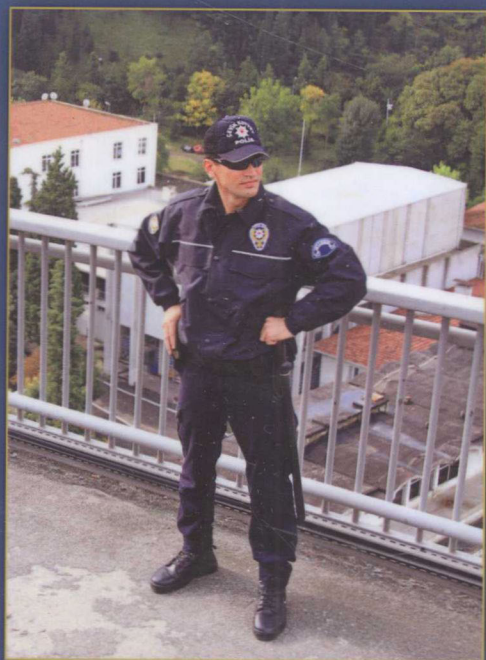


Advances in Police Theory and Practice Series

Police Performance Appraisals

A Comparative Perspective



Serdar Kenan Gul and Paul E. O'Connell



CRC Press
Taylor & Francis Group

Police Performance Appraisals

A Comparative Perspective

Serdar Kenan Gul and Paul E. O'Connell



CRC Press

Taylor & Francis Group

Boca Raton London New York

CRC Press is an imprint of the
Taylor & Francis Group, an **informa** business

CRC Press
Taylor & Francis Group
6000 Broken Sound Parkway NW, Suite 300
Boca Raton, FL 33487-2742

© 2013 by Taylor & Francis Group, LLC
CRC Press is an imprint of Taylor & Francis Group, an Informa business

No claim to original U.S. Government works

Printed in the United States of America on acid-free paper
Version Date: 20120518

International Standard Book Number: 978-1-4398-3946-1 (Hardback)

This book contains information obtained from authentic and highly regarded sources. Reasonable efforts have been made to publish reliable data and information, but the author and publisher cannot assume responsibility for the validity of all materials or the consequences of their use. The authors and publishers have attempted to trace the copyright holders of all material reproduced in this publication and apologize to copyright holders if permission to publish in this form has not been obtained. If any copyright material has not been acknowledged please write and let us know so we may rectify in any future reprint.

Except as permitted under U.S. Copyright Law, no part of this book may be reprinted, reproduced, transmitted, or utilized in any form by any electronic, mechanical, or other means, now known or hereafter invented, including photocopying, microfilming, and recording, or in any information storage or retrieval system, without written permission from the publishers.

For permission to photocopy or use material electronically from this work, please access www.copyright.com (<http://www.copyright.com/>) or contact the Copyright Clearance Center, Inc. (CCC), 222 Rosewood Drive, Danvers, MA 01923, 978-750-8400. CCC is a not-for-profit organization that provides licenses and registration for a variety of users. For organizations that have been granted a photocopy license by the CCC, a separate system of payment has been arranged.

Trademark Notice: Product or corporate names may be trademarks or registered trademarks, and are used only for identification and explanation without intent to infringe.

Library of Congress Cataloging-in-Publication Data

Gül, Serdar Kenan.

Police performance appraisals : a comparative perspective / Serdar Kenan Gul and Paul O'Connell.

p. cm.

Includes bibliographical references and index.

ISBN 978-1-4398-3946-1

1. Police--Personnel management--United States. 2. Police--Personnel management--Turkey. 3. Police--Rating of--United States. 4. Police--Rating of--Turkey. 5. Police administration--United States. 6. Police administration--Turkey. I. O'Connell, Paul E. II. Title.

HV7936.P47G85 2013

363.2'2--dc23

2012019860

Visit the Taylor & Francis Web site at
<http://www.taylorandfrancis.com>

and the CRC Press Web site at
<http://www.crcpress.com>

Police Performance Appraisals

A Comparative Perspective

Advances in Police Theory and Practice Series

Series Editor: Dilip K. Das



Police Performance Appraisals: A Comparative Perspective

Serdar Kenan Gul and Paul O'Connell

Police Reform in The New Democratic South Africa

Moses Montesh and Vinesh Basdeo

Los Angeles Police Department Meltdown: The Fall of the Professional-Reform
Model of Policing

James Lasley

Financial Crimes: A Global Threat

Maximillian Edelbacher, Peter Kratcoski, and Michael Theil

Police Integrity Management in Australia: Global Lessons for Combating
Police Misconduct

Louise Porter and Tim Prenzler

The Crime Numbers Game: Management by Manipulation

John A. Eterno and Eli B. Silverman

The International Trafficking of Human Organs: A Multidisciplinary Perspective

Leonard Territo and Rande Matteson

Police Reform in China

Kam C. Wong

Mission-Based Policing

John P. Crank, Dawn M. Irlbeck, Rebecca K. Murray, and Mark Sundermeier

The New Khaki: The Evolving Nature of Policing in India

Arvind Verma

Cold Cases: An Evaluation Model with Follow-up Strategies for Investigators

James M. Adcock and Sarah L. Stein

Policing Organized Crime: Intelligence Strategy Implementation

Petter Gottschalk

Security in Post-Conflict Africa: The Role of Nonstate Policing

Bruce Baker

Community Policing and Peacekeeping

Peter Grabosky

Community Policing: International Patterns and Comparative Perspectives

Dominique Wisler and Ihekwoaba D. Onwudiwe

Police Corruption: Preventing Misconduct and Maintaining Integrity

Tim Prenzler

Series Preface

While the literature on police and allied subjects is growing exponentially its impact upon day-to-day policing remains small. The two worlds of research and practice of policing remain disconnected even though cooperation between the two is growing. A major reason is that the two groups speak in different languages. The research work is published in hard-to-access journals and presented in a manner that is difficult to comprehend for a layperson. On the other hand the police practitioners tend not to mix with researchers and remain secretive about their work. Consequently, there is little dialogue between the two and almost no attempt to learn from one another. Dialogue across the globe, amongst researchers and practitioners situated in different continents, is of course even more limited.

