

**The Construction & Evaluation Of
Behaviorally Anchored Rating Scales For
Alcoholic Beverage Agents**

**An Applied Research Project
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Chapter I: Introduction

Research Purpose

In the Spring of 1992, the researcher, an employee of the Texas Alcoholic Beverage Commission (TABC), conducted an in-depth evaluation of the trait-based performance appraisal system used by TABC's Enforcement Division. During that research, wide-spread disenchantment was found among Enforcement Division employees and supervisors concerning the trait-based performance appraisal system then in use.¹

The results of a survey undertaken as part of the 1992 study showed that approximately two-thirds of the respondents had no faith in either the accuracy or the fairness of the performance appraisal system.² Statistical analyses of actual employee performance ratings gathered concurrently with the survey data provided strong evidence that the employees' concerns about the appraisal system were well-founded.³ These analyses documented high levels of common rater errors (leniency, central tendency, and halo effect) and well as statistically significant variances by race and gender in appraisal results.⁴ In combination with the survey results, they were sufficient to convince the researcher and his superiors that change was desperately needed.

In many respects, the current study is an extension of the earlier research. The need for change having been previously established, the current research may now focus upon the selection of an appropriate alternative. The purpose, then, of the present study is to develop and to evaluate a series of behaviorally anchored rating scales (BARS) for measuring the performance of enforcement agents employed by the Texas Alcoholic Beverage Commission.

Also included is a discussion of the operationalization of the research hypothesis and a description of the three experimental hypotheses that emerged from the operationalization process.

The report's fifth chapter presents the results obtained during scale construction and instrument testing. The fifth chapter also contains statistical analyses of the test results and a review of the evidence gathered for each experimental hypothesis. In the sixth and final chapter, the objectives of the research are reviewed and the research is assessed in terms of those objectives. The sixth chapter also presents explanations for the project's success or failure and describes possible areas for future research.

A discussion of the conceptual framework that guided the research follows in Chapter II. Also included in that chapter is discussion of the research hypothesis.

End Notes for Chapter I

1. Roy R. Hale, "An Examination and Evaluation of the Employee Performance Appraisal System Utilized by the Enforcement Division of the Texas Alcoholic Beverage Commission" (Unpublished Internal Report, Texas Alcoholic Beverage Commission, May 1992), pp. 26 -27.
2. *ibid.*
3. *Ibid.*, pp. 24 - 26.
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Chapter II: Conceptual Framework

Chapter II outlines the conceptual framework that guided the research. It starts by defining performance appraisal and discussing its purposes. A description of the criteria for an effective performance appraisal system follows as does a discussion of the strength and weakness of the alternative methods for conducting appraisals. Finally, tentative conclusions are drawn from the previous discussions, and these tentative conclusions are summarized as the project's formal research hypothesis.

Definition & Purpose of Performance Appraisal

In a recent article in Public Personnel Management, Robert M. Glen defined performance appraisal as "an on going process of identifying, measuring, and developing human performance in organizations." ¹ The purpose of this process, according to Glen and other researchers, is multifaceted. Among the most frequently cited purposes are: (1) to ensure and document fairness and equity in personnel decisions,² (2) to provide a mechanism by which employees can be made accountable for their actions,³ (3) to improve employee motivation and performance,⁴ (4) to facilitate meaningful communication between supervisors and subordinates,⁵ and (5) to identify training and organizational development needs. ⁶A more detailed discussion of each of these purposes follows.

Fairness and Equity. An effective employee performance appraisal system gives managers a fair, rational basis for the distribution of organizational rewards and

punishments.⁷ The documentation resulting from the appraisal process, in turn, provides a desperately needed means for validating the personnel decisions made by managers.⁸

The documented fairness of an appraisal system is important for two reasons. First, employee perceptions of the fairness of performance appraisals have a direct impact on the motivational value of the appraisal system and on the ability of that system to stimulate improvements in employee productivity and effectiveness.⁹ Secondly, since the only way to validate many personnel decisions is through the analyses of past employee performance appraisal data,¹⁰ courts often turn to performance appraisal documentation when examining the validity of specific personnel decisions.¹¹ Use of a fair and equitable performance appraisal system increases the likelihood that a challenged personnel decision will be sustained by the courts.¹²

Accountability. Performance appraisal also provides a means for channeling an employee's efforts toward the achievement of organizational goals and objectives and for holding the employee responsible for his or her contribution to the organization's overall effort. As Steinman notes, "conducting evaluations gives policy makers an opportunity to hold public employees accountable to them and to official policy goals and procedures."¹³

Employee Motivation and Performance. Another important purpose of performance appraisal systems is to motivate employees to improve their performance.¹⁴ The ability of an appraisal system to achieve this purpose is dependent upon four factors: the availability and nature of performance incentives (organizational rewards or punishments),¹⁵ the degree to which these incentives correspond to actual employee expectations and needs,¹⁶ the

perceived fairness and accuracy of the appraisal ratings,¹⁷ and the quality and timing of feedback concerning individual deficiencies and strengths.¹⁸

Meaningful Communications. Researchers have identified three separate functions for communications in the performance appraisal process. The first of these is to inform employees of management goals and objectives¹⁹ and of managements expectations regarding individual contributions toward the achievement of those goals and objectives.²⁰ Communications of this type give notice to employees of what is expected of them and provide them with a description of how their activities fit into the "big picture." It also permits them to determine exactly how to expend their time and effort.²¹

Another function of superior/subordinate communications in the appraisal process is to provide employees both continual feedback concerning the acceptability and success of their current efforts and constructive suggestions for improvement.²² Continual feedback ensures almost immediate positive reinforcement of successes, which increases the likelihood that desirable behavior will be repeated.²³ It also gives employees the information needed to spot and correct deficiencies, which can minimize the adverse impact of performance errors on employee productivity and effectiveness.²⁴

Superior/subordinate communications also provide a channel for employee input. Such input is important for two reasons: First, the courts have mandated that employees have the opportunity to review their performance appraisals and to record comments concerning their performance ratings.²⁵ Secondly, giving employees the opportunity to participate in the performance appraisal process and in the setting of performance goals has

been proven to reduce employee resistance. It has also been proven to strengthen their commitment to the appraisal process and to the organization's performance goals.²⁶

Identifying Training and Development Needs. Performance appraisal data can help managers identify particular training needs or special talents in their employees. Such information is critical if organizations are to create and effectively use meaningful training and development programs.²⁷ Linking appraisal to the assessment of training needs permits the organization to focus its limited training resources on the correction of common deficiencies that are known to affect organizational performance adversely.²⁸ It also permits the organization to assess the skill-level of its current work force in terms of projected future needs and to use training to bring the skill-level of the work force in line with those needs.²⁹

Criteria for Effective Performance Appraisal

To be considered effective, a performance appraisal system must, at a minimum, fulfill the purposes for which it was created. While the specific purposes of an appraisal system will vary with the needs of its users, all systems must meet certain legal, scientific, and operational imperatives. Wayne F. Cascio identified the following imperatives: (1) appraisal systems must be relevant; (2) appraisal systems must be sensitive; (3) appraisal systems must be reliable; (4) appraisal systems must be acceptable; and (5) appraisal systems must be practical.³⁰

Relevance. Relevance measures the degree to which the dimensions used to rate a performance are related to actual job performance.³¹ For a performance appraisal system to

be relevant, there must be a clear linkage between performance standards and organizational goals. Correspondence must also exist among the critical job elements identified through job analysis and the rating dimensions used in the appraisal instrument.³²

Low relevance undermines or destroys the acceptability and motivational value of feedback and of the organization's formal performance "consequences." Low relevance can also thoroughly compromises organizational equity. Rather than document the fairness of personnel decisions, an appraisal system with low relevance can have the opposite effect: it can create civil liability for organization.³³

The existing case law on this subject is quite clear. The Supreme Court of the United States and other Federal appellate courts have consistently ruled that performance appraisal systems must use rating dimensions that are clearly related to the critical aspects of the job being performed. The courts have also consistently applied the Equal Employment Opportunity Commission's Uniform Selection Guidelines as "the" test for determining whether the requirement of relevance has been met. Under these guidelines, employers must use job analysis to determine rating dimensions and standards. When a job analysis has not been used to identify the most critical aspects an employee's job or when the rating dimensions and standards used are inconsistent with the findings of the job analysis, the courts will not permit the employer to use performance ratings as the basis for personnel actions.³⁴ As Cascio said, "Scientifically and legally, relevance is the sine qua non, the indispensable condition, of appraisal systems."³⁵

Sensitivity. To be effective, a performance appraisal system must also be capable of determining the relative value of individual contributions to organizational performance and

of discriminating between positive and negative contributions. The system must, in other words, establish standards of contribution for each rating dimension used. It must also identify which employees are performing well and which are performing poorly on the performance dimensions critical to job success.³⁶

Inadequate sensitivity undermines the face validity of appraisal results and the support that appraisal results provide for personnel actions.³⁷ Without standards and a method of determining the relative worth of individual performances when measured against those standards, an appraisal system cannot provide meaningful feedback to employees. It also cannot result in a fair and equitable distribution of organizational performance incentives or otherwise have a positive influence on employee motivation or performance.³⁸ Given the courts' demand for valid appraisals, the failure of an appraisal system to meet the prerequisites for sensitivity also means that any personnel actions taken on the basis of the system's outcomes are likely to be successfully challenged.³⁹

Reliability. With respect to performance appraisal, reliability refers to the consistency or dependability of ratings across raters. Reliability, in other words, is the probability that two raters, viewing the same performance, would rate the performance the same way. The reliability of appraisal ratings is affected by a number of factors. These include common rater errors, such as halo effect, leniency, and central tendency. They also include contamination by factors beyond the rater's control like differences in rater/rater demographics, rater training, and performance opportunity. Another factor affecting reliability is the degree of standardization. Standardization refers to the degree to which the system has commonly accepted performance standards and definitions for the various

performance dimensions.⁴⁰ Other factors affecting reliability are the relevance of the performance standards and rating dimensions, the "sensitivity" of the system used, and the degree to which the rating dimensions represent the worker's whole job.⁴¹

The reliability of results is important in performance appraisal for several reasons. First, the ability of performance appraisal systems to ensure and document equity in personnel decisions is highly dependent upon the reliability of the ratings produced. When reliability is low, system results are almost certain to be biased (contaminated by factors that have little to do with actual employee performance). As the likelihood of bias increases, so does the probability of inequity and of adverse impact. The presence of inequity and adverse impact can only undermine employee and judicial perceptions of the system fairness.⁴²

There is also a second, somewhat related, reason why reliability is an important characteristic of performance appraisal systems. If, for example, employees feel that an appraisal system produces ratings that are inherently unreliable and unfair, the ratings and any related feedback or material reinforcements will have only limited impacts upon employee motivation and future performance.⁴³

Acceptability. A major operational imperative for appraisal systems is that they must be acceptable to those who use them. In practical terms, this means that those who use an appraisal system must have confidence in the relevance, sensitivity, and reliability of that system and in its value to their organization and themselves. Users must also be sufficiently committed to the process that they are willing to expend the time, effort, and resources required to learn the system's procedures and to execute them properly.⁴⁴

Studies have repeatedly shown that the participation of employees and supervisors in the planning, implementation, and operation of organizational processes, such as performance appraisal, greatly enhances acceptance of and commitment to those processes. Consequently, an effective appraisal system will utilize the broadest possible degree of employee participation. In addition, an effective system will also use methodological safeguards to ensure system relevance, sensitivity, and reliability.⁴⁵

Practicality. A final operational imperative for workable performance appraisal systems is practicality. To be practical, an appraisal system may neither unduly interfere with ongoing operations nor impose excessive resource requirements upon the organization or its raters. Stated another way, practicality means that the features of the system, such as its methods for data collection or data storage, should not demand so much time or other resources that they interfere with the achievement of organizational goals.⁴⁶ While measuring and evaluating achievement are important, the performance appraisal process should never be seen as important as achievement itself.

Importance of Criteria. The extent to which a performance appraisal system fulfills basic organizational needs is dependent upon the degree to which it exhibits the characteristics of relevance, sensitivity, reliability, acceptability, and practicality.⁴⁷ Performance appraisal systems can, therefore, be evaluated in terms of these criteria, permitting a comparison of the relative value of two or more appraisal systems. In such a comparison, the "superior" methodology would be that which best meets the criteria for effectiveness.

Methods of Appraising Employee Performance

In his 1981 article entitled "Revisiting an Approach to Managing Behaviors and Results," Gary B. Brumback identified two primary categories of performance appraisal systems: (1) Result-Based Appraisal Systems which evaluate employees by the quantitative results of their work and (2) Behavior-Based Appraisal Systems which evaluate employees by the behaviors employed during performance.⁴⁸ Although different scholars have used different terms to describe the same basic categories, there is general agreement among researchers as to the existence and scope of the categories in question. For the sake of consistency, this paper will continue to use the category names found in Brumback's article (result-based and behavior-based).

Result-Based Systems. Result-based systems focus on the measurable outcomes of human performance.⁴⁹ The norm in the private sector and a growing practice in government, result-based appraisal systems generally utilize quantitative organizational records to determine the degree to which individual's have fulfilled preset performance standards and contributed to organizational goals and objectives.⁵⁰ Such systems are highly objective, free of common rating errors, and, if the performance criteria are properly chosen, more reliable and relevant than behavior-based systems.⁵¹ Result-based appraisals also provide data that is useful in resource allocation decisions.⁵²

Result-based systems are, however, still subject to bias from contamination by factors beyond the worker's control, such as opportunity differentials. Result-based ratings may also not be completely representative of the worker's entire job and may, therefore, be subject to

deficiency bias.⁵³ In addition, result-based systems also tend to ignore the methods used in achieving the desired ends⁵⁴ and to treat all the behaviors involved in a performance as equally bad or equally good.⁵⁵ When all behaviors are treated alike, the system will fail to capitalize on positive failures. By rewarding both negative and positive successes, the appraisal system reinforces whatever behaviors are involved, including inefficient or unethical behaviors.⁵⁶

Another problem, especially when selecting a performance appraisal system for police officers, is that police officers often see the performance standards associated with result-based appraisal systems as thinly disguised arrest or ticket quotas. As a rule, police groups oppose result-based systems and have no trouble in obtaining public support for their position.⁵⁷ Many states, including Texas, have enacted broad statutory prohibitions against police quotas.⁵⁸ Such prohibitions, as intended, only further inhibit the use of result-based appraisal systems by police agencies.⁵⁹

Examples of result-based systems include Simple Measures of Employee Outputs, Outcomes, or Efficiency; Weighted Indices of Output, Outcome, or Efficiency; and MBO (Management By Objectives). MBO can incorporate either or both of the other methodologies:

Simple Measures of Employee Outputs, Outcomes, or Efficiency. As used here, "outputs" refer to the units of service provided while the term "outcome" describes service results. Efficiency is the ratio of the units of output produced to the units of a given resource required to produce them. In an appraisal system that focuses upon these measures, an employee's outputs, outcomes, and efficiency during a particular period of time are

determined from organizational records. The rater then compares the employee's measurements to relative or fixed performance standards and assesses the employee's performance in terms of those standards.⁶⁰ The strengths and weaknesses of this approach are the same as those previously listed which pertained to result-based systems generally.

Weighted Indices of Outputs, Outcomes, or Efficiency. With this methodology, the rater determines the employee's outputs, outcomes, and efficiency from organizational records. Before any comparison is made, however, each indicator is then multiplied by a factor representative of its importance in the achievement of organizational goals and objectives. After assigning weights to the individual measures, the rater combines these the individual indicators into a single index which is then compared to a relative or fixed performance standard for the purposes of assessing the employee's performance.⁶¹ Besides the advantages normally attributed to result-based systems, proponents of weighted comparisons argue that such systems substantially increase both the quality and quantity of performance. Proponents also argue that weighted comparisons measurably improve the quality of the behaviors used in performance and significantly reduce contamination from opportunity bias. Yet another advantage claimed by proponents is that such systems permit easy, almost instantaneous implementation of changes in agency priorities. Organizations accomplish this implementation by announcing the alterations in the weights used.⁶²

Management By Objectives (MBO). MBO is a management system that features an agreement between a superior and a subordinate on the subordinate's objectives for a particular period and a scheduled review of how well the subordinate has achieved those

objectives.⁶³ In such a system, raters judge an employee's performance by the degree to which the employee achieves the agreed upon objectives.⁶⁴

Charlie B. Tyler in his 1981 - 1982 survey of state employee appraisal practices found MBO to be the second most frequently used method of employee appraisal in state government. Noting an increase in its popularity since a similar survey in the late 1970s, Tyler concluded that the increased use of MBO and other performance-based systems was the most significant development discovered by of his research.⁶⁵

The reason for the growing popularity of MBO lies in its strengths. According to Wendell L. French, MBO "can give individual employees greater directions and self-control, build their self-confidence, motivate them, improve their performance, further their growth and development, and provide them with full knowledge of the criteria on which they will be evaluated." Other strengths attributed to MBO by French include its "ability to enhance superior-subordinate relationships, improve communications, and provide a better coaching framework." MBO, says French, also provides organizational benefits. According to French, these organizational benefits include "improved overall performance, identification of management advancement potential and development needs, better coordination of objectives, and less duplication and overlap of duties and activities."⁶⁶

While noting that job analysis, employee participation, communication of objectives, and high degrees of objectivity, standardization, and formalization were fundamental aspects of MBO, Duane Thompson also cited another reason for its popularity: MBO meets most of the criteria for a legally defensible performance appraisal system.⁶⁷ It is also, according to James Fountain, the Assistant Director of Research for the Governmental Accounting

Standards Board (GASB), the only result-based or behavior-based performance appraisal system that can meet GASB standards for accountability.⁶⁸

Partially offsetting the advantages of MBO are its known weaknesses. Like other result-based system, MBO focuses upon the end results of performance and tends to ignore the value of the means used to achieve those ends, a tendency which may result in the reinforcement of unacceptable behaviors.⁶⁹ Improper implementation and control of MBO programs have also resulted in the specification and use of objectives that are so broad that the measurement of achievement is difficult, if not impossible.⁷⁰ Other criticisms of MBO programs have included an inclination among participants to set low goals and to focus only upon those objectives that seem important to the rater. MBO has also been criticized for its cost as measured in terms of the time required for its implementation and maintenance.⁷¹

Behavior-Based Performance Systems. As described by Brumback, behavior-based systems focus on the behaviors used to achieve performance results. Behaviors are important and worthy subjects of performance appraisal, says that researcher, because they

... emanate from the performer and transform performance from abstract to act...Not just the instrument for results, behaviors are also outcomes in their own right-- the product of mental and physical effort applied to tasks-- and can be judged apart from results.⁷²

The primary strength of behavior-based performance systems, is that they permit evaluation of the qualitative differences in the means by which people achieve results, differences that Brumback calls the "finer distinctions" of performance. Behavior-based performance systems also permit reward and reinforcement of exemplary behaviors even when those behaviors do not yield measurable successes.⁷³ Other strengths include relatively low development and administration costs⁷⁴ and ease of use and interpretation.⁷⁵

An additional strength is the ability of behavior-based systems to utilize rating instruments that sample a relatively large portion of the job domain (i.e., utilize a broad range of rating dimensions).⁷⁶

Off-setting these strengths are a multitude of weaknesses. Scholars and legal experts have, for example, repeatedly attacked behavior-based rating systems because of their high subjectivity and relatively poor psychometric properties.⁷⁷ Almost all behavior-based system are subject to unacceptable levels of common rater errors.⁷⁸

Among the most common rater errors is the halo effect. The halo effect occurs when a rater forms a general impression of a worker's performance and then permits that general impression to influence the ratings given the worker in all performance dimensions.⁷⁹

Another common rater error is leniency/severity. Leniency/severity results when raters restrict their ratings to the upper or lower ends of the performance range.⁸⁰ A third common rater error, central tendency, is related to the error of leniency/severity. Central tendency refers to the restriction the ratings to a narrow portion of the available range.⁸¹

Most behavior-based rating systems also suffer from contamination, deficiency, irrelevance, and lack of standardization.⁸² Because of their shortcomings, behavior-based rating systems are generally considered to have low reliability⁸³ and low validity.⁸⁴

The more popular methods of behavior-based appraisal are Narrative Essay, Trait-Based Graphic Rating Scales, and Behaviorally Anchored Rating Scales (BARS).⁸⁵ A brief explanation of each method follows.

Narrative Essay. This technique relies upon the rater providing narrative comments about an employee's performance.⁸⁶ It requires the rater to describe in writing an

individual's strengths, weaknesses, and development potential and to suggest ways of improving performance. The effectiveness of the approach depends upon two factors: (1) the rater's knowledge of the rater's performance, and (2) the writing skills and analytical ability of the rater. Because many managers do not have the motivation, time, or opportunity to observe performance and because essays generally provide only qualitative information, essay appraisals may have little usefulness or practicality.⁸⁷

Trait Based Appraisal System. Trait rating scales use words or phrases as labels to identify the degree or quality of the rater's performance.⁸⁸ Such scales simply list desirable or undesirable personality traits, characteristics, and aptitudes against which the employee is rated using verbal descriptions such as "meets standards" or "needs improvement" or numeric scores corresponding to similar values.⁸⁹ Although extremely popular⁹⁰ and relatively inexpensive,⁹¹ trait rating systems are widely recognized as inherently biased and as subject to unacceptable levels of common rating errors.⁹² They are, in fact, found so frequently low in reliability, validity, relevance, and standardization that the vast majority of scholars and jurists advise against their use.⁹³

Behaviorally Anchored Rating Scales (BARS). Long regarded as the "most promising" of the behavior-based rating systems,⁹⁴ the BARS method of performance rating was first introduced by Patricia Smith and M. L. Kendall in 1963.⁹⁵ In this procedure, the important dimensions of performance are first identified and defined by the groups responsible for evaluation. Actual job behaviors, which the group agrees represent specific dimensions and levels of performance, anchor the scales.⁹⁶ Raters are then asked to select

Thumbnail Sketch of Conceptual Framework

To summarize the conclusions drawn from the preceding discussions, performance appraisal systems exist to serve specific organizational purposes.¹¹⁶ To fulfill those purposes, appraisal systems must meet certain criteria of effectiveness.¹¹⁷ The degree to which an appraisal system meets the criteria determines the degree to which it fulfills its organizational purposes.¹¹⁸ Consequently, the relative value of two appraisal systems can be assessed by comparing the extent to which each meets the criteria in question.

The criteria for effective performance appraisal systems are relevance, sensitivity, reliability, acceptability, and practicality.¹¹⁹ When assessed considering these criteria, one performance appraisal methodology clearly emerges as "superior"-- Behaviorally Anchored Rating Scales.¹²⁰ Of the remainder, trait-based rating systems are inherently invalid and unreliable,¹²¹ while result-based systems are generally unacceptable to police groups.¹²²

Research Hypothesis

The researcher draws his research hypothesis from Cascio's description of effective performance appraisal systems and from the previous discussions concerning the various types of performance appraisal systems. It is the researcher's contention that, if tested in terms of Cascio's criteria, a BARS-based performance appraisal system for alcoholic beverage enforcement agents would prove superior to one that utilizes trait-based scales.

Two of Cascio's assessment criteria (relevance and practicality) can be controlled by an experimental design that uses the same performance dimensions with both appraisal systems and that requires the same level of effort to complete either system's appraisal

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117. Cascio, pp. 367 - 375.
118. Ibid.
119. Ibid.
120. Campbell et al, pp. 15 - 22.
121. Thayer, pp. 20 - 27.
122. Interview with Robert H. Blanchard, President, Texas Alcoholic Beverage Commissioned Officer Association, Austin, Texas, May 4, 1993.

Chapter III: Research Setting

Chapter III examines the research setting, the organizational environment in which the research occurred. Its purpose is to familiarize the reader with the key characteristics of that environment. To this end, the chapter discusses the overall structure and mission of the Texas Alcoholic Beverage Commission. Chapter III also describes the structure and mission of the agency's Enforcement Division and examines the role, responsibilities, and common attributes of that division's enforcement agents.

The Texas Alcoholic Beverage Commission

The Texas Alcoholic Beverage Commission (TABC) is a medium-size state agency with approximately 600 employees across the state. Among its responsibilities are the criminal and administrative enforcement of the state's alcoholic beverage laws and the collection of the state's alcoholic beverage excise taxes. The Commission also serves as the licensing agency for the state's alcoholic beverage industry.¹ The agency's mission can, therefore, be characterized as both broad and diverse, ranging from criminal law enforcement to business regulation and tax collection.

In terms of structure, the agency is governed by a three-person, part-time panel appointed by the Governor. The day-to-day affairs of the Commission are managed by an Administrator and an Assistant Administrator, who are appointed by the three Commissioners. The TABC has four primary operating units-- Enforcement, Licensing, Ports of Entry, and Auditing/Excise Tax. The agency also has a number of smaller

administrative control and support units, including Executive, Human Resources, Fiscal Services, Computer Services, General Services, and Administrative Law. In addition to the agency's Austin Headquarters, the Commission operates a string of ports-of-entry facilities along the Mexican border and maintains local service centers in twenty-one Texas metropolitan areas.

