (See Appendix E)

➢ Rater Identification Form: After completing the Criteria Scale and the LPI, participants would be given a form on which they would be asked to identify one supervisor and one subordinate who would know them well enough to rate their performance as sergeants by using both instruments. The confidentiality procedures that would protect the identify of the rater and the participant would be explained on the form. (Copy of form appears in Appendix F).

➢ Leadership Practices Inventory (LPI): This measure was selected to determine if a standardized leadership inventory that was not specific to law enforcement could be used to identify outstanding police supervisors. The LPI is a self-report measure based on a transformational leadership model. It assesses the frequency with which respondents engage in leadership behaviors and is grouped into five scales:

Challenging the Process: Seeks, challenges, experiments and takes risks; challenges the status quo, keeps up-to-date, learns from each situation.

Inspiring a Shared Vision: Enlists a common vision, communicates positive outlook, describes the future that can be created, forecasts the future, and is excited about the future.

Enabling Others to Act: Involves others in planning, treats people with respect, allows others to make decisions, develops a cooperative relationship, creates an atmosphere of trust and ownership of job.

Modeling the Way: Has clear leadership philosophy, breaks projects into steps, ensures values are followed, communicates values, practices what is believed, sets clear goals.

Encouraging the Heart: Celebrates milestones, recognizes contributions, gives praise, supports team, tells other about groups' work.

Answers are based on a 10-point scale indicating how frequently each target behavior occurs. The LPI has been used successfully in a variety of occupational settings (e.g., school administrators, college presidents, managers in business and industry, athletic coaches, community development directors, community college leaders) to assess leadership effectiveness (Posner & Kouzes 1992), (See Appendix G).

➤ 16 Personality Factor Questionnaire (16PF): The 16PF was selected for this study to explore possible personality differences between exemplary sergeants and controls. It is a widely used and well validated personality measure originally developed by Raymond Cattel to describe behavior differences in *normal* adults. The 5th edition was released in 1994. The measure consists of 16 primary factors and 5 global factors derived from weighted combinations of the primary factors. The pattern of scores on the 16 PF has been successfully used to discriminate successful performers from those in the general population in many occupational groups, e.g., researchers and teachers.

D. Personal Interviews

Personal interviews would be conducted of all subjects using a double blind strategy. Sergeants participating in the study would be interviewed to determine whether or not exemplary sergeants could be distinguished from less effective peers on the basis of data communicated during an interview. Researchers conducting the interviews were unaware as to which category, e.g., nominee or control, sergeants were classified. Interviews would take place away from their assigned post in order to facilitate frank and open communication (See Appendix H).

E. Examination of Police Personnel Records

Once characteristics were identified, police personnel records that may have the potential to reveal similar characteristics would be indicated by police professionals. Human Resources Department employees, BPD, would be hired and supervised to collect the data (See Appendix I).

Review of Performance Ratings: A series of performance ratings would be extracted from personnel records and compared for three time periods:

1. the Mean of all probationary ratings
2. the last year as an officer prior to promotion to sergeant

3. the last year as a sergeant, i.e., the most current year or the most recent year before promotion to lieutenant.

<u>Medical/Leave Records:</u> Medical records and leave records would be extracted and compared.

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IV. RESEARCH RESULTS AND FINDINGS

Prior to the start of data collection, the study team made the decision to select an Advisory Group to serve as overseers to the research. The Advisory Group consisted of ten executives and supervisors from eight local, state, and federal law enforcement agencies in the Baltimore-Washington Metropolitan region and professional staff from the Johns Hopkins University. The research team included a philosopher/ethicist, a professor of psychology, a sociologist employed by the BPD, a retired sergeant, a BPD captain, and a psychologist working for the Department of Defense. The principle investigator was the director of the Police Executive Leadership Program of the Johns Hopkins University School of Business, Dr. Sheldon F. Greenberg.

A. Results of System to Identify Exemplary Sergeants and Control Group and To Develop Characteristics

Developing the characteristics: Nine focus groups of police officers from eleven jurisdictions in Maryland and the District of Columbia were conducted. Four of the groups were line officers from the BPD; one consisted of administrators from the BPD; the remaining four focus groups were comprised of operations and administrative personnel from large departments in the Baltimore/Washington region. Two researchers conducted each focus group, one acting as interviewer and the second as recorder. Each group contained four to five officers.

The purpose of the focus groups was to develop a list of leadership characteristics that would distinguish exemplary sergeants from others. To accomplish this task the focus group members were asked a series of questions regarding characteristics, behaviors, and habits of exemplary first-line supervisors. Participants were asked to illustrate these characteristics by providing stories. Initially 42 characteristics were identified. Subsequently, the 42 characteristics were clustered into ten categories as follows:

> ➢ Character and integrity
> ➢ Knowledge of the job
> ➢ Management skills
> ➢ Communication skills
> ➢ Interpersonal skills
> ➢ Ability to develop entry level officers
> ➢ Problem-solving and critical thinking skills
> ➢ Effectiveness as a disciplinarian
> ➢ Effectiveness as a role-model
> ➢ Ability to be proactive. (See Appendix J)

The list of characteristics was reviewed by the focus groups and the Advisory Group to determine if the list accurately reflected original input.

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The ten characteristics were then used to construct a behaviorally anchored scale to assign sergeants to the exemplary group or the control group. Examples of all characteristics were developed for the questionnaire.

Process to nominate sergeants: The study team began this process by constructing a form to be used by nominators. A written Informed Consent form and an Introduction to the Study description were prepared. A pilot study was conducted to determine if the order of presentation of the characteristics influenced nominations. The resulting data demonstrated that randomization mattered. Ten forms of the questionnaire, with the ten characteristics rotated, were subsequently created. (See Appendix I) The pilot study also indicated that it would take participants approximately twenty minutes to read the instructions and complete the questionnaire. The research team reviewed all forms and General Counsel to the BPD reviewed and approved the Consent Form and the Introduction to the Study Form.

B. Results of the Nomination Process

Conducting the nominating process: The study team, with consultation of its Advisory Group, decided to distribute the questionnaire at mandatory in-service training sessions in the BPD to ensure a broad representation of police personnel in the nomination process. Study team members would read the Introduction to the Study and the Informed Consent Form asking the respondents to read along with them. During a three month period a member of the study team and a BPD captain attended weekly in-service training sessions required of all officers at the rank of sergeant and lieutenant. The team also administered the questionnaire at the firing range where all officers of the rank of major and colonel were asked to participate in the nomination process. In total, 787 officers, representing ranks of patrol officer to colonel, were canvassed. Each participating officer was provided with a list of characteristics, the Consent Form and the Introduction to the Study form. After listening to the reading of the Consent Form and the Introduction to the Study form, participants were directed to rank the characteristics from one to five, in order of importance. (The list of characteristics were randomized ten times and each group of participants received all ten formats.) Participants were directed to think of police sergeants they had known since 1985 either as their direct supervisory, or in some other professional context. (1985 was selected as a cut-off date since that year represented the inauguration of community policing in the BPD, and secondly, prior to 1985 there were few women or minorities serving in the capacity of sergeant in the BPD. And finally, those serving as sergeants prior to 1985 would surely be retired and possibly no longer in the geographic area.) Participants were permitted to list sergeants not now on active duty. Using the criteria list, participants were asked to name the sergeant who most closely met the criteria. After selecting their first choice, participants were instructed to name the second best sergeant they have known and explain what characteristics of the second sergeant kept him or her from being selected as the first choice. Participants completed a demographic form (See Appendix L). The form included space for participants to note any characteristics that they considered important and that were missing from the list.

Citizen nominators: The Citizens Planning and Housing Association (CPHA) of the

City of Baltimore was deemed the most appropriate community organization from which to draw a focus group to nominate sergeants. CPHA is a non-profit membership organization committed to community organizing and citizen action to develop the best possible quality of life for residents of Baltimore, MD. Taking direction from its membership, CPHA works to achieve quality housing, thriving neighborhoods, accountable quality schools, responsible and responsive community planning, and fully informed citizen participation. CPHA, in conjunction the Mid-Atlantic Regional Community Policing Institute (MARCPI) and the Johns Hopkins University Police Executive Leadership Program (PELP) supports the Neighborhood Leadership Development Initiative (NDLI) which works to expand skills and knowledge required to develop community leadership. Each participant to the NDLI represents a neighborhood or community association and attends a year-long, intense series of programs along with 24 other neighborhood leaders. The 25 members of the current class were asked to participate in nominating exemplary sergeants. It was assumed that since this group of neighborhood leaders worked closely with police that they would know their local sergeant. Unfortunately, this group could not identify sergeants assigned to their areas. As a result, citizen input was not included in the final list of nominations.

Selecting the sample: The nominations for exemplary sergeant were collected from all groups. Hundreds of sergeants had received at least one nomination. However, the minimum number of nominations to be considered an exemplary nominee was three for first place and two for second place. Forty-seven first-line supervisors met the nomination criteria for exemplary. Of the 47 nominees, 41 were currently employed by the BPD and six were retired. Subsequently, the 47 nominees were matched with 47 controls, using the criteria of gender, rank, race, age, and years of service, and whether or not they were active or retired. A total of 485 received at least one second-place nomination. Thus, it was not possible to match nominees with an equal number of those with no votes for first or second place. Any sergeants who received fewer than five nominations were maintained as potential members of the control group. This situation made the analytic task more difficult as the study became one of discriminating between excellent sergeants and those who were average or above-average rather than those who were not nominated at all, and may, therefore, have been below average. Ninety four supervisors were contacted to schedule a meeting in order to determine whether or not each was willing to participate in the study (See Appendix M).

Final sample composition: Fifty five appeared for a scheduled initial meeting. None of the potential participants who made and kept this initial meeting refused to participate. Many potential participants, however, did not respond to the original phone calls, or failed to keep appointments they had scheduled. Each of the 94 potential participants was called at least twice, with 58% responding eventually. Of those who responded about 70% kept the initial appointment. Thus, the final sample consisted of 55 participants. Only 14 precisely matched Nominees and Controls volunteered for the study. The Nominees and Controls in the final sample, nevertheless, were well-matched, as seen in Table 1. The sample is 10.9% African American and 3.6% female and does not correspond to the percentages of each group actually in the BPD but does reflect the distribution. The BPD, despite efforts at recruiting a more diverse work force, remains

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70% white and male. The number of women and minorities in the department is relatively low compared to the general population of the city. Also, women have been sergeants for only a relatively short time in this department and the nomination process favored those who have been on the job longer. In fact, the mean years of service for the Nominees was 23.88 and for the Controls 24.17, and thus the pool of women and African-Americans for this study is small. (See Appendix N for Informed Consent Form-Subjects)

Table 1. **Description of final sample of Nominees and Controls on characteristics used to create matched sample pool of participants from officers of the Baltimore Police Department.**

Characteristic	Nominees	Controls	Totals
Rank			
Sergeant	21	22	43
Lieutenant	2	5	7
Major	3	2	5
Gender			
Male	25	28	53
Female	1	1	2
Race			
Caucasian	22	27	49
African-American	4	2	6
Mean Years of Service	23.88	2 4.17	
Current status			
Active	24	26	50
Retired	2	3	5

Demographic description of subjects: Table 2 offers demographic variables coded from the personnel files. These variables were assessed using Chi square tests for frequency variables and independent t tests for differences between means. None of these variables significantly discriminated between Nominees and Controls. The two groups did not differ in age, education, relationship status, number of children, or military service.

The sample as a whole was largely married, with a college degree or some college courses. Mean age of members of nominees was 47.69 and of controls 48.54.

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Table 2: Demographic variables from Police Department Personnel Files for Nominees and Controls

Variable	Nominees	Controls	Totals
	Frequency		
Relationship status			
Married	20	22	42
Divorced	4	6	10
Separated	1	1	2
Single	1	0	1
Military Service	8	11	19
Education			
Some high school	0	1	1
High school graduate	3	3	6
Some college courses	9	9	18
College graduate	14	12	26
Some graduate courses	1	0	1
Master's degree or above	2	6	8
Age			
Mean	47.69	48.54	
SD	(8.15)	(6.52)	
Number of Children			
Mean	1.69	1.59	
SD	(1.41)	(1.02)	

C. Results of Formal Measures

1. Genogram

One goal of this study was to look for prior experiences that might have influenced character and managerial or supervisory style. The information elicited from each participant in response to questions about his/her childhood household, extended family, relatives' occupation and work orientation, and important childhood influences were coded as positive and negative developmental risk factors. Each participant was asked about his or her feelings about these important childhood events and figures as he or she described them. Not all individuals discussed each factor. Only those qualities or individuals that the participant explicitly identified as positive or negative were coded for this analysis. The frequency of each coded variable for Nominees and Controls are listed in Table 3. No individual background variables discriminated between the Nominees and Controls.

Because attitude toward work (work ethic) was important to this study, each participant was asked specifically to indicate what he/she learned from family about work. Of the 54

interviewees, (Geneogram not completed on one respondent), 70% mentioned the strong work ethic of one or both parents.

After all variables had been coded, a summary score of the total number of positive and negative influences for each participant was constructed. Strong work ethic and strong religious influence in the family were included as positive influences for success as participants tended to the importance of these factors in their lives as children. Table 3 includes the means for these variables. For both groups, positive factors were more frequent than negative ones. There was a great deal of variability in these data because of the wide latitude participants had to respond to the genogram probes. In spite of this limitation, there was a trend for Nominees to have fewer positive factors in their background than Controls [$t(52)=1.98$, $p=.053$). While not statistically significant, there is a tendency for Controls to have more positive developmental factors in their backgrounds. Given the open-ended nature of the questions that elicited these data, the findings are provocative, but not strong enough to differentiate one individual from another.

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Table 3 Family background variables for Nominees and Controls Coded From Genogram Data

Variable		Nominees	Controls	Totals
			Frequency	
Family structure				
	Intact	16	23	39
	Divorce	5	3	8
	Death	5	1	6
Strong father		8	13	21
Strong mother		13	12	25
Father				
	Loving	4	6	10
	Distant/abusive	7	9	16
Mother	Loving	9	9	18
	Distant/abusive	2	1	3
Close to Parent				
	Mother	5	2	7
	Father	6	3	9
Additional Positive Figure		11	21	32
Positive Extended Family		11	10	21
Strong Religious Influence		3	12	15
Strong Work Ethic		18	20	38
Negative Parental Influence (drinking, desertion, illness)		6	5	11
			Means	
Total number of Positive Influences		3.5	4.64	
Total number of Negative Influences		0.96	0.71	

2. Leadership Practices Inventory (LPI)

The LPI is a self-report measure based on a transformational leadership model. The thirty questions reflect five basic leadership behaviors including:

- challenging the process
- inspiring a shared vision

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- enabling others to act
- modeling
- providing recognition

This type of leadership may be especially important for a department moving to a decentralized system of policing such as district and sector management.

As stated, the Criteria Scale looks at critical elements of the sergeant's role. The LPI is a general tool that covers leadership across many occupations. The LPI is based on a transformational model. The mean for each LPI scale score can be found in Table 4. Respondents rated themselves highly on Modeling the Way, Enabling Others to Act, and Encouraging the Heart. Inspiring a Shared Vision was the least common set of behaviors. There were no differences between Nominees and Controls on these scales. Again, the self-ratings tended to be high.

Respondents' scores on the LPI scales were correlated significantly for all scales except Modeling the Way. Although the mean score for Modeling the Way was quite high, it was not related to any other scale of leadership behavior. Inspiring a Shared Vision was correlated with nine of the self-ratings on the Criteria Scale. Only Knowledge of the Job was not related. Challenging the Process was also related to seven of the Criteria Scale scores. The Criteria Summary Score was strongly related to both Challenging the Process [$r(52)=.51$, $p<.001$] and Inspiring the Vision [$r(52)=.62$, $p<.001$], and moderately related to Enabling Others to Act [$r(52)=.32$, $p=.02$] and Encouraging the Heart [$r(52)=.31$, $p=.03$]. In sum, self-rating measures of behaviors specifically tied to police work were correlated with 4 of the 5 leadership scales.

The two lowest means on the LPI, Inspiring a Shared Vision and Challenging the Process, deal with forecasting the future, finding new ways to do things, and taking risks. Supervisors in a paramilitary organization may find it difficult to accomplish these things. This is a particularly important finding because community problem solving, decentralized management, and other modern police practices require that leaders at every level of the organization seek new ways to address neighborhood and community issues. Police executives, including the Commissioner and command staff of the Baltimore Police Department, espouse that they expect and reward risk taking. Supervisors do not concur.

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Table 4: Mean LPI scale scores for Nominees and Controls for Self-Ratings

Scale	Nominee		Control	
	M	SD	M	SD
Self-ratings				
Challenging the process	7.4	(1.59)	7.31	(1.01)
Inspiring a shared vision	6.8	(1.89)	6.45	(1.23)
Enabling others to act	8.56	(.63)	8.59	(.57)
Modeling the way	8.73	(1.21)	8.72	(.54)
Encouraging the heart	8.48	(1.14)	8.44	(1.10)

3. Motivation

Another question posed by the research team focused on whether a standardized test of motivation would identify differences between Nominees and Controls, where interview measures did not.

As described in the materials section, participants were given a questionnaire that assessed three aspects of motivation:

- Achievement - the internal need to excel regardless of external recognition or reward
- Affiliation - a focus on the need for relationships and social support
- Power - the need to have influence, control, or impact on others

Each participant completed questionnaires to assess these motives, indicating whether they agreed or disagreed with statements using a 5 five-point scale with 5 indicating strong agreement and 1 indicating strong disagreement. The mean scores for Nominees and Controls on these motives are included in Table 5.

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Table 5. Mean Motivation Scores on a five-point scale for Nominees and Controls

Variable	Nominees		Controls		Total
	M	SD	M	SD	Ave. M
Motivation (5 = highest score)					
Achievement	3.81	(.32)	3.90	(.43)	3.85
Mastery	3.42	(.47)	3.49	(.56)	3.45
Competition	3.21	(.70)	3.43	(.62)	3.32
Power	3.81	(.41)	3.75	(.38)	3.78
Helping	4.17	(.45)	4.17	(.43)	4.17
Affiliation	3.29	(.47)	3.45	(.32)	3.37

The strongest motives for the sample as a whole were Achievement (M=3.85) and Power (M=3.78), both of which were significantly higher than Affiliation (M=3.37) [t_{Ach-Af} (54)=7.17 and t_{Pow-Af}(54)=6.18. p<.001]. There were no differences between Nominees and Controls on these variables. In addition, level of motivation was not correlated with any performance ratings or developmental risk factors.

A subset of the Power item forms a scale that measures Helping-Power or the need to have influence to help others. The pattern of results for this subscale paralleled the full Power scale. Nominees and Controls were not different on Helping-Power.

Power and Affiliation motivation scores were related to leadership ratings in meaningful ways. Power motivation was correlated significantly with Challenging the Process [r(53)=.41, p=.002], Inspiring a Shared Vision [r(53)=.43, p=.001], and Encouraging the Heart [r(53)=.39, p=.004] reflecting similar motives to influence others. Affiliation was related to Modeling the Way [r(53)=.36, p=.004] and Encouraging the Heart [r(53)=.38, p=.006]. While conceptually meaningful, these relationships are not strong enough to predict the behavior of individuals.

In sum, the participating supervisors appear to be motivated equally by the need for achievement and power and, to a greater extent, by both of these motives than by the need for affiliation. This pattern is consistent for Nominees and Controls and is congruent with a law enforcement environment. However, these measures did not successfully differentiate Nominees from Controls.

4. Personality - 16PF Scale Scores

As noted, many police departments use the MMPI to "select out" applicants who might be psychologically unfit for police service. An alternative to "selecting out" may be to "select in" those who have the character and personality traits to be successful. The 16PF instrument has been used successfully to discriminate successful performers from those in the general population in many occupational groups. The research team sought to determine if this instrument could distinguish between Nominees and Controls.

Means and standard deviations for 16PF scales can be found in Table 6. Scores are reported as standardized on a 10-point scale with a mean of 5.5 and a standard deviation of 2. The distribution of scores on each factor follows the normal curve.

Table 6   Mean   for 16PF Personality Factor scores for Nominees, Controls, and Total Sample.