The Enforcement Division

With almost half of the Commission's work force and budget allocated to its use, the agency's Enforcement Division is its largest operating unit.² The primary mission of the Enforcement Division is to detect and suppress criminal activity and administrative violations of the Alcoholic Beverage Code that occur on premises licensed by the Commission. Secondary responsibilities of the Enforcement Division include the detection and suppression of Alcoholic Beverage Code violations that occur away from licensed premises and the enforcement of state regulations pertaining to the marketing practices of licensed manufacturers, wholesalers, and retailers. Enforcement field offices also have the responsibility of processing and evaluating retail-level and wholesale-level license applications.³

To fulfill its various missions, the Enforcement Division employs the services of approximately 210 commissioned peace officers (agents) and a civilian support staff of seventy-two persons. With the exception of twenty-three employees who are assigned to the division's headquarters staff, all Enforcement personnel are stationed in the agency's various field offices. For administrative purposes, the division has divided the state into four enforcement regions, each consisting of two or three enforcement districts.⁴

A captain, one or two lieutenants, and a varying number of sergeants supervise the agents, licensing technicians, and clerical workers assigned to each district. The district supervisors (the captains), in turn, report to one of four regional supervisors (majors). The four regional majors as well as the headquarters staff report to the division head (the Chief of Enforcement) and to his or her assistant (the Assistant Chief of Enforcement).⁵

The Enforcement Agents

The performance of agency's enforcement agents is the subject of the present study. The duties normally assigned to enforcement agents include inspections of licensed premises, complaint investigations involving both licensed and unlicensed premises, provision of technical and physical assistance to local law enforcement authorities, and educational/informational activities to promote voluntary compliance among licensees and the general public.⁶

While recruitment in recent years has focused increasingly upon women and minorities, the typical enforcement agent is a white male, thirty to thirty-five years of age, with approximately eight years of agency service. Prior to joining the Commission, an enforcement agent will have normally completed at least sixty semester hours of college-level course work and will have had two to three years experience as small town police officer or as a deputy sheriff.⁷

As a general rule, enforcement agents operate in two-person teams with little immediate supervision. While investigations and some inspections are assigned, agents, like local police patrol officers, are usually given broad discretion to "range" across their assigned territories and to seek out violations of the law. The principle difference between

TABC agents and their local police counterparts is one of focus: TABC agents focus their work on violations of the penal code and of the alcoholic beverage code that occur on licensed premises and on off-premises violations of the alcoholic beverage code. Their primary enforcement targets are intoxicated persons, minors who possess or consume alcoholic beverages, and the licensees who violate the law by doing business with either of these two classes of customers.⁸

The Commission expects its agents to be well-versed in the statutes and case law that govern their work. Agents are also expected to be skilled in the appropriate methods for conducting arrests, searches, investigations, and interrogations. Other job requirements include physical fitness, initiative, good "people skills," and skill in both oral and written communications.⁹

Summary

This chapter identified the setting of the research as the Enforcement Division of the Texas Alcoholic Beverage Commission and described that entity as the organization responsible for the criminal and administrative enforcement of the state's alcoholic beverage laws. The Chapter also discussed the mission and structure of the organization and outlined the role and responsibilities of its enforcement agents.

In the next chapter, the focus of the report shifts from the setting of the research to the methods used to conduct it. Rather than being concerned with environmental factors, Chapter IV deals with the methodological choices made in the course of research.

End Notes For Chapter III

1. Interview with Ron Mansolo, Deputy Administrator, Texas Alcoholic Beverage Commission, Austin, Texas, May 4, 1992.
2. Ibid.
3. Interview with Milton A. Brown, Chief of Enforcement, Texas Alcoholic Beverage Commission, Austin, Texas, May 4, 1993.
4. Ibid.
5. Ibid.
6. Ibid.
7. Ibid.
8. Ibid.
9. Ibid.

Chapter IV: Methodology

Chapter IV presents descriptions and explanations of the methodologies used to construct and evaluate two alternative instruments for rating the job performance of alcoholic beverage enforcement agents. Other portions of the chapter discuss the operationalization of the research hypothesis and describe the three experimental hypotheses that emerged from the operationalization process.

The Methodological Tasks

The process of constructing and evaluating the two appraisal instruments involved six distinct methodological tasks. These tasks were: (1) the construction of an appraisal instrument consisting of a series of behaviorally anchored rating scales, (2) the construction of a trait-based performance appraisal instrument that utilizes the same performance dimensions as those used in the BARS instrument, (3) the construction of a short survey instrument consisting of closed-ended questions with Likert-like response options as a test for instrument acceptability, (4) the administration of the appraisal and survey instruments, (5) testing for inter-rater agreement, and (6) statistical analyses of rating and survey results. Discussions of the methods used to accomplish each of these tasks are found below.

BARS Scale Construction

Smith and Kendall outlined the steps for creating behaviorally anchored rating scales in their landmark 1963 study. As replicated in this project, those steps were:

1. Use a small group of five to seven supervisors to review the results of a recent job analysis of the work performed by employees in the target job class. Have the members of that group identify and define the major performance dimensions related to the job class.
2. Submit a list of the performance dimensions and their definitions to a probability sample of the appraisal system's potential users. Have the members of the probability sample provide actual examples of employee behaviors representing low, medium, and high performance for each dimension.
3. Submit the performance dimension definitions and a randomly sorted list of the behavioral examples provided by the first group of potential users to a second probability sample of users. Have those in this group identify the dimension to which each behavioral example belongs and rate the effectiveness of the behaviors found in each example on a scale ranging from "1" to "5."
4. Construct a five-point BARS scale for each performance dimension using the successfully "retranslated" behavioral examples to "anchor" (operationally define) each point (performance level) represented on the scale.¹

Systematic probability sampling was used to control for selection bias and to enhance the generalizability of the completed scales.² To limit the volume of behavioral examples that had to be retranslated by the retranslation group, the size of the first sample (the translators) was restricted to ten persons. While such a sample was too small to be truly representative of the population,³ its size was consistent with that used in one of the earlier studies that served as the model for the current research.⁴ To improve the power of the statistical analyses needed during the retranslation phase, however, a sample size of forty persons was employed.⁵

A study conducted by John P. Campbell and a group of his associates provided the criteria used for "successful retranslation." In the Campbell study, behavioral examples were considered successfully retranslated if 80% or more of the "judges" in the second sample assigned it to the same performance dimension. As a second requirement for successful

retranslation, the Campbell study also specified a standard deviation of no more than 1.75 for the effectiveness ratings of the "retranslated" behavioral examples.⁶ It should be noted, however, that Campbell et al used a nine-point rating range,⁷ while this research employed a five-point rating range. Because of differences in the size of the effectiveness ratings range, the present research used 1.0 as the upper limit for the criterion related to the standard deviation of ratings.

While a serious effort was made in the course of the present research to follow common BARS development practices, economic considerations forced a significant deviation from routine practice. In almost all the literature, BARS construction was done in the course of conferences in which all participants were face-to-face and had the opportunity to seek and obtain verbal clarifications and to benefit from the verbal examples and clues provided by the researcher. In the course of the present research, however, funds were not available to bring the members of any of the participant groups together in one place. Consequently, all "group" deliberations were by mail or individual phone calls, and all instructions given to group members were transmitted in writing (See Exhibits 1 - 8 in Appendices). While such a departure is supported, to some degree, by the findings of original Smith and Kendall study, which used both "conference" and "mail" participant groups and found no significant difference between the results obtained from the two groups,⁸ the value of face-to-face contact among participants during scales construction is never directly addressed in the literature. Despite this omission, however, the uniformity with which the "conference" approach is used does suggest that there is a silent consensus among researchers concerning

its superiority as a technique. Consequently, there may, in fact, be some impact upon the reliability of the finished product when the conference approach is not used.

Trait Scale Construction

The current research also required the construction of a performance appraisal instrument that employed trait-based rating scales and that used the same performance dimensions and the same five-point rating range as the BARS appraisal instrument. Unlike the BARS scales, however, there were no behavioral anchors or examples in the trait-based scales to "cue" raters to the most appropriate score.

Raters had only the dimension short title, the dimension definition, and their own subjective opinions to guide their rating decisions. The finished scales were simple rating continuums with each successive point on the scales representing a higher level of performance.⁹

Construction of Survey Instruments

The research also required the construction of a post-appraisal survey instrument for raters and ratees. The completed instrument consisted of six close-ended questions with likert-like response options.

The questionnaire was intended to capture the respondents' perceptions of the appraisal instruments in terms of issues that were thought to be related to instrument acceptability. Specific questions assessed respondent perceptions in the following areas:

- (1) The appropriateness and inclusiveness of the performance dimensions used in the instrument;

- (2) The degree to which the instrument clearly communicates to the employee the employer's expectations concerning employee performance and rater's assessment of the employee's success or failure in meeting those expectations;
- (3) The usefulness of the instrument's ratings in the assessment of employee training needs;
- (4) The sensitivity of the instrument ratings-- the degree to which the various rating alternatives employed in the instrument correspond to genuine difference in employee performance;
- (5) Respondent support for the use of instrument ratings in basic personnel decision (termination, probation, promotion, etc.); and
- (6) Respondent support for the adoption of the instrument for regular, division-wide use.

Administration of Appraisal And Survey Instruments

Research Design. The research employed a post-test only control group experimental design for the administration of the appraisal and survey instruments. Following the methodology described in the literature, a sample of eighty subjects was drawn from a target population consisting of 164 alcoholic beverage enforcement agents. The subjects selected for the sample were randomly assigned to the experimental and control groups. The experimental group was then exposed to the experimental condition (the BARS appraisal), and a post-test in the form of a trait-based appraisal was administered to both groups approximately thirty days after the experiential group's exposure to the experimental condition. As a final step, the post-test results obtained from both groups were compared, and any significant differences found were attributed to the influence of the experimental condition.¹⁰

the volume of supportive responses enjoyed by an appraisal instrument and its acceptability. Because the massive amount of user participation required to develop the BARS device, the research also assumed that the BARS appraisal instrument would experience a higher degree of acceptance among users than that enjoyed by the trait-based instrument.

Experimental Hypotheses. The operationalization of the component parts of the original research hypothesis generated three usable experimental hypotheses. These were:

1. **The performance ratings obtained from a BARS appraisal instrument will exhibit significantly lower levels of halo effect, leniency/severity, and central tendency than will ratings obtained from a comparable trait-based appraisal instrument.**
2. **The performance ratings obtained from a BARS appraisal instrument will exhibit a significantly higher level of inter-rater agreement than will ratings obtained from a comparable trait-based appraisal instrument.**
3. **A BARS appraisal instrument will experience a significantly higher favorable/supportable response rate from users who complete a post-appraisal questionnaire than will a comparable trait-based appraisal instrument.**

Test for Inter-Rater Agreement

The test used for inter-rater agreement was borrowed from the methodology described in a 1987 study by Bradley and Pursley. In that study, the researchers drew sets of behavioral examples pertaining to each performance dimension from the incidents of employee behaviors submitted by project participants during the "translation" phase of instrument development. They then submitted the behavioral examples and rating instruments to a small sample of supervisors and asked the supervisors to rate the effectiveness of the behaviors represented in the examples using the instrument provided. As

their final step, the researchers correlated the ratings assigned to each example to determine the level of inter-rater agreement.¹⁹

In a slight departure from the Bradley/Pursley methodology, the present study used two subsamples of supervisors consisting of two supervisors each. While the members of both subsamples were given the same behavioral examples (nine sets of thirty examples), each group was given a different type of rating instrument (one a BARS instrument and the other a trait-based rating instrument). The purpose of this departure was to permit comparison of the relative reliability of the two instruments, a step not undertaken by Bradley and Pursley. The present study also used example sets that were slightly larger than those used by Bradley and Pursley. The purpose of this modification was to improve the power of the correlation analysis necessary to determine inter-rater reliability or agreement.²⁰

Statistical Techniques.

Following the example of Bradley and Pursley, the current study employed correlation analysis and comparisons of descriptive statistics as the principal methods for testing the experimental hypotheses.²¹ The specific tests performed were as follows:

Leniency/Severity. Examination and comparison of various descriptive statistics served as the "test" for this common rater error. Following the methodology described by Bradley and Pursley, the presence or absence of this common rater error was determined by examination of dimension skewness statistics, by examination of the ratings distributions for the various dimensions, and by comparison of dimension means and medians. As per Bradley and Pursley, positive or negative skewness was assumed to indicate rating severity or

leniency as were concentrations of ratings at either end of the dimension rating ranges. Also interpreted as an indicator of ratings leniency or severity were differences in the mean and medians of the various rating distributions.²²

Central Tendency. The standard deviations of rating scores across ratees within dimensions was employed as the primary measure for central tendency. The range of scores across ratees within the various dimensions served as a secondary and somewhat less sophisticated measure of this phenomenon. Following the Bradley/Pursley model, it was assumed that central tendency was inversely related to the size of the standard deviation of the rating scores awarded to employees for each dimension. In terms of rating ranges, it was also assumed that central tendency was inversely related to the size of the ranges actually used by the raters.²³

Halo Effect. The inter-correlation of ratings across dimensions served as the measure for this common rater error. As was the case in the study conducted by Bradley and Pursley, it was assumed that a direct relationship existed between the degree of inter-correlation across dimensions and the degree of halo effect present in the ratings. Higher degrees of significant inter-correlations were assumed to correspond to a greater degree of halo effect.²⁴

Inter-Rater Agreement. The correlation of test ratings within dimensions and across raters provided the test for inter-rater agreement. Following the lead of Bradley and Pursley, it was assumed that a direct and positive relationship existed between degree of inter-rater agreement and the strength of the correlations found.²⁵

Acceptability. The survey questions were written in such away that a concentration of survey responses towards the upper-end of the Likert distributions indicated acceptance of the appraisal instrument in question. Consequently the "test" used for acceptability was the percentage distribution of supportive responses.

TABLE 4-2 summarizes the experimental hypotheses, the statistical tests employed for each, and the expected results of that testing.

TABLE 4-2: Summary of Experimental Tests & Expected Results

EXPERIMENTAL HYPOTHESIS	TEST	EXPECTED RESULTS
<p>The performance ratings obtained from a BARS appraisal instrument will exhibit significantly lower levels of halo effect, leniency/severity, and central tendency than will ratings obtained from a comparable trait-based appraisal instrument.</p> <p>* Halo Effect</p> <p>* Leniency/Severity</p> <p>* Central Tendency</p> <p>*Significance</p>	<p>-*Across Dimension" Intercorrelation</p> <p>-Percentage Distribution</p> <p>-Comparison of Group Medians and Means</p> <p>-Skewness</p> <p>-Standard Deviation</p> <p>-Range</p> <p>-T-Test</p>	<p>-BARS has less "across dimension" Intercorrelation.</p> <p>-BARS has smaller concentrations of ratings at upper and lower end scale.</p> <p>-BARS has less difference between group medians and means.</p> <p>-BARS ratings less skewed.</p> <p>-BARS has smaller standard deviations.</p> <p>-BARS has larger ranges.</p> <p>-Difference in BARS and trait-based scale scores will be significant</p>
<p>The performance ratings obtained from a BARS appraisal instrument will exhibit a significantly higher level of inter-rater agreement than will ratings obtained from a comparable trait-based appraisal instrument.</p>	<p>-Correlation of Ratings across raters</p>	<p>-BARS will exhibit higher degrees of correlation across raters</p>
<p>A BARS appraisal instrument will experience a significantly higher favorable/supportable response rate from users who complete a post-appraisal questionnaire than will a comparable trait-based appraisal instrument.</p> <p>*Significance</p>	<p>-Percentage Distribution</p> <p>-T-Test</p>	<p>-BARS will experience higher levels of favorable/supportive responses</p> <p>-There will be significant in the responses received concerning the two appraisal instruments.</p>

Variables

In the analyses related to the sensitivity and reliability of the appraisal instruments (i.e., the tests for leniency, central tendency, halo, and inter-rater agreement), the appraisal ratings served as the dependent variable. The independent variable was the appraisal instrument type. For the analysis related to the acceptability of the appraisal instrument, the appraisal instrument type again served as the independent variable. The dependent variable, however, was in this case the employee responses to the likert-like survey questions. In both sets of analyses, the independent variable was at the nominal level of measurement while the dependent variable was actually ordinal in nature. However, since the ordinal values of both dependent variables could be translated into numeric values which simulated interval-level data, the dependent variables were treated as if they were, in fact, interval-level variables.

Summary

This chapter provided step-by-step descriptions the methodologies used to construct and to evaluate two alternative appraisal instruments for rating the job performance of alcoholic beverage enforcement agents. Included in these outlines were discussions of the experimental hypotheses generated by the operationalization of the research hypothesis, descriptions of the statistical tests relevant to each of these hypotheses, and a summary of the expected test results. The results actually obtained from the application of these methodologies are discussed in the next chapter of this report.

End Notes For Chapter IV

1. Smith & Kendall, pp. 149 - 155.
2. Earl Babbie, The Practice of Social Research 6th ed. (Belmont, CA: Wadsworth Publishing Company, 1991), pp. 200 - 215.
3. Joan W. DiLeonardi and Patrick Almond Curtis, What to Do When the Numbers Are In: A User's Guide to Statistical Analysis in the Human Services (Chicago, IL: Nelson-Hall, 1988), pp. 6 - 8.
4. Bradley & Pursley, pp. 37 - 45.
5. DiLeonardi & Curtis, pp. 6 - 8.
6. Campbell et al, pp. 15 - 22.
7. Ibid.
8. Smith & Kendall, pp. 149 - 155.
9. Tyler, pp. 199 - 212.
10. Richard D. Bingham and Claire L. Felbinger, Evaluation in Practice: A Methodological Approach (White Plains, NY: Longman Inc., 1989), pp. 46 - 47.
11. Ibid., p. 249.
12. Babbie, pp. 200 - 215.
13. Bradley & Pursley, pp. 37 - 45.
14. Thayer, pp. 20 - 27.
15. Smith & Kendall, pp. 149 - 155.
16. Thayer, pp. 20 - 27.
17. Smith & Kendall, pp. 149 - 155.
18. Ibid.
19. Bradley & Pursley, pp. 37 - 45.
20. Babbie, pp. 200 - 215.

21. Bradley & Pursley, pp. 37 - 45.
22. Ibid.
23. Ibid.
24. Ibid.
25. Ibid.

Chapter V: Results

This chapter discusses the results of each of the methodological steps taken to construct the performance appraisal instruments required for the experiment. The chapter also presents the results obtained by administering the two performance appraisal instruments and the post-appraisal questionnaire and provides an assessment of those results.

Results of the Instrument Development Process

The development of the appraisal instruments required three methodological steps. These steps were job analysis and the definition of performance dimensions, the translation of the dimensions into behavioral examples, and the successful retranslation of the behavioral examples so that they could be used as rating scale anchors. Discussion of the results obtained during each of these steps follows.

Job Analysis & Performance Dimensions. The expert panel charged with the responsibility of examining the results of a previous job analysis, first identified thirty-six highly critical or frequently required Knowledge, Skills, or Abilities (KSA's) associated with the job performed by enforcement agents. Then, as instructed, panelists looked for logical groupings among the KSA's and found a total of nine.

As its next step the panel assigned these groupings, or performance dimensions, descriptive names. A listing of the names assigned to the performance dimensions identified by the panel and the KSA's associated with each appears on the next page in Table 5-1.

TABLE 5-1: Critical/Frequently Required Knowledge, Skills, and Abilities Identified and Logically Grouped Into Job Dimensions By Expert Panel

PANEL'S GROUPINGS OF KSA'S	NAME ASSIGNED PERFORMANCE DIMENSION
<ul style="list-style-type: none"> *Safe operation of motor vehicle under normal and emergency conditions. *Proper care and maintenance of assigned motor vehicle. *Firearms proficiency. *Proper care of assigned firearms. *Knowledge of proper radio communications procedures. *Knowledge and basic skill in the use of common office equipment. 	Care & Use of Equipment
<ul style="list-style-type: none"> *Knowledge of and ability to apply criminal and administrative laws related to job. *Knowledge of and ability to apply proper procedures for fining criminal complaints and administrative charges. *Sufficient understanding of the law to explain its requirements to licensees, interested members of the public, etc. *Knowledge of and ability to apply current law concerning arrest, searches, and seizures. 	Application of Relevant Laws & Regulations
<ul style="list-style-type: none"> *Knowledge and use of effective procedures for conducting inspections, investigations, witness/suspect interviews, arrests, surveillance, undercover operations, vehicle stops, searches, and seizures. *Knowledge of and willingness to use appropriate non-lethal defensive tactics. *Knowledge and use of proper booking procedures. *Skill in administering emergency first aid. *Knowledge of and ability to apply appropriate procedures for gathering evidence. 	Use of Proper Law Enforcement Methods & Techniques
<ul style="list-style-type: none"> *Strength and ability to control struggling prisoner. *Stamina and speed to conduct foot pursuits. *Ability to lift and carry cases of seized beverages. *Ability to apply defensive tactics effectively. 	Physical Condition
<ul style="list-style-type: none"> *Ability to respond appropriately to emergency situations. *Willingness to exercise discretion in the absence of a direct supervisor and to accept responsibility for those discretionary acts. *Ability to take appropriate discretionary actions. 	Initiative
<ul style="list-style-type: none"> *Ability to defuse tense situations by use of appropriate conversation, body language, etc. *Ability to exercise self-control and to control temper even when provoked. *Ability to exercise patience, politeness, and common courtesy when interacting with the public, offenders, or licensees. 	Public Demeanor
<ul style="list-style-type: none"> *Ability to make effective oral presentation before diverse groups and in diverse circumstances. *Ability to communicate detailed information and complex ideas clearly to others in the course of face-to-face meetings and telephone conversations. *Ability to provide clear and concise answers to questions asked in the course of legal proceedings or conversations. *Skill in preparing for presentations. 	Oral Communications Skills
<ul style="list-style-type: none"> *Ability to write legibly. *Ability to compose clear, concise, and complete descriptions of observations and physical evidence. *Knowledge of the rules for proper grammar and skill in their use. 	Written Communications Skills
<ul style="list-style-type: none"> *Ability to establish and maintain close working relationships with officers of other agencies. *Skill in dealing with local officials and agencies. *Knowledge and understanding of the agency's need for local support and assistance. *Skill in satisfying the legitimate needs of local officials and agencies. 	Inter-Agency Relationships

Having identified the key performance dimensions associated with the job of enforcement agent, the panel's last task was to develop common sense definitions for each of the dimensions. Table 5-2 displays the dimension definitions adopted by the expert panel.

TABLE 5-2: Performance Dimensions for Alcoholic Beverage Enforcement Agents

PERFORMANCE DIMENSION	DEFINITION GIVEN DIMENSION BY PANEL
Care & Use of Equipment	The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment, including firearms, communications equipment and motor vehicles
Application of Relevant Laws & Regulations	The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.
Use of Proper Law Enforcement Methods & Techniques	The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, interrogations, undercover operations, etc.
Physical Condition	The degree to which an agent is physically capable of executing a forcible arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.
Initiative	The degree to which the agent is can be counted upon to take appropriate action when circumstances warrant it in the absence of specific orders and without direct supervision.
Public Demeanor	The extent to which the agent is respectful, polite, and helpful in his or her dealings with licensees and the public and the degree to which the agent is courteous and tactful in his or her handling of violators.
Oral Communications Skills	The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.
Written Communications Skills	The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.
Inter-Agency Relationships	The extent to which the agent establishes and maintains close, cooperative relationships with peace officers of other law enforcement agencies.

Translating the Dimensions into Behavioral Examples. During this stage of instrument development ten enforcement agents and enforcement supervisors were each asked to provide three examples of employee behavior for each of the dimensions identified by the expert panel. The instructions given the group asked participants to make their examples as specific as possible and to have each of the examples furnished for a particular dimension represent a different level of performance ("high," "medium," or "low").

The 257 behavioral examples generated by the "translators" are found in Exhibit 3 of the appendices. As the reader will note when reading the exhibit, the examples provided by the participants suffer from a lack of specificity. Rather than furnishing examples of specific conduct as instructed, the translators chose to provide generalities.

To illustrate, one of the examples provided was "Agent has basic working knowledge of applicable statutes and rules and can correctly apply this knowledge without assistance from supervisors." Logically speaking, this type of statement is a generalization drawn from observations of the same subject acting on different occasions under similar circumstances. A specific example, on the other hand, would have described what the subject actually did during a single event.

While the lack of specificity in the behavioral examples provided by the translators did represent a departure from the Smith/Kendall methodology, time and other resource limitations precluded repetition of this phase of the study. General or not, the behavioral examples obtained from the original translators remained the focus of efforts to construct a BARS appraisal instrument.

Retranslation of Behavioral Examples. During this phase of the research, the 257 behavioral examples provided by the translators were randomly sorted and submitted to a probability sample of forty agents and supervisors. These "retranslators" were asked to identify the dimension to which each example belonged. They were then asked to rate the desirability or effectiveness of the behaviors described in each example on a scale of "1" to "5." According to the criteria selected by the researcher, an example was to be dropped from further use if less than 80 percent of the retranslators assigned it to the same performance dimension. An example was also to be dropped if the standard deviation of the desirability/effectiveness ratings it received was greater than one (1.0).

As is shown in Table 5-3, only twenty-six of the 257 behavioral examples reviewed by the retranslators failed to meet the researcher's criteria for successful retranslation. Also

as is shown in Table 5-3, other studies have typically lost a much greater portion behavioral examples during retranslation.

TABLE 5-3: COMPARISON OF RETRANSLATION LOSSES

STUDY	N0. OF EXAMPLES SUBJECTED TO RETRANSLATION	NUMBER NOT RETRANSLATED	PERCENTAGE NOT RETRANSLATED
Smith & Kendall (1963) ¹	141	61	43 %
Campbell et al (1973) ²	Not Cited	Not Cited	30%
Bradley & Pursley (1987) ³	243	61	25 %
Present Study (1993)	257	26	10%

The wide variance in the rejection rate experienced in this study and that seen in prior research raises doubts about the wisdom of the decision made concerning the repetition of the project's translation phase. Either there is an exceptionally high level of agreement among enforcement agents and their supervisors concerning the classification and organizational value of agent behaviors, or the lack of specificity in the examples used makes it difficult for raters to identify true differences in the natures of the behaviors represented by the examples. Since there is nothing in the literature that suggests that police officers experience unusually high levels of agreement, logic favors the second explanation. Failure to repeat the translation phase of the project and the resulting use of general, rather than specific, behavioral examples during retranslation may provide the reason for the observed variance.

Results of Instrument Testing

As has been previously noted, the research employed a post-test only/control group experimental design to test two types of performance appraisal instruments. The first of these appraisal forms utilized behaviorally anchored rating scales (BARS) and was administered as the experimental condition to assess the performance of a randomly selected/randomly assigned experimental group consisting of forty-one agents. The second rating instrument employed simple trait-based scales (TBS) and was administered thirty-days later as a post-test to assess the performance of the same experimental group and of a control group of similar size. The administration of both the experimental condition and of the post-test also included the administration of a six-question, post-appraisal questionnaire to raters and ratees. The purpose of the questionnaire was to measure the "acceptability" of each of the appraisal instruments. Discussion of the test results follows.

Equivalency of Groups. TABLE 5-4, which compares the post-test scores of the experimental group with that of the control group, confirms that the random assignment of randomly selected agents to the two subsamples produced two statistically equivalent groups. As the t-test scores for the performance dimensions indicate, there were no significant differences between the two groups of agents tested.

TABLE 5-4: By Dimension Comparison of Group Means for Post-Test (Trait-Based Scale) Scores Of Control Group & Experimental Group

PERFORMANCE DIMENSION	STATISTIC				
	Mean	SD	D F	t	p
Care/Use of Equipment					
Control Group	3.72	.560	78	.089	$p \leq .930$
Experimental Group	3.71	.512			
Knowledge/Application of Law					
Control Group	3.44	.598	78	-.021	$p \leq .983$
Experimental Group	3.44	.709			
Use of Proper Police Methods					
Control Group	3.51	.601	78	1.427	$p \leq .158$
Experimental Group	3.27	.895			
Physical Condition					
Control Group	3.46	.505	78	.153	$p \leq .879$
Experimental Group	3.44	.776			
Initiative					
Control Group	3.39	.590	78	-1.46	$p \leq .148$
Experimental Group	3.61	.771			
Public Demcanor					
Control Group	3.59	.549	78	.234	$p \leq .815$
Experimental Group	3.56	.550			
Oral Communications					
Control Group	3.62	.633	78	.040	$p \leq .968$
Experimental Group	3.61	.628			
Written Communications					
Control Group	3.44	.641	78	-.020	$p \leq .984$
Experimental Group	3.44	.776			
Inter-Agency Relations					
Control Group	3.69	.655	78	-.258	$p \leq .797$
Experimental Group	3.73	.708			

$n_C = 39$

$n_X = 41$

Results Pertaining to the Experimental Hypotheses. The two appraisal instruments were administered to gather data that could be used to prove or disprove the three experimental hypotheses. Each of the hypotheses targeted a specific issue. These issues were: (1) Common Rater Errors, (2) Inter-Rater Agreement, and (3) Acceptability. A review of the test results pertaining to each of the hypotheses follows.

Hypothesis No. 1: Common Rater Error. The hypothesis had asserted that the ratings obtained from the BARS instrument's ratings would exhibit significantly lower levels of common rater errors, such as halo effect, leniency/severity, and central tendency than ratings from the trait-based scales instrument. The test results failed to support this assertion.

TABLE 5-5, for example, clearly shows that there were no significant differences between experimental group's post-test and experimental test results even though different instruments were used for each test. In order for the hypothesis concerning common rater errors to be valid, significant differences would have to been seen in the rating results obtained from the two appraisal formats.

TABLE 5-5: By Dimension Comparison of Group Means BARS Scores & Trait-Based Scale Scores Of Experimental Group

PERFORMANCE DIMENSION	STATISTIC				
	Mean	SD	D F	t	p
Care/Use of Equipment					
BARS	3.73	.742	80	.173	$p \leq .863$
TBS	3.71	.512			
Knowledge/Application of the Law					
BARS	3.39	.682	80	-.330	$p \leq .742$
TBS	3.44	.709			

$n_{\text{BARS}} = 41$

$n_{\text{TBS}} = 41$

TABLE 5-5: Continued

PERFORMANCE DIMENSION	STATISTIC				
	Mean	SD	D F	t	p
Use of Proper Police Methods					
BARS	3.56	.808	80	1.554	$p \leq .124$
TBS	3.27	.895			
Physical Condition					
BARS	3.54	.778	80	.569	$p \leq .571$
TBS	3.44	.776			
Initiative					
BARS	3.61	.833	80	0.000	$p \leq 1.00$
TBS	3.61	.771			
Public Demeanor					
BARS	3.56	.634	80	0.000	$p \leq 1.00$
TBS	3.56	.550			
Oral Communications					
BARS	3.39	.628	80	-1.58	$p \leq .117$
TBS	3.61	.628			
Written Communications					
BARS	3.46	.897	80	.132	$p \leq .896$
TBS	3.44	.776			
Inter-Agency Relations					
BARS	3.68	.687	80	-.317	$p \leq .752$
TBS	3.73	.708			

 $n_{\text{BARS}} = 41$ $n_{\text{TBS}} = 41$

TABLE 5-6 compares the experimental group's BARS and TBS scores in terms of descriptive statistics related to central tendency and leniency/severity. As anticipated, the rating ranges and "within dimension" standard deviations are slightly larger for the BARS ratings than for the trait-based ratings, indicating less central tendency in the BARS ratings. Also as expected, the skewness statistics associated with the BARS rating distributions are

smaller on average than those associated with the trait-based rating distributions, indicating less leniency/severity error in the BARS ratings.

TABLE 5-6: By Dimension Comparison of Descriptive Statistics for Performance Ratings Received by Experimental Group (Behaviorally Anchored Rating Scale Scores Vs. Trait-Based Scale Scores)

PERFORMANCE DIMENSION	STATISTIC						
	Min	Max	Range	Median	Mean	SD	Skew
Care/Use of Equip							
BARS	2	5	3	4	3.73	.742	-.276
TBS	3	5	2	4	3.71	.512	-.332
Knowledge/Application of Law							
BARS	2	5	3	3	3.39	.628	.114
TBS	1	5	4	3	3.44	.709	-.849
Use of Police Methods							
BARS	1	5	4	3	3.56	.808	-.200
TBS	1	5	4	3	3.27	.895	-.762
Physical Condition							
BARS	1	5	4	4	3.54	.778	-1.58
TBS	1	5	4	3	3.44	.776	-1.26
Initiative							
BARS	1	5	4	4	3.61	.833	-.485
TBS	1	5	4	4	3.61	.771	-.871
Public Demeanor							
BARS	3	5	2	3	3.56	.634	.661
TBS	2	4	2	4	3.56	.550	-.700
Oral Communications							
BARS	2	5	3	3	3.39	.628	.729
TBS	3	5	2	4	3.61	.628	.500
Written Communications							
BARS	2	5	3	3	3.46	.897	.216
TBS	2	5	3	3	3.44	.776	.043
Inter-Agency Relations							
BARS	2	5	3	4	3.68	.687	.021
TBS	3	5	2	4	3.73	.708	.423

$n_{\text{BARS}} = 41$

$n_{\text{TBS}} = 41$

Further evidence that less leniency/severity was experienced with the BARS instrument is offered in TABLE 5-7. TABLE 5-7 compares the percentage distributions of the BARS ratings awarded to the experimental group with the percentage distributions of the trait-based scale ratings awarded to the same group during the post-test. The data displayed in TABLE 5-7 clearly show that the BARS ratings were less concentrated at the extreme ends of the rating range than the ratings obtained from the trait-based instrument. Such evidence is fully consistent with an expectation of less leniency/severity error in the BARS ratings.

TABLE 5-7: Comparison of Performance Rating Distributions
BARS Scores & Trait-Based Scale Scores Of Experimental Group

PERFORMANCE DIMENSION	Performance Rating (Score)				
	1 Not Accept- able	2 Mar- ginal	3 Avg	4 Above Avg	5 Superior
Care/Use of Equipment					
BARS	00.0%	04.9%	29.3%	53.6%	12.2%
TBS	00.0%	00.0%	31.7%	65.9%	02.4%
Knowledge/Application of Law					
BARS	00.0%	04.9%	53.7%	39.0%	02.4%
TBS	02.5%	02.4%	46.3%	46.3%	02.5%
Use of Proper Police Methods					
BARS	02.4%	00.0%	48.8%	36.6%	12.2%
TBS	07.3%	02.4%	51.2%	34.2%	04.9%
Physical Condition					
BARS	04.9%	00.0%	34.2%	58.5%	02.4%
TBS	04.9%	00.0%	43.9%	48.8%	02.4%
Initiative					
BARS	02.5%	02.4%	39.0%	43.9%	12.2%
TBS	02.4%	02.4%	34.2%	53.7%	7.3%
Public Demeanor					
BARS	00.0%	00.0%	51.2%	41.5%	07.3%
TBS	00.0%	02.4%	39.0%	58.6%	00.0%

$n_{\text{BARS}} = 41$

$n_{\text{TBS}} = 41$

TABLE 5-7: Continued

PERFORMANCE DIMENSION	Performance Rating (Score)				
	1 Not Accept- able	2 Mar- ginal	3 Avg	4 Above Avg	5 Superior
Oral Communications					
BARS	00.0%	02.4%	61.0%	31.7%	04.9%
TBS	00.0%	00.0%	46.4%	46.3%	07.3%
Written Communications					
BARS	00.0%	12.2%	43.9%	29.3%	14.6%
TBS	00.0%	09.8%	43.9%	39.0%	07.3%
Inter-Agency Relations					
BARS	00.0%	02.4%	36.6%	51.2%	09.8%
TBS	00.0%	00.0%	41.5%	43.9%	14.6%

 $n_{\text{BARS}} = 41$ $n_{\text{TBS}} = 41$

The BARS ratings, as expected, did exhibit lower levels of central tendency and leniency/severity error than did the trait based ratings. At the same time, however, the BARS instrument was not found to be superior to the trait-based instrument with respect halo effect. In fact, contrary to all expectations, analysis of the two sets of performance ratings produced evidence of a much greater incidence of halo effect in the BARS results than in the trait-based ratings. The statistical measures for halo effect (the "across dimension" inter-correlations of ratings) are shown for both rating instruments in TABLE 5-8. These inter-correlations clearly indicate that those using the BARS instrument experienced a higher degree of halo effect.

TABLE 5-8: Comparison of Dimension Inter-Correlations
Behaviorally Anchored Rating Scale Scores Vs. Trait-Based Scale Scores
For Experimental Group

PERFORMANCE DIMENSION	PERFORMANCE DIMENSION								
	Equip	Laws	Police Meth	Phys Cond	Init	Public Dmnr	Oral Com	Writ Com	Inter Agcy
Care of Equipment									
BARS	1.00								
TBS	1.00								
Knowledge of Law									
BARS	.39*	1.00							
TBS	.23	1.00							
Police Methods									
BARS	.42*	.74*	1.00						
TBS	.12	.36*	1.00						
Phys. Condition									
BARS	-.18	.18	.11	1.00					
TBS	-.11	.10	.55*	1.00					
Initiative									
BARS	.27	.68*	.71*	.10	1.00				
TBS	.21	.69*	.55*	.04	1.00				
Public Demeanor									
BARS	.49*	.32*	.54*	-.07	.38*	1.00			
TBS	.15	.31*	.19	-.06	.24	1.00			
Oral Commun									
BARS	.23	.62*	.64*	.23	.59*	.50*	1.00		
TBS	.26	.56*	.33*	.00	.50*	.36*	1.00		
Written Commun									
BARS	.38*	.56*	.67*	.21	.58*	.41*	.60*	1.00	
TBS	.21	.46*	.51*	.09	.67*	.35*	.51*	1.00	
Inter-Agency Rel									
BARS	.17	.41*	.42*	.09	.57*	.30	.47*	.41*	1.00
TBS	.19	.49*	.16	-.14	.54*	.46*	.38*	.31*	1.00

$n_{\text{BARS}} = 41$

$n_{\text{TBS}} = 41$

* $p \leq .05$

To summarize then, the test results did not sustain the hypothesis concerning common rater errors. No significant differences were found in the ratings associated with the two performance appraisal instruments. Beyond the issue of significance, the results were mixed. The BARS ratings, as expected, were found to contain less central tendency and less leniency/severity error. The trait-based ratings, on the other hand, were found to contain less evidence of halo effect.

Hypothesis No. 2: Inter-Rater Agreement. The second experimental hypothesis postulated that a significantly higher degree of inter-rater agreement would be experienced when using a BARS rating instrument than when using a comparable trait-based appraisal instrument. To examine the validity of this hypothesis, a convenience sample of four supervisors was drawn and divided by random assignment into two subsamples of equal size. The two supervisors assigned to the first subsample were given nine BARS rating scales, one for each performance dimension used in the BARS appraisal instrument. Those in the second subsample were given trait-based scales for the same dimensions. Both groups were then given nine sets of behavioral examples. Each set pertained to a specific performance dimension and consisted of thirty behavioral examples. Once supplied with the rating scales and the example sets, the supervisors were asked to rate each behavioral example using the assigned rating format.

The ratings assigned by each set of supervisors were then correlated on a dimension by dimension basis. The results of this analysis are presented in TABLE 5-9.

TABLE 5-9: Test for Inter-Rater Agreement

DIMENSION	RELIABILITY COEFFICIENT	
	BARS	TABS
Care & Use of Equipment	.901	.820
Knowledge/Application of Laws	.836	.861
Use of Proper Police Methods	.922	.822
Physical Condition	.900	.893
Initiative	.844	.812
Public Demeanor	.892	.916
Oral Communications Skills	.861	.910
Written Communications Skills	.791	.739
Inter-Agency Relations	.886	.701
Grand Mean	.870	.831

 $n_{\text{BARS}} = 2$ $n_{\text{TBS}} = 2$

The reliability coefficients shown in TABLE 5-9 are nothing more than the correlation of the rater scores for the behavioral examples provided for each performance dimension.⁴ As is seen in TABLE 5-9, both instruments enjoyed fairly high levels of inter-rater correlation, or agreement. While the BARS instrument did, as expected, experience a greater degree of agreement, the differences in the correlations for the two instruments were not great. The sizes of subsamples used in this case preclude any meaningful test of significance, but the evidence does, at least, nominally support the hypothesis.

Hypothesis No. 3: Acceptability. The third research hypothesis voiced speculations concerning the relative "acceptability" of the two types of rating instruments. It asserted that, as measured by favorable rater and red responses to post-appraisal questionnaires, the BARS instrument would enjoy a significantly greater degree of acceptance than would the

trait-based appraisal instrument. TABLE 5-10 and TABLE 5-11 present the research findings relevant to this hypothesis.

TABLE 5-10: Comparison of Distributions of Survey Responses Concerning the Acceptability of the BARS & TBS Appraisal Instruments

SURVEY QUESTIONS	RESPONSE OPTIONS				
	1 Strongly Disagree	2 Some Disagree- ment	3 No Opin- ion	4 Some Agree- ment	5 Strong Agree- ment
The appraisal instrument gives employees a clear idea of employer's expectations and of how well he or she met those expectations					
BARS	01.7%	12.1%	41.4%	39.6%	05.2%
TBS	02.2%	16.3%	46.7%	30.4%	4.4%
The rating scales used in the appraisal instrument truly reflect the full range of critical tasks performed by agents					
BARS	01.7%	06.9%	39.7%	43.1%	08.6%
TBS	03.3%	05.4%	53.3%	31.5%	06.5%
The ratings obtained from this appraisal instrument help the employer identify training needs.					
BARS	03.5%	17.2%	48.3%	27.6%	03.4%
TBS	04.4%	23.9%	47.8%	22.8%	01.1%
Differences in the ratings obtained from using this rating instrument represent true differences in employee performance					
BARS	0.00%	20.7%	50.0%	24.1%	05.2%
TBS	04.3%	25.0%	46.7%	20.7%	03.3%
Ratings obtained from the use of this appraisal instrument should be one of the factors considered in making basic personnel decisions					
BARS	08.6%	13.8%	13.8%	44.8%	19.0%
TBS	4.4%	22.8%	15.2%	43.5%	14.1%
This appraisal instrument should be adopted for state-wide use.					
BARS	00.0%	10.3%	20.7%	43.1%	25.9%
TBS	02.2%	20.7%	10.9%	46.7%	19.5%

$n_{\text{BARS}} = 58$

$n_{\text{TBS}} = 92$

As is seen in TABLE 5-10, the BARS instrument did, as anticipated, received a greater proportion of favorable/supportive responses. While these findings support the

hypothesis, the size of differences in favorable/supportive responses received by the two appraisal instruments does not. The "t" statistics displayed in TABLE 5-11 clearly demonstrate that the differences in the favorable/supportive responses rates enjoyed by the two appraisal instrument were not significant. The lack of significant differences indicates, in this case, that hypothesis pertaining to instrument acceptability should be rejected.

TABLE 5-11: By Item Comparison of Group Means for Survey Questions Concerning the Acceptability of BARS & Trait-Based Appraisal Instruments

PERFORMANCE DIMENSION	STATISTIC				
	Mean	SD	DF	t	p
Instrument Communicates Expectations					
BARS	3.34	.828	148	1.14	$p \leq .254$
TBS	3.19	.838			
Instrument Reflects Range of Critical Tasks					
BARS	3.50	.822	148	1.27	$p \leq .206$
TBS	3.33	.813			
Instrument Identifies Training Needs					
BARS	3.10	.852	148	1.28	$p \leq .203$
TBS	2.92	.829			
Instrument Distinguishes Differences in Performance					
BARS	3.14	.805	148	1.43	$p \leq .155$
TBS	2.94	.875			
Instrument Ratings Should be Used as Basis for Basic Personnel Decisions					
BARS	3.52	1.20	148	.595	$p \leq .552$
TBS	3.40	1.12			
Instrument Should be Adopted for Regular Use					
BARS	3.84	.933	148	1.365	$p \leq .174$
TBS	3.61	1.09			

$n_{\text{BARS}} = 58$

$n_{\text{TBS}} = 92$

Summary of Results

The scale development process did not generate behavioral examples with the degree of specificity anticipated. While the lack of specificity may or may not have effected the rating instrument test results, those results were not consistent with the researcher's expectations.

For example, analyses of the data collected during the research did, as expected, indicate that the BARS instrument was superior to the trait-based scale instrument in terms of central tendency, leniency/severity, inter-rater agreement, and acceptability. At the same time, however, other analyses showed the trait-based instrument to be superior in terms of halo effect and demonstrated that the differences between results obtained by the two appraisal instruments was insignificant. This second set of findings necessitated the rejection of two of the three experimental hypotheses. TABLE 5-12 on the following page summarizes the test results. Conclusions are offered in the next chapter of this report.

TABLE 5-12: Comparison of Actual & Expected Results of Experimental Testings

EXPERIMENTAL HYPOTHESIS	TEST	EXPECTED RESULTS	ACTUAL RESULTS	HYPOTHESIS SUSTAINED?
<p>The performance ratings obtained from a BARS appraisal instrument will exhibit significantly lower levels of halo effect, leniency/severity, and central tendency than will ratings obtained from a comparable trait-based appraisal instrument.</p> <p>* Halo Effect</p> <p>* Leniency/Severity</p> <p>* Central Tendency</p> <p>*Significance</p>	<p>- "Across Dimension" Intercorrelation</p> <p>- Percentage Distribution</p> <p>- Comparison of Group Medians and Means</p> <p>- Skewness</p> <p>- Standard Deviation</p> <p>- Range</p> <p>- T-Test</p>	<p>- BARS has less "across dimension" Intercorrelation.</p> <p>- BARS has smaller concentrations of ratings at upper and lower end scale.</p> <p>- BARS has less difference between group medians and means.</p> <p>- BARS ratings less skewed.</p> <p>- BARS has smaller standard deviations.</p> <p>- BARS has larger ranges.</p> <p>- Difference in BARS and trait-based scale scores will be significant</p>	<p>- BARS has more "across dimension" Intercorrelation.</p> <p>- BARS has smaller concentrations of ratings at upper and lower end scale.</p> <p>- BARS has less difference between group medians and means.</p> <p>- BARS ratings less skewed.</p> <p>- BARS has smaller standard deviations.</p> <p>- BARS has larger ranges.</p> <p>- Difference in BARS and trait-based scale scores is insignificant.</p>	NO
<p>The performance ratings obtained from a BARS appraisal instrument will exhibit a significantly higher level of inter-rater agreement than will ratings obtained from a comparable trait-based appraisal instrument.</p>	- Correlation of Ratings across raters	- BARS will exhibit higher degrees of correlation across raters	- BARS exhibits higher degrees of correlation across raters	YES (But the difference is small, and may not be significant)
<p>A BARS appraisal instrument will experience a significantly higher favorable/supportable response rate from users who complete a post-appraisal questionnaire than will a comparable trait-based appraisal instrument.</p> <p>*Significance</p>	<p>- Percentage Distribution</p> <p>- T test</p>	<p>- Bars will experience higher levels of favorable/supportive responses</p> <p>- There will be significant in the responses received concerning the two appraisal instruments.</p>	<p>- Bars experience higher levels of favorable/supportive responses</p> <p>- The differences in the responses received for the two appraisal instruments were insignificant.</p>	NO

End Notes for Chapter V

1. Smith & Kendall, pp. 149 - 155.
2. Campbell et al, pp. 15 - 22.
3. Bradley & Pursley, pp. 37 - 45.
4. Bradley & Pursley, pp. 37 - 45.

Chapter VI: Conclusions

The Success of the Research

The research began with two objectives. The first objective was to construct a performance appraisal instrument for alcoholic beverage enforcement agents that utilized behaviorally anchored rating scales. The second objective was to demonstrate that the BARS methodology could produce rating instruments that were significantly more reliable, more sensitive, and more acceptable than comparable trait-based scale instruments. As has been shown in this paper, the research accomplished the first of these goals, but failed to achieve the second.

Cause of Outcome

The researcher rejects the notion that the test results "disprove" the theory on which the BARS is based. While the results of this study failed to support the theory, the theory is well supported by the results of previous research. The evidence resulting from that research is simply too voluminous and too consistent to be ignored.

Instead, the researcher believes that the failure to accomplish the second goal may be due to the lack of specificity observed in the behavioral examples used as anchors for the BARS rating options. While the validity of this suspicion cannot be "proven," it is doubtful that the literature would have so consistently demanded the use of specific behavioral anchors if the characteristic was not critical to the success of the BARS design. Also supporting the suspicion is that the results of the research are logically consistent with the consequences one

would expect see if the behavioral anchors used were, in fact, too general. An unusually high retranslation rate for behavioral examples and a lack of significant differences in the results obtained from the two instruments are logical consequences of using behavioral anchors that are too vague to permit raters in distinguishing true differences in performance levels. The fact that these results were actually observed serves to confirm the suspicion.

As for the cause of the lack of specificity seen in the behavioral examples submitted by the translators, there is, again, no conclusive proof for any particular belief. Suspicion, however, points to a tie, if not a causal relationship, between the lack of specificity in the examples received and the decision to rely on written instructions when communicating with project participants. While this decision was consistent with the methodology originally demonstrated by Smith and Kendall,¹ it represented a departure from the methods used in a majority of the related studies. In those studies, written instructions were invariably supplemented by face-to-face conferences.²

Inexperience may have led, in this case, to the use of imprecise or unclear instructions, a mistake that more experienced researchers like Smith and Kendall would have avoided. From the results of the research, it seems apparent that face-to-face conferences should have been used to supplement the written instructions, particularly during the translation stage of BARS development. Use of the conference approach, under the circumstances which existed, would have provided an additional line of defense against any inadequacies in the written instructions.