Variable	Nominees (N=26)		Controls (N-29)		Total (N=55)	
PRIMARY FACTORS	M	SD	M	SD	M	SD
Warmth	4.60	(2.43)	5.57	(1.64)	5.11	(2.09)
Reasoning	5.68	(1.63)	6.04	(2.01)	5.87	(1.83)
Emotional Stability	5.92	(1.73)	6.25	(1.78)	6.09	(1.75)
Dominance	6.32	(1.84)	6.46	(1.67)	6.40	(1.74)
Liveliness	5.04	(2.05)	5.46	(1.48)	5.26	(1.77)
Rule-Consciousness	7.04	(1.59)	6.93	(1.39)	6.98	(1.47)
Social Boldness	5.88	(2.15)	5.75	(2.01)	5.81	(2.06)
Sensitivity	4.28	(1.74)	3.75	(1.46)	4.00	(1.61)
Vigilance	6.04	(1.62)	5.68	(1.70)	5.85	(1.66)
Abstractedness	5.20	(2.10)	4.43	(2.12)	4.79	(2.12)
Privateers	5.60	(2.14)	5.11	(2.17)	5.34	(2.15)
Apprehension	4.88	(1.96)	4.54	(1.77)	4.70	(1.86)
Openness to Change	5.96	(2.26)	5.04	(1.60)	5.47	(1.98)
Self-Reliance	5.80	(2.10)	5.46	(2.38)	5.62	(2.24)
Perfectionism	6.16	(1.99)	6.00	(1.59)	6.08	(1.77)
Tension	4.60	(1.98)	4.82	(1.77)	4.72	(1.85)
GLOBAL FACTORS						
Extraversion	5.32	(2.63)	5.69	(1.88)	5.48	(2.17)
Anxiety	4.89	(2.04)	4.71	(1.93)	4.80	(1.96)
Self-control	6.63	(1.54)	6.60	(1.26)	6.61	(1.38)
Independence	6.35	(1.81)	6.06	(1.48)	6.20	(1.63)
Tough-mindedness	6.15	(2.25)	7.16	(1.24)	6.68	(1.84)

The sample as a whole tended to be above average on the Global Factor of Tough Mindedness, which means that problems are dealt with cognitively rather than

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emotionally. Of the Primary Factors, the nominees and controls rated high on Self-Control and Rule-Consciousness and low in Sensitivity (taking a more utilitarian approach to decision making). Scores tended toward the low end of average on Anxiety, Tension, and Apprehension, and toward the Grounded rather than Abstract (using observable data and their senses rather than focusing on internal mental processes). This pattern is consistent with the qualities deemed necessary for police work.

There were no strong differences between Nominees and Controls on these personality scales. However, there was a tendency for Nominees to be more Open to Change and slightly lower in Tough-Mindedness.

The 16PF scale scores were correlated with the ratings of the participants' performance as sergeants and with the CRS. The primary factor L or Vigilance was systematically related to performance ratings. Those high in vigilance (i.e. tending to distrust others and expect misunderstanding) were rated lower on regular duties [$r(44)= .34$, $p=.025$], additional duties [$r(36)=.33$, $p=.05$], administrative duties [$r(44)=.31$, $p=.04$], handling citizen complaints [$r(36)=.38$, $p=.02$], endurance [$r(42)=.36$, $p=.02$], dignity of demeanor [$r(43)=.33$, $p=.03$], attention to duty [$r(44)=.46$, $p=.002$], and judgement [$r(44)=.36$, $p=.02$].

These correlation's are positive because the sergeants' ratings were on a five point scale where five was the lowest score. Degrees of freedom vary because of missing data from the Police Department's personnel files. While provocative, the magnitude of these correlations is small and the Vigilance factor did not discriminate between Nominees and Controls.

Only two of the 16PF factors were related to the CRS and these correlations were quite small. Higher scores on the CRS were associated with higher scores on factor Q3, Perfectionism (i.e. wanting to do things the right way) [$r(53)=.33$, $p=.02$], and on factor O, Apprehension [$r(53)=-.27$, $p=.05$]. More self-assured participants rated themselves higher on the CRS.

Scores on the 16PF were related to Affiliation Motivation in systematic ways. In general, those scales that have a strong social component marking the high end of the scale, i.e. Warmth, Emotional Stability, Liveliness, Social Boldness, Extroversion, and Impression Management, were moderately positively correlated with Affiliation [rs ranged from .35 to .68, $p<.01$]. Those scales with a low social component at the high end, i.e. Vigilance, Abstraction, Privateness, Self-reliance, Anxiety, were negatively correlated with Affiliation [rs ranging from -.35 to -.54, $p<.01$].

Power Motivation was related only to the Warmth scale [$r(53)=.36$, $p=.007$] and Achievement was related only to Perfectionism [$r(53)=.37$, $p=.006$].

The personality measures cluster in meaningful ways and relate to the measures of motivation and leadership in conceptually reasonable ways. However, the magnitude of

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the relationships is not large and these measures were not effective in differentiating Nominees from Controls.

5. Moral Reasoning

The moral reasoning part of the research was designed to understand how the sample thinks about moral problems (see Appendix G). The focus was on opinions about moral matters and strategies for solving problems that center on right and wrong. Respondents were asked questions about two moral conflicts, a classic Kohlberg dilemma and a moral problem directly drawn from police service.

Moral dilemmas

Little information was gleaned from the answers to the Heinz dilemma. Responses did not significantly differentiate Nominees and Controls. As expected, there was no difference in the number of individuals who would or would not steal. When asked to rate the importance of various factors to their decision making, Nominees rated "values that are going to govern society" as significantly more important than did Controls [$t(48)=2.49$, $p=.02$]. Controls tended to rate "it is only natural for a loving husband to care so much for his wife that he'd steal" slightly higher than Nominees [$t(48)=-1.89, p=.07$]. However, these differences are very small and the top four reasons selected as most important were the same for both groups with a slight difference in order. In addition to those cited above, two other factors were selected as most important, "whether a community's laws are upheld" and "whether the imperative to live is important."

A member of the research team (a philosophy professor and ethicist) developed three other dilemmas. These were derived from actual police situations involving an abandoned and homeless man, a sergeant who finds one of his officers sleeping, and the discharge of a weapon.

Unlike the answers to the Heinz dilemma, the responses to the actual policing situations were strong discriminators. A member of the research team analyzed these responses and assigned a score to each participant based on three moral variables.

> Rule Based/Care based Participants were assigned scores of from 1 to 3 depending on the degree to which they reflected a combination of the two systems of moral judgement. Reasoning from purely a rule based or a care-based position was scored lower than a mixed response.

> Moral Flexibility Participants were scored from 1 to 3 on the creativity and flexibility of their solutions to the problem.

> Moral Complexity Participants were scored from 1 to 3 on the degree to which they articulated the actual dilemma that was represented in each situation

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The three scores on these variables were added to create a Moral Reasoning Summary (MRS) score that ranged from 1 to 9. Because these scales represent only ordinal data, non-parametric analyses were used. The summary scores were converted to ranks. The mean rank for Nominees was 14.79 and for Controls, 40.72. Therefore the Nominees scored significantly higher on moral reasoning than did Controls [U =7.00, p<.001].

This analysis was repeated for each of the component scores. Nominees scored significantly higher than Controls on all three moral reasoning variables [Rule/Care U=73, p<.001; Flexibility U=121, p<.001; Complexity U=169, p<.001]. Moreover, by ranking the MRS, the participants could be correctly classified as a Nominee or Control in 96% of the cases; only two individuals, both females, were not correctly placed into their group.

All three variables were strongly correlated with the summary score [Rule/Care r(53=.87; Flexibility r(53)=.66; Complexity r(53)=.71, p <.001]. Rule based/Care based reasoning was moderately correlated with both Complexity and Flexibility. However, Flexibility and Complexity were not correlated with each other [r(53)=.198, p=.16]. Therefore, both Moral Flexibility and Moral Complexity contributed independently to the total score.

A small but significant negative correlation was found between 16PF Global factor Tough-Mindedness and the MRS [r(53)=-.33,p=.02]. There is a tendency for those with higher moral reasoning scores to score lower in Tough-Mindedness, i.e. more receptive and open to people. A small positive correlation was found between the MRS and Q1-Openness to Change [r(53)=.332, p=.02]. Those with higher moral reasoning scores tended to be more open to change, perhaps reflecting the flexibility of their moral reasoning.

The MRS score was not correlated with the respondent's level of education. In addition, the MRS was not related to the Criteria Summary Score or to the LPI self-rating of leadership behavior.

However, the MRS correlated significantly to performance ratings as a sergeant. Higher moral reasoning scores were associated with higher ratings on supervision [r(40)=-.33, p=.04], leadership [r(41)=-.33, p=.04], loyalty [r(43)= -.32, p=.04] and desirability in a crisis [r(42)=-.32, p=.04]. But, these correlations are quite moderate and account only for 10% of the variance. Still, there is evidence of validation for recognizing practical reasoning and problem solving as qualities of successful first-line supervisors.

Moral Exemplars and Moral Education

Only 45 of the respondents named moral exemplars. Exemplars included family, religious figures known to the respondent, other police officers, friends, and historical/religious figures, with family members the most common response. There was no difference in the frequency of these categories between Nominees and Controls. However, when categories were collapsed and respondents were classified as naming

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only figures known to them, only those unknown to them (historical/political/ religious), or both, there was a difference. Nominees were more likely to limit their selections to people they knew while Controls were somewhat more likely to name historical/religious/political figures exclusively [$X^2(2)=6.18$, $p<.05$].

For those responding to the question on religious education in childhood, there were no differences in the frequency or importance of religious and ethical training between Nominees and Controls.

D. Results of Personal Interviews

As with family background, the researchers questioned if career history would discriminate between Nominees and Controls. It did not. The key findings are reported below.

1. Reasons for Becoming a Police Officer

There were no statistically significant differences between Nominees and Controls on reasons for becoming a police officer. Security (34%), Helping (27%) and Relative/friend as a police officer (24%) were the most common reasons mentioned. If "helping" and 'making a difference" are combined, 44% of respondents included an altruistic reason for their choice.

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Table 7: Reasons given by the 26 Nominees and the 29 Controls for entering police work. Listed from most to least common responses.

Reasons For Entering	Nominees		Controls		Totals	
	Number of Responses	Percent	Number of Responses	Percent	Number of Responses	Percent
Job Security Need	11	20%	8	14.5%	19	34%
Helping	5	9%	10	18%	15	27%
Police as relative/friend	5	9%	8	14.5%	13	23%
Make a difference	7	12%	2	3.6%	9	16%
Excitement	3	5.4%	6	11%	9	16%
Work with people	2	3.6%	5	9%	7	12%
Variety of activities	2	3.6%	3	5.4%	5	9%
Officers respected	2	3.6%	3	5.4%	5	9%
College courses	4	7.2%	1	1.8%	5	9%
Challenge/Investigation	1	1.8%	2	3.6%	3	5.4%
Freedom/Autonomy	1	1.8%	2	3.6%	3	5.4%
Career opportunity	2	3.6%	0	0	2	3.6%
No answer	1	1.8%	5	9%	6	11%
Discipline Structure	1	1.8%	0	0	1	1.8%

2. Reasons for Remaining a Police Officer

When asked why they remained in the department, 38% (21) participants included "enjoyment "or "love of their job" as a part of their answer. The elements of the job that were specifically mentioned as important were quite varied. Nominees were significantly more likely than controls to mention "job security" as a reason for remaining (X^2=5.88, p<.05). The two groups did not differ in frequency on any of the other reasons given.

While the largest response for entering the profession was "job security", the primary response for remaining a police officer was because they "like the work" (21/55). The second most frequent response was for "security". There was only one significant difference between Nominees and Controls in terms of reasons they stayed on the job and that was that 10 of the Nominees stayed for reasons of "security" which was true for only 2 Controls. (See Table 8).

Table 8: Reasons given by the 26 Nominees and 29 Controls for remaining on the force listed from most to least common responses.

Reasons For Staying	Nominees		Controls		Totals	
	Number Of Responses	Percent	Number Of Responses	Percent	Number Of Responses	Percent
Enjoy/like	13	23%	8	14.5%	21	38%
Security*	10	18%	2	3.6%	12	21%
Work with people	4	7.2%	7	12%	11	20%
Satisfaction/reward	4	7.2%	4	7.2%	8	14.5%
Make a difference	4	7.2%	3	5.4%	7	12%
Excitement/variety	1	1.8%	5	9%	6	11%
Commitment to job	2	3.6%	1	1.8%	3	5.4%
Career/ed opportunities	2	3.6%	1	1.8%	3	5.4%
Problem Solving	1	1.8%	1	1.8%	2	3.6%
Own boss	2	3.6%	0	0	2	3.6%
Actively looking to leave	0	0	1	1.8%	1	1.8%
No answer	1	1.8%	5	9%	6	11%
Nominees and controls significantly different, $p < .05$.						

3. Promotion to Sergeant

Reason for Taking the Sergeants Exam

Each participant was asked why she/he chose to take the sergeant's test and seek a supervisory role. The reasons given are shown in Table 9. While advancement (i.e. "the next step, not wanting to be left behind, wanting to advance in rank) was the most common reason given for both, Nominees were significantly less likely to mention salary or pension [$X^2(1)=7.35$, $p<.01$] or being tired of or dissatisfied with their current assignment [$X^2(1)=6.05$, $p<.05$] as reasons for taking the sergeant's exam or seeking to move into supervision. Only four participants, 2 Nominees and 2 Controls, noted that the process was unfair. The only statistically significant finding in Table 9 is that Controls are more likely to take the sergeant's exam in order to make more money than are the Nominees.

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Table 9 Reasons for taking the sergeants examination and seeking to go into supervision given by nominees and controls.

Reason	Nominees	Controls	Totals
	Frequency (%)	Frequency (%)	Freequency
More Money	3 (11%)*	13 (45%)*	16
Advancement	15 (58%)	17 (59%)	32
More Authority	2 (8%)	1 (3%)	3
Change things/do it better	4 (15%)	6 (21%)	10
To teach	1 (4%)	2 (6%)	3
Supervisor encouraged	1 (4%)	1 (3%)	2
Already had the responsibility	1 (4%)	4 (14%)	5
Tired of the streets or other aspect of patrol	0	6 (21%)	6
Peer pressure	1 (4%)	0	1

Note: * indicates two values significantly different, χ^2 test, p<.01

Speed of Promotion

Nominees were promoted to sergeant 2.9 years faster than members of the Control group. On average, Nominees were promoted after 9.69 years while Controls were promoted after 12.59 years. This is a statistically significant finding. [$t(53)=2.25$, p=.029].

Standing on the Sergeants Exam

One of the significant findings of the research for police executives and human resources officers is that scores or standing on promotional exams is not a good predictor of potential as a supervisor. The average standing on the sergeant's exam was 24.04 for Nominees and 20.48 for Controls. The difference was not significant [$t_{st}(52)=-.73$, p=.47]. The average score on the test for Nominees was 84.39 and 88.18 for Controls. There was a trend for Nominees to score slightly *lower* on the test than Controls [$t_{sc}(52)=1.98$, p=.057].

4. Advancement to Lieutenant

These interviews took place over an 18-month period. At the time of the interview, 18% (10) of the sample had been promoted to lieutenant or above. Of the 45 sergeants remaining, 36 (80%) had taken the test for lieutenant and 9 (20%) had not. Of those sergeants who had taken the test, 50% were Nominees and 50% were Controls. The

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apparent discrepancy in the above numbers from Table 1 is a reflection of the rank of the sample during the 18-month period when round one interviews took place. The data in Table 1, page 23, reflect the rank of sample members as of summer, 1999. At that time there were 43 sergeants, 7 lieutenants, and 5 majors among the sample members.

No pattern of reasons distinguishes the 4 Nominees and the 5 Controls who did not take the sergeant's exam. Both groups included liking their current job, not wanting shift work, personal commitments, not being "yes" men, and not being motivated.

Of the officers with the rank of lieutenant or above, 4 were Nominees and 6 were Controls. The reasons given for taking the test for lieutenant are listed in Table 10. Of those responding with a specific reason, the most common given was "career advancement", 12 (25%). The pattern of reasons did not discriminate between Nominees and Controls. However, the three respondents who indicated that their superiors encouraged them to take the lieutenants test are all Nominees currently at the rank of lieutenant or higher.

Several of the officers were critical of the promotional process. Of the 7 officers explicitly stating that the process was racist or unfair, 6 were Nominees and only 1 was a Control. While this number is too small to be analyzed, the direction posed by these responses is provocative.

For those 11 officers who were promoted to lieutenant (one was promoted after the first interview), the time to promotion was significantly *longer* for Nominees (M=13 yrs.) than for Controls (M=5.71 yrs.) [$t(9)$=-4.86, p=.001]. This is a very strong finding. The sample size is small, but there is absolutely no overlap in the distribution of the two groups. No Nominee was promoted faster than a Control.

Table 10: Reasons given for taking the test for promotion to lieutenant and comments on the promotion process for 22 Nominees and 24 Controls who had taken the exam from "most frequently "to "least frequently" mentioned.

Frequency (Percentage)

Reason	Nominees	Controls	Totals
Career advancement	7 (32%)	5 (21%)	12 (25%)
More money	4 (18%)	3 (12.5%)	7 (14.6%)
Job easier	3 (14%)	3 (12.5%)	6 (12.5%)
Superior encouraged	3 (14%)	0	3 (6.2%)
More authority	1 (4.5%)	1 (4%)	2 (4.2%)
Peer encouragement	0	1 (4%)	1 (2.1%)
Took, but like current job (Remained sergeant)	2 (9%)	3 (12.5)	5 (10.4%)
Discouraged Process unfair	6 (27%)	1 (4%)	7 (14.6%)
Low score or gave up	3 (14%)	2 (17%)	5 (10.4%)

5. Influence on one's future in the agency

All participants were asked to state whether or not they felt they had influence on their future in the agency. Excluding retirees and respondents who planned to retire in the summer of 1999, 52% of the 44 remaining felt they did have some control over their future in the agency and 48% did not. Of the 23 respondents who felt they could have an impact their future, 14 were Controls and 9 were Nominees. This difference was not significant.

One said, "if I do a good job then I can have any job I want." Others thought that they had influence because they had the right contacts. Those who do not think that they have/had influence offered comments such as "because I don't know the right people" or because "I have made people angry."

6. Reasons for retiring

The six retirees in the sample were asked why they chose to retire. Three of the reasons given indicated some dissatisfaction related to failure to achieve a personal goal or with departmental policies. Positive reasons for retiring were given by two officers, one who wanted a second career and one who wanted to "leave happy." There was no consistent pattern for Nominees and Controls and the sample is too small to draw any conclusions.

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7. Training

Field Training: All participants were asked to evaluate the quality of their field training experience and their training in preparation to be sergeants. Responses were rated using a 5-point scale where 0 indicated "no training received" and 5 indicated "excellent training received".

There was no difference between Nominees and Controls in their evaluation of field training experiences when they were newly graduated from the academy [t_{ind} (47)=.61, p=.54]. Both groups considered their field training to be quite poor, [Nominees M = 2.08, SD=2.08, Controls M = 2.37, SD=2.37]. Table 8 indicates the distribution of responses for the entire sample. Of those responding, 59.2% considered their field training to be poor or worse than poor while 32.7% considered their training to be good or excellent.

However, there was some evidence that the quality of field training has improved over time. When years of service were correlated with the rating of the quality of field training there was a significant negative correlation [r(49)=-.37, p=.01]. Officers with fewer years of service were more likely to give positive responses about the quality of their field training.

Preparation for Sergeant: Respondents were quite negative about their training in preparation to be sergeants although there was no difference in the responses of Nominees [M=1.29, SD=1.12] and Controls [M=1.25, SD=1.66]. As seen in Table 11, 40.4% indicated that they had had no training to prepare them to perform in the role of the sergeant. Another 43.7% considered their training inadequate. Of the 15.3% responding that their training was "adequate" or "good" (8 respondents), most described a particular sergeant who helped prepare them for supervisory responsibilities. Sixty percent of the sample identified specific sergeants as role models for their performing successfully as a supervisor. There was no indication that training for the role of sergeant has improved over time [r(52)=.08. p=.56].

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Table 11: Ratings of field training and sergeant training on a six point scale for total sample of participants in sergeant's study (N=55).

Rating	Field Training		Sergeant's Training	
	Frequency	Percentage	Frequency	Percent
0=No training	10	20.4	21	40.4
1=Terrible	9	18.4	5	9.1
2=Poor	10	20.4	18	34.6
3=Adequate	4	8.2	7	13.5
4=Good	12	24.5	1	1.8
5=Excellent	4	8.2	0	0.0
No Answer	6	10.9	3	5.5

Sergeant's Role as Trainer: Members of the sample were asked an open-ended question about what they saw as the role(s) of the sergeant. Researchers were interested in whether or not the sample believed that training their subordinates was important. Only 38% (21 of the 55 respondents) identified training as an important component of the role of sergeant. That result may be based on the fact that members of the sample received little training and/or that training does not appear to be an activity that is supported or rewarded within the organization.

Requests for or Selection to Special Training: Participants were asked if they had ever requested special training or been selected for special training by their supervisors. Responses to this question included any training opportunity, not just those related to supervision. Fourteen of the Nominees and 12 of the Controls had been nominated by their supervisor for special training. This difference was not significant [$X^2(1)=.47$, $p=.49$]. The mean number of training requests for Nominees and Controls were 1.92 and 1.89, respectively. There was no difference between them [$t(51)=-.07$, $p=.94$]. None of the training variables discriminated between Nominees and Controls.

8. Perceptions of the Sergeant

Complexity of the Sergeants' Role in the Organization: As indicated in the proposal ("Restructuring the Position of Police Sergeant Based on Quality, Character, and Integrity," 1996, 5), there is a great deal of role confusion in police departments. Senior members of the Command staff often do work that should be done by sergeants and lieutenants. For training to be effective in preparing people for the role of sergeant, there must be clarity regarding the role and expectations for supervision. That is, sergeants must know what is expected of them and what to expect of themselves, their leaders, and their officers. The researcher team hypothesized that better sergeants would have a more

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complex view of the role of supervisor and that this would be reflected in identification of more traits on the criteria scale.

Each participant was asked to describe the role of sergeant in the Baltimore Police Department. Each of the discrete statements was coded as one of the 10 criterion variables used to select the Nominees. Three coders, blind to the participants' group status, coded the responses. Another researcher resolved discrepancies. No criterion variable was mentioned more often by Nominees or Controls.

Controls, on average, mentioned 2.35 of the 10 characteristics while Nominees mentioned 2.21. There was no difference in the perception of the complexity of the sergeant's role between Nominees and Controls [$t(53)=-.50$, $p=.62$]. It is interesting to note that both groups cited a low level of complexity when identifying the various roles mentioned. The next section of this report will explore which of these criteria the respondents perceived to be the most important qualities for a supervisor to possess.

Qualities of Good Sergeants: One of the major questions asked by the research team was, "Do Nominees and Controls differ in their perception of the qualities that make a good supervisor?" Data showed that the answer is "no." The procedure for answering this question was essentially the same as described in the previous section on looking at the role of the sergeant.

Each participant described his/her perception of the qualities of a good sergeant. The qualities he or she cited were coded as one of the nomination criteria characteristics. The 10 criterion variables and the number of times each is mentioned are listed in Table 11. Nominees and Controls did not select different variables nor did the average number of qualities differ for Nominees ($M=2.85$) or Controls ($M=3.07$). Nominees and Controls do not define good supervision differently.

Table 12 shows the qualities the respondents believe are salient to being a good supervisor. Qualities that they thought were less important include "management skills," "development of officers," and being a "proactive leader." The cluster of traits included in the category "management skills" includes report writing. The low ranking on the category "proactive leader" is particularly important to an agency committed to community policing or one that is decentralizing toward a district and sector management system. In both cases, development of officers, attention to management detail, and proactive leadership are important. Respondents did not see serving as a good role model and training their officers as synonymous. They selected being a "good role model" slightly more frequently than "development of young officers." One can be a good role model without assuming responsibility for being a trainer. Training (see Table 12) is included under the cluster of character traits labeled "development of officers." Only 10 individuals cited it.

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Table 12: Criterion variables identified as qualities of a good sergeant by Nominees and Controls.

Criterion Variable	Frequency (Percentage)		
	Nominees	Controls	Total
Interpersonal skills	14 (54%)	18 (62%)	32 (58%)
Character/integrity	14 (54%)	13 (45%)	27 (49%)
Knowledge of the job	11 (42%)	13 (45%)	24 (44%)
Effective Role Model	8 (31%)	8 (27%)	16 (29%)
Problem Solving Critical Thinking	7 (27%)	7 (24%)	14 (25%)
Communication skills	8 (31%)	4 (14%)	12 (22%)
Effective discipline	4 (15%)	8 (27%)	12 (22%)
Proactive/Leader	3 (11%)	8 (27%)	11 (20%)
Development of officers	3 (11%)	7 (24%)	10 (18%)
Management skills	3 (11%)	4 (14%)	7 (13%)

Conflicts in the Role of Sergeant: In the interviews, respondents were asked to talk about conflicts they encountered as sergeant. (See Table 13). There were no differences in sources of conflict identified by Nominees or Controls. Respondents identified six areas of conflict. Conflict in representing the interests of management and patrol officers was mentioned most frequently, that is, by 36% (N=19) of the respondents.

These responses were generated from an open-ended question. Therefore, it was useful to look at what was important to these respondents. By "no authority/support," the respondents noted that they could not count on being "backed up" by their immediate superiors when they made a decision. For example, they might make a decision related to disciplining an officer only to have it reversed by a superior. They may deny someone leave for vacation only to have it reversed when the officer complains to the lieutenant.

"Being fair" addresses conflicts sergeants may have in treating everyone fairly. Conflicts related to fairness occur with some regularity and, particularly, when the supervisor has some sort of personal relationships (former colleagues in a specialty unit or squad, neighbors, etc.) Fairness was viewed as rising above personal friendships and overcoming favoritism while meeting the legitimate needs of individuals in the unit.

The conflict between "supervisor/patrol" reflects the difficult line between informal relationships that create followership and going over the line. It is the difficult job of maintaining the proper distance.

The "public/command" conflict deals with situations in which the demands of the public differ from those of commanding officers. The supervisor often plays the role of intermediary in such situations and attempts to resolve such conflicts for his or her officers. A typical conflict is the public's demand for the officer's involvement in long-term problem solving versus pressure from command for the officer to return to the road quickly after each call to generate additional statistics.

Finally, the " policy/reality" conflict reflects the difficulty supervisors face in responding to a directive or policy coming from command that strains resources or conflicts with realities in the field.

Table 13 Conflicts in the sergeant's role identified by Nominees and Controls

	Frequency Mentioned	
Source of Conflict	Nominees(N=26)	Controls (N=29)
In the "middle" (Between officers/command)	13	6
No authority/support	7	7
Supervision/discipline (Being fair)	6	4
Supervision/patrol (Not "one of the boys)	5	4
Public/command	0	1
Policy/reality	0	1
None	2	4

Likes and Dislikes Regarding the Role of Sergeant: Each participant responded to an open-ended question: "What aspects of the job do you particularly like or dislike?" (see Table 14). There are two significant findings. First, no answer distinguished between Nominees and Controls, either on what they liked or disliked about the job. However, when the social aspects (such as training, working with people, meeting people) were combined, there was a significant difference. Nominees (38.5%) were significantly less likely to name a social aspect of the job as something they liked than were controls (21 or 72.4%) [$X^2(1)$=6.42, $P<.05$]. Nominees seem to prefer outcome-based items.

The part of the job that received the highest number of cites, 25% (14/55) of the respondents, was "training/mentoring." Even though training was the most frequent response, it is noteworthy that it was mentioned as a positive element by only 25% of the respondents. More respondents (29 or 53%) mentioned the "problem solving/decision making" analytic side of the job. Paperwork, which is part of the management cluster on

the criterion scale, was the most disliked aspect of the role of sergeant. Several participants volunteered that the amount of paperwork kept them from what they perceived to be more important duties.

Table 14: Aspects of the Sergeant's role that were liked and disliked by Nominees and Controls

Job Aspect	Frequency	
Likes	Nominees	Controls
Training/mentoring	5	9
Make decisions/in control	5	8
Problem solving/planning (Includes team building)	9	3
Work with others	3	9
Being on the street	3	5
Variety	2	3
Meeting people	2	3
Helping	5	0
Righting wrongs	3	1
Analysis/investigation	3	1
Excitement	1	1
Career enhancement	1	0
Being busy	0	1
Rewarding	0	1
Money	1	0
Dislikes		
Paperwork	6	7
Lack of support	4	4
Disciplining officers	3	3
Babysitting officers	3	1
None	3	3

9. Standing up for officers

Each respondent was asked what it meant to "stand up for your officers." This was an important question to the respondents. Taking the wrong step in supporting or failing to support an officer can be critical to the perception of a supervisor's success or failure. If a supervisor, regardless of rank, inappropriately supports an officer who commits a flagrant wrongdoing, the supervisor's credibility may be destroyed. Conversely, if a supervisor does not support an officer who made a legitimate mistake, particularly in a high-profile situation, the supervisor's credibility may be destroyed. Neither situation relinquishes the supervisor from his or her role as disciplinarian. Balancing support to employees who make errors in judgement and aggressively disciplining those consciously commit wrongdoing is a major factor in how supervisors are judged by subordinates and others. Successful supervisors are expected to provide discipline and use officers' mistakes as training opportunities.

The responses to this question were divided into four categories based on the extent to which errors and disciplinary actions are perceived as teaching opportunities. The categories were arranged to form an ordinal scale with the highest scores assigned to those responses that most explicitly defined dealing with errors as training opportunities. It is important to note here that most respondents carefully distinguished between "errors" and actions that were illegal or without integrity. The assumption reflected in the scale is that the best outcome of an error is learning from the mistake.

a. The first set of responses did not mention using any incident as a teaching opportunity. Handling disciplinary issues was not a major focus of this group. These officers viewed "standing up" for their personnel as protecting them from the demands of other supervisors or protecting them from management. There was no mention by these respondents of whether or not there was a perceived error and no mention of making use of incidents as teaching opportunities.

b. The second set of responses focused on the issue of fairness. It is the job of the sergeant to defend his people regardless of whether they are right or wrong, particularly if he or she perceives them as being treated unfairly or getting a "bad deal." Respondents noted frequently that "standing up for your people" was most important when an officer was wrong. The sergeant is an advocate for the subordinate. The supervisor's goal is not to avoid disciplinary action or responsibility, but to see that the subordinate is treated fairly.

c. In the third set of responses, participants perceived the role of supervisor as supporting a good officer when she/he acted with integrity. Similar to the above, fairness and advocacy were issues here; however, respondents discussed explicitly the importance of understanding and communicating the mistake. The assumption is that good people make mistakes and that it is important to support a good officer who made the mistake. These supervisors ask their subordinates to explain their actions, give the context in which they occurred, and detail what may have caused the error. Supervisors then present this context to commanders.

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The error is framed as an "honest mistake." The successful supervisor will make the subordinates position clear, tell what happened, and help superiors to understand.

d. The fourth set of responses also address fairness and advocacy but focused on using officers' mistakes as training opportunities. Respondents indicated that they ask their officers what they did and examine what went wrong. Then, they explain the error to their subordinate and correct them in private. They often view mistakes solely as opportunities for learning. Their position is that good people make mistakes if they are aggressive in doing their job and need – and deserve -- the opportunity to learn from them. Even if disciplinary action is needed, the best outcome of an incident if when subordinates gain the knowledge or thinking skills necessary to analyze situations successfully so that the same error will not occur.

Based on focus group descriptions, Nominees were hypothesized to fall into category 4. Table 15 shows the frequency of each of these responses. There was no difference between Nominees and Controls [U=320, p=.32]. Only 18% of these supervisors saw mistakes as training opportunities while 45% stated they must defend officers who are being treated unfairly and/or protect officers from management and other supervisors.

Table 15: Frequency of Nominees and Controls by definition of "Standing-up of your officers."

	Frequency and Percentage		
Definition	Nominees	Controls	Total
1. Right/wrong not mentioned/ Protect from management/ Other supervisors	11 (42.3%)	7 (24.1%)	18 (32.7%)
2. Defend right or wrong if treatment is unfair	3 (11.5%)	4 (13.8%)	7 (12.7%)
3. Support good people who make mistakes/Explain actions	7 (26.9)	13 (44.8%)	20 (36.4%)
4. Errors as training opportunity	5 (19.2%)	5 (17.2%)	10 (18.2%)

Changes in the department – A view toward community policing

Overall, respondents had extensive experience in police service. The average number of year's service exceeded 20. In an attempt to explore participants' awareness of community policing initiatives in the Police Department, each was asked if he or she thought that the agency had undergone significant changes over the years and to identify the one considered most important.

The way in which the sample responded to this question changed as the result of a political event that occurred during the study. The Mayor of Baltimore announced that

he would not seek another term in office. Prior to the announcement, respondents were more likely to focus on departmental changes initiated by the current commissioner, such as a new disciplinary matrix. Following the announcement, participants responded to the question on change by speculating on a possible new police commissioner and how such change might affect the agency. Because of this unanticipated political change and its potential effect on the Police Department, the questions must be interpreted cautiously. Only three people (one Control and 2 Nominees) did not believe the department had changed significantly during their careers. A total of 94% identified at least one significant change. The changes they cited were varied, as 14 categories were identified. Differing opinions about change are shown in Table 16.

Table 16 Most important changes in the Baltimore Police Department over the years as identified by Nominees and Controls

	Nominees		Controls	
		Frequency Mentioned		
Change	Positive	Negative	Positive	Negative
Equipment/technology	7	0	5	0
Management	3	1	3	1
Rotation policy	2 (2 neutral)	2	1	1
Personnel	1	3	1	2
Race relations	3	0	2	2
Training	2	0	2	1
Attitude of officers	0	3	0	0
Less military	1	1	0	1
Addition of women	2	0	0	0
Discipline (less)	0	1	0	1
Morale	0	1	0	1
Community Policing	1	0	1	0
More professional	1	0	0	0
Integrity	1	0	0	0
Total	24	12	15	10

The respondents perceived that most of the changes that have occurred during the course of their career to be positive. Of the 61 changes mentioned, 39 or 64% were seen as positive while only 22 or 36% were viewed as negative. Equipment and technology have improved and these changes are the most frequently cited. They are perceived as unequivocally positive. Changes in management were generally positive. Attitudes toward an agency-wide, newly instituted rotation policy affecting all personnel were mixed. The quality of police personnel being hired and promoted was identified as negative by 9% of the sample. Although not frequently mentioned, officers' attitude and morale and departmental discipline were perceived to have declined.

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Community policing was mentioned only twice as an important change, by one Nominee and one Control. Both saw it as positive. Community policing may not be seen by this sample as a salient change because of lack of emphasis or expectation placed on the role played by first-line supervisors. Also, since many of the sergeants were in their rank prior to large-scale focus on community policing, they did not receive the same indoctrination as newer officers. The reasons cannot be determined from this data. However, it is noteworthy that so few supervisors cited community policing at a time when it is being espoused by command officers, politicians, and community leaders.

Changes in the Role of Sergeant: The participants were asked if the departmental changes they had identified had impacted the role of supervisor/sergeant. Again, their answers reflected the Mayor's announcement and speculation that the next Mayor would replace the Police Commissioner.

What emerged was strong agreement (79.6%, N=54) that the role of first-line supervisor changed over time. Some respondents saw the changes as positive while others saw them as negative. A total of 9 Controls and 5 Nominees saw the changes as positive while 10 Controls and 18 Nominees saw the changes as negative. There was no difference between Nominees and Controls in the frequency of positive or negative responses.

10. Contribution of Police to Society

In an attempt to elicit views that might reflect on community-policing strategies, each participant was asked to define the contribution of police to society. Responses were varied and many people identified more than one contribution. Of the 72 items cited, 53 or 74% fit into a broad category focused on safety, security, and enforcement. Police as a source of help was mentioned 10 times or 14%. Crime prevention was cited only once. Community policing was explicitly mentioned by only three officers as a contribution of the police to society. One of them stated that we are "still searching for community policing." Two additional officers, one Nominee and one Control, indicated that community policing was not the role of the police.

The fact that community policing was mentioned so rarely is difficult to interpret since the data came from response to an open-ended question. Additional questions or rewording of the question may have evoked a different response. However, it was clear, based on the strength of their response, that some of the participating supervisors did not see community policing as viable.

E. Self-Ratings by Subjects

This section addresses measures on which individuals had to rate their own behavior. Researchers were interested in comparing the self-assessments of Nominees and Controls. Data continues to be collected that will permit researchers to check participants' self-assessments against evaluation by other raters.

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Each participant rated his/her performance on the Criterion Scale developed to measure the 10 trait clusters created from the focus group characteristics. (The mean of the self-rating can be seen in Table 17.) Like the performance ratings, these self-ratings were highly skewed, reducing the level of discrimination. From 49% to 80% of respondents rated themselves as a 6 or 7 on a seven-point scale. Participants saw themselves as strongest in "knowledge of the job" and "interpersonal skills". The weakest ratings were in the categories of "management skills," "development of officers," and "problem solving/critical thinking." But, the means in these categories remained above the mid-point of the scale. Nominees rated themselves significantly higher than Controls on only one scale, "communication skills" [$t(50)=-2.03$, $p=.048$]. The ratings on the 10 criteria were summed and averaged to create a Criteria Summary (CRS) score. There was no difference between Nominees and Controls using the combined measure.

Nine of the 10 self-ratings on the Criteria Scale were significantly positively when correlated with each other, $p < .01$. However, "management skills" was rated significantly only to "effective discipline." Correlation coefficients ranged from $r=.37$ to .60, indicating that from 13.7 % to 36% of the variability was explained by the relationships. All scores were strongly correlated with the summary score. In general, participants who rated themselves high on one scale tended to rate themselves high on others.

The CRS was not correlated significantly with the performance ratings as sergeants. In order to ascertain whether the sergeant's perception of himself or herself were related to his or her lieutenant's evaluations, the CRS was correlated with performance ratings from personnel jackets. There was no significant relationship. However, this finding may be affected by the strong ceiling effects described earlier, rather than by any conceptual differences between the two measures. This needs to be explored.

Table 17: Criteria Scale Self-Ratings for Nominees and Controls

Variable	Means and (Standard Deviations)			Percentage of Self-Ratings of 6 or 7
	Nominee	Control	Total	Total
Knowledge of job	5.92 (1.02)	5.93 (.72)	5.92 (.87)	80.5
Communication skill	6.04[a] (1.08)	5.50[a] (.84)	5.76 (.99)	61.5
Character/integrity	5.96 (1.04)	5.75 (.84)	5.86 (.94)	61.5
Management skills	5.29 (1.55)	5.46 (.88)	5.39 (1.23)	48.1
Interpersonal skills	6.08 (.88)	5.71 (.94)	5.88 (.93)	73.1
Development of officers	5.46 (1.32)	5.46 (1.04)	5.49 (1.15)	48.1
Problem Solving/Critical Thinking	5.50 (1.29)	5.43 (.79)	5.49 (1.03)	52.0
Effective disciplinarian	5.71 (1.08)	5.39 (.88)	5.57 (.96)	51.9
Effective role model	5.79 (1.21)	5.64 (.62)	5.73 (.94)	57.7
Proactive/leader	5.79 (1.25)	5.68 (.77)	5.75 (1.01)	70.6
Total	5.75 (.91)	5.60 (.41)		

Note. Values with the same superscripts differ significantly on independent t tests, p=.05.

E. Personnel Records

One goal of the research was to determine if existing personnel data include indicators of sergeants performance and whether or not existing data predicts exemplary sergeants. With few exceptions, the data show that the massive amounts of information collected by the department have little ability to distinguish between Nominees and Controls.

1. General Personnel Data

Table 18 lists all of the performance-related personnel data coded from personnel files. There were no differences in the variables between Nominees and Controls. The groups did not differ in number of job assignments, transfers, special details, commendations, or sustained disciplinary actions.

Table 18: Performance related events

Variable	Nominee		Control	
Number of assignments	$\underline{M}$	$\underline{SD}$	$\underline{M}$	$\underline{SD}$
as patrol officer	1.96	(1.56)	2.34	(1.40)
as sergeant	2.73	(1.37)	2.31	(1.07)
Number of				
special details	1.50	(2.35)	1.03	(1.32)
special training opportunities	2.92	(1.98)	2.83	(2.02)
transfers	4.96	(2.14)	5.55	(2.37)
regular commendations	2.19	(2.90)	2.55	(2.38)
bronze stars and above	1.00	(1.13)	.69	(.71)
sustained disciplinary actions	1.58	(1.77)	2.28	(2.31)
Average academy score	89.35	(4.92)	88.83	(4.90)
Sergeant exam score	84.39	(9.07)	88.18	(3.28)
Rank after sergeant exam	24.04	(17.18)	20.48	(18.28)

2. Performance Ratings

Performance ratings taken from department records were compared for three time periods:

    1. probationary period
    2. last year as an officer
    3. last two years as a sergeant.

A definition of each item and the means and standard deviation for Nominees and Controls for each period is found in Table 19. Means were compared using independent t tests.

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The probationary period is two years. Departmental personnel are rated every six months. Because there was wide variation in the length of time as a sergeant, researchers selected three benchmarks common to the entire sample for comparison. The researchers considered:

1. the Mean of all probationary ratings
2. the last year as an officer prior to promotion to sergeant
3. the last year as sergeant, i.e., the most current year or the most recent year before promotion to lieutenant

It is important to note that there is a strong "ceiling effect" in these ratings. A ceiling effect occurs when the sensitivity of the measure is limited because scores are very high. In this case, after the probationary period, almost no ratings below a 3 or "above average" occur. There is a suggestion from some respondents that, during the probationary period, officers are given low scores as part of an initiation or acceptance process. Conversely, some informants suggest that, after the probationary period, one has to be exceptionally poor to get a rating below 3 (above average). In order for significant differences to occur with such a severe restriction in the range of scores, the pattern of differences must be quite consistent

All four of the performance ratings for the probationary period for each question were summed and averaged. None of the probationary ratings differentiated Nominees from Controls.

However, there were significant differences for the supervisor's ratings in the last year prior to promotion to sergeant. All differences favored the controls. Controls were rated significantly higher in the categories of Dignity of Demeanor, Force, and Economy in Management.

All differences in averaged ratings for the last two years as a sergeant favored Nominees. Nominees were rated as higher in "attention to duty", "initiative", "leadership", and "loyalty." Their lieutenants also rated them as more desirable to have in one's command in a crisis situation.

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Table 19: Mean Performance Ratings using a six-point scale for the Probationary Period, Last Year as Officer, and Last Two Years as Sergeant for Nominees and Controls. Categories are as listed on the rating forms in police department personnel files.