The results also indicate that, instead of accepting behavioral examples that lacked adequate specificity, the researcher should have provided the translators more explicit

instructions and repeated the translation phase of the project. While the lack of time and other resources may have restricted the range of available options, resource limitations do not excuse poor research decisions. When confronted by unexpected outcomes early in the project, the initial methodological choices should have been challenged and, perhaps, even changed.

Topics for Future Research

One of the chief problems associated with BARS performance appraisal systems is the cost of creating them.³ Because BARS scale construction requires a considerable investment of time and other resources, methodological shortcuts, such as the use of written instructions, can result in substantial savings and make the methodology more accessible to greater numbers of potential users. While reliance upon the use of written instructions may have generated unanticipated and negative results in this study, that does not mean that "better" instructions would not have produced "better" outcomes. Consequently, one potentially useful type of future research would be studies that focus upon possible methodological shortcuts. A study that compares the effect of different sets of written instructions on scale construction and rating outcomes could, for example, identify a methodological shortcut that does not compromise the quality of the finished product.

Another area ripe for future research concerns the value of using specific behavioral examples as behavioral anchors. While the results of the present study certainly suggest that the use of specific behavioral anchors might be critical to the success of the BARS methodology, a suggestion is not proof. A research project that contrasts the results obtained from a BARS instrument using specific behavioral anchors with that of one which employs

more general examples as its rating scale anchors could provide great insight into the value of specific behavioral anchors. Such research might even suggest ways of avoiding the types of problems that troubled the present study.

Summary

The attempt to create an appraisal instrument for alcoholic beverage enforcement agents that used behaviorally anchored rating scales was successful. Unfortunately, methodological errors may have compromised the quality of the finished product and affected the outcome of instrument testing. In any case, the study failed to demonstrate that the BARS appraisal instrument was significantly more reliable, sensitive, or acceptable to users than a comparable trait-based instrument.

Because of the preponderance of contrary evidence found in the literature, the notion that the test results challenged the validity of the BARS methodology was rejected. Instead, it was concluded that the outcomes observed may have resulted from poor methodological choices made during the construction of the BARS instrument. Among the specific choices called into question were the decision to rely almost exclusively on written instructions for communicating directions to project participants and the decision to accept and use behavioral examples that lacked sufficient specificity.

End Notes for Chapter VI

1. Smith & Kendall, pp. 149 - 155.
2. Bradley & Pursley, pp. 37 - 45.

3. Landy et al, pp. 750 - 758.

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APPENDICES

**INTER-OFFICE COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: May 12, 1993

TO: Roger Boyd, Sergeant, Houston Enforcement

FROM: Roy Hale, Staff Services Officer, Enforcement HQ

SUBJECT: Identification and Definition of Key Performance Dimensions Related to Job of Agents I-IV

=====

Thank you for your willingness to participate in the current phase of my research project. The purpose of the project is to develop and test a performance appraisal instrument for enforcement agents that meets the validity requirements of the U.S. Equal Employment Opportunity Commission and that produces relevant and reliable performance data. The objective of this, the first stage of the project, is to identify and define the key dimensions of the job performed by the agency's enforcement agents.

A performance or job dimension is a critical, supposedly distinct, aspect of the employee's job. In terms of specific job functions, a performance (job) dimension is a logical grouping of related tasks that are crucial to job success and/or are frequently performed.

In the methodology that I am following, the first step in the process of identifying and defining the performance dimensions associated with a particular position is to conduct a job analysis. In the course of a job analysis, a representative sample of job incumbents list the individual tasks they perform and then rate each task in terms of its criticality and of the frequency with which it is performed. As you will recall, this first step was accomplished last summer as part of the agency's ADA implementation efforts.

The second step in the process is to sort the most critical and/or frequently performed job tasks into logical groupings. These groupings become the performance dimensions for the job under consideration. As a third and final step, the definitions for the various dimensions are, then, deduced from the common elements of the groupings.

You and four other enforcement supervisors have been asked to undertake steps two and three of the process outlined above using the information provided by agents in their responses to the agency's 1992 ADA job survey. Copies of these responses have been enclosed for your use.

To guide you in your efforts and to provide a starting point for your work, I have taken the liberty of preparing and enclosing a table entitled "Tentative Performance Dimensions For Alcoholic Beverage Enforcement Agents." This table identifies and defines a eight performance dimensions for alcoholic beverage enforcement agents. The dimensions cited and their definitions were the results of my own attempt to complete the steps you have been asked to follow.

While it is hoped that you will reach similar conclusions, you are not limited to the dimensions or the definitions found in my table. You are free to add, delete, or modify at will.

I do ask, however, that each of your final dimensions be more or less distinct (e.g., each should represent a different aspect of the job) and that they be drawn only from your analysis of the job survey responses. Because of lead-time requirements for the other phases of the project, I also request that you have your recommendations concerning appropriate job dimensions and dimension definitions to me by Friday, May 28, 1993.

Again, thank you for your willingness to participate. I appreciate your assistance.



PS: While none of the previous research undertaken with this methodology has specifically examined the jobs of alcoholic beverage enforcement agents, a number did look at a similar occupation— police patrol officer. Three tables showing the performance dimensions identified in the research pertaining to police patrol officers have been enclosed for reference purposes.

**TENTATIVE PERFORMANCE DIMENSIONS
FOR ALCOHOLIC BEVERAGE ENFORCEMENT AGENTS***

Care and Use of Equipment

The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.

Application of Relevant Laws & Regulations

The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.

Use of Proper Law Enforcement Methods & Techniques

The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, investigations, searches, interrogations, undercover operations, etc.

Physical Condition

The degree to which an agent is physically capable of executing a forceable arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.

Public Demeanor

Extent to which the agent is polite, courteous, helpful, and respectful in his or her dealings with licensees and their customers, with the general public, and with violators.

Oral Communications Skills

The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.

Quality & Timeliness of Written Reports & Other Documents

The extent to which reports and other documents generated by the agent are correctly completed, readable, and on time.

Inter-Agency Relationships

The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.

*Dimensions Deduced From Results of Job Analysis Conducted During the Summer of 1992.

Proficiency in use of firearms

Writing skills — reports, letters, citations, etc.

knowledge and effective use of defensive tactics

Arrest, Search, Control, and transportation of prisoners

Use of TLETS/NLETS system

Knowledge of and ability to apply criminal and administrative laws related to job

Knowledge of booking procedures

Establishes and maintains mutually beneficial relationships with personnel of other law enforcement agencies.

Self-Control

Reading comprehension

use of physical force to restrain criminal suspects

knowledge and use of first aid

operation police radios

Oral presentation skills — courts, presentations to public, other agencies, etc.

Knowledge of and ability to apply proper undercover procedures

Collection of Evidence.

Effecting vehicle stops and other violator contacts

Preparing & executing search warrants

Work during poor weather conditions

Knowledge of and ability to apply proper procedures for filing criminal complaints

Knowledge of and ability to apply proper investigatory techniques.

Meet and assist local official

Use of office equipment: CRT, Tec.

Taking Sworn statements

Ability to chase suspects

Care of Equipment

Seizure of contraband

Interviewing Skills

Maintain required records

Answer telephone and in-person inquiries

Explain applications and applications process

Left confiscated seizures

Observations skills/ ability to detect violations

Defuse tense situations using verbal skills

knowledge of and performance of inspection procedures

PERFORMANCE DIMENSIONS FOR PATROL OFFICERS USED BY FRANK J. LANDY ET AL (1976)

Job Knowledge
Use of knowledge of law, procedures, policies, and techniques related to the patrol function including the application of prior training.
Judgement
Analytic assessment of the situation and taking necessary and appropriate action after consideration of alternative approaches.
Reliability
Dependability in job attendance, effort expenditure, acceptance of responsibility, reaction to stress, and accuracy in all details of work.
Initiative
Individual personal performance conducted without either direct supervision or commands, including recommendations for improved departmental procedures.
Attitude
General orientation toward the law enforcement profession and the department.
Communications
Ability to make oneself understood and to gather and transmit information in both oral and written fashion.
Demeanor
Professional bearing as determined by overall neatness of uniform, personal grooming, and general physical condition.
Use of Equipment
Knowledge of and skill in the use of firearms and other special equipment (radio, vehicles, first aid, etc.).
Dealing with the Public
Ability to deal with public in a respectful, tactful style, while attempting to meet their expectations, if possible.
Compatibility
Ability to work with fellow officers, including accepting and giving constructive criticism, mutual decision making, and taking an equal share of the work load.
Work Attitude
Interested in serving the public by the performance of his or her job, gains satisfaction from doing job well, including fair and objective enforcement and administration of the law.

Source: Frank J. Landy et al, "Behaviorally Anchored Scales for Rating the Performance of Police Officers." *Journal of Applied Psychology* 61 (1976): 750 – 758.

**PERFORMANCE DIMENSIONS FOR PATROL OFFICERS
USED BY CASCIO AND VALENZI (1977)**

Job Knowledge
Awareness of procedures, law, and court rulings, and changes in them.
Judgement
Observation and assessment of the situation and taking appropriate action.
Dependability
Predictable job behavior including attendance, promptness, and reaction to boredom, stress, and criticism.
Initiative
Individual personal performance conducted without either direct supervision or commands, including recommendations for improved departmental procedures.
Attitude
General orientation toward the law enforcement profession and the department.
Communications
Ability to make oneself understood and to gather and transmit information in both oral and written fashion.
Demeanor
Professional bearing as determined by overall neatness of uniform, personal grooming, and general physical condition.
Relations with Others
Ability to deal with people contacted during the performance of patrol duties, including public, fellow officers, and supervisory personnel.

Source: Wayne F. Cascio and Enzo R. Valenzi, "Behaviorally Anchored Rating Scales: Effects of Education and Job Experience of Raters and Ratees," Journal of Applied Psychology 62 (1977): 278 - 282.

**PERFORMANCE DIMENSIONS FOR PATROL OFFICERS
USED BY BRADLEY & PURSLEY (1987)**

Job Knowledge

Awareness of current laws, court rulings, procedures, rules, regulations, policies, and techniques.

Decision Making

Observation and assessment of situations and taking appropriate action.

Dependability

Predictable job behavior including attendance, promptness, and reaction to boredom, stress, and criticism.

Initiative

The performance of job activities without either direct supervision or commands, including suggestion for improved procedures.

Equipment Use

The safe and proper use of vehicles, firearms, and other special equipment (radios, computer terminals, etc.).

Communications

Ability to make oneself understood and to gather and transmit information in both oral and written form.

Demeanor

Professional bearing as determined by overall neatness of uniform, personal grooming, and general physical condition.

Relations with Others

The officer's ability to effectively deal with people he or she comes into contact with during duty tours. This includes the public, fellow officers, and supervisors.

Source: Danny E. Bradley and Robert D. Pursley, "Behaviorally Anchored Rating Scales for Patrol Officer Performance Appraisal: Development and Evaluation," *Journal of Police Science and Administration* (1987): 37 – 45

**INTER-OFFICE COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: June 1, 1993

TO: Gary Foster, Agent, Houston Enforcement

FROM: Roy Hale, Staff Services Officer, Enforcement HQ

SUBJECT: Participation in Development of Experimental Performance Rating Scales

=====

As was explained in Chief Brown's Inter-Office Communication of May 17, 1993, the Enforcement Division is testing alternative instruments for rating agent performance. You are being asked to participate in the second stage of this process.

In the previous stage, a small group of enforcement supervisors was asked to review job task surveys completed by a representative sample of 42 enforcement agents. The primary mission of this group of supervisors was to sort the tasks the agents rated as most "crucial" and/or "frequently performed" into logical groupings representing different aspects, or ratable dimensions, of the job performed by agents. They were also asked to provide a short description and a definition for each dimension they identified.

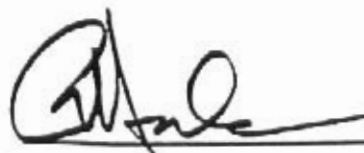
Those involved in the second of stage of the project will be asked to extend the work begun in first. More specifically, they will be requested to provide actual examples of agent behaviors (specific examples, not generalities) representing high, average, and low effectiveness in each of the performance dimensions identified and defined by the first group of participants.

To facilitate your participation, I have enclosed a short, two page response form which contains separate sections for each of the performance dimensions under consideration. Each section contains a short description for the performance dimension, its definition, and spaces for recording behavioral examples representing high, average, and low agent performance.

To complete a section of the form, all you have to do is to study the dimension definition and to provide examples of actual agent behaviors representing high, average, and low level's of performance in that dimension. It shouldn't take you more than an hour or so to finish the whole form.

The completed response form should be returned to me here at Headquarters no later than June 10, 1993. Your assistance and cooperation in meeting that deadline will be much appreciated.

Please call me at (512) 206-3404 if you have any questions. Thank you for your participation.



INSTRUCTIONS FOR PHASE II RESPONSE FORM

For Each Performance Dimension:

1. Carefully study the dimension definition.
2. Picture in your own mind the specific tasks that are associated with this particular aspect (dimension) of the job. Visualize the types of behaviors and quality of agent performance you would expect to find at each level of proficiency (high, average, and low).
3. From your own experience in working with agents, draw specific examples of agent behavior consistent with your expectations of agent performance at each level of proficiency.
4. Enter these examples at the appropriate places on the form.

PERFORMANCE DIMENSIONS FOR ALCOHOLIC BEVERAGE ENFORCEMENT AGENTS*

Care and Use of Equipment

The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.

Application of Relevant Laws & Regulations

The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.

Use of Proper Law Enforcement Methods & Techniques

The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, investigations, searches, interrogations, undercover operations, etc.

Physical Condition

The degree to which an agent is physically capable of executing a forceable arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.

Initiative

The degree to which an agent can be counted upon to take appropriate action when circumstances warrant it in the absence of specific orders and without direct supervision.

Public Demeanor

Extent to which the agent is respectful, polite, and helpful in his or her dealings with licensees and the public and the degree to which the agent is courteous and tactful in his or her handling of violators.

Oral Communications Skills

The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.

Written Communications Skills

The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.

Inter-Agency Relationships

The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.

*Dimensions Deduced From Results of Job Analysis Conducted During the Summer of 1992.

PHASE II RESPONSE FORM **THE TRANSLATION OF DIMENSIONS INTO BEHAVIORAL EXAMPLES**

Respondent's Name: _____

PERFORMANCE DIMENSION		SPECIFIC EXAMPLES OF AGENT BEHAVIOR	
Care and Use of Equipment The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.	High _____ Average _____ Low _____		
Application of Relevant Laws & Regulations The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.	High _____ Average _____ Low _____		
Use of Proper Law Enforcement Methods & Techniques The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, investigations, searches, interrogations, undercover operations, etc.	High _____ Average _____ Low _____		
Physical Condition The degree to which an agent is physically capable of executing a forceable arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.	High _____ Average _____ Low _____		
Initiative The degree to which an agent can be counted upon to take appropriate action when circumstances warrant it in the absence of specific orders and without direct supervision.	High _____ Average _____ Low _____		

PHASE II RESPONSE FORM **THE TRANSLATION OF DIMENSIONS INTO BEHAVIORAL EXAMPLES**

Respondent's Name: _____

PERFORMANCE DIMENSION		SPECIFIC EXAMPLES OF AGENT BEHAVIOR	
Public Demecanor Extent to which the agent is respectful, polite, and helpful in his or her dealings with licensees and the public and the degree to which the agent is courteous and tactful in his or her handling of violators.		High _____ _____ Average _____ _____ Low _____ _____	
Oral Communications Skills The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.		High _____ _____ Average _____ _____ Low _____ _____	
Written Communications Skills The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.		High _____ _____ Average _____ _____ Low _____ _____	
Inter-Agency Relationships The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.		High _____ _____ Average _____ _____ Low _____ _____	

**INTER-OFFICE COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: June 10, 1993

TO: Shawn Smith, Agent, Austin Enforcement District

FROM: Roy Hale, Staff Services Officer, Enforcement HQ

SUBJECT: Participation in Development of Experimental Performance Rating Scales

=====

As was explained in Chief Brown's Inter-Office Communication of May 17, 1993, the Enforcement Division is testing alternate instruments for rating agent performance. You are being asked to participate in the third stage of this process.

Previous to the current phase of the project, a small group of supervisors reviewed job task surveys completed by a representative sample of enforcement agents. Thanks to the data provided by the surveys, they were able to identify and define nine critical aspects (dimensions) of the job performed by agents. A listing of the job dimensions and their definitions was then sent to a group of supervisors and agents. These individuals were asked to provide specific examples of high, average, and low agent performance for each dimension.

The behavioral examples submitted by the second group have been edited and are found in the attached Phase III Response Form. Also attached is a reference sheet containing the formal definitions for the performance dimensions identified during the first phase of the project.

You and the others selected to participate in this phase of the research are being asked to review the list of behavioral examples found in the Phase III Response Form, to identify the performance dimension most closely associated with each example, and to assess the behaviors described in the examples in terms of their overall effectiveness and desirability. For your convenience, the numeric codes for the various performance dimensions and the possible effectiveness rating scores have been printed at the top of each page of behavioral examples.

To complete the response form, first study the performance dimension definitions. Then, go to the response form itself and consider the behavioral examples in turn.

For each example, first identify the performance dimension that is most closely related to the behaviors described. Enter the numeric code for that dimension in the first box to the right of the example.

Next, assess the effectiveness and/or desirability of the agent behaviors depicted in the example. Enter the effectiveness score most consistent with your assessment in the second box to the right of the example.

Continue these steps until you have entered a dimension code and an effectiveness score for each behavioral example. It should take you 2 - 3 hours to complete the form.

Please make a special effort to use the full range of effectiveness rating options as you complete the form. In so far as it is possible, I ask you to avoid concentrating your responses at the extreme ends and at the center of the rating range.

Because of time constraints, the completed response forms need to be in my hands no later than the close of business on June 25, 1993. Please feel free to return the completed form by FAX if that is the only way to meet the deadline.

Your assistance and cooperation will be much appreciated. Please call me at (512) 206-3404 if you have any questions.

Many thanks!

PERFORMANCE DIMENSIONS FOR ALCOHOLIC BEVERAGE ENFORCEMENT AGENTS*

Care and Use of Equipment

The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.

Application of Relevant Laws & Regulations

The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.

Use of Proper Law Enforcement Methods & Techniques

The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, investigations, searches, interrogations, undercover operations, etc.

Physical Condition

The degree to which an agent is physically capable of executing a forceable arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.

Initiative

The degree to which an agent can be counted upon to take appropriate action when circumstances warrant it in the absence of specific orders and without direct supervision.

Public Demeanor

Extent to which the agent is respectful, polite, and helpful in his or her dealings with licensees and the public and the degree to which the agent is courteous and tactful in his or her handling of violators.

Oral Communications Skills

The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.

Written Communications Skills

The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.

Inter-Agency Relationships

The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.

*Dimensions Deduced From Results of Job Analysis Conducted During the Summer of 1992.

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

Page 1 of 11

Performance Dimensions	Effectiveness Scores	
1. Care & Use of Equipment 2. Application of Relevant Laws & Regs 3. Use of Proper Law Enforcement Methods 4. Physical Condition 5. Initiative	6. Public Demeanor 7. Oral Communications Skills 8. Written Communications Skills 9. Inter-Agency Relationships	1. Not Acceptable 2. Marginal 3. Average 4. Above Average 5. Clearly Superior
Use Dimension Number	Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)
Agent disregards safety during arrests and searches. Makes interrogations and investigations a personal matter, thereby producing poor cases.		
Agent does not have to consult with a supervisor before taking appropriate action.		
Agent does not let his or her personal attitudes or emotions affect the agent's handling of violators. The agent keeps his/her temper under control at all times and stays cool/calm.		
Agent fails to pass firearms qualifications test; frequently fails to have routine maintenance performed on vehicle as scheduled; equipment frequently dirty and/or in disrepair.		
Agent frequently unable to execute successful forceable arrests.		
Agent is creative in developing the undercover leads and information sources needed to apprehend violators and does not hesitate to take action when action is warranted.		
Agent is polite and helpful in his or her dealings with the public and treats all citizens as he/she would himself/herself like to be treated.		
Agent stays in excellent physical condition. Always successful in executing forceable arrests and in applying defensive tactics.		
Agent normally successful in making forceable arrests and in defending himself/herself, but may occasionally be over-powered.		
Agent qualifies with firearms, but receives unexceptional score; will normally have routine maintenance performed on vehicle as scheduled, but occasionally will have to be reminded		
Agent scores extremely high on firearms qualifications test; keeps equipment/vehicle in first class shape; never has to be reminded to have routine maintenance performed on vehicle.		
Agent successfully adapts message to the group receiving his/her presentation and uses feedback and listening techniques to ensure that the message is clearly received.		
Grammatical errors are common place in the agent's written reports. Elements of the violations are often omitted from the agent's reports.		
Keeps to himself/herself. Displays no interest in assisting outside agencies.		
The agent actively seeks opportunities to assist the law enforcement personnel of other agencies and to participate in community projects related to alcohol use and abuse.		
The agent appears comfortable and natural when speaking before groups in a public setting and is normally able to successfully impart the information he or she intended to convey.		
The agent assists outside agencies when asked to do so. Communicates well and works in harmony with the personnel of other law enforcement agencies.		
The agent is unable to retain information concerning legal issues and asks the same questions over and over again. Unable to understand or effectively apply points of law.		
The agent pre-judges permittees, licensees, citizens, and violators and easily becomes discourteous or rude. Frequent complaints are received concerning the agent's behavior.		
The agent puts safety first during searches and arrests. The investigations, interrogations, and undercover operations conducted by the agent are always fruitful.		
The agent rarely has to ask the same question about a particular point of law more than once.		
The agent unable to retain interest and attention of audience when making presentations before groups and/or is unduly "short" with other parties during one-on-one conversations		
The agent uses the constitution as boundaries during arrests, searches, investigations, etc.		
The agent's written reports contain few grammatical errors and clearly outline all elements of the violations.		
The grammar found in the agent's reports is always correct, and the reports themselves are clear and concise. The agent's offense reports and case submissions clearly outline and explain all elements of the violations.		

PHASE III RESPONSE FORM

RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

Page 2 of 11

Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment 2. Application of Relevant Laws & Regs 3. Use of Proper Law Enforcement Methods 4. Physical Condition 5. Initiative	6. Public Demeanor 7. Oral Communications Skills 8. Written Communications Skills 9. Inter-Agency Relationships	1. Not Acceptable 2. Marginal 3. Average 4. Above Average 5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
When the agent is unsure about a particular point of law, the agent first attempts to find the correct answer on his/her own and then asks questions.			
Agent always uses proper procedures for arrests, investigations, etc. He/she always conducts complete and thorough investigations, knows where/what to look for & how to ask			
Agent fails to study or to stay up-to-date on statutes or court cases. Requires frequent assistance from supervisors and fellow agents concerning proper application of the law..			
Agent has difficulty in executing a forceable arrest/applying defensive tactics due to size & condition. Has little stamina and is unable to exert himself/herself for any length of time.			
Agent has working knowledge of Alcoholic Beverage Code and Penal Code. Requires occasional assistance from supervisor, but handles most situations properly.			
Agent is careless with equipment, its care, and its use. Supervisor must constantly point-out problems with agent's equipment.			
Agent is fair and courteous in his or her dealings with the public. Can usually be counted upon to use good judgement when dealing with licensees, violations, and ordinary citizens.			
Agent is knowledgeable about the Alcoholic Beverage Code and the state's Penal Code. Uses knowledge to answer questions properly; always files correct charges; continuously studies statutes, court cases, and updates.			
Agent stays in proper physical condition. Has no problem executing a successful forceable arrests and can physically exert himself/herself for a prolonged period.			
Agent takes lead and makes things happen. Is always suggesting better ways of accomplishing goals and continually demonstrates a willingness to take charge.			
Agent usually does a good job with his/her written reports. Reports may occasionally require correction, but are almost always legible, timely, and properly completed.			
Agent will usually apply appropriate police methods and techniques when conducting an investigation, search, etc., but will occasionally need guidance from supervisor & others.			
The agent does everything that is asked, but only occasionally leads or makes suggestions.			
The agent is a follower, and does only what he/she is told. Will not take independent action.			
The agent is easy-going and pleasant, gets along well with officers from other agencies, and is always willing to assist them and their agencies when asked.			
The agent is extremely polite and level-headed in adverse circumstances. He/she takes time to explain his/her actions and goes the extra distance required to resolve problems.			
The agent is unable to communicate effectively as a public speaker. He or she is often not properly prepared for assigned presentations & cannot hold the audience's attention.			
The agent is unfriendly and aloof. He or she distances himself/herself from the officers of other agencies and renders assistance to them only when ordered to do so.			
The agent is very personable, well-thought of by officers of other agencies, and always willing to offer and give assistance.			
The agent presents programs in an acceptable manner, is almost always successful in getting his/her message across, and is effective in his/her responses to questions.			
The agent shows little patience in his or her dealings with the public, licensees, and violators. Often fails to help or to explain what should be done to correct the problem.			
The agent's equipment is always clean, neat, and in proper working order. The agent exercises extrem care when operating vehicles, radio, and firearms.			
The agent's equipment is usually well-maintained. He or she demonstrates an acceptable level of proficiency with firearms and with radio procedures.			
The agent's written reports are always timely, correct, and to the point, but cover all needed material. The agent always provides needed details without being asked.			
The agent's written reports are frequently late, incomplete, and factually incorrect.			