Variables	Sergeants Nominees	Controls	Probationary Nominees	Controls	Officer Nominees	Controls

PERFORMANCE OF DUTY(Based on Fact)

Regular Duties

	3.45	3.25	2.29	1.93	1.68	1.98
	(39)	(.49)	(.75)	(.59)	(.41)	(.59)

Additional Duties

	3.36	3.42	2.26	1.93	1.83	1.97
	(.43)	(.47)	(.62)	(.68)	(.38)	(.56)

Administrative Duties

	3.34	3.57	2.30	1.93	1.83	2.04
	(.37)	(.53)	(.88)	(.59)	(.47)	(.64)

Supervision of Subordinates/Officers

	n/a	n/a	2.47	2.27	1.75^a	2.10^a
			(.70)	(.63)	(.31)	(.69)

Handling Citizens

	3.29	3.46	2.32	2.04	1.88	1.80
	(.49)	(.59)	(.72)	(.65)	(.45)	(.64)

Evaluation (marking) of Subordinates

	n/a	n /a	3.00	2.36	1.97	2.25
			(1.00)	(.50)	(.40)	(.69)

Tactical Handling of Officers

	n/a	n/a	2.53	2.52	1.81	2.11
			(.90)	(.81)	(.36)	(.76)

TO WHAT DEGREE HAS HE EXIBITED THE FOLLOWING:

ENDURANCE (Physical and mental ability for carrying on under fatiguing conditions)

	3.25	3.16	1.96	1.96	1.89	2.08
	(.48)	(.55)	(.64)	(.69)	(.65)	(.66)

PERSONAL AP PEARANCE (Habitually appearing neat, smart, and well-groomed in uniform or civilian attire)

	2.76	3.14	2.08	2.07	1.73	2.06
	(.75)	(.64)	(.58)	(.65)	(.73)	(.67)

DIGNITY OF DEMEANOR (The qualities of attitude, mannerisms, and bearing)

	3.05	3.22	2.17^b	1.76^b	1.73	1.90
	(.51)	(.53)	(.64)	(.51)	(.34)	(.63)

ATTENTION TO DUTY (Industry; working thoroughly and conscientiously)

	3.16	3.03	2.04	1.83	1.53^c	1.86^c
	(.42)	(.56)	(.86)	(.71)	(.38)	(.62)

COOPERATION (Working in harmony with others, sworn and civilian)

2.95	3.04	2.04	1.86	1.55[d]	1.82[d]
(.45)	(.75)	(.75)	(.64)	(.32)	(.56)

INITIATIVE (The trait of taking necessary or appropriate action on own responsibility)

3.49	3.36	2.09	1.83	1.80[e]	2.10[e]
(.44)	(.56)	(.73)	(.76)	(.41)	(.52)

JUDGEMENT (The ability to think clearly and arrive at logical conclusions)

3.53	3.50	2.13	1.86	1.95	2.06
(.47)	(.64)	(.68)	(.58)	(.39)	(.55)

PRESENCE OF MIND (Think and act promptly and effectively in an unexpected emergency or under great strain)

3.56	3.58	2.19	2.12	1.94	2.05
(.44)	(.65)	(.51)	(.82)	(.44)	(.56)

FORCE (Carrying out with energy and resolution that which is believed to be reasonable, right, or duty)

3.37	3.37	2.38[f]	2.00[f]	1.84	2.07
(.45)	(.41)	(.71)	(.60)	(.34)	(.55)

LEADERSHIP (Direct, control, and influence others and still maintain high morale)

3.79	3.75	2.29	2.25	1.61[g]	2.08[g]
(.10)	(.24)	(.72)	(.70)	(.37)	(.64)

LOYALTY (Rendering enlightened, faithful and unswerving allegiance to the Department and to professional law enforcement)

3.14	2.99	2.04	1.69	1.38[h]	1.78[h]
(.54)	(.65)	(.69)	(.76)	(.39)	(.58)

ECONOMY IN MANAGEMENT (Effective utilization of men, money and material)

3.47	3.57	2.60[i]	2.13[i]	1.95	2.23
(.34)	(.45)	(.75)	(.68)	(.43)	(.59)

Indicate your attitude toward having this officer under your command during extreme emergencies

2.26	2.16	1.25	1.14	1.05[j]	1.31
(.46)	(.59)	(.53)	(.44)	(.15)	(.38)

Or in a crisis

Indicate your estimate of this officer's "General value to the Department"

3.28	3.12	2.13	1.79	1.78	2.02
(.46)	(.62)	(.54)	(.68)	(.34)	(.54)

Note. Values with the same superscripts differ significantly on independent t tests, p=.05. Number of participants for each variable differed, as some behaviors were not observed for all participants, or some ratings were missing. 1=Outstanding, 4=Average and 6=Unsatisfactory.

Medical Leave

The number of incidents and the number of days of line-of-duty (LOD) and non-line-of-duty (NLOD) medical leave were obtained from Police Department personnel records. The total number of incidents and number of days was divided by years of service to yield an average number of incidents and days of both LOD and NLOD medical leave.

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Independent t tests indicated no difference in the number of LOD medical leave days for Nominees and Controls. There was no difference in the number of days lost for LOD injuries for Nominees (M=.36) or Controls (M=.53) [t(53)=1.46, p=.15].

However, there was a large statistical difference in non-line-of-duty absences. Nominees averaged 2.44 NLOD days off per year over their careers. Controls averaged 4.62 or almost twice the amount. This difference is highly significant [t(53)=2.31, p=.03]. Nominees take less time off per year for non-line-of-duty reasons than do Controls. In addition, there was a contrasting pattern of absences by nominees and controls. Absences by controls were consistent over the year, whereas nominees' absences occurred in highly specific patterns. Possible explanations may be that sergeants who become exemplary are people whose commitment to the job and community takes precedence over personal illness over that controls take sick days on a regular basis because they are available whereas nominees only take sick days when they are seriously ill.

F. Results Summary

This examination of the characteristics of exemplary sergeants and a comparison of personnel records to determine predictability data was somewhat complex. Therefore, a summary of the study results is offered below.

A. Establishment of Characteristics-
   10 characteristics were culled from a total of 42.
B. 94 potential subjects were identified by peer nomination with a total sample size of 24 exemplary sergeants or nominees and 26 controls.
C. Results of Formal Measures
   1. Genogram: Both groups had parents with a strong work ethic; nominees had fewer positive factors in their backgrounds than controls.
   2. Leadership Practices Inventory: There were no differences between leadership characteristics between nominees and controls. It is interesting to note that as a total group (nominees and controls) their lowest scores were on Inspiring a Shared Vision and Challenging the Process. Since both of these factors are related to finding new ways to do things and risk taking, the finding may suggest a police culture variable.
   3. Motivation: While there were no differences between nominees and controls there was a consistency in that as a group their strongest motives were achievement and power and the level of motivation did not correlate with performance ratings or developmental risk factors.
   4. 16 PF Scale Scores: There were no differences between nominees and controls though as a group they were consistent in a more noticeable characteristic of tough mindedness, e.g., problems are dealt with cognitively rather than emotionally. There was a tendency for nominees to be more open to change and to score slightly less on tough mindedness that controls.
   5. Moral Reasoning: The nominees scored significantly higher on all three moral reasoning variables than controls. The nominees selected moral exemplars that

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were friends, family members, or colleagues whereas controls selected religious or historical figures.

D. Results of Personal Interviews

1. Reasons for Becoming a Police Officer: No differences between the two groups.
2. Reasons for Remaining a Police Officer: Both groups agreed that they stayed out of love of the job; nominees focussed on job security slightly more than controls.
3. Reason to Take Sergeant Exam: Both groups mentioned career advancement and nominees were less likely to mention salary as a motivating factor.
4. Speed of Promotion: Nominees achieved the rank of sergeant at a rate faster than controls but controls achieved the rank of lieutenant faster than nominees.
5. Standing on Sergeant Exam: There was no difference in scores between nominees and controls on the sergeant's exam.
6. Training: There was no difference in the evaluation of either field training or preparation for the rank of sergeant between nominees and controls.
7. Sergeant as Trainer: Neither group regarded training as a significant role for a sergeant.
8. Request for Special Training: There was no difference between nominees and controls in their requests for special training or selection.
9. Complexity of Sergeants' Job: There was no difference in the perception of the complexity of the job between nominees and controls, nor was there a difference in their perception of qualities of a good sergeant.

E. Results of Review of Personnel Records:

1. General Information: There was no difference between nominees and controls on such variables as number of assignments, transfers, special details, commendations or sustained disciplinary actions.

2. Performance Ratings: There were no differences in performance ratings between nominees and controls with two exceptions. There were significant difference in supervisor's ratings for the year prior to promotion to sergeant; controls were rated higher by supervisors than nominees and nominees scored higher for their last two years as sergeants than controls. Finally, lieutenants selected nominees more often than controls as being more desirable to have in one's command in a crisis situation.

3. Medical Leave: There was a significant difference between nominees and controls as to the numbers of days of non-line-of-duty illness annually and a difference in distribution of sick days.

A second summary, organized differently, will provide additional information for consideration for results and future research. The results are listed below in three separate categories: 1. Same; 2. Slight difference; and 3. Statistically significant difference.

Variables/Same: Nominees and controls were alike in the following ways:

1. Parents had strong work ethic
2. Leadership characteristics, though it is important to note that both groups scored low on Inspiring a Shared Vision and Challenging the Process.
3. Motivated by achievement and power
4. Personality characteristics included "toughmindedness"
5. Became a police officer for job security, helping others, to make a difference, and had a friend or relative who was a police officer
6. Remained in policing out of love of the job
7. Took the sergeants exam for career advancement
8. Requested and received special training at about the same rate
9. Perceived complexity of the job of sergeant in the same way
10. Evaluated field training and training for sergeant similarly
11. Did not regard training as a significant role for a sergeant
12. Numbers of assignments, transfers, etc. were similar
13. No difference in overall performance ratings, both groups were rated as "good" or "very good"
14. Education levels, including moral education, and military service were similar.

Variables with Slight Variation: Nominees and controls varied slightly in the following ways:

1. On reasons for remaining a police officer, nominees focussed slightly higher on job security
2. On reasons for taking sergeants' exam, nominees were slightly less likely to mention salary as a motivating factor
3. In the year prior to promotion to sergeants, controls typically scored higher than nominees; however, in the last two years as sergeants, nominees typically scored higher
4. Lieutenants selected nominees more often than controls as being desireable to have in one's command in a crisis situation
5. Nominees scored above average in "Sensitivity" on the 16 PF Scale and slightly lower on toughmindedness than controls, and tended to score as being more open to change
6. Nominees had a slightly higher rate of reenlistment in their military service
7. Nominees cited "being in the middle" between management and line officers as the most difficult part of the job; controls did not
8. Nominees rated themselves higher on "communication skills" than did the controls
9. Ratings by supervisors and subordinates were closer to the self-ratings of nominees than those of the controls
10. Nominees reported having fewer positive factors in their early years compared to controls.

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Variables with Statistically Significant Differences: Nominees and Controls differed significantly in the following areas:

1. Nominees scored significantly higher on all three moral reasoning variables than controls
2. Nominees selected friends, relatives, and authority figures in their lives as moral exemplars where controls selected religious and/or historical figures
3. Nominees were promoted to sergeant faster than the controls and promoted to lieutenant at a slower rate than controls
4. Nominees used fewer Non-line-of-duty sick days, as well as using them in characteristically different ways.

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V. DISCUSSION

The purposes of this study were: to identify characteristics of exemplary sergeants that distinguished them from less competent peers; to determine if these characteristics could be easily measured; and to determine whether or not data identifying exemplary sergeants were evident in personnel records. The study encountered methodological issues early in the project and, ultimately, altered the goals of the project. Initially the BPD/JHU research team set out to identify critical differences between exemplary and less-than-exemplary sergeants in the Baltimore Police Department. When the researchers realized that the sample size was too small for reliable statistical analysis, the study reverted from experimental to exploratory to identify characteristics, and potential underlying interrelationships of the characteristics, to provide direction for further research.

Methodological Issues

Sample Size: While a large number of variables were identified to be tested, it became clear early in the research that the numbers of subjects available for nominees and controls (55) was too small for reliable statistical testing for significant differences. Nonetheless the study, as an attempt to explore critical differences between exemplary and non-exemplary sergeants, yields critical findings to provide direction for further research and information to allow police agencies direction to develop predictive measures.

Sample Differentiation: While the original intent of the study was to differentiate between exemplary sergeants and less than average performers, the final differentiating factors had to be applied to exemplary sergeants and average or slightly above average sergeants. While the nominating system produced clear indications of exemplary sergeants, it did not differentiate the remainder of the population according to poor and/or average categories. This compromised the ability of the research team to compare the nominee group to a control group that comprised the opposite extreme of the exemplary group. However, the differences between nominees and average-to-above sergeants provided important clues as to the characteristics of an exemplary sergeant.

Nomination Process: The process used to nominate exemplary sergeants may, if conducted differently, have yielded different results. Focus group participants were asked to identify leadership characteristics. Once the list of 42 possible categories was clustered to yield ten characteristics, focus group participants were asked to match the characteristics to the sergeant population and select those that most closely matched the selected characteristics. It is interesting to conjecture as to how the results may have been similar or dissimilar if focus groups had simply been asked to nominate exemplary sergeants without the benefit of the intervening variable of exemplary characteristics.

Instrument Development: The measurement of moral reasoning was conducted using a scale developed by a member of the research team and solely for the purposes of this study. The categories selected for coding are based on the research of Kohlberg and Gillian. This measurement was not derived from an validated instrument.

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<u>Generalizability:</u>   Only sergeants from the City of Baltimore, Maryland Police Department participated in the study and, therefore, results may not be generalizable beyond Baltimore.

<u>Community Input:</u> The original intent of the study was to acquire community input into the selection of exemplary sergeants. This expectation was based on the theory that with the exercise of community policing, community members would be aware of their sergeant and have an opinion as to their competency. However, when approached, community groups were, in fact, not acquainted with sergeants for their respective neighborhoods.

Implications of General Findings

<u>Identifying Distinguishing Characteristics:</u>   This study resulted in two remarkable findings that provide direction for further research. These findings are that exemplary sergeants can be distinguished from less competent sergeants on these dimensions: moral reasoning ability, identification of moral exemplars, patterns and amounts of sick leave, and the fact that after working with exemplary sergeants, lieutenants selected exemplary sergeants as being preferable in times of crises.

Even though the moral reasoning testing procedure applied was not a validated one, the double blind technique verified that there is some aspect of moral reasoning ability of exemplary sergeants that is distinctive, and should be explored as a potential predictive factor for the selection of sergeants. Researchers, using the double blind approach, correctly differentiated between the nominees and controls on the basis of moral reasoning ability for all but two of the 50 subjects. The two exceptions were female sergeants. This result may suggest that even with the Gilligan attempt to discriminate between male and female moral reasoning patterns, developmental work is needed to fully understand differences between male and female moral reasoning. More importantly, the ability of researchers to correctly categorize subjects on the basis of one dimension, e.g., moral reasoning, despite that lack of a validated testing procedure, suggests that these findings should be explored further

When asked to give examples of moral exemplars, nominees selected individuals known to them personally, while the control group selected famous people. This finding may imply that nominees view the world differently from controls on some dimension worthy of exploration. Or it may signify that controls, attempting to satisfy the need to provide a name quickly, resorted to famous people rather than taking the time to examine individuals known to them personally. Whether the difference is in how the two groups operate under emergency conditions or whether nominees have higher quality relationships with people, the difference is worth further exploration.

Data for analysis of sick leave were collected from personnel files. Differences in both patterns and amount of sick leave used suggest that nominees have an alternative regard for sick leave use compared to controls. The pattern suggests that nominees only use sick leave when needed and the amount suggests that nominees curtail its use absolute

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necessity. The personal interview did not explore views of sick leave with subjects. However, implications are that nominees either have a higher moral standard for sick leave use or are more involved in their jobs and have a stronger motivation to be at work. There may well be other explanations for the differences.

The results of this study are highly significant for both professional development for the rank of sergeant and for complexities of predictive or promotional, measures. These findings suggest that exemplary first line supervisors are essentially different from their peers in sophisticated and profound ways. These differences revolve around thinking patterns and abilities rather than dimensions generally selected for differentiation. Prevalent theory may suggest that high performers result from advanced education, training, opportune assignments or on-the-job experience, age, gender, knowledge of policy and procedures, and/or innate and measurable leadership capabilities that are identified through traditional promotional processes. This study, however, suggests that some other characteristic is operating resulting in superior performance. The implications are that different predictive measures are needed to identify superior performers and that it may be possible to train and develop superior performers. This latter consideration would also require additional research since this particular study did not attempt to discern if sergeants could be trained to engage in higher quality of moral reasoning for problem solving.

Interrelationship of Characteristics: There are other approaches to the analysis of the results: 1) the research team could focus only on those characteristics with statistically significant results; or, 2) the research team could consider both the characteristics yielding significant results and those with slight differences and explore the interrelationships of both sets of results. The latter approach is preferable since the sample size was too small for reliable statistical significance resulting in exploratory research only. The variables with slight differences, in combination with those with critical differences, provide important direction for further research.

There were three variables differentiating nominees from controls at a significant level- moral reasoning, moral exemplars and sick leave use. At face value, these differences do not appear to be connected. However, when viewed in combination with those differences that yielding only slight differences, a theoretical model of characteristics of exemplary performers may become evident.

For example, the logic of the model may be that problem solving is not a simplistic and mechanistic process but a complex one. The process may include the application of moral values, motivation, and intellectual and creative abilities, in combination with each other. In this study, nominees were superior to controls in their abilities to articulate the core dilemma and design creative and flexible solutions. What is not evident is the relationship between creativity, intelligence and moral values in the problem solving process. Examples of hypotheses or logic models are:

1. Nominees may have more effective than controls due to intellectual superiority (though intelligence testing did not support this theory);

2. Nominees may have been more effective due to a type of moral grounding representing a logic model to draw upon in solving problems;
3. Nominees' greater creativity in designing solutions may be related to their higher scores on "open to change" providing increased flexibility;
4. Nominees have a greater interest in their work and, therefore, try harder.

Moral grounding may be related to other areas of the research as well. For example, nominees used sick leave only when needed, while controls appeared to take sick leave regularly. Nominees' greater concern over being in the middle between officers and management may relate to a moral issue over divided loyalty. Similarly, nominees higher ratings on being less "tough" and more "sensitive" than controls may derive from a particular type of moral grounding. And finally, the fact that nominees selected "real" people as exemplars while controls selected well-known religious and historical figures may have implications. Either nominees are in conversations with their role models on moral issues or that they are aware of the extent to which they adopted ideas or thought patterns from those with whom they have been associated. Further, nominees may have a lesser tendency towards stereotyping than controls. It is also possible that nominees are more concerned with moral issues than controls. Nonetheless, these findings suggest that some moral content may be operating more actively for nominees than controls.

Other measures yielding only slight differences may become significant over time, with larger and more broadly distributed samples. When combined with areas of significant differences, these measures may ultimately point to a rationale that explain differences between exemplary and average or simply good sergeants, or lead to the development of a particular leadership model for testing.

The data suggest there is some cognitive or moral element that distinguishes exemplary sergeants from others. For example, while both groups listed power and achievement as reasons for taking the sergeants' exam, the nominees were less likely to mention salary as a reason for seeking promotion. This may suggest that work and achievement have a different meaning for nominees. The fact that lieutenants named nominees more often than controls as being more desirable to have in one's command in the event of a crises, may suggest that nominees think and solve problems better, or are steady and calm in a crisis. The individual with the ability to remain steady and calm in a crisis either has an ability to assess the situation more reasonably and see a larger picture, or is unwilling to display emotions. Nominees, in addition to scoring higher on "sensitivity" also appeared more "open to change." Both of these characteristics may imply that nominees typically are more invested in their job and its meaning, or seek change as a means to improving performance. Being "open to change" may also suggest intolerance for boredom, or someone not invested in the events around them. Given other characteristics of exemplary sergeants, the latter speculation does not seem to apply. The slightly higher rate of enlistment for military service may be consistent with deeper involvement in a job or a type of loyalty. The fact that nominees' self ratings were closer to the ratings by supervisors and subordinates suggest self-effacement and lower self esteem or an ability to assess themselves realistically. Realistic assessment capability may explain nominees' ability to articulate moral dilemmas more effectively than controls. While nominees and

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controls both sought achievement and power through promotion to sergeant, the test results do not reveal the definition of "power" typically applied by each group. Some may be operating under a need for "affiliative" power (I am elevated because I now meet with lieutenants and/or captains regularly), or "symbolic" power (I now have three stripes on my sleeve). Others may define power as being able to influence the actions of others through thoughtful guidance, care, and concern for subordinates.

Ease of Measurement: Many measurements were used in the conduct of this research. The reason for the excessive number of instruments and lengthy personal interviews was the ability to cast a wide net in order to ensure every possibility to identify unique differences. Several steps are needed to resolve the measurement issue. The moral reasoning instrument needs to be validated and further explored and analyzed to determine whether the distinction occurs as a result of a moral grounding or a sophisticated reasoning ability. There are other considerations. For example, are there measures other than moral reasoning that may explain differences.

Data in Police Personnel Files: This research study determined that there is little to no data currently in typical police personnel files that would identify or predict superior performers at the sergeant rank. However, after other changes (see Implications for the Baltimore Police Department) in police processes, data could be reviewed again for evidence of superior performance.

Implications for the Baltimore Police Department

This study revealed some aspects of the Baltimore Police Department that may require attention. These findings are not remarkable in and of themselves since many agencies experience similar problems, issues, or deficiencies. The areas of significant concern are: promotion processes, training, performance evaluation, aspects of the police culture, and community input.

Promotion Processes: Universally police agencies struggle to develop promotional processes that are fair, objective, and discriminating. Unfortunately, it is rare that an agency is able to accomplish all three simultaneously. Yet, many pursue these objectives. Similarly, the BPD needs to review its promotional processes. The current sergeant's exam did not distinguish between nominees and controls. Nominees scored slightly lower than controls. Subjects agreed that the promotion process depended too highly on paper and pencil tests. Many departments have moved to assessment centers and other measures which tend to identify leadership. Exams identify those who have knowledge of policies and procedures and/or are simply good test takers. Most exams do not have the capability of judging leadership capabilities. Whether or not the promotional process should include a test of moral reasoning will depend on future research and verification of the findings of this study.