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

Page 3 of 11

Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment	6. Public Demeanor	1. Not Acceptable	
2. Application of Relevant Laws & Regs	7. Oral Communications Skills	2. Marginal	
3. Use of Proper Law Enforcement Methods	8. Written Communications Skills	3. Average	
4. Physical Condition	9. Inter-Agency Relationships	4. Above Average	
5. Initiative		5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
When speaking before a group, the agent has always maintains his or her composure and demonstrates a solid understanding of his or her material. The agent's speaking style is easy-going, but forceful enough to be effective.			
Agent accepts public speaking duties without complaint; makes a good faith effort to prepare for presentations; and presents material to audiences to the best of his or her ability.			
Agent actively seeks training opportunities to improve public speaking skills; thoroughly prepares for all presentations; and handles himself/herself in a competent and professional manner when making presentations.			
Agent always turns in reports on time and without mistakes. In terms of content, agent's reports are well-written and contain all necessary details.			
Agent answers contacts' questions to the best of his/her ability. Is respectful and polite so long as the contact is.			
Agent avoids assignments that would require application of anything except the most basic police methods and techniques. Agent lacks knowledge and is too proud to ask for help.			
Agent avoids court appearances and public speaking chores whenever possible. Argues that answering the phone and talking to people is not his or her job.			
Agent fairly knowledgeable concerning the law. When in doubt concerning a particular point of law, agent will contact supervisor or local DA for assistance.			
Agent has to be ordered to assist officers of other police agencies. Is unfriendly, uncooperative, and arrogant in his/her dealings with them.			
Agent in good shape. When exertion is needed, can hang in there with the best of them.			
Agent keeps trash out of vehicle; weapon clean and in good working order; problems with equipment are reported immediately to supervisor.			
Agent keeps vehicle and emergency equipment clean and in good working order. Takes care of any needed repairs immediately. Firearms always clean and in good condition			
Agent not afraid to trust his/her common sense and knowledge of the law when confronted by a situation that requires immediate response. Can and will take decisive action.			
Agent occasionally needs guidance as to proper techniques and methods, but is able to recognize personnel shortcomings and willing to seek help when needed.			
Agent polite and courteous to officers of other police agencies. Is prompt to assist them when called upon to do so.			
Agent responds in detail to any questions asked by contacts; goes out of his/her way, when necessary, to find correct answers for their questions; always polite and not afraid to admit his/her mistakes.			
Agent routinely fails to give licensees and the public correct answers concerning the law. Seldom even checks his/her interpretations of the law by looking the law up or asking others.			
Agent seeks out opportunities to assist other agencies. Is friendly and cooperative with their officers and quickly responds when assistance is needed.			
Agent somewhat unsure of self and may require time to study a situation before taking action, but will take independent action when necessary.			
Agent turns in reports on time. Agent's reports may occasionally contain mistakes, but he/she is always quick to correct them when the errors are discovered.			
Agent will not explain his or her actions when asked by contact; ignores contact's questions. Has attitude that its "his/her way" or "the jail way."			
Agent will not physically exert himself/herself. Tries to avoid any and all incidences that would require him to use his/her energy.			
Agent will not take action without first securing his supervisor's approval. Will repeat this behavior if future situations, even when the circumstances are the same.			
Agent's reports are frequently late and are often incomplete or contain serious errors. Supervisor must "ride" agent to get reports submitted and/or corrected.			

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment 2. Application of Relevant Laws & Regs 3. Use of Proper Law Enforcement Methods 4. Physical Condition 5. Initiative	6. Public Demeanor 7. Oral Communications Skills 8. Written Communications Skills 9. Inter-Agency Relationships	1. Not Acceptable 2. Marginal 3. Average 4. Above Average 5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
Agent's vehicle is often dirty and trashy. Routine maintenance is seldom done on time. Agent makes no effort to keep his/her equipment in good repair.			
Even if not in the best physical shape, agent will physically exert himself/herself to the extent required by the circumstances. Will not hesitate to make or assist with a forceable arrest.			
The agent constantly studies the Alcoholic Beverage Code, the agency's Rules & Regulations, and case law; frequently discusses the law with other agents to improve understanding; and will seek help from agency attorneys and local DA when in doubt.			
Agent stays on top of current case law so that he/she knows what police techniques are appropriate. Conducts all investigations, searches, etc. in a thorough and lawful manner.			
Agent acts snobby and unfriendly when dealing with officers from other agencies.			
Agent approaches the officers of other agencies with an open heart and mind. Always friendly and willing to help. Offers assistance whenever appropriate.			
Agent arrives early for all presentations and speaks with a clear, audible voice. Agent not ashamed to admit when he/she doesn't know the answer to a question. Always offers to obtain the information desired by a member of the audience and follows up on such offers.			
Agent avoids unhealthy habits that can undermine his or her physical condition and follows a set program of daily exercise to maintain and improve his or her physical fitness.			
Agent does not keep vehicle and equipment clean; work space frequently messy.			
Agent does not speak clearly or audibly to audiences. Often is not prepared for presentations.			
Agent friendly and courteous to the officers of other agencies. Always cordial and will assist them when asked.			
Agent generally takes good care equipment. Occasionally must be reminded to keep it clean or properly maintained.			
Agent has sufficient knowledge of the Alcoholic Beverage Code, agency Rules, and the Penal Code, to detect common violations during the course of inspections.			
Agent has to be told what decisions to make and how to implement them. Supervisor must stand over agent to make sure that agent follows instructions.			
Agent is self-confident and will make decisions on his or her own without always having to consult with supervisor.			
Agent lacks self-confidence. Will make independent decisions, but second guesses self.			
Agent never exercises.			
Agent not really concerned about appearances or public opinion.			
Agent unfriendly with public and licensees. Answers questions/gives assistance grudgingly.			
Agent's ignorance of the law causes him/her to miss obvious violations when conducting inspections of licensed premises.			
Agent's vehicle always clean inside and out; properly maintains all assigned equipment; work space always orderly and neat.			
When speaking before an audience, the agent maintains eye contact, speaks in a clear, understandable voice, and has a good understanding of the subject matter. Not afraid to admit lack of knowledge. Follows up on promises made to audience.			
Agent does not have to be told what to do. Knows his or her job, and takes it upon himself/herself to do it without waiting for unnecessary instructions.			
Agent does what he or she is told to do, but little more.			

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment	6. Public Demeanor	1. Not Acceptable	
2. Application of Relevant Laws & Regs	7. Oral Communications Skills	2. Marginal	
3. Use of Proper Law Enforcement Methods	8. Written Communications Skills	3. Average	
4. Physical Condition	9. Inter-Agency Relationships	4. Above Average	
5. Initiative		5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
Agent fires shot at other vehicle while engaged in high speed pursuit			
Agent has a chargeable fleet accident during rating period.			
Agent has bad attitude towards the public (Sees everyone as a potential violator). Subject of constant complaints from public, licensees, violators, etc.			
Agent has more than one chargeable fleet accident during rating period			
Agent is courteous to the public and licensees and will answer questions when asked, but will not go out of his or her way to be helpful. Is tolerant, but has limited patience.			
Agent is friendly when dealing with the public and licensees and patiently answers their questions. Goes out of his or her way to be helpful.			
Agent is in excellent physical condition and fully capable of any exertion required during the course of duty.			
Agent is physically weak and lacks stamina. Not capable of meeting common physical challenges associated with his or her job.			
Agent is the subject of a founded complaint from the public during the rating period.			
Agent is the subject of multiple complaints from the public or licensees during rating period.			
Agent lacks motivation. Will not do anything unless supervisor provides an itemized work list.			
Agent makes no effort to keep up with changes in the laws effecting his or her job. Improperly applies laws and regulations with great frequency.			
Agent makes occasional mistakes in his/her interpretation and application of the law, but as a general rule is correct in his or her judgements.			
Agent speaks clearly and communicates well when addressing a group. Uses language appropriate for his or her audience and avoids potentially offensive phrases and words.			
Agent stays up-to-date and well informed on all laws and legislative changes. Makes other agents aware of new or changed laws and regulations.			
Agent's car is always clean and almost always has no problems. Agent shoots exceptionally well. All equipment well maintained.			
Agent's car is taken care of as need arises. Weapons and other equipment kept clean and in satisfactory working condition			
Agent's physical condition is sufficient to permit the agent to be successful in meeting most of the situations that might be encountered on the job.			
Agent's public speaking is good enough to get by, but not exceptional. Answers only enough questions to pacify audience. Not very enthusiastic.			
Agent's public speaking reflects poor command of the language used and/or poor preparation.			
Agent's reports are neat, well written, and always on time. Spelling and punctuation can be expected to be correct.			
Agent's reports are usually late. The grammar is poor; the writing is sloppy; and the level of detail is inadequate. The reports will often contain factual errors and may conflict with those submitted by other agents.			
Car and equipment usually dirty and/or poorly maintained. Agent has difficulty in qualifying with weapon.			
During an undercover assignment, an agent's carelessness tips-off the target about the operation.			
When searching a suspect, the agent fails to find a knife hidden in the suspects boot-top.			

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment	6. Public Demeanor	1. Not Acceptable	
2. Application of Relevant Laws & Regs	7. Oral Communications Skills	2. Marginal	
3. Use of Proper Law Enforcement Methods	8. Written Communications Skills	3. Average	
4. Physical Condition	9. Inter-Agency Relationships	4. Above Average	
5. Initiative		5. Clearly Superior	
Use Dimension Number	Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)
	The agent's reports are on time and usually adequate. They are also, however, somewhat sketchy and tend to provide only the minimum acceptable level of detail.		
	The agent's undercover assignments and investigations can be expected to produce either criminal and/or administrative cases or conclusive proof that a complaint is unfounded.		
	Agent is almost always courteous in his or her dealings with licensees and violators. Generally maintains control over self and the situation even in adverse circumstances.		
	Agent is often hostile or argumentative in his or her dealings with licensees and offenders. Relies on his/her authority and official powers rather than reason and explanation.		
	Agent maintains at least a professional relationship with the officers of other agencies and can be counted upon to provide assistance when asked.		
	An agent, on his or her own initiative, consistently keeps his equipment and work space clean and in good order.		
	An agent constantly has to be reminded or reprimanded to clean or properly maintain his equipment. Has the attitude that "the state will buy me another one if it breaks."		
	An agent keeps his equipment and work area in order and clean with some degree of consistency and with little or no direction from supervisors.		
	An agent relies on physical strength rather than mental skills to effect an arrest, uses threats or intimidation during interrogations or investigations to obtain information, and is unskilled as an observer during undercover operations.		
	An agent utilizes his/her abilities to effect an arrest with the least possible amount of force, knows exactly who and how to interrogate or investigate to get productive results, and/or is highly observant as an undercover agent.		
	An agent who must sometimes struggle to successfully complete undercover assignments, interrogations, and investigations, but who normally still completes such assignments successfully given a reasonable amount of time and effort.		
	Because of poor maintenance or because of the operator's carelessness or rough handling, the maintenance/repair costs for an agent's vehicle are unduly high.		
	The agent, for the most part, performs his or her work without the need for constant supervision. Can perform all functions of the job without direct guidance.		
	The agent, when addressing an audience, relies on war stories and just covers the basics. His/her presentation evidences little preparation and a poor attitude about the assignment.		
	The agent, when called upon to speak in public, shows poise, self-confidence, a solid understanding of his job, and a desire to convey his message to others. He or she is always well prepared before a court appearance or a presentation.		
	The agent communicates with officers of other agencies on a regular basis and takes the time to learn their methods and procedures while teaching them our agency's procedures. Is quick to offer assistance and to respond to calls for help.		
	The agent consistently has to ask others what to do or how to handle a situation or whether or not a violation exists.		
	The agent fully explains to the purpose of his visit when making an inspection and the reasons for an arrest when making one. Shows no animosity or arrogance when dealing with licensees or offenders. Respects the feelings of others while maintaining control.		
	The agent has an extremely good working knowledge of statutes, case law, and administrative regulations. Agent can, with accuracy, verbally spell out general information without having to consult the code books, etc.		
	The agent has little confidence in his or her own ability. Has to be prodded constantly. Is afraid to or refuses to make a snap decision even when quick action is required.		
	The agent has no obvious concern for his or her physical well-being. Avoids exercise, has a poor diet, and shows little concern for health hazards.		
	The agent has sufficient working knowledge of the statutes, etc. that he or she can normally make sound decisions in the field without having to call someone or refer to a code book.		

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment 2. Application of Relevant Laws & Regs 3. Use of Proper Law Enforcement Methods 4. Physical Condition 5. Initiative	6. Public Demeanor 7. Oral Communications Skills 8. Written Communications Skills 9. Inter-Agency Relationships	1. Not Acceptable 2. Marginal 3. Average 4. Above Average 5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
The agent is an obvious self-starter. Is knowledgeable and confident in his or her abilities. Takes action as necessary without waiting for orders or directives from above.			
The agent is careless in his or her writing and unconcerned about errors or omissions. Relies on secretary or supervisor to find and correct mistakes.			
The agent is mindful of physical well-being and attempts to keep himself or herself at the level of fitness recommended for the general population in his or her age group.			
The agent puts forth at least some effort to make sure his or her reports are complete and accurate. The reports will generally contain some errors in style or content, but these are generally minor and easily corrected.			
The agent regularly works at maintaining his or her physical well-being not only to meet the physical demands of the job, but also for personal health reasons.			
The agent takes pride in the quality of his written reports and takes the time to proof read and to check for errors. Reports always well-written, complete, and accurate.			
The agent's public speaking reflects an understanding of his or her materials and some preparation.			
Agent has preventive maintenance performed on vehicle as per maintenance schedules without reminders from supervisors; No chargeable fleet accidents within last 12 months.			
Agent maintains his or her assigned equipment and vehicle in "ready" condition and assists in the proper care of office equipment.			
Agent able to answer questions concerning points of law posed by licensees or the public accurately and with confidence.			
Agent able to cooperate and maintain street-level, working relationships with officers of other agencies.			
Agent able to handle most forceable arrests with assistance needed only to prevent injury to suspects. Able to handle and move full kegs without assistance.			
Agent able to participate in investigations and undercover operations and to complete assigned tasks.			
Agent able to plan and oversee investigations and undercover operations and to complete them successfully.			
Agent abuses his or her equipment; fails to notify supervisor of or to arrange needed care, repair, or replacement.			
Agent accepts public speaking assignments without complaint and handles these assignments competently. Is effective in answering questions from public & applicants.			
Agent avoids public speaking assignments, telephone questions from the public, etc			
Agent can make correct decisions and take action independently, but often ask supervisor's opinion to boost confidence.			
Agent can retain and successfully apply techniques for forceable arrests and controlling struggling prisoners with little help from partner. Recovers quickly from physical exertions.			
Agent completes paperwork in a timely fashion with few corrections or additions needed.			
Agent conducts himself/herself in a professional manner during contacts. Agent's conduct during contacts generate few complaints and none of a sustainable nature.			
Agent consistently develops a positive impression in the minds of licensees, public, and violators when conducting inspections, making arrests, etc.			
Agent consistently held in high regard by officers of other agencies. Receives commendations from other agencies for assistance he or she provides.			
Agent consistently turns in reports that are poorly written and late. Must always be reminded of report deadlines. Documents often illegible and contain a number of errors.			
Agent fails to form meaningful relationships with officers of other agencies and may even disrupt the established relationships that already exist.			

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment	6. Public Demeanor	1. Not Acceptable	
2. Application of Relevant Laws & Regs	7. Oral Communications Skills	2. Marginal	
3. Use of Proper Law Enforcement Methods	8. Written Communications Skills	3. Average	
4. Physical Condition	9. Inter-Agency Relationships	4. Above Average	
5. Initiative		5. Clearly Superior	
Use Dimension Number	Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)
	Agent has basic working knowledge of statutes and rules and can correctly apply this knowledge without assistance from supervisors.		
	Agent makes no attempt to learn or educate himself/herself concerning the law. Unable to recognize obvious violations.		
	Agent makes responsible, independent decisions based on applicable statutes and policies		
	Agent permits situations (contacts, arrests, etc.) to escalate and get out of hand. Unable to control self or situation. May use excessive force.		
	Agent refuses to act without the expressed approval of a supervisor.		
	Agent unable to handle arrests involving a struggling prisoner without assistance. Will not initiate arrests (makes partner make first move) and is not aggressive when applying defensive tactics (thereby increasing possibility of injury to self or partner).		
	Agent volunteers to speak to civic groups, school groups, etc. and takes an active role in the agency's public education programs. Is often commended by the groups he/she speaks to.		
	Agent's behavior generates frequent complaints from the public and licensees. Is often rude and frequently fails to properly identify himself/herself during contacts.		
	Agent's reports and paperwork always accurate and complete. Reports never have to be returned for corrections or additional information.		
	Agent behaves in a professional manner towards licensees, violators, and the public. Has a good, well-rounded attitude and an acceptable demeanor.		
	Agent can be counted on to handle any task that comes his or her way in the line of duty.		
	Agent can be counted on to perform at an acceptable level when given a public speaking assignment or when addressing a court.		
	Agent gets the job done without having to be lead by the hand.		
	Agent has a good grasp of the law. If the agent can't remember the specific wording of a statutes, he or she knows how to look it up.		
	Agent has a "do-it-yourself" attitude. Doesn't want to help anyone and doesn't want help.		
	Agent has an abrasive attitude. Is rude, arrogant, and overly aggressive w/ Licensees, etc.		
	Agent has an acceptable level of familiarity with the laws he or she deals with on a daily basis. His or her working knowledge of the law is at least adequate.		
	Agent is a good, well-rounded street officer. Good investigator. Very thorough.		
	Agent is physically capable of performing all aspects of his/her job.		
	Agent is proficient with all equipment and properly maintains all assigned items.		
	Agent is unfamiliar with fundamental points of law and may be unsure as to how to look them up or how to apply them.		
	Agent is very slow in completing paperwork. Seldom gets anything in on time.		
	Agent is well respected by officers of other agencies. Always willing to assist.		
	Agent leaves forceable arrests and physical exertions to partner.		
	Agent maintains a good physique through daily exercise. Has sufficient strength and endurance for almost any task. Weight proportionate to height.		

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment	6. Public Demeanor	1. Not Acceptable	
2. Application of Relevant Laws & Regs	7. Oral Communications Skills	2. Marginal	
3. Use of Proper Law Enforcement Methods	8. Written Communications Skills	3. Average	
4. Physical Condition	9. Inter-Agency Relationships	4. Above Average	
5. Initiative		5. Clearly Superior	
Use Dimension Number	Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)
	Agent must be told what to do. Has to be closely watched to prevent serious errors.		
	Agent needs little supervision. Willingly goes that "extra mile." Makes a good faith effort to identify and correct own errors.		
	Agent seems unsure of himself/herself when making an arrest, conducting a search, etc.		
	Agent takes great pride in the quality of his or her written reports. Has good command of the language and knows how to use it. Reports always on time.		
	Agent takes utmost care in maintaining assigned all equipment and is proficient in their use. Vehicle exceptionally clean. Goes out-of-way to practice on his own time with firearms.		
	Agent very courteous and professional when dealing with the public and licensees. Never the subject of a sustainable complaints.		
	Agent well-received as a speaker. Can effectively get his or her point across to an audience.		
	Agent's relationships with other agencies are good. Likes to assist them and to provide them with useful information.		
	Agent's reports are always acceptable and need few corrections.		
	Agent's vehicle is always dirty. He or she demonstrates little pride or concern in caring for assigned items.		
	When speaking in public, the agent has difficulty getting his or her point across to the audience. Doesn't take the time to explain or to correct misunderstandings.		
	Agent actively promotes inter-agency cooperation. Communicates frequently with the officers of other agencies; routinely assist them in matters of mutual interest.		
	Agent demonstrates accountability for all equipment and working knowledge of their proper usage.		
	Agent does not accept responsibility. Needs direct supervision.		
	Agent has poor reputation with local officers. Does not initiate contact or answer questions.		
	Agent has sufficient knowledge of alcoholic beverage and criminal law to perform "on level" with most peers.		
	Agent is a dynamic speaker, the type of person who is sought to address civic groups, etc. Uses his or her exceptional oral communications skills in the daily aspects of his or her job.		
	Agent is a poor public speaker. Unable to communicate effectively when speaking to individuals or groups.		
	Agent is a self-starter; actively seeks responsibility and additional duties. Is a leader, a person who is an example to others. Performs well with direct supervision.		
	Agent is able to compile and produce legible accounts of highly complex events. His or her finished product is timely and in good order.		
	Agent is able to conduct an extensive, complex investigation and gather evidence with precision and detailed accuracy. Conducts investigations in a timely manner and routinely is successful in securing convictions.		
	Agent is able to speak to groups and to communicate to his or her audiences in an effective manner. Performs "on level" with most agents.		
	Agent is capable of conducting routine investigations. Will occasionally need assistance on complicated matters.		
	Agent is considered an authority on alcoholic beverage and criminal law by his or her peers. Is the person they seek advice from.		
	Agent is polite, respectful, and helpful even in adverse situations. Is a model of professionalism and propriety. An example for his or her fellow agents to follow.		

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

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Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment 2. Application of Relevant Laws & Regs 3. Use of Proper Law Enforcement Methods 4. Physical Condition 5. Initiative	6. Public Demeanor 7. Oral Communications Skills 8. Written Communications Skills 9. Inter-Agency Relationships	1. Not Acceptable 2. Marginal 3. Average 4. Above Average 5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
Agent is respectful and polite in his or her dealings with the public.			
Agent is unable to deal with people in a professional manner. Lacks tact.			
Agent is unable to maintain custody of equipment (always losing things); does not seek maintenance on a timely basis.			
Agent maintains contact with local officers, provides answers to questions concerning the proper application of the Alcoholic Beverage Code, and promotes harmony between the officers of his agency and those of others..			
Agent occasionally seeks added responsibility. Takes appropriate action when needed, but will occasionally request guidance from supervisor.			
Agent often misapplies statutes and administrative rules; frequently uses wrong charges.			
Agent unable to conduct even routine investigations without great difficulty. Needs assistance for routine tasks.			
Agent's equipment is maintained in an orderly, clean fashion and is always in good working order. Has extensive working knowledge concerning the proper use of assigned equipment.			
Agent's reports are late, often inaccurate, and poorly written.			
Agent's reports are timely, correct, and legible. Agent's writing skills are "on level" with those of most other agents.			
Agent allows vehicle to deteriorate through carelessness and lack of proper maintenance. His or her firearm is dirty and the agent must struggle to qualify in its use. Shows poor care and maintenance habits. Work area cluttered.			
Agent avoids contact with local officers and officials and thus alienates them by his/her lack of cooperation and interest.			
Agent can be trusted to carry out assignments with little supervision. Is capable of making decisions without consulting a supervisor first.			
Agent can conduct arrest, searches, undercover operations, investigations under supervised conditions. Willing to attend training to improve technical expertise.			
Agent can plan and conduct successful arrests, searches, undercover operations, and investigations with little or no assistance from supervisors. Also actively seeks opportunities to learn and improve techniques.			
Agent can successfully execute only the most simple law enforcement tasks. Unwilling or unable to improve level of technical competence.			
Agent cannot handle public speaking assignments effectively. Poor speaking and communications skills. Won't prepare or practice.			
Agent commands respect with his/her outstanding appearance and demeanor. He/she treats the public in a friendly, outgoing manner. Obtains compliance through courtesy and tactfulness, rather than through intimidation.			
Agent communicates well when presenting a set program and in one-to-one meetings and phone conversations.			
Agent demonstrates "dogged tenacity" with assigned tasks; makes sound decisions based upon the information available; works well with little or no supervision. Is dependable.			
Agent does not possess an adequate working knowledge of liquor law or the penal code. Commonly gives out inaccurate information and must refer questions to more capable and knowledgeable agents.			
Agent dresses neatly and projects a professional demeanor. He/she treats the public with respect and handles violator tactfully.			
Agent excels in writing. His or her case reports are complete and detailed. His/her penmanship is excellent. Submissions are on time and error free.			

PHASE III RESPONSE FORM RETRANSLATION OF BEHAVIORAL EXAMPLES

Respondent's Name: _____

Page 11 of 11

Performance Dimensions		Effectiveness Scores	
1. Care & Use of Equipment	6. Public Demeanor	1. Not Acceptable	
2. Application of Relevant Laws & Regs	7. Oral Communications Skills	2. Marginal	
3. Use of Proper Law Enforcement Methods	8. Written Communications Skills	3. Average	
4. Physical Condition	9. Inter-Agency Relationships	4. Above Average	
5. Initiative		5. Clearly Superior	
Use Dimension Number		Use Numeric Score	
Behavioral Example	Dimension No. (One per Example)	Effectiveness Score (One per Example)	
Agent gets along well with local officers and officials and is notified by them when violations occur.			
Agent has working knowledge of liquor law and penal code. Can identify violations on site and can adequately answer public's questions concerning common violations.			
Agent is overweight and does not exercise. Leads a lifestyle detrimental to good health and good physical fitness. Does not practice defensive tactics or arrest procedures, thereby endangering self, partner, and the public.			
Agent is sloppy in appearance. Controls situations and violators through intimidation. Does not converse well with the public. Is the target of frequent complaints.			
Agent is undependable. Regularly abuses leave time. Cannot be counted on to make sound decisions in the field. Must be closely supervised. Will ignore violations because of laziness.			
Agent is well-versed in liquor law and penal code. Agent seldom has to ask supervisor or other agents to clarify points of law. Keeps abreast of case law and court decisions relevant to his/her enforcement duties.			
Agent keeps himself/herself in good physical condition. Works out on a regular basis and constantly practices defensive tactics and arrest procedures. Knows that keeping in good physical shape may save his or her life or the lives of others.			
Agent keeps his or her weight proportionate to height and works out frequently, even if some what irregularly. Regularly practices defensive tactics and arrest procedures.			
Agent keeps vehicle clean, polished, well-maintained and log current. His/her firearm is clean and agent holds "expert" qualification rating. Shows good care and maintenance habits. Has uncluttered work area.			
Agent keeps vehicle well-maintained and log current. Agent also keeps firearms clean and holds "sharpshooter" qualification rating. Shows good maintenance habits.			
Agent possesses excellent speaking skills. Is able to converse well and to clearly communicate the agency's views and policies, even under hostile circumstances. Constantly works to improve speaking style, knowledge of materials, etc.			
Agent strives to cultivate and maintain close working relationships with area law enforcement agencies. Local officers and officials will contact this particular officer for assistance when they detect or suspect violations.			
Agent turns in legible, well-written reports that rarely have to be returned because of poor grammar, bad penmanship, or errors. Agent's reports are almost always on time.			
Agent writes illegibly and with little regard for grammar or accuracy. Agent's reports are usually late.			

**INTER-OFFICE FAX COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: June 28, 1993

TO: M. A. Krantz, Lieutenant, Galveston Enforcement
FROM: Roy Hale, Staff Services Officer, HQ Enforcement
SUBJECT: Field Test of Experimental Rating Form- Form X1

=====

Accompanying this correspondence is a set of instructions for Experimental Rating Form X1, a copy of the experimental rating form itself, a Post-Appraisal Questionnaire for Raters and Ratees, and a set of instructions for completing the questionnaire. Four agents from your district (Agents Mitchell, Nix, Cagle, and Moore) were randomly selected to be evaluated using the experimental rating form.

Please have the supervisor who would normally evaluate the performance of these agents use Form X1 to rate each agent's performance during first ten months of the current fiscal year (September 1, 1992, to June 30, 1993). The results of the evaluations should be shared with the agents, and then the agents and the supervisor conducting the evaluation should each complete a Post-Appraisal Questionnaire.

While all participants in this phase of the research are asked to treat the rating experience as if it were the real thing, the results of these evaluations will be used only to evaluate the form itself. None of the data provided raters will find its way into the agents' personnel records. To guard against accidental misuse, supervisors and agents are instructed to destroy all retained copies of the experimental forms within five days of the transmission of the completed originals to Headquarters.

The completed experimental rating forms (**one** for the each agent rated) and Post-Appraisal Questionnaires (**one** for each rater and **one** for each agent rated) should be transmitted to me by FAX no later than 5:00 p.m., Thursday, July 8, 1993. The FAX number for Headquarter's Enforcement is (512) 206-3449.

Thank you for your assistance and cooperation.

INSTRUCTIONS FOR COMPLETING EXPERIMENTAL RATING FORM X1

DO NOT REFER TO OR OTHERWISE USE THE RESULTS OF PREVIOUS
EVALUATIONS WHILE COMPLETING THESE FORMS.

1. Enter the information requested concerning the agent, the rating period, and the rater into the boxes at the top of Page 1.
2. For each performance dimension listed on the form:
 - (a) Carefully read the dimension definition;
 - (b) Mentally review the agent's actions during the rating period and identify those events that correspond with the definition;
 - (c) Review the various rating options and the behavioral examples provided for each.
 - (d) Select the performance rating with the behavioral examples that most closely correspond to the actual behaviors demonstrated by the agent during the rating period;
 - (e) Circle the numeric score corresponding to the rating selected; and
 - (f) Immediately under the Dimension definition and the Rating Scale, in the section labeled "Representative Example of Employee Behavior," provide a specific example of the agent's actual behavior that is consistent with the rating you selected and that is representative of the agent's job performance.
3. To calculate the agent's Composite Rating (overall score):
 - (a) In the table at the top of Page 4 enter each of the numeric scores assigned to the agent's performance into the appropriate boxes of the column labeled "Numeric Rating;"
 - (b) Multiply the numeric rating for each performance dimension by its weight factor to obtain the weighted value of the agent's performance in each dimension and enter these values into the appropriate boxes of column labeled "Weighted Value;" and

- (c) Sum the weighted values for the various performance dimensions to obtain the agent's Composite Rating and enter this total into the box labeled "Overall Score."
4. Enter any summary remarks or concluding comments you might have in the box labeled "Rater's Comments" on Page 4. Sign and date the form as indicated at the bottom of the page 4.
5. Review the evaluation with the agent. Give the agent the opportunity enter any comments he or she might have in the section labeled "Employee's Comments" on Page 4.
6. At the conclusion of the review, have the agent sign and date the rating form as indicated at the bottom of Page 4.

INSTRUCTIONS FOR POST-APPRAISAL QUESTIONNAIRE FOR RATERS AND RATEES

NOTE: Each supervisor and agent who participate in an evaluation should complete one of these questionnaires immediately after the supervisor and agent review the supervisor's evaluation of the agent's performance.

1. Enter the name of your district in the blank labeled "Respondent's District" at the top of the page.
2. For each question contained in the questionnaire:
 - (a) Carefully review the question asked and study the possible responses;
 - (b) Identify the response most consistent with your own feelings; and
 - (c) Circle the number located under the response selected.
3. In the small box at the bottom of the page, check "Rater" if you were the supervisor who prepared the evaluation or "Ratee" if you were the agent whose performance was evaluated.

Return completed Form X1 and Post-Appraisal Questionnaires to Headquarters Enforcement by FAX no latter than July 8, 1993.

TEXAS ALCOHOLIC BEVERAGE COMMISSION

AGENT'S ANNUAL PERFORMANCE EVALUATION

Agent Name:	Agent's Rank:	Agent's District:	Agent's Region:	For the Period: To: From:	Ratee's Name:
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PERFORMANCE DIMENSION		SCORE (Circle One)	DESCRIPTION	PERFORMANCE RATING
(Read Each Definition Carefully Before Assigning Rating)				BEHAVIORAL EXAMPLES <small>Examples of The Types of Behaviors Expected of Agents At Each Performance Level. Not to Be An Exclusion List.</small>
Care & Use of Equipment	The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.	1	Not Acceptable; Major Improvements Needed	Agent abuses equipment or repeatedly fails to take action when equipment is in need of care, repair, or replacement. Or agent fails to qualify with firearms after repeated attempts, or as used them unsafely.
		2	Marginal; Some Improvement Needed	Agent has a chargeable fleet accident during rating period; or fails to qualify with his or her firearms on the first attempt or just barely qualifies.
		3	Average; Performs At Acceptable Level	Agent generally takes good care of equipment, but occasionally must be reminded to keep it clean or properly maintained.
		4	Above Average; Performs Above Peers	The agent's equipment is always clean, neat, and in proper working order. The agent exercises extreme care when operating vehicles, firearms, and other equipment.
		5	Clearly Superior; Example For Peers	Agent scores extremely high on firearms qualifications tests; keeps equipment and vehicle in first class shape; never has to be reminded to have routine maintenance performed on vehicle.
Representative Example of Employee's Behavior:				
Application of Relevant Laws & Regulations	The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.	1	Not Acceptable; Major Improvements Needed	Agent makes no effort to keep up with changes in the laws affecting his or her job; improperly applies laws and regulations with great frequency.
		2	Marginal; Some Improvement Needed	Agent fails to study or to stay up-to-date on statutes or court cases; requires frequent assistance from supervisors and fellow agents concerning proper application of the law.
		3	Average; Performance Acceptable	Agent has sufficient knowledge of the Alcoholic Beverage Code, agency rules, and the Penal Code to properly answer most questions from the public and to detect common violations during inspections.
		4	Above Average; Performs Above Peers	Agent always stays up-to-date and well-informed on all laws and legislative changes; makes other agents aware of new case law and statutory changes.
		5	Clearly Superior; Example For Peers	Agent is considered an authority on the state's alcoholic beverage and criminal laws by his or her peers; is the one they seek advice from when they have a question about a point of law.
Representative Example of Employee Behavior:				
Use of Proper Law Enforcement Methods & Techniques	The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, investigations, searches, interrogations, undercover operations, etc.	1	Not Acceptable; Major Improvements Needed	Agent unable to conduct even routine investigations without great difficulty; needs assistance with routine tasks.
		2	Marginal; Some Improvement Needed	Agent can successfully execute only the most simple law enforcement tasks; agent unwilling or unable to improve level of technical competence.
		3	Average; Performs At Acceptable Level	Agent is capable of conducting routine investigations; will occasionally need assistance with more complicated assignments.
		4	Above Average; Performs Above Peers	Agent is able to plan, coordinate, and successfully complete complex investigations and undercover operations.
		5	Clearly Superior; Example For Peers	Agent conducts extensive, complex investigations and gathers highly detailed, accurate information; is routinely successful in securing convictions in situations where most other agents would have failed.
Representative Example of Employee Behavior:				

PERFORMANCE DIMENSION		PERFORMANCE RATING	
(Read Each Definition Carefully Before Assigning Rating)		SCORE (Circle One)	DESCRIPTION
Physical Condition			<p>Examples of The Types of Behaviors Expected of Agents At Each Performance Level. Not Intended to Be An Exhaustive List.</p> <p>Agent is physically weak and has no stamina; is not capable of meeting the common physical challenges associated with police work.</p> <p>Agent has difficulty in executing forceable arrests or applying defensive tactics due to poor physical condition; is capable of improvement, but has not yet recognized the need for regular exercise.</p> <p>Agent's physical condition is sufficient to permit the agent to be successful in meeting most of the situations that might be encountered in police work.</p> <p>Agent maintains a good physique through regular exercise. Has sufficient strength and endurance for almost any task. His or her weight is proportionate to the agent's height and body type.</p> <p>Agent works out on a daily basis to stay in peak physical condition; constantly practices defensive tactics and arrest techniques.</p>
Representative Example of Employee Behavior:			
Initiative			<p>Agent cannot be counted on to make sound decisions in the field; must be closely supervised; will ignore violations because of laziness.</p> <p>Agent is a follower and does only what he or she is told to do; will not take independent action.</p> <p>Agent can make correct decisions and will take independent action, but will often ask supervisor's opinion in order to boost confidence.</p> <p>The agent is a self-starter who actively seeks responsibility and additional duties; requires little or no direct supervision.</p> <p>Agent takes lead and makes things happen; is always suggesting better ways to accomplish organizational goals and continually demonstrates a willingness to take charge.</p>
Representative Example of Employee Behavior:			
Public Demeanor			<p>Agent has a bad attitude towards the public (treats every one a like hard-case criminal); is the subject of constant complaints from licensees, violators, and the general public.</p> <p>Agent's public conduct generated a valid complaint of discourtesy, rudeness, excessive force, etc. during the rating period.</p> <p>Agent conducts him/herself in a professional manner during contacts. Agent's conduct during contacts generate few complaints and none of a valid nature.</p> <p>Agent takes the time to explain the purpose of his/her actions and patiently answers questions posed by the public or licensees. Shows no animosity or arrogance during contacts. Always polite and respectful.</p> <p>Agent is polite, respectful, and helpful, even when under stress or in adverse circumstances. Is a model of professionalism and propriety, an example for his/her fellow agents to follow.</p>
Representative Example of Employee Behavior:			

PERFORMANCE DIMENSION		PERFORMANCE RATING	
(Read Each Definition Carefully Before Assigning Rating)		SCORE (Circle One)	DESCRIPTION
Oral Communications Skills			BEHAVIORAL EXAMPLES <i>Examples of The Types of Behaviors Expected of Agents At Each Performance Level. Not Intended to Be An Exhaustive List.</i>
The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.		1	Agent's public speaking reflects poor command of the language used and/or poor preparation. Agent is a poor public speaker and unable to communicate effectively when speaking to individuals or groups.
		2	When speaking in public, the agent has difficulty in getting his or her points across to the audience. Does not take the time to explain or to correct misunderstandings.
		3	Agent accepts public speaking assignments without complaint and handles them in a competent manner. Is effective in answering questions from audiences, the public, etc.
		4	When called upon to speak in public, the agent demonstrates great poise, self-confidence, and a solid command of his/her subject matter. Is always well prepared and has an excellent speaking style.
		5	Agent is a dynamic speaker and is in constant demand by civic groups, industry groups, etc. Uses his/her exceptional oral communication skills in the daily aspects of his/her job.
Representative Example of Employee Behavior:			
Written Communication Skills			
The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.		1	Agent's reports are usually late. The grammar is poor; the writing sloppy; and the level of detail is inadequate. They also often contain numerous errors and omissions of fact.
		2	Agent is slow in completing paperwork. Seldom gets any thing in on time. Some errors of style and content.
		3	Agent completes paperwork in a timely fashion. Few corrections or additions are needed.
		4	The agent's written reports are always timely filed, correct, concise, and complete. Agent always provides all the needed details without being asked or reminded.
		5	The agent excels in writing. His or her reports are complete, error free, and highly detailed. The writing style is clearly superior, and all submissions are timely.
Representative Example of Employee Behavior:			
Inter-Agency Relations			
The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.		1	The agent is unfriendly and aloof. He or she distances him/herself from the officers of other agencies and renders assistance only when ordered to do so.
		2	Agent keeps to him/herself. Is not necessarily discourteous to the officers of other agencies, but has little interest in associating with them. Will render assistance when asked but does so somewhat reluctantly.
		3	Agent is friendly and courteous to officers of other agencies. Always cordial and will willingly assist when asked.
		4	Agent actively seeks opportunities to assist other law enforcement agencies and to participate in community projects related to the use or abuse of alcoholic beverages.
		5	Agent held in high regard by other agencies and local officials. Receives commendations from those agencies and officials for the assistance he or she provides.
Representative Example of Employee Behavior:			

POST-APPRAISAL QUESTIONNAIRE

For Raters and Ratees

Appraisal Instrument: _____

Respondent's District: _____

One goal of performance evaluation is to give employees a clear idea of what the employer's expectations are and of how the employee met, failed to meet, or exceeded those expectations. In your opinion, how well did this particular performance appraisal instrument meet that goal?

Circle The Number Under The Most Appropriate Response	Not At All	Somewhat, But Weakly	About Average	Better Than Most	Exceeding Well
	1	2	3	4	5

Employees should be evaluated on the basis of how well they perform the most critical aspects of their jobs. In your opinion, how well do the rating scales contained in this appraisal instrument reflect the range of critical tasks performed by enforcement agents?

Circle The Number Under The Most Appropriate Response	Not At All	Somewhat, But Weakly	About Average	Better Than Most	Exceeding Well
	1	2	3	4	5

A key purpose of performance evaluations is to permit employers to identify the training needs of individual employees and of all employees within a particular job class. In your opinion, how well does this performance appraisal instrument fulfill that purpose?

Circle The Number Under The Most Appropriate Response	Not At All	Somewhat, But Weakly	About Average	Better Than Most	Exceeding Well
	1	2	3	4	5

Differences in performance ratings are supposed to indicate true differences in the quality of employee performance. In your opinion, to what degree do difference in the ratings obtained from the use of this performance instrument represent true, distinguishable differences in employee performance?

Circle The Number Under The Most Appropriate Response	Not At All	Occasionally So	More Often Than Not	Almost Always	Always
	1	2	3	4	5

Assuming that the performance appraisal instrument in question was the agency's standard rating instrument for enforcement agents (e.g., that this was the agent's "real" performance evaluation), how would you feel about the agency using the results of these evaluations as one of the factors considered in making basic personnel decisions (promotion; disciplinary actions such as reprimand, probation, suspension, or termination; training; etc.)?

Circle The Number Under The Most Appropriate Response	Strongly Opposed	Somewhat Opposed	No Opinion	Somewhat Supportive	Strongly Supportive
	1	2	3	4	5

After having experienced this particular performance appraisal instrument as either a rater (the person rating the performance of another) or ratee (the person whose performance is evaluated), what would your reaction be to a proposal for its regular use by the Enforcement Division?

Circle The Number Under The Most Appropriate Response	Strongly Opposed	Somewhat Opposed	No Opinion	Somewhat Supportive	Strongly Supportive
	1	2	3	4	5

Please Check Appropriate Box

Respondent was: ☐ Rater
☐ Ratee

**INTER-OFFICE FAX COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: July 26, 1993

TO: Truett Bennett, Captain, Beaumont Enforcement
FROM: Roy Hale, Staff Services Officer, HQ Enforcement
SUBJECT: Field Test of Experimental Rating Form- Form X2

=====

Accompanying this correspondence are a set of instructions for Experimental Rating Form X2, a copy of the experimental rating form itself, a Post-Appraisal Questionnaire for Raters and Ratees, and a set of instructions for completing the questionnaire.

Five agents from your district were randomly selected to be evaluated using the experimental rating form. These agents are David Alexander, John Tully, Roger Woods, Clifford Perkins, and Artie Freeman.

Please have the supervisor(s) who would normally evaluate the performance of these agents use Form X2 to rate the agents' performance during first ten months of the current fiscal year (September 1, 1992, to June 30, 1993). The results of the evaluations should be shared with the agents, and then the agents and the supervisor(s) conducting the evaluations should each complete a Post-Appraisal Questionnaire.

While all participants in this phase of the research are asked to treat the rating experience as if it were the real thing, the results of these evaluations will be used only to evaluate the form itself. None of the data provided by raters will find its way into the agents' personnel records. To guard against accidental misuse, supervisors and agents are instructed to destroy all retained copies of the experimental forms within five days of the transmission of the completed originals to Headquarters.

The completed experimental rating forms (**one** for each agent rated) and Post-Appraisal Questionnaires (**one** for each rater and **one** for each ratee) should be transmitted to me by FAX no later than 5:00 p.m., Friday, August 6th, 1993. The FAX number for Headquarter's Enforcement is (512) 206-3449.

Thank you for your assistance and cooperation.

**Composite Rating
(Overall Score)**

PERFORMANCE DIMENSION	NUMERIC SCORE	WEIGHT FACTOR	WEIGHTED VALUE (Score x Weight)
Care & Use of Equipment		0.07	
Application of Relevant Laws & Regulations		0.17	
Use of Proper Law Enforcement Methods & Techniques		0.15	
Physical Condition		0.07	
Initiative		0.13	
Public Demeanor		0.13	
Oral Communications Skills		0.11	
Written Communication Skills		0.10	
Inter-Agency Relations		0.07	
Overall Score			

Employee's Comments:

Employee's Signature:
Date of Signature:

Rater's Comments:

Rater's Signature:
Date of Signature:

INSTRUCTIONS FOR COMPLETION OF EXPERIMENTAL RATING FORM X2

1. Enter the information requested concerning the agent -- name, social security number, and district-- into the boxes at the top of Page 1.
2. For each performance dimension listed on the form:
 - (a) Carefully read the dimension definition;
 - (b) Mentally review the agent's actions during the rating period and identify those events that correspond with the definition;
 - (c) Assess the desirability and effectiveness of the behaviors demonstrated by the agent during the events in question;
 - (d) Select a performance rating consistent with your assessment;
 - (e) Circle the numeric score corresponding to the rating selected; and
 - (f) Enter a brief explanation for the rating in the "Remarks" section located immediately below the dimension definition and the rating scale.
3. To calculate the agent's Composite Performance Rating (overall score):
 - (a) Find appropriate section of page 2 (It's labeled "Composite Performance Rating");
 - (b) Enter the numeric score from each performance dimension into the column labeled "Numeric Rating;"
 - (c) Multiply the numeric rating for each performance dimension by its weight factor to obtain the weighted value of the agent's performance in each dimension and enter these values into the column labeled "Weighted Value;"
 - (d) Sum the weighted values for the various performance dimensions to obtain the agent's Composite Performance Rating and enter this total into the box labeled "Overall Score."

4. Enter any summary remarks or concluding comments you might have in the box labeled "Rater's Comments" on Page 2. Sign and date the form as indicated at the bottom of the page 2.
5. Review the evaluation with the agent. Give the agent the opportunity enter any comments he or she might have in the section labeled "Agent's Comments" on Page 2.
6. At the conclusion of the review, have the agent sign and date the rating form as indicated at the bottom of Page 2.

INSTRUCTIONS FOR POST-APPRAISAL QUESTIONNAIRE FOR RATERS AND RATEES

NOTE: Each supervisor and agent who participate in an evaluation should complete one of these questionnaires immediately after the supervisor and agent review the supervisor's evaluation of the agent's performance.

1. Enter the name of your district in the blank labeled "Respondent's District" at the top of the page.
2. For each question contained in the questionnaire:
 - (a) Carefully review the question asked and study the possible responses;
 - (b) Identify the response most consistent with your own feelings; and
 - (c) Circle the number located under the response selected.
3. In the small box at the bottom of the page, check "Rater" if you were the supervisor who prepared the evaluation or "Ratee" if you were the agent whose performance was evaluated.

PERFORMANCE DIMENSIONS

Carefully read the definition for each dimension before rating agent's performance

PERFORMANCE RATING

Circle Number For Most Appropriate Response

ORAL COMMUNICATIONS SKILLS

The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.

- | | |
|---|----------------|
| 5 | Superior |
| 4 | Above Average |
| 3 | Average |
| 2 | Marginal |
| 1 | Not Acceptable |

Remarks:

WRITTEN COMMUNICATIONS SKILLS

The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.

- | | |
|---|----------------|
| 5 | Superior |
| 4 | Above Average |
| 3 | Average |
| 2 | Marginal |
| 1 | Not Acceptable |

Remarks:

INTER-AGENCY RELATIONSHIPS

The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.

- | | |
|---|----------------|
| 5 | Superior |
| 4 | Above Average |
| 3 | Average |
| 2 | Marginal |
| 1 | Not Acceptable |

Remarks:

COMPOSITE PERFORMANCE RATING
(Overall Score)

RATING DIMENSION	NUMERIC RATING	WEIGHT FACTOR	WEIGHTED VALUE (Rating x Weight)
Care & Use Of Equipment		0.07	
Application of Laws & Regulations		0.17	
Proper Law Enforcement Methods		0.15	
Physical Condition		0.07	
Initiative		0.13	
Public Demeanor		0.13	
Oral Communications Skill		0.11	
Written Communications Skills		0.10	
Inter-Agency Relations		0.07	
OVERALL SCORE			

AGENT'S COMMENTS:

RATER'S COMMENTS:

Agent's Name (Please Print):

Agent's Signature:

Date of Signature:

Rater's Name (Please Print):

Rater's Signature:

Date of Signature:

POST-APPRAISAL QUESTIONNAIRE

For Raters and Ratees

Appraisal Instrument: Form X2

Respondent's District: _____

One goal of performance evaluation is to give employees a clear idea of what the employer's expectations are and of how the employee met, failed to meet, or exceeded those expectations. In your opinion, how well did this particular performance appraisal instrument meet that goal?

Circle The Number Under The Most Appropriate Response

Not At
All
1

Somewhat,
But Weakly
2

About
Average
3

Better
Than Most
4

Exceeding
Well
5

Employees should be evaluated on the basis of how well they perform the most critical aspects of their jobs. In your opinion, how well do the rating scales contained in this appraisal instrument reflect the range of critical tasks performed by enforcement agents?

Circle The Number Under The Most Appropriate Response

Not At
All
1

Somewhat,
But Weakly
2

About
Average
3

Better
Than Most
4

Exceeding
Well
5

A key purpose of performance evaluations is to permit employers to identify the training needs of individual employees and of all employees within a particular job class. In your opinion, how well does this performance appraisal instrument fulfill that purpose?

Circle The Number Under The Most Appropriate Response

Not At
All
1

Somewhat,
But Weakly
2

About
Average
3

Better
Than Most
4

Exceeding
Well
5

Differences in performance ratings are supposed to indicate true differences in the quality of employee performance. In your opinion, to what degree do difference in the ratings obtained from the use of this performance instrument represent true, distinguishable differences in employee performance?

Circle The Number Under The Most Appropriate Response

Not At
All
1

Occasionally
So
2

More Often
Than Not
3

Almost
Always
4

Always
5

Assuming that the performance appraisal instrument in question was the agency's standard rating instrument for enforcement agents (e.g. that this was the agent's "real" performance evaluation), how would you feel about the agency using the results of these evaluations as one of the factors considered in making basic personnel decisions (promotion; disciplinary actions such as reprimand, probation, suspension, or termination; training; etc.)?