Training: Subjects were highly consistent in their opinion of training intended to prepare first line supervisors. Many police agencies suffer this deficiency. Agencies focus on entry-level training, while other training does not receive the same attention. Police agencies should have sound in-service training, executive training, and training for first

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line supervisors. Of these goals, first line supervision should receive the highest priority given the potential for impact on service delivery of this rank level.

Cultural Issues: The study revealed potential failings in two important cultural areas: the first line supervisory role in on-the-job training and participative management. Subjects were consistent in that they scored low on "Inspiring a Shared Vision" and "Challenging the Process." Secondly, subjects did not view the responsibility of on-the-job training as significant to their role as first line supervisors. While additional testing was not conducted to explore police department culture, these results certainly suggest that this area should be examined. When individuals in an organization do not experience any responsibility for shared visions and challenges, it may imply that police members are discouraged from creative problem solving within the organization. Progressive departments seek to encourage creative problem solving. It also suggests that members are either not held accountable for contributing to department improvements, or that management prefers "yes men." Finally, when first line supervisors do not engage extensively in on-the-job training, there are two prevailing reasons. First, that supervisors view their role as judgmental parent, e.g., their job is to review and rate subordinates' performance but not to develop the subordinate. Secondly, that the sergeant is besieged with paper work and unable to give sufficient attention to supervising subordinates. It may also suggest that the department functions simplistically and uses only enforcement techniques rather than more complex problem solving. Thus, the sergeant sees no reason for further development of subordinates. None of these conditions promotes either full development of staff or excellence in moving a department forward.

Performance Evaluations: The BPD is not terribly different from most police agencies in that its performance evaluation system does not distinguish between exemplary and average performers. Nearly all of the subjects of this study received the same ratings despite the fact that for two dimensions lieutenants preferred nominees over controls. (First, nominees were preferred in a time of crisis, and second, as nominees were about to advance to the lieutenant rank nominees were rated higher than controls on performance evaluations suggesting that the superior performance of nominees had been noticed.) Many performance evaluation systems are based on attributes. The disadvantage of using attributes is that these are highly subjective. Performance evaluation systems that are based on actual performance and behaviors experiences a high correlation between objectivity and the amount of time and effort required to achieve that objectivity. If the BPD does not want to use its resources to explore other systems they may want to consider abandoning any performance evaluation system, as the U.S. Army did at one time. Further, if the performance evaluation system is related to either promotions or salary, the BPD has a serious responsibility to develop a new system. When performance evaluation systems are used as input to either salary or promotion, police managers are highly reluctant to rate subordinates below an excellent or average rating. However, if the performance evaluation system is not related to promotion and/or salary it could then be regarded as an assessment tool for the purposes of staff development.

Community Input: An assumption was made that since the BPD was engaged in community policing, community members would be able to identify exemplary sergeants.

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However, community members in focus groups did not know who the sergeants for their areas were. Further, the research team did not encounter a preponderance of discussions regarding community policing. These findings have implications: 1) that sergeants do not regularly attend community meetings along with patrol officers; 2) that the BPD may be engaged in community policing, and officers may be conducting community problem solving, but that sergeants do not regard the community policing activities of patrol officers as critical to the overall service delivery of the patrol unit; 3) that neither patrol officers or sergeants regard community policing as a high priority. This research study did not pursue these issues. However, the implications are that the BPD needs to explore these issues if community policing is a high priority. If a patrol unit is engaged in community policing sergeants should be attending community meetings, at least periodically, in order to provide proper supervision and on-the-job training for its subordinates.

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VI. RECOMMENDATIONS AND CONCLUSIONS

The purposes of this study were to identify distinguishing characteristics of exemplary first line supervisors, to assess ease of measurement, and to determine if data identifying exemplary sergeants appears in personnel records typically. Despite the methodological issues of this study, results yield important recommendations.

Recommendations for the Baltimore Police Department

Since JHU conducted this study in partnership with the BPD, the following recommendations are offered.

Promotional Processes: The BPD may wish to re-evaluate its promotional processes for the purposes of incorporating these suggestions derived from interviews with nominees and controls: 1) expand the promotion process beyond a written exam and/or a personal interview; 2) develop a promotion process with greater complexity in order to distinguish between candidates with average and superior potential, e.g., assessment centers; and, 3) incorporate some type of problem solving/moral reasoning assessment capacity.

Training: Training to advance to the rank of sergeant, field training for sergeants, and in-service training for sergeants are all areas for potential improvement. In some cases, training that is extant may need improvement while in others, training needs to be developed initially to serve a need. There may already be a training program to advance to the rank of sergeant, however, length, subjects, and required field projects should be reviewed. Field training for sergeants is rare but does exist in some agencies and should be considered by the BPD. A required number of hours of in-service training for sergeants should be in place, if not already. This training could be based on a needs assessment of current sergeants, their subordinates, and superiors. On-the-job training is a special topic. Both sergeants and lieutenants need to be oriented to the need so that sergeants receive on-the-job training from lieutenants and officers receive on-the-job training from their sergeants.

Performance Evaluations: Performance evaluation systems are a challenge for most disciplines including the police. Attribute-based performance evaluation systems are subjective and should be replaced with a behavioral-based system. Field training systems should include a feature that allows sergeants, or officers in the case of new recruits, to be evaluated by several field training officials rather than only one. A field training system that rotates trainees promotes objectivity and removes the potential for a personality conflict between the evaluator and the subject.

Department Culture: The BPD may want to assess its prevailing patterns of participative management. Participative management encourages all members to put forth ideas for improvement and solutions to specific problems and creates an environment that promotes growth rather than fear and inhibition. Employees tend to be more comfortable and productive in a growth-producing environment.

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Further, the BPD may want to assess its problem solving capacities. Far too often, police agencies limit their actions and reactions to public safety to enforcement methods and miss great potential for service to the community and impact on public safety. Examples of enforcement activities are: arrest, threat, and stop-and-search. Solutions which address causes of problems include referring individuals to treatment, i.e., domestic violence; demolishing abandoned buildings by working through city government agencies to remove environmental disorder and havens for drug dealers; and working with a public school to curtail truancy. There are many other examples that enlarge police service for permanent solutions to problems and issues.

Community Input/Community Policing: The BPD may want to re-assess its particular approach to community policing. This study did not intend to evaluate community policing in the BPD and does not have complete information on this issue. However, the fact that community members could not identify sergeants may be a symptom of deeper issues. The fact that subjects did not refer to community policing in personal interviews may or may not be significant.

Recommendations for Further Research

The extraordinary findings of this research study are worth further pursuit through following recommendations:

Explanation of the Moral Reasoning Difference: While the unique characteristic of exemplary sergeants surfaced as a result of the application of a moral reasoning test, this does not provide a sufficiently clear explanation of the difference. Before an instrument is developed and validated, analytical research is needed to determine whether the reasoning difference is related to moral grounding or a unique cognitive ability.

Validation of the Instrument: Once the difference has been isolated, e.g., moral reasoning or cognitive ability, an instrument to test this variable needs development and validation.

Research of the Reasoning Ability: The study results suggest that exemplary sergeants have unique problem solving or thinking abilities. However, the study did not explore the source of these abilities beyond some correlations. Further research is needed. Possible factors impacting reasoning ability are: rearing practices, family conditions, intellectual capacity, early experiences that may impact cognitive patterns and/or work ethics, and motivations. An understanding of factors which impact reasoning ability may have implications for selection of recruits and first line supervisors and for training and other professional development techniques.

Patterns and Amounts of Sick Leave Use: This finding stands out as a truly distinguishing characteristic that differentiates exemplary sergeants from their peers. Comparison studies should be conducted across a sampling of agencies to determine universality of this finding. Ultimately, a study to explore the relationship between patterns and amounts of sick leave use and exemplary sergeants, is needed.

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<u>Experimental Studies:</u> There are any number of experimental studies that could be recommended. Often police research is descriptive in nature consisting of an examination of the status quo, or simple correlations are pursued. Experimental studies of treatment and control groups are needed to determine whether training and/oir professional development in moral reasoning for either first line supervisors or entry-level candidates improves future performance; experimental promotional processes need to be developed and compared; longitudinal studies of subjects with similar family, child rearing, values, or experiences could be conducted as a means to discover a cause/effect relationship between problem solving abilities and early development.

Conclusions

The purpose of this research was to identify distinguishing characteristics of exemplary first line supervisors, experiment with ease of measurement, and to examine whether data identifying superior performers was evident in personnel records. While the findings of the study were compromised due to methodological issues, the preliminary results are remarkable and further research needs to be conducted. Essentially, the research found that there are profound differences among high, average, and above-average performers at the rank of sergeant in the area of cognitive and/or moral reasoning abilities. A test of moral reasoning detected this difference. Further research is needed to validate the results; determine which is the core difference related to moral reasoning, e.g., a moral grounding or a unique reasoning ability; and, determine how or why certain individuals have this ability. This research should be followed by: 1) the development of an easy-to-administer measurement instrument; 2) a determination of whether or not this skill can be taught to adults; and, 3) development of law enforcement processes to provide corroborating data to predict high performers.

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VIII. APPENDICES

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Appendix A: Informed Consent

The Police Executive Leadership Program
The Johns Hopkins University
The Role of First-line Police Supervision Study

Purpose of the Study
The Johns Hopkins University Police Executive Leadership Program in conjunction with the Baltimore Police Department are conducting a study of exemplary first-line police supervision. Through this study, sponsored by the National Institute of Justice, the researchers wish to determine what makes good first-line supervision in the Baltimore Police Department. Although the study's parameters are narrowly focused on the city of Baltimore and its police service, the research team believes its findings will have implications for exemplary first-line police supervision throughout the United States.

Procedures
If you choose to participate, you will be detailed to us for a total of six hours, three separate two-hour sessions, approximately one to two weeks apart. In those sessions, you will take a series of paper and pencil tests, you also will be asked your opinions about a variety of issues and scenarios related, and sometimes unrelated, to police work, and you will participate in an extensive two hour interview. As a participant you will be asked if you are willing to identify a subordinate and a superior whom you believe could give an accurate assessment of your management/leadership style as a first line supervisor. Selected information from your personnel file will be coded for analysis by clerical staff of the Human Resources Department, who ordinarily have access to that information.

Benefits
Your participation in the study will be of no direct benefit to you. The Baltimore Police Department and police service in general could benefit greatly by your participation. The goal of the project is improved recruitment, training and evaluation procedures for the Baltimore Police Department, and beyond.

Risks and Discomforts
There are no known personal risks or discomforts associated with this study, nor will your employment status or your status as a retired officer is effected in any way.

Confidentiality
Any information you provide for the study will be held strictly confidential. Your name will not be identified with any of the data collected for the study. No Baltimore Police Department administrators will have access to any information gathered on participating

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individuals. Only aggregate (group) data will be reported.

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Voluntariness

Your participation in this study is completely voluntary. The research team will not begin any interviews until the research team has received your explicit permission. You also may end your participation at any point in the process. You also may decline to answer any interview or test question.

Findings of the Study

If you are interested in the results of the completed research report, it will be made available through the Johns Hopkins University Police Executive Leadership Program. Any questions you have about these results will be answered by the researchers after the project is completed.

Consent

If you sign this form, you are willing to join the research project described on the other side of this page. Two of the researchers gave a clear description of the study, the procedures they will follow, and the study's risks and benefits. They also have explained that your participation is completely confidential and voluntary.

No one but the principal investigators and their assistants will have access to the data collected in the study. If at any time you have any concerns about the study, you should call the Director of the Johns Hopkins Police Executive Leadership Program, Dr. Sheldon Greenberg, at (410) 516-0770. If you have any specific questions about the study, or your participation in it, you also may call the two principal researchers: Dr. Stephen Vicchio, Professor of Philosophy, the College of Notre Dame of Maryland, at (410) 532-5328 or Dr. Sally Wall, Professor of Psychology, the College of Notre Dame of Maryland, at (410) 532-5705.

signature of participant's _____
consent

signature of witness to _____
consent procedure

signature of researchers _____

_____

date _____

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Insert Appendix B: The Criteria Scale Here

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This questionnaire is aimed at understanding how you think about moral problems. Different people often have different opinions about moral matters and even different strategies for solving questions about right and wrong. The research team would like to find out what you think of the moral dilemmas presented in two stories, one police related, the other not. Your individual responses to these stories will be strictly confidential. Only aggregate data will be reported. Nowhere in the report will your individual responses be identified with your name. In this questionnaire you will be asked to give your opinions about four stories that contain some moral dilemmas. You also will be asked for ways you think the moral dilemmas might be solved. And finally, you will be asked to put in rank order the four most important factors in making your decisions.

Story #1   Heinz and the Drug

In Europe. a woman was near death from a special kind of cancer. There was one drug the doctors believed might save her. It was a form of radium that a chemist in the same city recently had discovered. The drug was expensive to make, and the chemist was charging ten times what the drug would cost to make. He paid $2,000 for the radium and charged $20,000 for a small dose of the drug. The sick woman's husband, Heinz, went to everyone he knew to borrow the money, but he could get together only about $10,000. Heinz went to the chemist and told him his wife was dying. He asked the chemist if he would give him the drug for the $10,000 or allow him to pay the money later, but the druggist flatly refused. Heinz became desperate and began to think about breaking into the chemist's lab to steal the drug for his wife.

Should Heinz steal the drug? (check one box)

Should steal it____   Can't decide_____   Should not steal it _____

Degree of Importance
Great Much Some Little None

1. Whether a community's laws are upheld.

2. It is only natural for a loving husband to care so much for his wife that he'd steals.

3. That Heinz would be willing to risk getting shot as a burglar or go to jail for the chance of saving his wife.

4. Whether Heinz is stealing for himself or solely for the good of his wife.

(Version A)

5. Whether the chemist's right to the profits from his invention ought to be respected.

6. Whether the imperative to live is important.

7. The values that are going to be the basis for governing a society.

8. Whether the chemist is going to be allowed to hide behind a worthless law that only protects the rich.

9. Whether the law is getting in the way of one of the most basic claims of any member of society.

10. Whether the chemist deserves to be robbed for being so greedy.

11. Whether stealing the drug would bring about more good for society as a whole

From the list (1-11), select the four most important factors in making your decision.

Most important   _____

Second most important   _____

Third most important   _____

Fourth most important   _____

If you were going to advise Heinz about what to do, are there other morally acceptable alternatives for solving this problem?
If so, what are they?

1._____ 3._____

_____ _____

2._____ 4._____

_____ _____

Story #2   The Man and the Abandoned Car

A young police officer on a cold February morning pulls up to an abandoned car in the poorest of a northern city. In the car, he finds a homeless man sleeping. The man apparently has taken up temporary residence there, and appears relatively comfortable given the cold weather outside. After banging on the window with his flashlight, the officer says to the man, "You can't sleep in this car. Get out of here now. The car will be impounded and sleeping here is illegal. You'll have to move your stuff now." Just as the officer is making these comments, his supervisory sergeant appears on the scene.

Should the sergeant have the man move? (check one box)

Should have him move_____   Can't decide_____   Should not have the man move____

Degree of Importance

Great Much Some Little None

1. Whether the ordinance against sleeping in abandoned vehicles are upheld.

2. That the officer and the department might be liable if the man froze to death.

3. Whether the car was abandoned.

4. Whether the letter of the law may be getting in the way of solving the problem.

5. Whether there are any shelters available.

6. The values that are going to be the basis for governing society.

7. Whether allowing the homeless man to sleep there would bring about more good for society as a whole.

8. Whether the police officer needs to be shown that cases like this require more sensitivity and finesse.

9. That one of the goals of a police officer ought to be the care and welfare of all citizens.

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10. That arresting the man or sending him to a shelter will require more work.

Code no. _____

From the list (1-11) select the four most important factors in making your decision.

Most important   _____

Second most important   _____

Third most important   _____

Fourth most important   _____

If you were going to advise the young police officer about what to do in this case, are there other morally acceptable alternatives to arrest, leaving the homeless man there, or making him move on? If so, what are they?

1._____   3._____

_____   _____

_____   _____

_____   _____

2._____   4._____

_____   _____

_____   _____

_____   _____

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Story #3 The Sleeping Officers

A newly promoted sergeant has been assigned to midnight shift. The first day on the job his lieutenant tells him to check a certain location to see if officers are sleeping on the job. When the sergeant arrives he finds three police cars, with lights out and engines running, parked behind an abandoned warehouse. In one of the cars a patrol officer is sound asleep. The officers in the other two cars are chatting.

Should the new sergeant inform the lieutenant of what he has found?

Should tell the lieutenant_____   Can't decide_____   Ought not to tell the lieutenant_____

Degree of importance
Great Much Some Little None

1. Whether the regulations explicit prohibit sleeping on the job.

2. Whether all three officers were asleep.

3. Whether it was a slow time of the year.

4. Whether they were veteran officers or rookies.

5. Whether every police officer ought to give an honest day's work for a day's pay.

6. Whether each officer ought to be held to following the expressed values of the department.

7. Whether the lieutenant has sent the sergeant to the scene to test his loyalty.

8. Whether informing the lieutenant would produce more good for the society as a whole.

9. Whether the sleeping officer has had a history of poor job performance.

10. Whether the sleeping officer has had a history of exemplary job performance.

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From the list (1-10), select the four most important factors making your decision.

Most important   _____

Second most important _____

Third most important   _____

Fourth most important   _____

If you were going to advise this new sergeant, are there things you would suggest he ought to say to the patrol officers? Should he say anything to the lieutenant who sent him to the scene?

1._____3._____

_____ _____

_____ _____

2._____4._____

_____ _____

_____ _____

Story #4 A Discharged weapon

An on-duty uniform police officer chases a burglar down an alley, taking a shot with his service weapon at the fleeing suspect. The officer does not hit the man, and the suspect escapes on foot. There are no witnesses. Later the officer stops at the station to tell a sergeant, not his supervisor, the story, off the record. The officer knew immediately after firing the weapon that it was the wrong thing to do.

Should the sergeant report the incident to his lieutenant or to the district commander?

Should report it_____   Can't decide_____   Should not report it_____

Degree of Importance

Great Much Some Little None

1. Whether the regulations explicitly forbid the discharging of a firearm in situations such as this.

2. Whether the officer knew the suspect to be a violent criminal.

3. Whether the officer had ever done anything like this in the past.

4. Whether informing on the officer will produce the most good for society.

5. Whether not informing on the officer would break a public trust.

6. Whether the sergeant knows that a dog has been shot with a 9mm round in the same neighborhood and at the same time as the incident.

7. Whether the officer has had an exemplary record in the past.

8. Whether this officer was upholding the expressed values of the department.

9. That writing a report on the incident would require more time an energy than not doing it.

10. Whether or not the officer would be reprimanded harshly.

Code no._____

From the list (1-10), select the four most important factors in making your decision.

Most important   _____

Second most important   _____

Third most important   _____

Fourth most important   _____

If you were advising the sergeant in this story, explain what you think it would be best
for him/her to tell the officer? What, if anything, should he tell the lieutenant or district commander?

1. _____   3. _____

     _____   _____

     _____   _____

2. _____   _____

     _____   _____

     _____   _____

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Moral Exemplars-Role-Models

In the space provided below, please list the names of three people, living or dead, who you consider to be moral exemplars or moral role-models (people you admire greatly for the moral character of their lives.)

          (1) Most admired _____

          (2) Second most _____

          (3) Third most   _____

Question 1: In the space provided below, tell us why you picked these people.
Question 2: Why did you pick #1 over #s 2 and 3?

Answer
#1_____

_____

_____

_____

_____

Answer
#2_____

_____

_____

_____

_____

_____

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Code No. _____

Moral Education

Do you have any formal religious or ethical training as a child? yes _____   no_____

If you answered yes, explain the nature of that training:

_____

_____

_____

_____

How important do you think that training was in the way you now make moral decisions?

very important _____

somewhat important _____

not very important _____

not at all important _____

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Appendix B   Informed Consent Form-Nominators

Introduction of Study and Informed Consent Statement

Good Morning. My name is Capt Busnuk and this is Dr. Sherman who is a civilian working in Planning and Research, and a primary author of this research project. Today you are being asked to take **about twenty minutes** of your time to participate in a study. If you are not currently a member of the Baltimore police Department or were not a member in the past, you can take a short break. Thank you.

The Baltimore Police Department and the Johns Hopkins University Police Executive Leadership Program are conducting a research project funded by the Justice Department. The study is entitled "Restructuring the Role of Police Sergeant by Identifying the Character Traits Associated with Success." The principal investigator is Sheldon F. Greenberg, Ph.D., The Johns Hopkins University. The project director is Major Victor Gregory, Interim Chief, Human Resources Bureau, Baltimore Police Department.

The goal of the project is to see if there are characteristics that are shared by outstanding sergeants in order to improve recruitment, training, promotion, and evaluation procedures. Most studies which look at the role of the sergeant look at occupational skills or tasks. This study is unique in that it looks at the character traits of successful sergeants. To this point in the study police officers of all ranks have identified character traits associated with outstanding sergeants.