Circle The Number Under The Most Appropriate Response

Strongly
Opposed
1

Somewhat
Opposed
2

No
Opinion
3

Somewhat
Supportive
4

Strongly
Supportive
5

After having experienced this particular performance appraisal instrument as either a rater (the person rating the performance of another) or ratee (the person whose performance is evaluated), what would your reaction be to a proposal for its regular use by the Enforcement Division?

Circle The Number Under The Most Appropriate Response

Strongly
Opposed
1

Somewhat
Opposed
2

No
Opinion
3

Somewhat
Supportive
4

Strongly
Supportive
5

Please Check Appropriate Box

Respondent was: ☐ Rater
☐ Ratee

**INTER-OFFICE COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: October 11, 1993

TO: Arnold Porter, Training Officer, Enforcement HQ
FROM: Roy Hale, Staff Services Officer, Enforcement HQ
SUBJECT: Test for Inter-Rater Agreement: Experimental Performance Rating Form X-2

=====

Thank you for agreeing to participate in the final test of our Experimental Trait-Based Performance Rating Form.

Attached are nine forms, one for each of the performance dimensions used in the Form X-2 Performance Rating Instrument. At the top of form is a dimension definition and a listing of performance rating options. Located at the bottom of each form are thirty (30) examples of agent behavior relevant to the performance dimension described in the form.

You are asked to rate the desirability/effectiveness of the behavioral examples using the rating options provided in the form. Before rating these behaviors, please study the dimension definitions and the five rating options. Then, taking each of the examples in turn, read the description of the behavior, assess its desirability or effectiveness, and assign it the rating you believe is most appropriate. The rating selected should be entered into the box located at the right of the sample.

Please complete all nine forms and FAX them to me here at headquarters no later than 5:00 p.m., Friday, October 15th.

Again, thank you for your assistance. I appreciate your help.

TEST FOR INTER-RATER AGREEMENT
Form X-2: Care & Use of Equipment

PERFORMANCE DIMENSION <small>(Read Definition Before Assigning Rating)</small>	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Care & Use of Equipment The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent responsible for chargeable fleet accident		
Agent engages in high speed pursuit through residential neighborhood.		
Agent's weapon found to be clean and in good working order.		
Agent scores in top 5% on firearms proficiency test.		
Agent not able to make simple license data inquiries using computer terminal.		
Agent discovered to be using agency vehicle for personal business.		
Agent accidentally spills soft drink on radio console in car, thereby shorting it out.		
Agent's assigned work space in office is orderly and neat.		
Agent follows routine maintenance schedule for his/her vehicle without deviation.		
Agent engages in high speed pursuit without activating emergency lights & siren.		
Agent keeps assigned vehicle clean inside and out.		
Agent is not particularly proficient with firearms, but always manages to qualify.		
Agent "horses around" when using radio, does not always follow proper procedure.		
Agent stopped twice for traffic violations while operating agency car.		
Agent routinely types at speed of 30 Words Per Minute.		
Agent involved in two chargeable fleet accidents during rating period		
Agent fires at tires of fleeing vehicle while involved in high speed pursuit.		
Agent's weapon found to be dirty, but operational.		
Agent fails to qualify with duty weapon.		
Agent routinely makes license/permittee data inquiries with computer terminal.		
Agent regularly uses agency vehicle to take spouse to and from work.		
Interior of Agent's car (seat, carpet, etc.) has numerous spots and stains.		
Agent's assigned work space in office looks disorganized and messy.		
Agent must be reminded to have routine maintenance performed on vehicle.		
On initiating a pursuit, agent activated emergency lights and sirens.		
Agent's vehicle messy and dirty. Numerous food wrappers on floor board, etc.		
Agent easily qualifies with firearms but scores in lower half of those taking test.		
Agent's radio communications are always concise and to the point.		
Agent regularly exceeds speed limit in times of poor road/weather conditions.		
Agent can't do more than "hunt & peck" with typewriter or adding machine.		

TEST FOR INTER – RATER AGREEMENT
Form X-2: Knowledge & Application of Law

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Application of Relevant Laws & Regulations The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent must constantly seek advice from peers or supervisors on same point of law.		
When in doubt concerning law, agent checks the statute & relevant court cases.		
Agent can recognize most violations & answer basic questions from licensees.		
Agent is correctly seen by peers as an "authority" on liquor law.		
Agent misapplies statutes and uses wrong charges.		
Agent correctly answers liquor law questions posed by industry and public.		
Agent makes only a small effort to educate himself/herself on AB code & rules.		
Agent has good working knowledge of AB code. Correctly applies knowledge.		
Agent can make sound decisions on law without consulting peers or supervisor.		
Agent must constantly ask partner's advice on existence and handling of violations.		
Agent doesn't "shoot from the lip." When in doubt, he or she researches the law.		
Agent always files proper charges; continuously studies law and case updates.		
Agent needs occasional assistance on law, but handles most situations properly.		
Agent has trouble recognizing the elements of complex violations like subterfuge.		
Agent working applications helps applicants "find way around" legal requirements.		
Agent never has to seek advice twice on the same point of law.		
When in doubt concerning the law, the agent checks with peers or supervisor.		
Agent gives incorrect responses to questions from public concerning the law.		
Agent has working knowledge of law, but is not an expert whom peers consult.		
The charges the agent files against violators are always correct.		
Agent has trouble recognizing elements of common violations.		
Agent makes special effort to stay "current" on the law.		
Agent has poor knowledge of the AB code and often misapplies statutes.		
Agent cannot be trusted to interpret law properly.		
Agent seldom has to ask for advice on existence and handling of violations.		
When in doubt concerning law, agent often "shoots from lip" & fails to research.		
Agent continuously studies law and case updates.		
Agent requires no advice or assistance with laws; handles all situations properly.		
Agent has no trouble recognizing the elements of uncommon violations.		
Agent working applications spots elements of subterfuge in an application.		

TEST FOR INTER-RATER AGREEMENT
Form X-2: Use of Proper Law Enforcement Methods

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Use of Proper Law Enforcement Methods & Techniques The degree to which an agent demonstrates the use of appropriate police methods in conducting arrests, investigations, searches, interrogations, undercover operations, etc.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent fails to take proper security/safety precautions during arrests & searches.		
Agent conducts highly productive interrogations.		
Agent knows what to ask and what to look for when conducting an investigation.		
Agent sets up and runs a successful minor sting operation.		
Agent extremely believable in undercover roles and, therefore, very effective.		
Agent's failure to use proper arrest procedures lead to confrontation with crowd.		
Agent inattentive when searching a crime scene; missed key pieces of evidence.		
Agent relies on physical strength rather than mental skill when making arrests.		
Agent uses threats or intimidation to obtain information in interrogations.		
Agent able to plan and execute successful investigations & undercover operations.		
Agent has no planning skills, but can successfully participate in operations.		
Agent needlessly escalates situations when making violator contacts & arrests.		
Agent conducts extensive investigations & produces accurate, usable information.		
Agent able to perform routine investigations, but needs help with complex ones.		
Agent executes arrest with minimum physical force necessary.		
Agent takes reasonable safety precautions when conducting an arrest or search.		
Agent uses poor interrogation techniques and, therefore, gets poor results.		
Agent is a poor investigator. Has no idea as to what to ask or what to look for.		
Agent conducts surveillance from a spot that is visible to the suspect.		
Agent is not a believable actor. Undercover targets easily ID agent as a officer.		
Agent's use of proper arrest procedures avoided confrontation with bystanders.		
Agent conducts thorough searches with due regard to the rights of suspects.		
Agent relies on mental skill, rather than physical strength, when making arrest.		
Agent uses threats and intimidation to secure information in investigations.		
Agent unable to plan or execute successful investigations or undercover ops.		
Agent has no investigatory or undercover skills. Can only be used for inspections.		
Agent uses wits to control situation when making violator contacts & arrests.		
Agent's investigations fail to produce usable results.		
Agent needs help to complete even routine investigations successfully.		
Agent has been the subject of multiple complaints concerning excessive force.		

TEST FOR INTER-RATER AGREEMENT
Form X-2: Physical Condition

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Physical Condition The degree to which an agent is physically capable of executing a forceable arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent exercises daily and stays in good physical condition.		
Agent is able to control struggling prisoner, but is obviously worn-out by it.		
Agent engages in a foot pursuit, quickly becomes winded, and drops out.		
Agent unable to lift and carry case of confiscated distilled spirits.		
Agent never practices defensive tactics; can't apply them effectively when needed..		
Agent avoids incidents that require an expenditure of physical energy.		
Agent's weight is disproportionate to his or her height.		
Agent exercises irregularly, but has enough strength and stamina for most tasks.		
Agent gets his or her "clock cleaned" by a suspect of lesser size.		
Agent is no athlete but can hold his/her own when things get physical.		
Agent picked up and carried a full keg without assistance.		
Agent is a martial arts expert; often teaches "new" tactics to fellow agents.		
Agent can't or won't do fair share of physical tasks; leaves these to other agents.		
Agent is in top physical condition; has no problem with the physical side of the job.		
Agent has strength to control most prisoners, but lacks stamina for foot pursuit.		
Agent can not perform routine physical tasks commonly associated with job.		
Agent is often unable to control a prisoner without physical assistance.		
Agent has no trouble maintaining foot pursuits.		
Agent can easily pick and carry cases of distilled spirits.		
Agent often practices defensive tactics; can successfully apply them when needed.		
Agent doesn't hesitate when confronted with a physical task; jumps right in.		
Agent's weight is proportionate to his or her height.		
Agent exercises irregularly and lacks sufficient strength/stamina for most tasks.		
Agent's condition and tactical skills permits him/her to control larger suspects.		
Agent is an athlete and excels in the physical aspects of the job.		
Agent needs help to lift and move a keg, but can easily do it with a partner.		
Agent has weak grasp of defensive tactics and little skill in their use.		
Agent can be counted on to do fair share of physical tasks.		
Agent in fair condition; has no trouble meeting the job's physical requirements.		
Agent can run like a deer, but lacks sufficient upper body strength.		

TEST FOR INTER-RATER AGREEMENT
Form X-2: Initiative

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Initiative The degree to which an agent can be counted upon to take appropriate action when circumstances warrant it in the absence of specific orders and without direct supervision.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent constantly seeking new, creative approaches to routine tasks.		
Agent waits for instructions before taking action even when need to act is obvious.		
Agent always willing to take charge and lead.		
Agent is only a follower; won't take independent action.		
Agent unsure of self; needs reassurance of appropriateness of planned actions.		
Agent won't take action without obtaining supervisor's prior approval.		
Agent is a highly motivated self starter.		
Agent takes action as need arises rather than waiting for orders.		
Agent will take independent action, but agonizes over the decision.		
Agent will occasionally seek new responsibilities to add to his/her present duties.		
Agent adapts to changing circumstances/conditions; is not paralyzed by change.		
Agent capable of making decisions in the field without consulting a supervisor.		
Agent not afraid of making snap decisions on basis the best available information.		
Agent undependable and must be closely supervised.		
Agent needs occasional guidance, but usually has no trouble making a decision.		
Agent is afraid to take a chance on a new approach or to innovate.		
When the need to act is obvious, the agent acts without waiting for instructions.		
Agent does what he or she is told to do, but won't take lead or make suggestions.		
Agent is a leader; is not afraid of taking independent action.		
Agent does not need reassurance concerning the "rightness" of his/her actions.		
Agent doesn't need prior approval before acting; Agent acts as need arises.		
Agent is not self-motivated; must frequently be prodded.		
Agent won't act without orders.		
Agent indecisive.		
Agent does not accept responsibility and needs direct supervision.		
Agent reacts poorly to changing conditions; is often paralyzed by change.		
Agent prefers to consult a supervisor before acting; but will act alone if necessary.		
Agent won't make a decision without complete information.		
Agent dependable and has good judgement; requires little direct supervision		
Agent will not make a decision without guidance or direction from supervisor.		

TEST FOR INTER-RATER AGREEMENT
Form X-2: Public Demeanor

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Public Demeanor Extent to which the agent is respectful, polite, and helpful in his or her dealings with licensees and the public and the degree to which the agent is courteous and tactful in his or her handling of violators.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent has no respect for anyone; is rude and abusive to arrestees.		
Agent is helpful and patient when dealing with the public.		
Agent takes time to answer even "dumb" questions from licensees fully and politely.		
Agent's personal feelings and emotions do not affect his/her handling of violators.		
During heated confrontations, Agent keeps "cool" & tries to defuse the situation.		
Agent subject of multiple complaints from public for rudeness or excessive force.		
Agent means well, but has no tact. Offends public, and is surprised by the complaints.		
Agent avoids use of intimidation; wins compliance through courtesy and tactfulness.		
Agent is a "hothead" and quickly loses temper when provoked.		
Agent takes time to explain purpose of visit to licensee; solicits licensee's questions.		
Agent uses inspections as opportunity to educate as well as to regulate licensees.		
Agent is polite and respectful so long as the contact is, and then responds in kind.		
Agent goes out of his/her way to resolve situations in a low-key manner.		
Agent thinks job is to find violations; spends little time helping people avoid them.		
Agent treats the public and licensees like he or she would like to be treated.		
Agent is firm, but fair with violators and is respectful of their rights as citizens.		
Agent shows little patience with the public or violators; always abrupt if not rude.		
Agent won't take time to explain actions; doesn't welcome questions.		
Agent's feelings and emotions affect his/her handling of violators.		
Agent has trouble staying "cool" in hot situations; things tend to escalate.		
Agent has been the subject of one valid complaint of rudeness during year.		
Agent extremely tactful and polite; has even had violators thank him/her after arrest.		
Agent usually relies on intimidation and brute force to win compliance.		
Agent punches verbally abusive, but physically compliant and restrained, suspect.		
Agent making routine inspection fails to identify himself and ignores questions.		
Agent believes his/her job is to "kick butt and take names" and acts accordingly.		
Agent makes a genuine effort to remain polite and courteous, despite of provocation.		
Agent prefers to be highly "visible" when working a bar; is seldom low key.		
Agent discusses violations with licensees and suggests ways to avoid them in future.		
Agent realizes that public support is important to agency survival and acts accordingly.		

TEST FOR INTER-RATER AGREEMENT
Form X-2: Written Communications Skills

PERFORMANCE DIMENSION <small>(Read Definition Before Assigning Rating)</small>	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Written Communication Skills The extent to which reports and other documents generated by the agent are correctly completed, well-written, legible, and on time.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent often fails to cite all the elements of violations in his or her offense reports.		
Agent's reports are clear, concise, complete, and grammatically correct.		
The tickets and hand written reports submitted by the agent are messy and illegible.		
While the quality of the agent's reports is good, he/she repeatedly missed deadlines.		
Agent frequently fails to complete his or her activity reports fully or properly.		
Agent had factual errors on a number of seizure reports.		
Agent completes the daily entries for his vehicle use log at end of month, not daily.		
Inconsistencies exist between agent's vehicle use log and his/her activity reports.		
Supervisor must frequently remind agent of reporting deadlines/report requirements.		
Agent may make a few mistakes in his/her reports, but is quick to correct & return.		
Agent expects secretary to catch and correct his/her report errors; will not proof-read.		
Agent's reports are poorly organized and poorly written; hard to follow & to interpret.		
Agent's reports show a fine command of the English language and good organization.		
Agent often uses wrong CLP number on case documents.		
An average of 10 documents per month were returned to agent for correction.		
Agent clearly identifies all elements of the violations cited in his/her offense reports.		
The agent's reports often contain numerous grammatical and factual errors.		
The agent write reports and tickets in a neat, legible hand.		
The agent never misses a deadline, but the quality of reports is often below par.		
Most activity reports submitted by the agent are fully and properly completed.		
The agent double checks all seizure reports to ensure accuracy.		
Agent completes the daily entries required for the vehicle use log when & as required.		
There are no inconsistencies between the agent's activity reports and his/her car log.		
Supervisor seldom has to remind agent of reporting deadlines or report requirements.		
Agent slow to correct and return rejected reports.		
Agent makes special effort to proof-read reports; few errors are ever found.		
Agent is careless with his/her written reports; many errors and omissions.		
Agent's reports are grammatically correct and very detailed, but poorly organized.		
Agent occasionally cites wrong CLP number in case documents.		
An average of 3 documents per month were returned to agent for correction.		

TEST FOR INTER – RATER AGREEMENT
Form X-2: Oral Communications Skills

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Oral Communications Skills The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent has great poise as a public speaker; even handles a hostile group well.		
Agent lacks confidence as a speaker; seeks to avoid public speaking assignments.		
Agent is no orator, but can successfully handle most speaking assignments.		
Agent fails to prepare for public speaking assignments, and, therefore, does poorly.		
Agent prefers the "war story" approach; Entertains, but fails to get the message across.		
Agent communicates well on a one-to-one basis, but not is not good with groups.		
Agent easily "rattled" when on the witness stand; is not an effective witness.		
Agent has a knack for explaining complex issues in an easy to understand manner		
Agent takes the time to practice his/her delivery of program presentations.		
Agent solicits questions from audience; makes sure answers are correct and understood.		
Agent prepares and thinks well on his or her feet; provides good responses to questions.		
Agent has a polished speaking style; comes across as knowledgeable & interesting.		
Agent's presentations show great composure and solid preparation; Is unshakable.		
The Agent's speaking ability is mediocre, but his/her enthusiasm for the task is obvious.		
Agent "delivers the message" in an entertaining and effective manner; Is highly skilled.		
Agent has good speaking skills, but has trouble dealing with hostile questions.		
Agent enjoys and actively seeks public speaking assignments.		
Agent tries, but is hampered by poor speaking skills: poor diction, weak voice, etc.		
Agent prepares and practices before presentations.		
Agent know his materials and sticks to the prepared format for regular presentations.		
Agent has difficulty communicating ideas even in a one-on-one situation.		
Agent prepares for each hearing; Is confident, knows the facts, and is hard to shake.		
Agent makes no effort to match the level of his explanations with his/her audience.		
Agent works off the top of his head with no preparation or practice.		
Agent avoids questions from the audience and is careless with his responses		
Agent doesn't think well on his feet even with preparation; responds poorly.		
Agent's speaking style is unpolished, but he does keep his audiences' attention.		
Agent visibly nervous when speaking to a group: body trembles, voices quivers, etc.		
Agent has good speaking style, but little enthusiasm. Seems uninterested in audience.		
Agent is a poor speaker who bores his/her audiences and fails get his message across.		

TEST FOR INTER-RATER AGREEMENT
Form X-2: Inter-Agency Relations

PERFORMANCE DIMENSION (Read Definition Before Assigning Rating)	PERFORMANCE RATING	
	SCORE	DESCRIPTION
Inter-Agency Relations The extent to which the agent establishes and maintains close, cooperative relationships with the peace officers of other law enforcement agencies.	1	Not Acceptable Major Improvements Needed
	2	Marginally Acceptable Some Improvement Needed
	3	Average Performs At Acceptable Level
	4	Above Average Performs Above Peers
	5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE
Agent uncooperative and unfriendly with officers of other agencies.		
Agent communicates and works in harmony with officers of other agency.		
Agent quick to respond to calls for assistance from officers from other agencies.		
Agent actively seeks opportunities to cooperate with and to assist other agencies.		
An Agent volunteers to train local officers on a subject in which he/she has expertise.		
Agent makes a special effort to "network" with local officers and agencies.		
Agent creates an informal system of information sharing between TABC and local PD.		
Agent has a "go it alone" attitude; doesn't want help and does want to help.		
Agent will assist local officers, but only if asked to do so.		
Agent is the one local officers always come to for liquor law information and assistance.		
Seeing a need, agent initiates offer to teach a liquor law refresher course for local PD.		
Agent receives commendation from local Sheriff for assistance provided to the SO.		
Agent's unfriendly & arrogant attitude threatens to undermine agency relations with PD.		
Agent injured while helping local officers apprehend a suspect.		
Agent has developed a good working relationship with local officers.		
Officers of other agencies avoid this agent because of his/her unfriendly attitude.		
Agent has poor social skills; has trouble communicating or building relations with peers.		
Agent responds to local calls for assistance, but does so with obvious reluctance.		
Agent cooperates with and assists local officers when asked to do so.		
Agent will share his/her expertise with local officers, but only if asked to do so.		
Agent on a first name basis with many local officers; is well regarded by local Chief.		
Agent works with/thru local officers to gather intelligence concerning local clubs.		
Agent works closely with local officers, assisting and being assisted as the need arises.		
Agent will assist local officers only if ordered to do so.		
Agent used by PD officers as a source for liquor law info, but no more than anyone else.		
Agent will assist or cooperate with local officials, but does not initiate these actions.		
Supervisor receives complaint from local Sheriff concerning agent's uncooperativeness.		
Agent's friendly, cooperative attitude strengthens the agency's ties with local PD.		
Agent available & nearby, but did not respond to local PD's request for assistance.		
Agent ignores opportunities to build relationships with local officers.		

**INTER-OFFICE COMMUNICATION
TEXAS ALCOHOLIC BEVERAGE COMMISSION**

Date: October 11, 1993

TO: Karen Smith, Lieutenant, Fort Worth Enforcement

FROM: Roy Hale, Staff Services Officer, Enforcement HQ

SUBJECT: Test for Inter-Rater Agreement: Experimental Performance Rating Form X-1

=====

Thank you for agreeing to participate in the final test of our Experimental BARS Performance Rating Form.

Attached are nine forms, one for each of the performance dimensions used in the Form X-1 Performance Rating Instrument. At the top of form is a dimension definition, a listing of performance rating options, and examples of agent behaviors that correspond with each of the rating options. In the bottom portion of each form are thirty (30) samples of agent performance.

You are asked to rate the desirability/effectiveness of the sample performances using the rating options provided in the form. Before rating these behaviors, please study the dimension definitions, the five rating options, and the behavioral examples found in the top portion of the form. Then, taking each of the samples in turn, read the description of the sample, assess its desirability or effectiveness using the behavioral examples provided with the rating options as your guides, and assign it the rating you believe is most appropriate. The rating selected should be entered into the box located at the right of the sample.

Please complete all nine forms and FAX them to me here at headquarters no later than 5:00 p.m., Friday, October 15th.

Again, thank you for your assistance. I appreciate your help.

TEST FOR INTER – RATER AGREEMENT
Form X-1: Care & Use of Equipment

PERFORMANCE DIMENSION (Based Definition Before Assigning Rating)		PERFORMANCE RATING			
		SCORE	DESCRIPTION	BEHAVIORAL EXPECTATIONS <small>List Not Intended to Be Exclusive</small>	
Care & Use of Equipment	The degree to which an agent demonstrates proficiency in the safe and proper use of agency equipment (firearms, motor vehicles, radios, office equipment, etc.) and exercises due diligence in the care and maintenance of assigned equipment.	1	Not Acceptable Major Improvements Needed	Agent abuses equipment or repeatedly fails to take action when equipment is in need of care, repair, or replacement. Or agent fails to qualify with firearms after repeated attempts, or has used them unsafely.	
		2	Marginally Acceptable Some Improvement Needed	Agent has a chargeable fleet accident during rating period; or fails to qualify with his or her firearms on the first attempt or just barely qualifies.	
		3	Average Performs At Acceptable Level	Agent generally takes good care of equipment, but occasionally must be reminded to keep it clean or properly maintained.	
		4	Above Average Performs Above Peers	The agent's equipment is always clean, neat, and in proper working order. The agent exercises extreme care when operating vehicles, firearms, and other equipment.	
		5	Clearly Superior Sets Example For Peers	Agent scores extremely high on firearms qualifications tests; keeps equipment and vehicle in first class shape; never has to be reminded to have routine maintenance performed on vehicle.	
BEHAVIOR		SCORE		BEHAVIOR	SCORE
Agent responsible for chargeable fleet accident Agent engages in high speed pursuit through residential neighborhood. Agent's weapon found to be clean and in good working order. Agent scores in top 5% on firearms proficiency test. Agent not able to make simple license data inquiries using computer terminal. Agent discovered to be using agency vehicle for personal business. Agent accidentally spills soft drink on radio console in car, thereby shorting it out. Agent's assigned work space in office is orderly and neat. Agent follows routine maintenance schedule for his/her vehicle without deviation. Agent engages in high speed pursuit without activating emergency lights & siren. Agent keeps assigned vehicle clean inside and out. Agent is not particularly proficient with firearms, but always manages to qualify. Agent "horses around" when using radio, does not always follow proper procedure. Agent stopped twice for traffic violations while operating agency car. Agent routinely types at speed of 30 Words Per Minute.				Agent involved in two chargeable fleet accidents during rating period	
				Agent fires at tires of fleeing vehicle while involved in high speed pursuit.	
				Agent's weapon found to be dirty, but operational.	
				Agent fails to qualify with duty weapon.	
				Agent routinely makes licensee/permittee data inquiries with computer terminal.	
				Agent regularly uses agency vehicle to take spouse to and from work.	
				Interior of Agent's car (seat, carpet, etc.) has numerous spots and stains.	
				Agent's assigned work space in office looks disorganized and messy.	
				Agent must be reminded to have routine maintenance performed on vehicle.	
				On initiating a pursuit, agent activated emergency lights and sirens.	
				Agent's vehicle messy and dirty. Numerous food wrappers on floor board, etc.	
				Agent easily qualifies with firearms but scores in lower half of those taking test.	
				Agent's radio communications are always concise and to the point.	
				Agent regularly exceeds speed limit in times of poor road/weather conditions.	
				Agent can't do more than "hunt & peck" with typewriter or adding machine.	