We need your help. If you agree to participate you will be asked to nominate **exemplary** sergeants based on the criteria listed on the attached form and to give the reasons for your choice. You should know that the persons you identify may be one of the people contacted and asked to participate in this research project. However, no data we collect about any particular individual will be made available to the police department. Only group results will be reported, and all individual information will be coded for complete confidentiality. There will be no adverse career consequences for your nominees for either participating or declining to participate in this project.

You will also be asked to indicate your gender, race, age, unit of assignment, number of years of service, and rank. But, you do not have to include this information if you choose not to. Completing this form should take about fifteen minutes of your time.

Your own participation will be totally anonymous. The completed nomination form will be evidence that you have read this informed consent statement and agree to help us. Your name will not be on the nomination form, nor will you sign any form indicating that you agree to be a research participant. There will be no way for anyone to know that you were a part of this study unless you choose to share that information. Nor will it be possible for the research or anyone in the police department to determine who nominated a particular individual.

Your are under no obligation to participate. If you choose not to nominate anyone, just place the blank form in the envelope provided by the researcher. No forms will be reviewed as they are handed in. No one will know if you have submitted a nominee or not. However, we hope that you will help us with this study. There is no risk to your personally or in your role as police officer from participating in the project, but your participation may help us to improve

department practices.

Before starting please examine the form with me. On page two there are ten characteristics. We ask that you rank the top five. That means five will be left blank. Of the top five rank the most important trait number 1, second most number two, and so on. Use each rank only once. That is, only one one, only one two etc. On page two note that we are asking you to consider only sergeants you have known since 1985.

If you turn to page three, first paragraph. Please read the first paragraph. Note we are asking you to consider (a) those who were sergeants on or after 1985; (b) they may have been promoted or left the department; and (c) you may have known them but not worked for them.

In the next paragraph, note that we are asking you to consider why the person you nominated as number one is more exemplary than number two. We are asking you to think of the subtle distinctions that make for the very best and help us to understand these distinctions.

If you have any questions about this project or the form, contact any of the following:

Arnold K. Sherman, Ph.D.
Baltimore Police Department
(410) 396-2127

Stephen Vicchio, Ph.D.
College of Notre Dame of Maryland
(410 532-5328

Larry Lorton, Ph.D.
Police Executive Leadership Program
(410) 421-5523

Sally Wall, Ph.D.
College of Notre Dame of Maryland
(410) 532-5705

If you are interested in the results, our completed research report will be made available through the Police Executive Leadership Program.

Many Thanks,

Sheldon Greenberg, Ph.D.
The Johns Hopkins University
Police Executive Leadership Program

Major Victor Gregory, Interim Chief
Human Resources Bureau
Baltimore Police Department

Exemplary Sergeants Study:
First-Line Supervision

On page two you will find criteria for exemplary sergeants. These criteria were culled from focus groups of police officers, with all ranks from patrol officer to chief of police represented. Please carefully read the criteria and indicate the five most important characteristics in judging an exemplary sergeant. Please use each rank (1, 2, 3, 4, 5) only once. Thus a finished form will have five ranked characteristics (from 1 to 5) with one being most important and five being least important. And there will be five characteristics which are not ranked. This does not mean that they are unimportant, only that they are somewhat less important.

If you believe that there are important characteristics of exemplary sergeants not listed on page two, please provide those chararacteristics in the space provided below.

Thank you.

Important characteristics of esemplary sergeants omitted from the list found on page 2.

_____

_____

_____

_____

_____

Please read carefully. Thank you

Now, please **think of the police sergeants** (first line supervisors) **you have known since 1985.** You may have worked with them for them, or known them in other professional contexts. These people may or may not now be sergeants or even police officers. Using the criteria found on page 2, please provide the name of the person who most closely meets those criteria listed for exemplary sergeant; and the second most exemplary sergant.

Most exemplary sergeant: _____

Next most exemplary sergeant: _____

This next question is **very important** for our study. In the space below **please explain what there is about number one that makes them a better sergeant than number two.**

_____
_____
_____
_____
_____

Please name three people in the BPD you talk with most frequently when you want to know what is going on.

1. _____
2. _____
3. _____

Who do you talk with in the BPD when you want to get something done in reference to police work?

1. _____
2. _____
3. _____

At work, when you are not sure of the right thing to do, who in the BPD do you turn to?

1. _____
2. _____
3. _____

Please answer the following:

Age:	[ ]	21 - 24	(1)
	[ ]	25 - 29	(2)
	[ ]	30 - 34	(3)
	[ ]	35 - 39	(4)
	[ ]	40 - 44	(5)
	[ ]	45 - 49	(6)
	[ ]	50 - 54	(7)
	[ ]	55 and over	(8)

Years of police service	[ ]	Under three	(1)
	[ ]	3 - 5	(2)
	[ ]	6 - 9	(3)
	[ ]	10 - 12	(4)
	[ ]	13 - 15	(5)
	[ ]	16 - 19	(6)
	[ ]	20 - 29	(7)
	[ ]	30 and over	(8)

Rank:	[ ]	Patrol Officer	(1)
	[ ]	Agent	(2)
	[ ]	Detective	(3)
	[ ]	Sergeant	(4)
	[ ]	Lt. or Above	(5)
	[ ]	Other	(98)

Race:	Asian	[ ]	(1)
	Black	[ ]	(2)
	Hispanic	[ ]	(3)
	White	[ ]	(4)
	Other	_____	(98)

Unit of Assignment:	[ ] NW	(1)
	[ ] N	(2)
	[ ] NE	(3)
	[ ] SW	(4)
	[ ] S	(5)
	[ ] SE	(6)
	[ ] W	(7)
	[ ] C	(8)
	[ ] E	(9)

Gender: [ ] Female   (1)   [ ] Male   (2)

Other _____ (98)

FOCUS GROUP I: COMMENT RECORDING FORM (revised #1)

PROCEDURES

A. **Brief description of project**
1. Goal is to identify the characteristics of effective sergeants, what makes them good.
2. Seeking input from agents, patrolmen, field commanders, community.
3. Need results of this and seven other focus groups before formal part of study.

B. **Introduce selves:**
2. current assignment/department
3. age
4. length of service

B. **Objectives for this Focus Group**
2. Need to discuss what makes good leadership in your opinion.
3. Have a few general questions we want to ask. No right or wrong answers. Just discuss. We need to make sure we are on right footing for study.

FOCUS GROUP #: **1 2 3 4**　　　TEAM:　SV/SW　AS/LL　　DATE:　　　TIME:
(CIRCLE ONE)

PARTICIPANT	A	B	C	D
GENDER				
ETHNICITY				
AGE				
ASSNT/DEPT				
LENGTH/SERV				

OVER

QUESTIONS/AREAS OF INQUIRY

1. What are the qualities you look for in a good (ideal or best) sergeant?
   A. Why?

2. Think of the best sergeant you have known. What makes him/her the best?
   A. How much of a good sergeants responsibility is nurturing the careers of officers?

3. Think of the 2nd or 3rd best you have known. How did he/she differ from the best?
   A. Background, behavior, consequences. Elicit specific responses.
   B. How do sergeants balance when to come down on subordinates and when to cut them some slack?

4. What type of situations do sergeants handle that tells you they are good or bad?
   A. Elicit specific examples.
   B. How do they deal effectively when acting in a middle position:
      1. Between management and patrol officers.
      2. What role does management play in good supervision?
      3. What role does management play in critical thinking or problem solving?
      4. Between higher ups and the union
      5. Between policy and regs (the book) and what a situation calls for
   C. How does a sergeant fairly delegate assignments/details?

5. What are some moral or ethical dilemmas you have experienced in your career?
   A. Are they different for a patrol officer than for a sergeant or supervisor?
   B. Can you think of an instance or situation in which you had to make a moral decision?
      1. How did you go about it?
      2. Did you seek advice?
      3. From whom?
   C. Have you ever been faced with a situation where your personal moral point of view was compromised by the requirements of the job? Have you ever experienced any moral conflicts on the job?
      1. As a patrol officer?
      2. As a sergeant/supervisor?
   D. What are the biggest moral temptations for a police officer?
      1. With whom do you talk about these temptations?
6. Describe some situations you have experienced that distinguished the good from the bad.
   A. Between higher-ups and the union.
   B. Between higher-ups and patrolmen/agents.
   C. Between policies and regulations and what a situation called for.
   D. What are major conflicts in loyalties you see on the job?
      1. How do you resolve them?
   E. When cops go bad, why do they do it? What are the causes?
      1. for patrol officers?
      2. for supervisors?

Appendix C   Motivation Questionnaire

PELP STUDY

Please rate how much you agree/disagree with each statement below, using this scale:

a=Strongly Disagree
b=Disagree
c=Neutral
d=Agree
e=Strongly Agree

1. It is important for me to do whatever I'm doing as well as I can even if it isn't popular with people around me.

2. I find satisfaction in doing things as well as I can.

3. There is satisfaction in a job well done.

4. Doing something better than I have in the past is very satisfying.

5. I like to work hard.

6. Part of my enjoyment in doing things is improving my past performance.

7. I would rather do something at which I feel confident and relaxed than something which is challenging and difficult.

8. When a group I belong to plans an activity, I would rather direct it myself than just help out and have someone else organize it.

9. I would rather learn easy fun games than difficult thought games.

10. If I' m not good at something I would rather keep struggling to master it than move on to something I may be good at.

11. Once I undertake a task, I persist.

12. I prefer to do things that require a high level of skill.

13. I more often attempt tasks that I am not sure I can do than tasks I believe I can do.

14. I like to be busy all the time.

15. I try harder when I'm in competition with other people.

16. I enjoy being in competition with others.

17. It annoys me when other people perform better than I do.

18. It is important to me to perform better than others on a task.

19. I feel that winning is important in both work and games.

20. Learning to do something unique gives me a sense of satisfaction.

21. The more talents I acquire, the more successful I feel I will be.

22. I enjoy improving upon my past performance.

23. I find satisfaction in exceeding my previous performance even if I don't outperform others.

24. If given the chance, I would make a good leader of people.

25. I enjoy planning things and deciding what other people should do.

26. I dislike being the center of attention at large gatherings.

27. I would like doing something important where people looked up to me.

28. It isn't necessary to hold important positions in life.

a=Strongly Disagree
b=Disagree
c=Neutral
d=Agree
e=Strongly Agree

---

29. I like to have people come to me for advice.

30. I find satisfaction in having influence over others.

31. I enjoy debating with others in order to get them to see things my way.

32. I like to have a lot of control over the events around me.

33. I would like for my ideas to help people.

34. I hope to one day make an impact on others or the world.

35. I think I would enjoy having authority over other people.

36. I like to give orders and get things going.

37. I want to be a prominent person in my community.

38. I often worry that the next generation will live in a worse world than the one I live in.

39. I like to be admired for my achievements.

40. I think I am usually a leader in my group.

41. I am very concerned over the welfare of others.

42. When people I know are trying to solve a problem, my gut instinct is to offer them helpful   suggestions.

43. It would be very satisfying to be able to have impact on the quality of others' lives.

44. I would like an important job where people looked up to me.

45. I believe I will one day be someone of status.

46. I like talking to people who are important.

47. I am known by many people.

48. I intend to do something significant where people look up to me.

49. Sarcasm is at times an effective way to get my point across.

50. I like to provoke others.

51. I avoid trying to influence others to see things my way.

52. One should enjoy being the center of attention.

53. I don't like it when others ask me for advice.

a=Strongly Disagree
b=Disagree
c=Neutral
d=Agree
e=Strongly Agree

---

54. When introduced to someone new, I don't make much effort to be liked.

55. I prefer a leader who is friendly and easy to talk to over one who is more aloof and respected.

56. When I am not feeling well, I would rather be with others than alone.

57. If I had to choose between the two, I would rather be considered intelligent than sociable.

58. Having friends is very important to me.

59. I would rather express open appreciation to others most of the time than reserve such feelings for special occasions.

60. I enjoy a good movie more than a big party.

61. I like to make as many friends as I can.

62. I would rather travel abroad starting my trip alone than with one or two friends.

63. After I meet someone I did not get along with, I spend time thinking about arranging another, more pleasant meeting.

64. I think that fame is more rewarding than friendship.

65. I prefer independent work to cooperative effort.

66. I think that any experience is more significant when shared with a friend.

67. When I see someone I know walking down the street, I am usually the first one to say hello.

68. I prefer the independence which comes from lack of attachments to the good and warm feelings associated with close ties.

69. I join clubs because it is such a good way of making friends.

70. I don't believe in showing overt affection toward friends.

71. I would rather go right to sleep at night than to talk to someone else about the day's activities.

72. I have very few close friends.

73. When I'm with people I don't know, it doesn't matter much to me if they like me or not.

74. If I had to choose, I would rather have strong attachments to my friends than have them regard me as witty and clever.

75. I prefer individual activities such as solving puzzles to group ones such as going out with friends.

76. I am much more attracted to warm, open people than I am to less open people.

77. I would rather read an interesting book or go to the movies than spend time with friends.

78. When traveling, I prefer meeting people to simply enjoying the scenery or going places alone.

Appendix D   Moral Dilemmas

This questionnaire is aimed at understanding how you think about moral problems. Different people often have different opinions about moral matters and even different strategies for solving questions about right and wrong. The research team would like to find out what you think of the moral dilemmas presented in two stories, one police related, the other not. Your individual responses to these stories will be strictly confidential. Only aggregate data will be reported. Nowhere in the report will your individual responses be identified with your name. In this questionnaire you will be asked to give your opinions about four stories that contain some moral dilemmas. You also will be asked for ways you think the moral dilemmas might be solved. And finally, you will be asked to put in rank order the four most important factors in making your decisions.

Story #1   Heinz and the Drug

In Europe. a woman was near death from a special kind of cancer. There was one drug the doctors believed might save her. It was a form of radium that a chemist in the same city recently had discovered. The drug was expensive to make, and the chemist was charging ten times what the drug would cost to make. He paid $2,000 for the radium and charged $20,000 for a small dose of the drug. The sick woman's husband, Heinz, went to everyone he knew to borrow the money, but he could get together only about $10,000. Heinz went to the chemist and told him his wife was dying. He asked the chemist if he would give him the drug for the $10,000 or allow him to pay the money later, but the druggist flatly refused. Heinz became desperate and began to think about breaking into the chemist's lab to steal the drug for his wife.

Should Heinz steal the drug? (check one box)

Should steal it_____   Can't decide_____   Should not steal it_____

Degree of Importance
Great Much Some Little None

                                 1. Whether a community's laws are upheld.

                                 2. It is only natural for a loving husband to care so much for his wife that he'd steals.

                                 3. That Heinz would be willing to risk getting shot as a burglar or go to jail for the chance of saving his wife.

                                 4. Whether Heinz is stealing for himself or solely for the good of his wife.

(Version A)

Code No. _____

5. Whether the chemist's right to the profits from his invention ought to be respected.

6. Whether the imperative to live is important.

7. The values that are going to be the basis for governing a society.

8. Whether the chemist is going to be allowed to hide behind a worthless law that only protects the rich.

9. Whether the law is getting in the way of one of the most basic claims of any member of society.

10. Whether the chemist deserves to be robbed for being so greedy.

11. Whether stealing the drug would bring about more good for society as a whole

From the list (1-11), select the four most important factors in making your decision.

Most important _____

Second most important _____

Third most important _____

Fourth most important _____

If you were going to advise Heinz about what to do, are there other morally acceptable alternatives for solving this problem?
If so, what are they?

1._____ 3._____

_____ _____

2._____ 4._____

_____ _____

Story #2   The Man and the Abandoned Car

A young police officer on a cold February morning pulls up to an abandoned car in the poorest of a northern city. In the car, he finds a homeless man sleeping. The man apparently has taken up temporary residence there, and appears relatively comfortable given the cold weather outside. After banging on the window with his flashlight, the officer says to the man, "You can't sleep in this car. Get out of here now. The car will be impounded and sleeping here is illegal. You'll have to move your stuff now." Just as the officer is making these comments, his supervisory sergeant appears on the scene.

Should the sergeant have the man move? (check one box)

Should have him move_____   Can't decide_____   Should not have the man move____

Degree of Importance

Great   Much   Some   Little   None

1. Whether the ordinance against sleeping in abandoned vehicles are upheld.

2. That the officer and the department might be liable if the man froze to death.

3. Whether the car was abandoned.

4. Whether the letter of the law may be getting in the way of solving the problem.

5. Whether there are any shelters available.

6. The values that are going to be the basis for governing society.

7. Whether allowing the homeless man to sleep there would bring about more good for society as a whole.

8. Whether the police officer needs to be shown that cases like this require more sensitivity and finesse.

9. That one of the goals of a police officer ought to be the care and welfare of all citizens.

10. That arresting the man or sending him to a
shelter will require more work.

Code no. _____

From the list (1-11) select the four most important factors in making your decision.

Most important   _____

Second most important   _____

Third most important   _____

Fourth most important   _____

If you were going to advise the young police officer about what to do in this case, are there other morally acceptable alternatives to arrest, leaving the homeless man there, or making him move on? If so, what are they?

1._____   3. _____

_____   _____

_____   _____

_____   _____

2._____   4. _____

_____   _____

_____   _____

_____   _____

Story #3 The Sleeping Officers

A newly promoted sergeant has been assigned to midnight shift. The first day on the job his lieutenant tells him to check a certain location to see if officers are sleeping on the job. When the sergeant arrives he finds three police cars, with lights out and engines running, parked behind an abandoned warehouse. In one of the cars a patrol officer is sound asleep. The officers in the other two cars are chatting.

Should the new sergeant inform the lieutenant of what he has found?

Should tell the lieutenant_____   Can't decide_____   Ought not to tell the lieutenant_____

Degree of importance
Great Much Some Little None

1. Whether the regulations explicit prohibit sleeping on the job.

2. Whether all three officers were asleep.

3. Whether it was a slow time of the year.

4. Whether they were veteran officers or rookies.

5. Whether every police officer ought to give an honest day's work for a day's pay.

6. Whether each officer ought to be held to following the expressed values of the department.

7. Whether the lieutenant has sent the sergeant to the scene to test his loyalty.

8. Whether informing the lieutenant would produce more good for the society as a whole.

9. Whether the sleeping officer has had a history of poor job performance.

10. Whether the sleeping officer has had a history of exemplary job performance.

Code no. _____

From the list (1-10), select the four most important factors making your decision.

Most important   _____

Second most important   _____

Third most important   _____

Fourth most important   _____

If you were going to advise this new sergeant, are there things you would suggest he ought to say to the patrol officers? Should he say anything to the lieutenant who sent him to the scene?

1. _____ 3._____

_____ _____

_____ _____

2. _____ 4._____

_____ _____

_____ _____

Story #4   A Discharged weapon

An on-duty uniform police officer chases a burglar down an alley, taking a shot with his service weapon at the fleeing suspect. The officer does not hit the man, and the suspect escapes on foot. There are no witnesses. Later the officer stops at the station to tell a sergeant, not his supervisor, the story, off the record. The officer knew immediately after firing the weapon that it was the wrong thing to do.

Should the sergeant report the incident to his lieutenant or to the district commander?

Should report it_____   Can't decide_____   Should not report it_____

Degree of Importance

Great   Much   Some   Little   None

1. Whether the regulations explicitly forbid the discharging of a firearm in situations such as this.

2. Whether the officer knew the suspect to be a violent criminal.

3. Whether the officer had ever done anything like this in the past.

4. Whether informing on the officer will produce the most good for society.

5. Whether not informing on the officer would break a public trust.

6. Whether the sergeant knows that a dog has been shot with a 9mm round in the same neighborhood and at the same time as the incident.

7. Whether the officer has had an exemplary record in the past.

8. Whether this officer was upholding the expressed values of the department.

9. That writing a report on the incident would require more time an energy than not doing it.

10. Whether or not the officer would be reprimanded harshly.

Code no._____

From the list (1-10), select the four most important factors in making your decision.

Most important   _____

Second most important   _____

Third most important   _____

Fourth most important   _____

If you were advising the sergeant in this story, explain what you think it would be best
for him/her to tell the officer? What, if anything, should he tell the lieutenant or district commander?

1._____ 3._____

_____   _____

_____   _____

2._____ _____

_____   _____

_____   _____

Code no. _____

Moral Exemplars-Role-Models

In the space provided below, please list the names of three people, living or dead, who you consider to be moral exemplars or moral role-models (people you admire greatly for the moral character of their lives.)

          (1) Most admired _____

          (2) Second most _____

          (3) Third most _____

Question 1: In the space provided below, tell us why you picked these people.
Question 2: Why did you pick #1 over #s 2 and 3?

Answer
#1 _____

_____

_____

_____

_____

Answer
#2 _____

_____

_____

_____

_____

_____

_____

Moral Education

Do you have any formal religious or ethical training as a child?   yes _____   no _____

If you answered yes, explain the nature of that training:

_____

_____

_____

_____

How important do you think that training was in the way you now make moral decisions?

very important _____

somewhat important _____

not very important _____

not at all important _____

Appendix E   Criterion Scale

☐ Manager
☐ Direct Report   Respondent # _____

Rating Instructions

_____

This rating booklet contains rating scales that will be used to assess the effectiveness of individual supervisors participating in the Police Study. Each scale contains seven points, ranging from 1-7. We would like you to use these scales to rate yourself.

The procedure for completing the rating scales is as follows:

- Before making a rating, carefully read the statement over each rating scale. These statements provide examples of the kinds of behavior covered by the scale.

- If the 'low' end of the scale best describes your typical performance, a '1' or '2' would be the correct rating. If the 'high' end of the scale most closely matches your typical performance, a rating of '6; or '7' should be chosen. Intermediate performance should be given ratings of '3, '4', or '5.

- Treat each area of supervisory effectiveness as a relatively independent or separate area. Your ratings should accurately reflect your own effectiveness level.

- Base your ratings on how effective you are in each area *most of the time*.

- Base our ratings on the effectiveness, not on unrelated characteristics (for example, physical attractiveness, grade)

- Avoid the frequently made error of rating yourself the same on all scales – most people have some relatively stronger and weaker points.

Please try to give us the most accurate and objective ratings you can give. Remember that these ratings will be used for research purposes only and are not available to the police department.

Thank you again for your cooperation.

Code #_____

Performance Rating Scales

Instructions: Please read the descriptions of each category of performance. Make a circle around one number that best reflects what you believe to be your level of supervisory effectiveness. Please do this for each of the 10 categories.

1. Knowledge of the Job
How knowledgeable are you about policing?

Does not understand the job of policing well enough to supervise others; Lacks knowledge of rules and regulations; Officers working for him/her frequently must seek answers from other supervisors or units; Rarely is aware of personal and professional issues influencing the work unit morale.	Displays knowledge of most aspects of policing; Able to explain rules, regulations and equipment to officers working for him/her; Knows the system and how to make it work to get a job done; Monitors morale and pulse of the squad; Stays aware of what is going on in all areas of squad's jurisdiction at all time; Uses understanding of human nature when policing and when supervising.	Is sought out by people from outside the squad to answer policing questions; Not only knows the rules and regulations but can explain how and why they exist; Always puts officers working for him/her first; Constantly monitors information about the welfare and whereabouts of all squad members to ensure their safety using radio, personal updates, etc.

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |

2. Communication Skill
How effective are you at communicating both verbally and in writing, to keep superiors, subordinates, and peers properly informed; at responding in a timely and appropriate manner to citizen complaints; and, at passing information up and down the chain of command?

Does not provide key information to subordinates, supervisors or peers or does not provide information in a timely or accurate manner; attempts to resolve citizen complaints often aggravates the situation.	Adequately provides key information to subordinates, supervisors, and peers; does not withhold needed information; writes and verbalizes information clearly and is understood.	Excels in written and oral communication with subordinates, supervisors and peers; encourages open flow of information in areas of responsibility; consistently resolves citizen complaints in a manner that reflects well on the department.

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |

3. Character/Integrity
How effective are you in deciding and acting upon the 'right thing to do?'

Irresponsible and immature; Unable and/or unwilling to place the welfare of others before his/her personal welfare; Frequently disrespectful to fellow officers, community members, and superiors; Behaves in a manner that makes those that must rely upon him/her uneasy.	Puts the welfare of others before his/her personal welfare; Tries to be honest and fair; Usually displays respect for other officers, community members, and superiors; Typically behaves in a way that builds trust and maintains an open and caring environment; Practices appropriate discretion.	Always thinks of the greater good; Conducts him/herself in a manner that increases trust and raises confidence; Can be relied upon to be discrete yet creates a friendly, open environment; Other officers may describe him/her as wise, mature, honest, dedicated and fair.

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |

4. Management Skills:
How effective are you in planning and organizing work so that it is completed on time, by the most appropriate person?

Forgets to complete paperwork or needs frequent reminding; Always has to ask for progress reports rather than having timelines and milestones established and followed; Is usually described as disorganized.	Typically assigns work to the right person at the right time; Completes tasks in a timely manner, rarely requiring extensions; Sets milestones and timelines with subordinates and monitors progress.	Always organized; Appropriately assigns work, shifts assignments around to help the work get done effectively; sees things through to completion; Makes sure those who work for him/her complete tasks on time or ahead of schedule.

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |

5. Interpersonal Skills:

How effective are you in seeking and maintaining professional relationships at different levels in the organization?

Is known for being inflexible in dealing with people; Is difficult to interact with and rarely available to the officers who work for him/her; Officers working for him/her must frequently seek help from outside the work group to complete tasks or settle internal conflicts; May be perceived as a 'good old boy' who bases relationships on personal gain; Does not support his/her officers.	Maintains an open door policy but sometimes becomes too involved with officers working for him/her; Fosters teamwork; Co-workers back each other up even when they are not responsible for the work; Looks out for officers working with him/her; Sometimes has difficulty taking role of management; Always tries to support his/her officers.	Is able to use different styles of leadership; Communicates differently with different people; Maintains proper professional relationships (does not become "one of the boys"); Officers that work for him/her frequently go on to lead other units or to special assignments; People he/she works with like and respect him/her; Always stands up for his/her people.

1	2	3	4	5	6	7

6. Development of Officers:

How effective are you at developing the policing knowledge and skills of those working for you?

Lacks understanding of own strengths and weaknesses such that development of others is limited; Avoids situations that test his/her limits and thus prohibits the learning of officers working for him/her; Brings out the worst in people.	Understands the strengths and weaknesses of individual officers; Encourages officers to try new and/or difficult tasks; Seeks the best in every officer; Arranges training, formal and informal for officers working for him/her.	Brings out the best in people that work for him/her; Learns from those that work for him/her; Always encourages others to learn through trying new and/or difficult tasks; Works with the strengths and weaknesses of each officer to encourage personal and professional growth.

1	2	3	4	5	6	7

7. Problem Solving/Critical Thinking:
How effective a problem solver are you?

Relies upon established procedures to solve all problems; Has substantial difficulty solving interpersonal problems; Does not handle difficult decisions well; Has trouble sorting facts out during stressful situations.	Makes difficult decisions well; Can usually sort facts out to handle difficult situations; Uses commonsense to solve new or unusual problems.	Develops innovative and creative solutions to problems; Makes difficult decisions well and can help others to understand why the decision was appropriate; Sorts out facts to find heart of difficult problems whether the problem is technical or interpersonal.

1		2		3	4		5		6		7

8. Effective Disciplinarian:
How effective are you in disciplining officers working for you?

Inappropriately criticizes/disciplines officers working for him/her; Does not help officers to learn from their mistakes; Applies rules inconsistently; Divulges confidential or private information.	Disciplinary actions include feedback intended to help officers learn from their mistakes; Tries to apply rules fairly, consistently, and within context of the problem; Usually maintains appropriate discretion when dealing with private or confidential matters.	Able to turn disciplinary actions into a learning experience for the officer making a mistake; Punishment for breaking rules are clearly understood by all members of the unit; Discipline is fair and consistent; Treats disciplinary matters confidentially.

1		2		3	4		5		6		7

9. Effective Role-Model:

How effective are you in holding yourself and others accountable and responsible?

Does not have standards of conduct for him/herself or those working for him/her; Is a better follower than leader; Frequently requests more from the officers working for him/her than he/she would give.	Leads by example; Establishes standards of behavior for self and others; Does not ask others to do things he/she would not do; Strives for accountability and responsibility in the unit.	Others often imitate his/her behaviors; Sets high standards of behavior for him/her self and those that work for him/her; Would never ask others to do something he/she would not do; Accountability and responsibility are hallmarks of his/her unit.

1	2	3	4	5	6	7

10. Proactive/Leader:

How effective a leader are you?

Is always reacting to problems rather than planning for them; Cannot be counted upon to show up when needed; Rarely volunteers to assist others; Understanding and vision for supervisory sergeant job is unclear or nonexistent; Does not understand role in different tactical situations.	Tries to anticipate problems up and down the chain of command; Typically can be counted upon to show up whenever needed; Has a vision for how portions of the supervisory sergeant job could be done; Assists appropriately in difficult tactical situations.	Usually anticipates problems up and down the chain of command; Can be counted upon to show up whenever he/she is needed; Explains or demonstrates a vision of how the supervisory sergeant job could be done; Acts appropriately in difficult tactical situations.

1	2	3	4	5	6	7

Appendix F   Permission Form-Subordinates/Supervisors

Code #_____

       You have now completed the Performance Rating Scale and the Leadership Performance Inventory by rating yourself on each item. WE would also like to obtain ratings of these same behaviors from someone you supervised and from one of your supervisors. We would like you to nominate two people who would be able to rate your performance **as a sergeant** on these scales Please select one person who was your supervisor and one who was your subordinate **when you were a sergeant.**

      Please remember, their responses will be coded only with your number. No one will be able to pair any ratings with your name. Coded forms will be mailed to your nominees after we have contacted them and asked them to complete the ratings. No one in the department will see the rating forms.

      If you will allow us to contact two people and ask them to complete these ratings, please supply the names of your selected raters below.

                                  Thanks,

                                    Steve and Sally

- - - - - - - - - - - - - -

The following individuals know my performance as a sergeant and would be able to complete the performance ratings:

_____   Supervisor _____
Name   (Assignment and dates)

_____   Subordinate_____
Name   (Assignment and dates)

Appendix G   Leadership Practices Inventory-Observer/Self

JAMES M. KOUZES/BARRY Z. POSNER

LEADERSHIP PRACTICES INVENTORY [LPI]

OBSERVER

Name of Leader:_____

INSTRUCTIONS

You are being asked by the leader whose name appears above to assess his or her leadership behaviors. On the next two pages are thirty statements describing various leadership behaviors. Please read each statement carefully. Then look at the rating scale and decide *how frequently this leader engages in the behavior* described.

Here's the rating scale that you'll be using:

1 = Almost Never	6 = Sometimes
2 = Rarely	7 = Fairly Often
3 = Seldom	8 = Usually
4 = Once in a While	9 = Very Frequently
5 = Occasionally	10 = Almost Always

In selecting each response, please be realistic about the extent to which the leader *actually* engages in the behavior. Do *not* answer in terms of how you would like to see this person behave or in terms of how you think he or she should behave. Answer in terms of how the leader *typically* behaves—on most days, on most projects, and with most people.

For each statement, decide on a rating and record it in the blank to the left of the statement. When you have responded to all thirty statements, turn to the response sheet on page 4. *Do not write your name on the response sheet.* Transfer your responses and return the response sheet according to the instructions provided.

For future reference, keep the portion of your LPI-Observer form that lists the thirty statements.

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I

LEADERSHIP PRACTICES INVENTORY [LPI]

OBSERVER

To what extent does this person typically engage in the following behaviors? Choose the number that best applies to each statement and record it in the blank to the left of the statement.

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

He or She:

_____ 1. Seeks out challenging opportunities that test his or her own skills and abilities.

_____ 2. Talks about future trends that will influence how our work gets done.

_____ 3. Develops cooperative relationships among the people he or she works with.

_____ 4. Sets a personal example of what he or she expects from others.

_____ 5. Praises people for a job well done.

_____ 6. Challenges people to try out new and innovative approaches to their work.

_____ 7. Describes a compelling image of what our future could be like.

_____ 8. Actively listens to diverse points of view.

_____ 9. Spends time and energy on making certain that the people he or she works with adhere to the principles and standards that have been agreed on.

_____ 10. Makes it a point to let people know about his or her confidence in their abilities.

_____ 11. Searches outside the formal boundaries of his or her organization for innovative ways to improve what we do.

_____ 12. Appeals to others to share an exciting dream of the future.

_____ 13. Treats others with dignity and respect.

_____ 14. Follows through on the promises and commitments that he or she makes.

_____ 15. Makes sure that people are creatively rewarded for their contributions to the success of projects.

2

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

He or She:

_____ 16. Asks "What can we learn?" when things do not go as expected.

_____ 17. Shows others how their long-term interests can be realized by enlisting in a common vision.

_____ 18. Supports the decisions that people make on their own.

_____ 19. Is clear about his or her philosophy of leadership.

_____ 20. Publicly recognizes people who exemplify commitment to shared values.

_____ 21. Experiments and takes risks even when there is a chance of failure.

_____ 22. Is contagiously enthusiastic and positive about future possibilities.

_____ 23. Gives people a great deal of freedom and choice in deciding how to do their work.

_____ 24. Makes certain that we set achievable goals, make concrete plans, and establish measurable milestones for the projects and programs that we work on.

_____ 25. Finds ways to celebrate accomplishments.

_____ 26. Takes the initiative to overcome obstacles even when outcomes are uncertain.

_____ 27. Speaks with genuine conviction about the higher meaning and purpose of our work.

_____ 28. Ensures that people grow in their jobs by learning new skills and developing themselves.

_____ 29. Makes progress toward goals one step at a time.

_____ 30. Gives the members of the team lots of appreciation and support for their contributions.

Now turn to the response sheet and follow the instructions for transferring your responses.

3

LEADERSHIP PRACTICES INVENTORY [LPI]

OBSERVER

RESPONSE SHEET

Name of Leader:_____

Your Relationship to This Leader:

☐ Manager ☐ Direct Report ☐ Coworker ☐ Other

Instructions: If the leader's name does not appear in the blank above, please write it in. *Do not write your name on this sheet.* Separate the response sheet from the rest of the LPI by tearing along the perforated line. Transfer the ratings for the statements to the blanks provided *on this sheet.* Please notice that the numbers of the statements on this sheet are listed from *left to right.*

After you have transferred all ratings, return the form according to the "Important Further Instructions" below.

1. _____	2. _____	3. _____	4. _____	5. _____
6. _____	7. _____	8. _____	9. _____	10. _____
11. _____	12. _____	13. _____	14. _____	15. _____
16. _____	17. _____	18. _____	19. _____	20. _____
21. _____	22. _____	23. _____	24. _____	25. _____
26. _____	27. _____	28. _____	29. _____	30. _____

Important Further Instructions

After completing this response sheet, return it to:

_____

_____

_____

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0-7879-0972-6

JAMES M. KOUZES/BARRY Z. POSNER

LEADERSHIP PRACTICES INVENTORY [LPI]

SELF

Your Name:_____

INSTRUCTIONS

Write your name in the blank above. On the next two pages are thirty state-
ments describing various leadership behaviors. Please read each carefully. Then
look at the rating scale and decide *how frequently you engage in the behavior*
described.

    Here's the rating scale that you'll be using:

1 = Almost Never	6 = Sometimes
2 = Rarely	7 = Fairly Often
3 = Seldom	8 = Usually
4 = Once in a While	9 = Very Frequently
5 = Occasionally	10 = Almost Always

In selecting each response, please be realistic about the extent to which you
actually engage in the behavior. Do *not* answer in terms of how you would like
to see yourself or in terms of what you should be doing. Answer in terms of
how you *typically* behave—on most days, on most projects, and with most
people.

    For each statement, decide on a rating and record it in the blank to the left
of the statement. When you have responded to all thirty statements, turn to
the response sheet on page 4. *Make sure that you write your name on the
response sheet in the blank marked "Your Name."* Transfer your responses and
return the response sheet according to the instructions provided.

    For future reference, keep the portion of your LPI-Self form that lists the
thirty statements.

I

LEADERSHIP PRACTICES INVENTORY [LPI]

SELF

To what extent do you typically engage in the following behaviors? Choose the number that best applies to each statement and *record it in the blank to the left of the statement.*

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

_____ 1. I seek out challenging opportunities that test my own skills and abilities.

_____ 2. I talk about future trends that will influence how our work gets done.

_____ 3. I develop cooperative relationships among the people I work with.

_____ 4. I set a personal example of what I expect from others.

_____ 5. I praise people for a job well done.

_____ 6. I challenge people to try out new and innovative approaches to their work.

_____ 7. I describe a compelling image of what our future could be like.

_____ 8. I actively listen to diverse points of view.

_____ 9. I spend time and energy on making certain that the people I work with adhere to the principles and standards that we have agreed on.

_____ 10. I make it a point to let people know about my confidence in their abilities.

_____ 11. I search outside the formal boundaries of my organization for innovative ways to improve what we do.

_____ 12. I appeal to others to share an exciting dream of the future.

_____ 13. I treat others with dignity and respect.

_____ 14. I follow through on the promises and commitments that I make.

_____ 15. I make sure that people are creatively rewarded for their contributions to the success of our projects.

2

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

_____ 16. I ask "What can we learn?" when things do not go as expected.

_____ 17. I show others how their long-term interests can be realized by enlisting in a common vision.

_____ 18. I support the decisions that people make on their own.

_____ 19. I am clear about my philosophy of leadership.

_____ 20. I publicly recognize people who exemplify commitment to shared values.

_____ 21. I experiment and take risks even when there is a chance of failure.

_____ 22. I am contagiously enthusiastic and positive about future possibilities.

_____ 23. I give people a great deal of freedom and choice in deciding how to do their work.

_____ 24. I make certain that we set achievable goals, make concrete plans, and establish measurable milestones for the projects and programs that we work on.

_____ 25. I find ways to celebrate accomplishments.

_____ 26. I take the initiative to overcome obstacles even when outcomes are uncertain.

_____ 27. I speak with genuine conviction about the higher meaning and purpose of our work.

_____ 28. I ensure that people grow in their jobs by learning new skills and developing themselves.

_____ 29. I make progress toward goals one step at a time.

_____ 30. I give the members of the team lots of appreciation and support for their contributions.

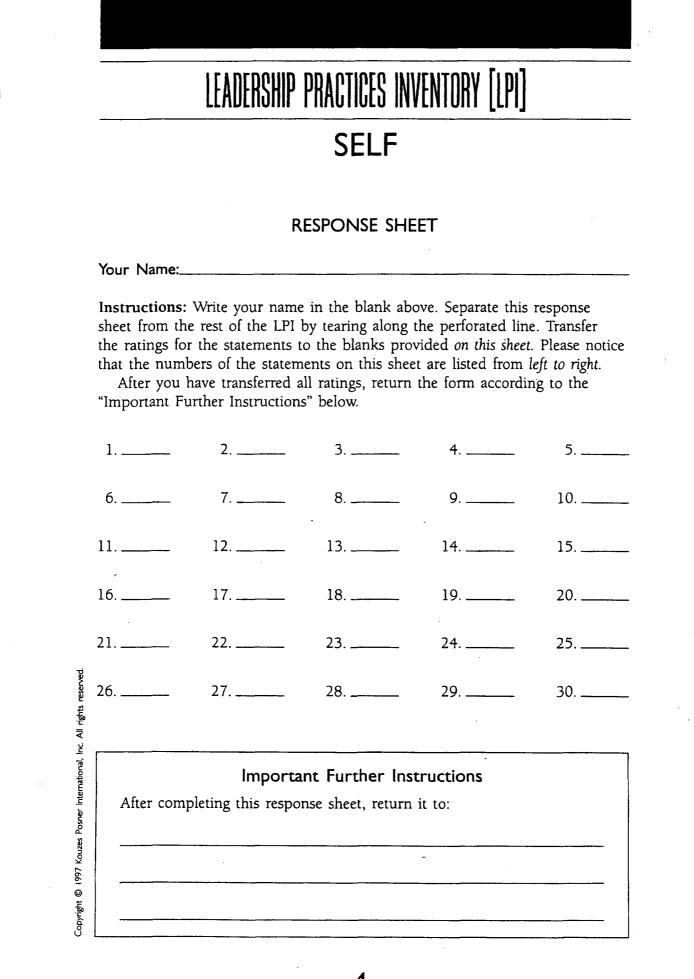_Now turn to the response sheet and follow the instructions for transferring your responses._

3

LEADERSHIP PRACTICES INVENTORY [LPI]

SELF

RESPONSE SHEET

Your Name:_____

Instructions: Write your name in the blank above. Separate this response sheet from the rest of the LPI by tearing along the perforated line. Transfer the ratings for the statements to the blanks provided *on this sheet.* Please notice that the numbers of the statements on this sheet are listed from *left to right.*

After you have transferred all ratings, return the form according to the "Important Further Instructions" below.

1._____	2._____	3._____	4._____	5._____
6._____	7._____	8._____	9._____	10._____
11._____	12._____	13._____	14._____	15._____
16._____	17._____	18._____	19._____	20._____
21._____	22._____	23._____	24._____	25._____
26._____	27._____	28._____	29._____	30._____

Important Further Instructions

After completing this response sheet, return it to:

_____

_____

_____

4

Appendix H   Personal Interview Protocol

Code #_____

PELP - Sergeant's Study - Interview Questions

We are interested in exploring your career path. We'd like to ask you a series of questions about what led up to your decision to join the department and to apply for sergeant, as well as about your own interpretation of the sergeant's role.

1. Why did you become a police officer?

2. Why do/did you stay on?
      - Have you had other job offers? If yes, why stay?

      - Have you actively looked for another job? Why?

   Let's explore the important people in your life as you were growing up and thinking about a career.

      - Do genogram here-
            Age of first consideration____
            Age of final decision___
            Age of marriage ____and of birth of first child____

3. What (person, event, idea) do you think was the most important influence on your decision to become a police officer? Why?

4. Describe your academy experience. Were you selected as the class commander? Valedictorian?

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Supplementary info for background data here:

What was your first assignment after the academy? (As lead in)

Did you request a particular assignment and did you receive it?

5. What was the quality of your field training experience?

Did you have an FTO?

Was there any officer whose qualities you looked up to and modeled yourself after at that time?
Yes___ No___
What was s/he like?

More background:

As a new officer, did you serve as OIC? How soon was that?

When you were an officer, did you ever request a transfer? Why?

Did you receive it?