TEST FOR INTER-RATER AGREEMENT
Form X-1: Knowledge & Application of Law

PERFORMANCE		PERFORMANCE RATING	
DIMENSION	DESCRIPTION	BEHAVIORAL EXPECTATIONS	SCORE
Application of Relevant Laws & Regulations <i>(Read Definition Before Assigning Rating)</i> The degree to which an agent understands and can appropriately apply the statutes, case law, and administrative regulations relevant to the policing of licensed premises and the regulation of alcoholic beverages.	1	Not Acceptable Major Improvements Needed	Agent makes no effort to keep up with changes in the laws affecting his or her job; improperly applies laws and regulations with great frequency.
	2	Marginally Acceptable Some Improvement Needed	Agent fails to study or to stay up-to-date on statutes or court cases; requires frequent assistance from supervisors and fellow agents concerning proper application of the law.
	3	Average Performs At Acceptable Level	Agent has sufficient knowledge of the Alcoholic Beverage Code, agency rules, and the Penal Code to properly answer most questions from the public and to detect common violations during inspections.
	4	Above Average Performs Above Peers	Agent always stays up-to-date and well-informed on all laws and legislative changes; makes other agents aware of new case law and statutory changes.
	5	Clearly Superior Sets Example For Peers	Agent is considered an authority on the state's alcoholic beverage and criminal laws by his or her peers; is the one they seek advice from when they have a question about a point of law.
BEHAVIOR	SCORE	BEHAVIOR	SCORE
Agent must constantly seek advice from peers or supervisors on same point of law.		Agent never has to seek advice twice on the same point of law.	
When in doubt concerning law, agent checks the statute & relevant court cases.		When in doubt concerning the law, the agent checks with peers or supervisor.	
Agent can recognize most violations & answer basic questions from licensees.		Agent gives incorrect responses to questions from public concerning the law.	
Agent is correctly seen by peers as an "authority" on liquor law.		Agent has working knowledge of law, but is not an expert whom peers consult.	
Agent misapplies statutes and uses wrong charges.		The charges the agent files against violators are always correct.	
Agent correctly answers liquor law questions posed by industry and public.		Agent has trouble recognizing elements of common violations.	
Agent makes only a small effort to educate himself/herself on AB code & rules.		Agent makes special effort to stay "current" on the law.	
Agent has good working knowledge of AB code. Correctly applies knowledge.		Agent has poor knowledge of the AB code and often misapplies statutes.	
Agent can make sound decisions on law without consulting peers or supervisor.		Agent cannot be trusted to interpret law properly.	
Agent must constantly ask partner's advice on existence and handling of violations.		Agent seldom has to ask for advice on existence and handling of violations.	
Agent doesn't "shoot from the lip." When in doubt, he or she researches the law.		When in doubt concerning law, agent often "shoots from lip" & fails to research.	
Agent always files proper charge; continuously studies law and case updates.		Agent continuously studies law and case updates.	
Agent needs occasional assistance on law, but handles most situations properly.		Agent requires no advice or assistance with laws; handles all situations properly.	
Agent has trouble recognizing elements of complex violations like subterfuge.		Agent has no trouble recognizing the elements of uncommon violations.	
Agent working applications he/she applicants "find way around" legal requirements.		Agent working applications spots elements of subterfuge in an application.	

TEST FOR INTER-RATER AGREEMENT
Form X-1: Use of Proper Law Enforcement Methods

PERFORMANCE DIMENSIONS (Based on Definitions Below - Rating Rating)		PERFORMANCE RATING	
SCORE	DESCRIPTION	BEHAVIORAL EXPECTATIONS <small>List Not Intended to Be Exhaustive</small>	
1	Not Acceptable Major Improvements Needed	Agent unable to conduct even routine investigations without great difficulty; needs assistance with routine tasks.	
2	Marginally Acceptable Some Improvement Needed	Agent can successfully execute only the most simple law enforcement tasks; agent unwilling or unable to improve level of technical competence.	
3	Average Performs At Acceptable Level	Agent is capable of conducting routine investigations; will occasionally need assistance with more complicated assignments.	
4	Above Average Performs Above Peers	Agent is able to plan, coordinate, and successfully complete complex investigations and undercover operations.	
5	Clearly Superior Sets Example For Peers	Agent conducts extensive, complex investigations and gathers highly detailed, accurate information; is routinely successful in securing convictions in situations where most other agents would have failed.	
BEHAVIOR		BEHAVIOR	SCORE
Agent fails to take proper security/safety precautions during arrests & searches.		Agent takes reasonable safety precautions when conducting an arrest or search.	
Agent conducts highly productive interrogations.		Agent uses poor interrogation techniques and, therefore, gets poor results.	
Agent knows what to ask and what to look for when conducting an investigation.		Agent is a poor investigator. Has no idea as to what to ask or what to look for.	
Agent sets up and runs a successful minor sting operation.		Agent conducts surveillance from a spot that is visible to the suspect.	
Agent extremely believable in undercover roles and, therefore, very effective.		Agent is not a believable actor. Undercover targets easily ID agent as a officer.	
Agent's failure to use proper arrest procedures lead to confrontation with crowd.		Agent's use of proper arrest procedures avoided confrontation with bystanders.	
Agent inattentive when searching a crime scene; missed key pieces of evidence.		Agent conducts thorough searches with due regard to the rights of suspects.	
Agent relies on physical strength rather than mental skill when making arrests.		Agent relies on mental skill, rather than physical strength, when making arrest.	
Agent uses threats or intimidation to obtain information in interrogations.		Agent uses threats and intimidation to secure information in investigations.	
Agent able to plan and execute successful investigations & undercover operations.		Agent unable to plan or execute successful investigations or undercover ops.	
Agent has no planning skills, but successfully participate in operations.		Agent has no investigatory or undercover skills. Can only be used for inspections.	
Agent needlessly escalates situations when making violator contacts & arrests.		Agent uses wit to control situation when making violator contacts & arrests.	
Agent conducts extensive investigations & produces accurate, usable information.		Agent's investigations fail to produce usable results.	
Agent able to perform routine investigations, but needs help with complex ones.		Agent needs help to complete even routine investigations successfully.	
Agent executes arrest with minimum physical force necessary.		Agent has been the subject of multiple complaints concerning excessive force.	

TEST FOR INTER-RATER AGREEMENT
Form X-1: Physical Condition

PERFORMANCE DIMENSION		PERFORMANCE RATING	
(Read Definitions Before Rating)		SCORE	DESCRIPTION
Physical Condition	The degree to which an agent is physically capable of executing a forceable arrest, controlling a struggling prisoner, conducting a foot pursuit, carrying confiscated goods, applying defensive tactics, etc.	1	Not Acceptable Major Improvements Needed
		2	Marginally Acceptable Some Improvement Needed
		3	Average Performs At Acceptable Level
		4	Above Average Performs Above Peers
		5	Clearly Superior Sets Example For Peers
BEHAVIOR		SCORE	BEHAVIOR
Agent exercises daily and stays in good physical condition.			Agent can not perform routine physical tasks commonly associated with job.
Agent is able to control struggle; prisoner, but is obviously worn - out by it.			Agent is often unable to control a prisoner without physical assistance.
Agent engages in a foot pursuit; quickly becomes winded, and drops out.			Agent has no trouble maintaining foot pursuits.
Agent unable to lift and carry weight of confiscated distilled spirits.			Agent can easily pick and carry cases of distilled spirits.
Agent never practices defensive tactics; can't apply them effectively when needed.			Agent often practices defensive tactics; can successfully apply them when needed.
Agent avoids incidents that require an expenditure of physical energy.			Agent doesn't hesitate when confronted with a physical task; jumps right in.
Agent's weight is disproportionate to his or her height.			Agent's weight is proportionate to his or her height.
Agent exercises irregularly, but has enough strength and stamina for most tasks.			Agent exercises irregularly and lacks sufficient strength/stamina for most tasks.
Agent gets his or her "clock clear" by a suspect of lesser size.			Agent's condition and tactical skills permits him/her to control larger suspects.
Agent is no athlete but can hold his/her own when things get physical.			Agent is an athlete and excels in the physical aspects of the job.
Agent picked up and carried a full keg without assistance.			Agents needs help to lift and move a keg, but can easily do it with a partner.
Agent is a martial arts expert; often teaches "new" tactics to fellow agents.			Agent has weak grasp of defensive tactics and little skill in their use.
Agent can't or won't do fair share of physical tasks; leaves these to other agents.			Agent can be counted on to do fair share of physical tasks.
Agent is in top physical condition; has no problem with the physical side of the job.			Agent in fair condition; has no trouble meeting the job's physical requirements.
Agent has strength to control most prisoners, but lacks stamina for foot pursuit.			Agent can run like a deer, but lacks sufficient the upper body strength.
		SCORE	

BEHAVIORAL EXPECTATIONS

List Not Included to Be Excluded

Agent is physically weak and has no stamina; is not capable of meeting the common physical challenges associated with police work.

Agent has difficulty in executing forceable arrests or applying defensive tactics due to poor physical condition; is capable of improvement, but has not yet recognized the need for regular exercise.

Agent's physical condition is sufficient to permit the agent to be successful in meeting most of the situations that might be encountered in police work.

Agent maintains a good physique through regular exercise. Has sufficient strength and endurance for almost any task. His or her weight is proportionate to the agent's height and body type.

Agent works out on a daily basis to stay in peak physical condition; constantly practices defensive tactics and arrest techniques.

TEST FOR INTER-RATER AGREEMENT
Form X-1: Initiative

PERFORMANCE		PERFORMANCE RATING	
DIMENSION	DESCRIPTION	BEHAVIORAL EXPECTATIONS	SCORE
Initiative <small>(Read Definition Before Assigning Rating)</small>		Agent cannot be counted on to make sound decisions in the field; must be closely supervised; will ignore violations because of laziness.	1
		Agent is a follower and does only what he or she is told to do; will not take independent action.	2
		Agent can make correct decisions and will take independent action, but will often ask supervisor's opinion in order to boost confidence.	3
		The agent is a self-starter who actively seeks responsibility and additional duties; requires little or no direct supervision.	4
		Agent takes lead and makes things happen; is always suggesting better ways to accomplish organizational goals and continually demonstrates a willingness to take charge.	5
BEHAVIOR		BEHAVIOR	SCORE
Agent constantly seeking new, creative approaches to routine tasks.		Agent is afraid to take a chance on a new approach or to innovate.	
Agent waits for instructions before taking action even when need to act is obvious.		When the need to act is obvious, the agent acts without waiting for instructions.	
Agent always willing to take charge and lead.		Agent does what he or she is told to do, but won't take lead or make suggestions.	
Agent is only a follower; won't take independent action.		Agent is a leader; is not afraid of taking independent action.	
Agent unsure of self; needs reassurance of appropriateness of planned actions.		Agent does not need reassurance concerning the "rightness" of his/her actions.	
Agent won't take action without obtaining supervisor's prior approval.		Agent doesn't need prior approval before acting; Agent acts as need arises.	
Agent is a highly motivated self starter.		Agent is not self-motivated; must frequently be prodded.	
Agent takes action as need arises rather than waiting for orders.		Agent won't act without orders.	
Agent will take independent action, but agonizes over the decision.		Agent indecisive.	
Agent will occasionally seek new responsibilities to add to his/her present duties.		Agent does not accept responsibility and needs direct supervision.	
Agent adapts to changing circumstances/conditions; is not paralyzed by change.		Agent reacts poorly to changing conditions; is often paralyzed by change.	
Agent capable of making decisions in the field without consulting a supervisor.		Agent prefers to consult a supervisor before acting; but will act alone if necessary.	
Agent not afraid of making snap decisions on basis the best available information.		Agent won't make a decision without complete information.	
Agent undependable and must be closely supervised.		Agent dependable and has good judgement; requires little direct supervision.	
Agent needs occasional guidance, but usually has no trouble making a decision.		Agent will not make a decision without guidance or direction from supervisor.	

TEST FOR INTER-RATER AGREEMENT
Form X-1: Public Demonor

PERFORMANCE DIMENSION <small>(Based on Definition Before Analyzing Rating)</small>		PERFORMANCE RATING	
SCORE	DESCRIPTION	BEHAVIORAL EXPECTATIONS <small>List Not Included to the Exclusion</small>	
1	Not Acceptable Major Improvements Needed	Agent has a bad attitude towards the public (treats every one a like hard - case criminal); is the subject of constant complaints from licensees, violators, and the general public.	
2	Marginally Acceptable Some Improvement Needed	Agent's public conduct generated a valid complaint of discourtesy, rudeness, excessive force, etc. during the rating period.	
3	Average Performs At Acceptable Level	Agent conducts him/herself in a professional manner during contacts. Agent's conduct during contacts generate few complaints and none of a valid nature.	
4	Above Average Performs Above Peers	Agent takes the time to explain the purpose of his/her actions and patiently answers questions posed by the public or licensees. Shows no animosity or arrogance during contacts. Always polite and respectful.	
5	Clearly Superior Sets Example For Peers	Agent is polite, respectful, and helpful, even when under stress or in adverse circumstances. Is a model of professionalism and propriety, an example for his/her fellow agents to follow.	
BEHAVIOR		BEHAVIOR	SCORE
Agent has no respect for anyone; is rude and abusive to arrestees.		Agent is firm, but fair with violators and is respectful of their rights as citizens.	
Agent is helpful and patient when dealing with the public.		Agent shows little patience with the public or violators; always abrupt if not rude.	
Agent takes time to answer even "dumb" questions from licensees fully and politely.		Agent won't take time to explain actions; doesn't welcome questions.	
Agent's personal feelings and emotions do not affect his/her handling of violators.		Agent's feelings and emotions affect his/her handling of violators.	
During heated confrontations, Agent keeps "cool" & tries to defuse the situation.		Agent has trouble staying "cool" in hot situations; things tend to escalate.	
Agent subject of multiple complaints from public for rudeness or excessive force.		Agent has been the subject of one valid complaint of rudeness during year.	
Agent means well, but has no tact. Offends public, and is surprised by the complaints.		Agent extremely tactful and polite; has even had violators thank him/her after arrest.	
Agent avoids use of intimidation; wins compliance through courtesy and tactfulness.		Agent usually relies on intimidation and brute force to win compliance.	
Agent is a "hothead" and quickly loses temper when provoked.		Agent punches verbally abusive, but physically compliant and restrained, suspect.	
Agent takes time to explain purpose of visit to licensee; solicits licensee's questions.		Agent making routine inspection fails to identify himself and ignores questions.	
Agent uses inspections as opportunity to educate as well as to regulate licensees.		Agent believes his/her job is to "kick butt and take names" and acts accordingly.	
Agent is polite and respectful so long as the contact is, and then responds in kind.		Agent makes a genuine effort to remain polite and courteous, despite of provocation.	
Agent goes out of his/her way to resolve situations in a low-key manner.		Agent prefers to be highly "visible" when working a bar; is seldom low key.	
Agent thinks job is to find violations; spends little time helping people avoid them.		Agent discusses violations with licensees and suggests ways to avoid them in future.	
Agent treats the public and licensees like he or she would like to be treated.		Agent realizes that public support is important to agency survival and acts accordingly.	

TEST FOR INTER – RATER AGREEMENT
Form X-1: Written Communications Skills

PERFORMANCE DIMENSION <small>(Read Definition Before Assigning Rating)</small>		PERFORMANCE RATING		
SCORE	DESCRIPTION	BEHAVIORAL EXPECTATIONS <small>Use Not Intended to Be Exclusionary</small>		
Written Communication Skills	1	Not Acceptable Major Improvements Needed	Agent's reports are usually late. The grammar is poor; the writing sloppy; and the level of detail is inadequate. They also often contain numerous errors and omissions of fact.	
	2	Marginally Acceptable Some Improvement Needed	Agent is slow in completing paperwork. Seldom gets any thing in on time. Some errors of style and content.	
	3	Average Performs At Acceptable Level	Agent completes paperwork in a timely fashion. Few corrections or additions are needed.	
	4	Above Average Performs Above Peers	The agent's written reports are always timely filed, correct, concise, and complete. Agent always provides all the needed details without being asked or reminded.	
	5	Clearly Superior Sets Example For Peers	The agent excels in writing. His or her reports are complete, error free, and highly detailed. The writing style is clearly superior, and all submissions are timely.	
BEHAVIOR		SCORE	BEHAVIOR	SCORE
Agent often fails to cite all the elements of violations in his or her offense reports.			Agent clearly identifies all elements of the violations cited in his/her offense reports.	
Agent's reports are clear, concise, complete, and grammatically correct.			The agent's reports often contain numerous grammatical and factual errors.	
The tickets and hand written reports submitted by the agent are messy and illegible.			The agent write reports and tickets in a neat, legible hand.	
While the quality of the agent's reports is good, he/she repeatedly missed deadlines.			The agent never misses a deadline, but the quality of reports is often below par.	
Agent frequently fails to complete his or her activity reports fully or properly.			Most activity reports submitted by the agent are fully and properly completed.	
Agent had factual errors on a number of seizure reports.			The agent double checks all seizure reports to ensure accuracy.	
Agent completes the daily entries for his vehicle use log at end of month, not daily.			Agent completes the daily entries required for the vehicle use log when & as required.	
Inconsistencies exist between agent's vehicle use log and his/her activity reports.			There are no inconsistencies between the agent's activity reports and his/her car log.	
Supervisor must frequently remind agent of reporting deadlines/report requirements.			Supervisor seldom has to remind agent of reporting deadlines or report requirements.	
Agent may make a few mistakes in his/her reports, but is quick to correct & return.			Agent slow to correct and return rejected reports.	
Agent expects secretary to catch and correct his/her report errors; will not proof-read.			Agent makes special effort to proof-read reports; few errors are ever found.	
Agent's reports are poorly organized and poorly written; hard to follow & to interpret.			Agent is careless with his/her written reports; many errors and omissions.	
Agent's reports show a fine command of the English language and good organization.			Agent's reports are grammatically correct and very detailed, but poorly organized.	
Agent often uses wrong CLP number on case documents.			Agent occasionally cites wrong CLP number in case documents.	
An average of 10 documents per month were returned to agent for correction.			An average of 3 documents per month were returned to agent for correction.	

TEST FOR INTER-RATER AGREEMENT
Form X-1: Oral Communications Skills

PERFORMANCE		PERFORMANCE RATING	
DIMENSION (Read Definitions Before Assigning Rating)	SCORE	DESCRIPTION	BEHAVIORAL EXPECTATIONS <small>(Not Intended to Be Exhaustive)</small>
Oral Communications Skills The ability of an agent to make effective oral presentations before a court and in diverse public settings, including civic group meetings, industry group meetings, government hearings, and classroom presentations. Also pertains to an agent's ability to communicate effectively during one-on-one meetings, applicant interviews, and telephone conversations.	1	Not Acceptable Major Improvements Needed	Agent's public speaking reflects poor command of the language used and/or poor preparation. Agent is a poor public speaker and unable to communicate effectively when speaking to individuals or groups.
	2	Marginally Acceptable Some Improvement Needed	When speaking in public, the agent has difficulty in getting his or her points across to the audience. Does not take the time to explain or to correct misunderstandings.
	3	Average Performs At Acceptable Level	Agent accepts public speaking assignments without complaint and handles them in a competent manner. Is effective in answering questions from audiences, the public, etc.
	4	Above Average Performs Above Peers	When called upon to speak in public, the agent demonstrates great poise, self-confidence, and a solid command of his/her subject matter. Is always well prepared and has an excellent speaking style.
	5	Clearly Superior Sets Example For Peers	Agent is a dynamic speaker and is in constant demand by civic groups, industry groups, etc. Uses his/her exceptional oral communication skills in the daily aspects of his/her job.
BEHAVIOR		SCORE	BEHAVIOR
Agent has great poise as a public speaker; even handles a hostile group well. Agent lacks confidence as a speaker; seeks to avoid public speaking assignments. Agent is no orator, but can successfully handle most speaking assignments. Agent fails to prepare for public speaking assignments, and, therefore, does poorly. Agent prefers the "war story" approach; Entertains, but fails to get the message across. Agent communicates well on a one-to-one basis, but not as well with groups. Agent easily "rattled" when on the witness stand; is not an effective witness. Agent has a knack for explaining complex issues in an easy to understand manner. Agent takes the time to practice his/her delivery of program presentations. Agent solicits questions from audience; makes sure answers are correct and understood. Agent prepares and thinks well on his or her feet; provides good responses to questions. Agent has a polished speaking style; comes across as knowledgeable & interesting. Agent's presentations show great composure and solid preparation; is unshakable. The Agent's speaking ability is mediocre, but his/her enthusiasm for the task is obvious. Agent "delivers the message" in an entertaining and effective manner; is highly skilled.		SCORE	BEHAVIOR
			Agent has good speaking skills, but has trouble dealing with hostile questions.
			Agent enjoys and actively seeks public speaking assignments.
			Agent tries, but is hampered by poor speaking skills: poor diction, weak voice, etc.
			Agent prepares and practices before presentations.
			Agent knows his materials and sticks to the prepared format for regular presentations.
			Agent has difficulty communicating ideas even in a one-on-one situation.
			Agent prepares for each hearing; is confident, knows the facts, and is hard to shake.
			Agent makes no effort to match the level of his explanations with his/her audience.
			Agent works off the top of his head with no preparation or practice.
			Agent avoids questions from the audience and is careless with his responses.
			Agent doesn't think well on his feet even with preparation; responds poorly.
			Agent's speaking style is unpolished, but he does keep his audiences' attention.
			Agent visibly nervous when speaking to a group: body trembles, voices quivers, etc.
			Agent has good speaking style, but little enthusiasm. Seems uninterested in audience.
			Agent is a poor speaker who bores his/her audiences and fails to get his message across.

TEST FOR INTER – RATER AGREEMENT
Form X-1: Inter-Agency Relations

PERFORMANCE DIMENSION (Read Directions Before Assigning Rating)		PERFORMANCE RATING		
SCORE	DESCRIPTION	BEHAVIORAL EXPECTATIONS <small>(List Not Included on the Description)</small>		SCORE
1	Not Acceptable Major Improvements Needed	The agent is unfriendly and aloof. He or she distances him/herself from the officers of other agencies and renders assistance only when ordered to do so.		
2	Marginally Acceptable Some Improvement Needed	Agent keeps to him/herself. Is not necessarily discourteous to the officers of other agencies, but has little interest in associating with them. Will render assistance when asked but does so somewhat reluctantly.		
3	Average Performs At Acceptable Level	Agent is friendly and courteous to officers of other agencies. Always cordial and will willingly assist when asked.		
4	Above Average Performs Above Peers	Agent actively seeks opportunities to assist other law enforcement agencies and to participate in community projects related to the use or abuse of alcoholic beverages.		
5	Clearly Superior Sets Example For Peers	Agent held in high regard by other agencies and local officials. Receives commendations from those agencies and officials for the assistance he or she provides.		
BEHAVIOR		BEHAVIOR	SCORE	
Agent uncooperative and unfriendly with officers of other agencies.		Officers of other agencies avoid this agent because of his/her unfriendly attitude.		
Agent communicates and works in harmony with officers of other agency.		Agent has poor social skills; has trouble communicating or building relations with peers		
Agent quick to respond to calls for assistance from officers from other agencies.		Agent responds to local calls for assistance, but does so with obvious reluctance.		
Agent actively seeks opportunities to cooperate with and to assist other agencies.		Agent cooperates with and assists local officers when asked to do so.		
An Agent volunteers to train local officers on a subject in which he/she has expertise.		Agent will share his/her expertise with local officers, but only if asked to do so.		
Agent makes a special effort to "network" with local officers and agencies.		Agent on a first name basis with many local officers; is well regarded by local Chief.		
Agent creates an informal system of information sharing between TABC and local PD.		Agent works with/thru local officers to gather intelligence concerning local clubs.		
Agent has a "go it alone" attitude; doesn't want help and does want to help.		Agent works closely with local officers, assisting and being assisted as the need arises.		
Agent will assist local officers, but only if asked to do so.		Agent will assist local officers only if ordered to do so.		
Agent is the one local officers always come to for liquor law information and assistance.		Agent used by PD officers as a source for liquor law info, but no more than anyone else		
Seeing a need, agent initiates effort to teach a liquor law refresher course for local PD.		Agent will assist or cooperate with local officials, but does not initiate these actions.		
Agent receives commendation from local Sheriff for assistance provided to the SO.		Supervisor receives complaint from local Sheriff concerning agent's uncooperativeness		
Agent's unfriendly & arrogant attitude threatens to undermine agency relations with PD.		Agent's friendly, cooperative attitude strengthens the agency's ties with local PD.		
Agent injured while helping local officers apprehend a suspect.		Agent available & nearby, but did not respond to local PD's request for assistance.		
Agent has developed a good working relationship with local officers.		Agent ignores opportunities to build relationships with local officers.		