Did you ever request special training? Number and type

Were you ever nominated for a special training assignment? Number and nature

6. As an officer, were there particular people after whom you patterned yourself? Why?

Who you particularly did NOT want to be like? What were they like?

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7. Was there one person who took you under his/her wing?

Was there someone you sought out for advice? What was special about that person(s)?

8. Why did you decide to take the sergeant's exam?

When did you take the exam? _____ How many times? _____

Where did you place?_____   _____   _____

and how did you feel about that?

9. Why did you choose to go into supervision?

10 . Was being a sergeant what you thought it would be? If not why not?

11. If your expectations were not met, what adjustments did you have to make.

12. How did you learn how to be a supervisor?

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Was there any formal training?

Did you have a particular role model or mentor in the sergeant's role?

How would you evaluate your training to be a supervisor?

13. Describe your view of the sergeant's role in the organization.

14. What qualities make a "good" sergeant?

15. What is the most important characteristic of a supervisor? Why? What behaviors demonstrate this quality

16. What are/were your particular strengths and weaknesses as a sergeant?

17. How long does it take to get a squad to work as a team?

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18. What are/were your expectations of your subordinates?

If there expectations differed from yours how did you deal with that?
(Probe for individualized assignment, knowledge of strengths and weaknesses)

19. What do you think they expect/ed of you?

20. Do you think your supervisors expectations of you were different from your own expectations of yourself as a supervisor?

21. Are there any particular tensions or conflicts in the sergeant's role? If yes, how do you deal with them?

22. What does it mean to "stand up for" your officers? How important is it that for a sergeant? (Ask for examples.)

23. What aspects of the job do you particularly like or dislike?

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24. What was the high point of your career to date? The low point? Why?

25. If you could give one piece of advice to a police officer aspiring to be a sergeant, what would that be?

26. If you could change anything about the position of sergeant in this agency, what would that be?

27. Was there ever a time when you felt that the regulations were in conflict with what, in your best judgment, was the best course of action? What did you do?
(Give examples)

28. As a sergeant, do you think you would ever question a superior officer about an order s/he had given? Under what circumstances would you or have you? (Examples)

29. Do you think the Baltimore Police Department has undergone significant changes over the

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years? If yes, what was the most important change.

30. Has changing structure of the department influenced how a sergeant does his/her job? In what way?

31. If still a sergeant: Did you ever think about applying to be a lieutenant? What led you to remain a sergeant?

If no longer a sergeant: What led you to think about the move to lieutenant? What finalized the decision for you?

32. If retired: You've been retired for _____ years?
What was your major reason for retiring at the time that you did?

Were there other contributing factors? What were they?

What was your relationship with the department at the time of your retirement? Have your feelings changed in any way since then?

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33. Have you thought about leaving?

Have you thought about retiring? What is influencing your decision?

Do you believe you have any influence on your future in the agency?

34. What do you see in the future for you personally?

35. What do you think is the future for the agency?

36. What is the major contribution the police make to society?

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Appendix I   Variable List-Police Personnel Records

Variable List

Variable Name	Column Number	#Spaces	Variable label	
Identifying information				
ID	1	3	(3 digit code know by Arnie)	
E/C	4	1	Experimental(1) or Control	
NOM	5	3	Number of nominations	?
PATNOM	8	2	Pattern of nominations	
Variables taken from jacket				
GENDER	10	1	Female (1) Male (2)	
BIRTHYR	11	2	Birth year	
RACE	13	1	Racial/ethnic group 1-6	
RELSTA	14	1	Relationship status 1-6	
KIDS	15	1	Number of children (9=9 and over)	
MILSERV	16	1	Miltary service 1=yes, 2=no	
EDU	17	1	Education coded 1-6	
YRCOM	18	2	Year commissioned	
YRSGT	20	2	Year promoted to sergeant	
YRLT	22	2	Year promoted to lt.	
RANK 24		1	Current rant 1-5	
JOBASGN	25	1	Job assignment 1-3	
PATASGN	26	1	Number of assignments as patrol	
SGTASGN	27	1	Number of assignments as sergeant	
SPDET	28	1	Number of special details	
TRANS	29	1	Number of transfers as patrol and sergeant	?
ACDSCORE	30	2	Basic average score from academy	
SPCTRNG	32	1	Number of special training opportunities (not regular in service)	
COMREG	33	1	Number of regular commenations and unit citations	
COMSPEC	34	1	Number of bronze stars and above	
DISC	35	1	Number of sustained disciplinary actions	
			Superivisors ratings 1-6, NA and NOB = 9	
P1_12a	36	1	First probationary rating, 12a regular duties	
P1_12b	37	1	Add. Duties	
P1-12c 38		1	Administrative	
P1_12d	39	1	Supervision	
P1-12e 40		1	Handling citizens	
P1_12g	41	1	Training	
P1_12h	42	1	Tactical handling	

Code	Col	Val	Description
P1_13a	43	1	First probationary rating, 13a Endurance
P1-13b	44	1	Appearance
P1-13c	45	1	Dignity
P1_13d	46	1	Attention to duty
P1_13e	47	1	Cooperation
P1_13f	48	1	Initiative
P1_13g	49	1	Judgement
P1_13h	50	1	Presc. Of mind
P1_13i	51	1	Force
P1_13j	52	1	Leadership
P1_13k	53	1	Loyalty
P1_13l	54	1	Eco. Of Management
P1_14	55	1	Desire to have 1-5 NOB=9
P1_15	56	1	General value 1-5 NOB=9
P2_12a-h	57-64		
P2_13A-L	65-76		
P2_14	77		
P2_15	78		
P3_12a-h	79-86		
P3_13a-l	87-98		
P3_14	99		
P3_15	100		
P4_12a-h	101-108		
P4_13a-l	109-120		
P4_14	121		
P4_15	122		
OF_12a-h	123-130		Ratings of last year as officer 121-h
OF_13a-l	132-143		
OF_14	144		
OF_14	145		
SGT1_12a-h	146-153		Ratings of second to last year as Sgt.
SGT1_13a-l	154-165		
SGT1_14	166		
SGT1_15	167		
SGT2_12a-l	168-175		Ratings of last year as Sgt.
SGT2_13a-l	176-188		
SGT2_14	189		
SGT2_15	190		
CHANGE	191	1	Any significant change in ratings 1=yes, 1=no
STMENT	192	1	Statement attached 1-yes, 2=no
COMMENT	193	2	Code developed from criteria ?
SECEMP	195	1	Secondary employment, City=1 other=2
NONCITY	196	1	Number of non-city secondary employment jobs

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Variables to compute

MP12a-h	Mean for each of probationary ratings
MP13a-l	
MP14	
MP15	
MSGT12a-h	Mean for each of sergeant ratings
MSGT13a-l	
MSGT14	
MSGT15	
PRATE	Mean for all ratings as probationary officer
OFRATE	Mean for ratings as officer
SGTRATE	Mean for ratings as sergeant
YRSSGT	Number of years as a sergeant

Variables needed from other sources

YREXAM	2	Year took sergeants exam
SGTSCORE	2	Score on sergeants exam
SGTRANK	2	Rank on sergeants exam
CMPLNT	1	Number of complaints agaits (AID) ?
SICKDAY	2	Number of sick days
MAJMED	1	Major medical leave 1=yes, 2=no
MAJMEDR	1	Reason for medical leave, coded 1-5 ?

Get from interview

OFCHRGE	2	First time officer in charge (time frame-months)?
TRANSR	1	Reasons for transfer coded ?
SPCTRNGR	1	Number special training requested
SPCTRNGN	1	Number of special training nominated

Appendix J   Characteristics of Exemplary Sergeants

DATA SHEET

_____ Number of years on service

_____ Gender

_____ Age (now)

Race:

_____ White
_____ Black
_____ Asian
_____ Hispanic
_____ Other, specify, _____

PILOT TEST OF POLICE OFFICERS OPINIONS
CHARACTERISTICS OF GOOD SERGEANTS

Rank top five(5) in order of importance. (1 is top, 2 is next to most important, etc.)

The exemplary sergeant has an excellent theoretical and practical knowledge of the job. He or she:

_____ 1. Knowledge of the job
- possesses an outstanding knowledge of the job and the jobs of those with whom he or she works.
- has a good knowledge of the streets.
- knows the rules and regulations thoroughly.
- knows the system and who to call when something needs to be done.
- knows what is going on the radio (knows where his people are at all times).
- gauges well the pulse of the squad, knows what the morale is like at all times.

The exemplary sergeant is a person of outstanding character who inspires trust and respect, he or she:

_____ 2. Character and Integrity.
- is fair, honest, and responsible.
- shows enthusiasm about and dedication to the job.
- is caring, compassionate and understanding.
- is appropriately loyal to the organization and there people.
- makes decisions based on what he or she feels is right.
- is motivated by a desire to help improve the organization and to develop subordinates, not simply for personal gain.
- exhibits appropriate respect for officers, members of the community, and superiors.
- is stable, consistent and handles stressful situations well.
- is mature, does not hold grudges, and stays open-minded.
- practices appropriate discretion.

The exemplary sergeant is an outstanding leader. She or he:

_____ 3. Management Skills
- is organized.
- appropriately assigns details and assignments.
- sees things to completion and makes sure those who work for him or her do the same.

_____ 4. Communication Skills
- write clear and logical reports.
- communicates effectively with superiors and subordinates.
- responds in a timely and appropriate manner to citizen complaints.

_____ 5. Interpersonal Skills
- uses different styles of leadership and communication with different people.
- maintains proper professional relationship (does not become "one of the boys").
- is open, receptive and available to officers who work for him/her.
- fosters team work in the unit.

_____ 6. Development of officers
- understands the strengths and weaknesses of individual officers.
- encourages officers to do new and difficult tasks.
- brings out the best in the people who work for him/her.
- fosters team work in the unit.

_____ 7. Problem Solving/Critical Thinking Skills
- makes difficult decisions well.
- is adept at synthesizing facts in complicated situations.
- develops innovative and creative solutions to problems.
- applies rules fairly and flexibly.

_____ 8. Effective Disciplinarian
- helps officers learn from their mistakes.
- offers both appropriate praise and constructive criticism.
- handles disciplinary matters in the unit when appropriate.
- maintains proper confidentiality about diciplinary matters.

_____ 9. Effective Role-Model
- leads by example.
- sets and maintains high standards of behavior for self and others.
- does not ask others to do something she or hr would not do.
- holds himself and others accountable and responsible.

_____ 10. Proactivity
- anticipates problems up and down the command.
- assists appropriately in difficult situations. (Shows up when needed.)
- has developed a clear vision of what the job of supervisory sergeant could be.

FOCUS GROUP 2 CONCOR

Introduction: This focus group is part of a research project to discover the personal characteristics of successful sergeants. After suggesting general guidelines, we will ask you to tell stories about the best sergeants you have known. What have they done and what do you know about them that makes them the best sergeant? After the session is over we ask that you take a few minutes to complete this form. Thank you.

Your Name: _____

1. Please name three people you talk with most frequently when you want to know what is going on:

     1. _____

     2. _____

     3. _____

2. Who do you talk to when you want to get something done?

     1. _____

     2. _____

     3. _____

3. When you are not sure of the right thing to do, who do you turn to?

     1. _____

     2. _____

     3. _____

4. Who are the three best sergeants you can think of?

     1. _____

     2. _____

     3. _____

Appendix K   Analysis of Randomization of Characteristics

Does Randomization of Questions Matter:
Analysis of Responses of Pre-Test of 8/19 and 8/20 1997

Introduction

The pre-test was designed to test a number of issues. Does randomization matter? Does the grouping of the questions matter? Does the number of pages matter? How long will it take to complete the questionnaire? Does the form of the questionnaire matter? Are character and integrity separate issues? Demographic data and anonymity? Uniformity in distribution of questionnaire? These questions and the research design in response to them are addressed below.

Randomization

To test whether or not randomization matters, six forms of the questionnaire were prepared and numbered one through six. The questions were divided into three categories; Character, Leadership, and Knowledge of the Job. This produced six types: abc, acb, bac, bca, cba, and cab. Packets were prepared with questionnaires in the order 1 - 6, 1 - 6, etc. On August 19 and 20, forms were handed out randomly. [See attached questionnaire titled: "Pilot Test of Police Officer Opinions/Characteristics of Good Sergeants."] The table below gives the results of a frequency count of responses.

Form Number	Frequency	% Naming Character as Number 1	% Naming Knowledge as Number 1
1+2 Character is Number 1	12	67	33
3+4 Knowledge is Number 1	15	33	53
5+6 Leadership is Number 1	10	20	10
Total	37		

Thirty seven usable questionnaires were completed   The table analysis indicates that **randomization does matter.** Where character was mentioned first or second, it was chosen 67 percent of the time. Where knowledge was mentioned first or second, it was chosen 53 percent of the time. Where leadership was the first category and character and knowledge alternated as the 9th and 10th categories, character or knowledge were chosen 20 percent of the time or less. The decision was made to randomize the questions. This decision was verified by a subsequent analysis of a focus group with Baltimore Police Department commanding officers.

Grouping of Questions

A second methodological problem is that there are not equal number of questions per set. That is because Character/Integrity and Knowledge of the Job each have one question, while Leadership has eight questions [see attached version of the questionnaire]. This is not taken into account in randomization. The problem is intensified because the questions are on two pages so if Leadership is first, Character/Integrity and Knowledge of the Job may be on page two. This may also influence responses.

There are a number of ways to resolve this issue. One is to create more questions under both character and knowledge. At the very least character should be split from integrity as integrity is a subset of character. A second problem is that management and leadership, which are different, are not distinguished. For example, a good leader does not have to be a good manager; and a good manger may not be a good leader. Leadership includes the ability to scan the environment and to envision an improved system and to have the capacity to motivate the members of the organization to move forward toward a different future while handling external destabilizers and garnering external support. The most difficult problem in recasting the "Characteristics of Good Sergeants" profile is that there are eight traits listed under the general rubric of outstanding leader while character/integrity and knowledge of the job stand alone.

Time Necessary to Compete Questionnaire

A second task of the pre-test was to establish the time necessary to complete the exercise. This averaged just under twenty minutes with about four minutes for the introduction and handing out of forms; thirteen minutes to collect the forms; and about two minutes to collect the forms and thank the class.

Form of the Questionnaire

To aid the respondents, each character trait mentioned was associated with a number of bullets (derived from the focus groups and the Advisory Board Input). During the pretest a problem was discovered with the use of bullets. Below are a listing of responses that were not included in the above table. Due to ranking of bullets rather than categories, due to problems of the second page, and due to ranking of all categories or of using the same rank for multiple categories, the forms have been revised.

6   Gave rank (1-4) to all ten categories (revise instructions to state only rank five of the ten, not all ten). (This was coded but only first five responses)

5/1   Gave rank (1-10) to all ten categories (revise instructions to state rank only five of the ten, using numbers ranking one through five with one being of most importance.)

4   Gave rank one 1, five 3's, two 4's, one 7
       Code answers by date and order in which collected: 8/20-1-24

4	Ranked all but one using ranks from one to nine
6	Marked all ten as one
1	Marked all ten as one (these two sat together and were seen conversing).
6	Ranked all ten one to five (This response was coded, but only first five responses)
2	Ranked all ten categories one to five (four 1's, three 2's, one 3, one 4, one 5)
2	Ranked all ten one - five (three 1's, three 2's, two 3's, one four, one five)

On the first day some respondents coded the internal bullets, as indicated above. On the second day we modified the form, and coding of internal bullets no longer occurred.

Are Character and Integrity Separate Issues?

There was a question as to whether problem solving/critical thinking skills was a character issue. There was a question about whether character and integrity should be together. Character is the more general category. Bullets under character and integrity could be moved. For example, is Shows Enthusiasm a proactivity category? Making Decisions About What I Right is integrity, while Motivated By Desire To Help is character.

Demographic Data and Anonymity

Examination of the questionnaire showed that a knowledgeable individual could identify many respondents by looking at age, gender, race, rank, time on the force, and unit of service.

Uniformity in Distribution of Questionnaire

Preferably Capt. Busnuk and Arnold Sherman will be present at roll call to introduce the project and to hand out and collect the two forms and the code sheet. The code sheet was used during the second day of trials and all 24 officers signed the form and used the code number on their response forms. It was explained that the form would be seen only by Arnold Sherman and used only to contact them if further information was required

Conclusions

It was decided that the 10 questions would be randomized. Thus ten forms of the questionnaire, with the ten questions rotated, were created. The form can be identified by looking at the letter a to j at the bottom left of the questionnaire. The grouping of questions was dispensed with: that is character; theoretical and practical knowledge; and outstanding leader were no long used as bold introductions. It was determined that it takes about twenty minutes for the instructions, completion and handing in of the questionnaire. This time period was built into

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the plan, and written into the Introduction to the Study and Informed Consent Form that is attached to the questionnaire. The form of the questionnaire was changed to transform the bulleted illustration of each trait, into un-bulleted form which could more easily be fitted onto one page. After lengthy discussion, see minutes, it was decided that Character/Integrity could remain as one combined trait. The Introduction to the Study and Informed Consent Form were written, approved by the research group, and the General Counsel of the Police Department. It was decided that the Introduction to the Study and the Informed Consent Form and the questionnaire would be handed out at in-service by Dr. Sherman, and that Captain Busnuk would read the Introduction to the Study and the Informed Consent Form verbatim asking the respondents to read along with him.

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Appendix L   Demographics of Nominators

Table I: Demographic characteristics of officers participating in focus groups to develop criteria for exemplary sergeants

	Baltimore City (N=20)	Johns Hopkins M.A. Program (PELP) (N=17)
Sex		
Male	11	14
Female	5	3
Ethnic Group		
Eur-Am	8	15
Afri-Am	8	2
Age		
Mean	36	40.05
Range	25-55	34-49
Years of Service		
Mean	14.8	17.5
Range	3-26	7-28
Rank		
Patrol Officer	12	0
Corporal	0	1
Sergeant	2	2
Lieutenant	1	2
Captain	0	11
Commander	0	1
Major	1	0

Appendix M   Numbers of Sergeants Nominated

Tally of collated nominations as of 12/2/97

Number of those nominated only once for "most," with or without second nominations, not tallied.

Most	Second	N	Cumulative Total
8	1	1	1
7	1	1	2
6	2	2	4
5	0	1	5
4	0	1	6
3	2	3	9
3	1	3	12
3	0	16	28
2	5	1	29
2	3	2	31
2	1	2	33
2	0	35	68
Total		68	68

Appendix N   Informed Consent Form-Subjects

Informed Consent

The Police Executive Leadership Program
The Johns Hopkins University
The Role of First-line Police Supervision Study

Purpose of the Study
The Johns Hopkins University Police Executive Leadership Program in conjunction with the Baltimore Police Department are conducting a study of exemplary first-line police supervision. Through this study, sponsored by the National Institute of Justice, the researchers wish to determine what makes good first-line supervision in the Baltimore Police Department. Although the study's parameters are narrowly focused on the city of Baltimore and its police service, the research team believes its findings will have implications for exemplary first-line police supervision throughout the United States.

Procedures
If you choose to participate, you will be detailed to us for a total of six hours, three separate two-hour sessions, approximately one to two weeks apart. In those sessions, you will take a series of paper and pencil tests, you also will be asked your opinions about a variety of issues and scenarios related, and sometimes unrelated, to police work, and you will participate in an extensive two hour interview. As a participant you will be asked if you are willing to identify a subordinate and a superior whom you believe could give an accurate assessment of your management/leadership style as a first line supervisor. Selected information from your personnel file will be coded for analysis by clerical staff of the Human Resources Department, who ordinarily have access to that information.

Benefits
Your participation in the study will be of no direct benefit to you. The Baltimore Police Department and police service in general could benefit greatly by your participation. The goal of the project is improved recruitment, training and evaluation procedures for the Baltimore Police Department, and beyond.

Risks and Discomforts
There are no known personal risks or discomforts associated with this study, nor will your employment status or your status as a retired officer is effected in any way.

Confidentiality
Any information you provide for the study will be held strictly confidential. Your name will not be identified with any of the data collected for the study. No Baltimore Police Department administrators will have access to any information gathered on participating individuals. Only aggregate (group) data will be reported.

Voluntariness

Your participation in this study is completely voluntary. The research team will not begin any interviews until the research team has received your explicit permission. You also may end your participation at any point in the process. You also may decline to answer any interview or test question.

Findings of the Study

If you are interested in the results of the completed research report, it will be made available through the Johns Hopkins University Police Executive Leadership Program. Any questions you have about these results will be answered by the researchers after the project is completed.

Consent

If you sign this form, you are willing to join the research project described on the other side of this page. Two of the researchers gave a clear description of the study, the procedures they will follow, and the study's risks and benefits. They also have explained that your participation is completely confidential and voluntary.

No one but the principal investigators and their assistants will have access to the data collected in the study. If at any time you have any concerns about the study, you should call the Director of the Johns Hopkins Police Executive Leadership Program, Dr. Sheldon Greenberg, at (410) 516-0770. If you have any specific questions about the study, or your participation in it, you also may call the two principal researchers: Dr. Stephen Vicchio, Professor of Philosophy, the College of Notre Dame of Maryland, at (410) 532-5328 or Dr. Sally Wall, Professor of Psychology, the College of Notre Dame of Maryland, at (410) 532-5705.

signature of participant's _____
consent

signature of witness to _____
consent procedure

signature of researchers _____

_____

date _____