I attempted to address this problem by starting the IPES, www.ipes.info, where a common platform has brought the two together. IPES is now in its 15th year. The annual meetings that constitute most major annual events of the organization have been hosted in all parts of the world. Several publications have come out of these deliberations and a new collaborative community of scholars and police officers has been created whose membership runs into several hundreds.

Another attempt was to begin a new journal, aptly called *Police Practice and Research: An International Journal*, PPR, that has opened the gate to practitioners to share their work and experiences. The

journal has attempted to focus upon issues that help bring the two on a single platform. PPR is completing its 10 years in 2009. It is certainly an evidence of growing collaboration between police research and practice that PPR, which began with four issues a year, expanded into five issues in its fourth year, and now, it is issued six times a year.

Clearly, these attempts, despite their success, remain limited. Conferences and journal publications do help create a body of knowledge and an association of police activists but cannot address substantial issues in depth. The limitations of time and space preclude larger discussions and more authoritative expositions that can provide stronger and broader linkages between the two worlds.

It is this realization of the increasing dialogue between police research and practice that has encouraged many of us—my close colleagues and I connected closely with IPES and PPR across the world—to conceive and implement a new attempt in this direction. I am now embarking on a book series, *Advances in Police Theory and Practice*, that seeks to attract writers from all parts of the world. Further, the attempt is to find practitioner contributors. The objective is to make the series a serious contribution to our knowledge of the police as well as to improve police practices. The focus is not only in work that describes the best and successful police practices but also one that challenges current paradigms and breaks new ground to prepare a police for the 21st century. The series seeks for comparative analysis that highlights achievements in distant parts of the world as well as one that encourages an in-depth examination of specific problems confronting a particular police force.

Serdar Kenan Gul and Paul O'Connell's *Police Performance Appraisals: A Comparative Perspective* does just that. This book explores best practices in terms of the development and use of personal performance appraisals by police organizations. It examines the performance appraisal systems of the Ankara and Toledo police departments in order to explore the degree to which both departments' performance appraisal systems include factors that are recognized as important components of the performance appraisal process. It also considers whether the type of appraisal system (traditional versus modern) matters in terms of affecting the officers' satisfaction with the performance appraisal system of their departments and it questions whether field and command officers' perceptions of the performance evaluation instruments in their departments differ from those of their subordinates. The nature of the

relationship between the officer's perception of the appraisal system and the officer's rank is examined while controlling for an officer's level of education, gender, age, and years of service. This study employs both qualitative and quantitative methodologies. Such a comparative view allows us to differentiate universal policing performance traits or practices from those that are culturally specific. Also, a comparison of traditional and community policing philosophies in these two organizations may help us explain how different organizational structures influence officer's attitudes toward the performance appraisal system. These findings provide insights to guide efforts to design better appraisal systems. Insights from this study may also contribute to nationwide assessments of evaluation practices and standards for police organizations.

It is hoped that through this series it will be possible to accelerate the process of building knowledge about policing and help bridge the gap between the two worlds—the worlds of police research and police practice. This is an invitation to police scholars and practitioners across the world to come and join in this venture.

Dilip K. Das, PhD

Founding President

International Police Executive Symposium, IPES, www.ipes.info

Founding Editor in Chief, Police Practice and Research: An International Journal, PPR, www.tandf.co.uk/journals



Foreword

Every well-run organization needs the ability to closely direct its personnel and to assess the quantity and quality of work being performed. This is particularly true in the field of policing, where officers are not only required to master basic skills, but to continually improve upon them and to adapt to a rapidly changing work environment. Personnel performance appraisals therefore serve a critical function.

Most modern police organizations recognize this and are now critically examining their personnel appraisal practices. Increasingly, they are making necessary modifications in light of the dynamic nature of modern policing. This book provides a very thorough overview of the history and best practices associated with this evaluation process while highlighting the essential elements of an effective performance appraisal system.

Personnel performance appraisal is essential to ensure that an organization has the capacity to carry out its mission successfully. Unfortunately, it is often not easy to develop and implement the right system for a particular agency, particularly in police organizations where outputs are often intangible.

Police Performance Appraisals: A Comparative Perspective is a useful book for police management that combines theory and practice from two different countries, Turkey and the USA. The Turkish National Police (TNP) has undergone a vast positive change during the past

twenty years. Public confidence in the Turkish Police has been increasing steadily since 1990. 78% of the public had confidence in Turkish Police in 2010; whereas, it was 62.5% in 1990. This is clearly the result of investments in human resources, as well as equipment, vehicles and physical facilities. The development of personnel has not only resulted in higher levels of personal work performance, but has enhanced the overall capacity, reputation and effectiveness of the TNP.

In recent years, the transformation of the TNP has been accelerated by scholars like Dr. Gul. They have studied and combined traditional policing practices with the modern policing techniques of other developed countries. With the sponsorship of the TNP, Dr. Gul, like many of his colleagues, has gained valuable experience and has developed a deep understanding of core police practices. Dr. Gul and Dr. O'Connell bring that understanding to bear on an often overlooked area of policing, the fair and accurate appraisal of personnel performance within police organizations.

Therefore this book has an international dimension, having Turkish and American perspectives grounded in a rich literature and many years of practical experience since Dr. Gul and Dr. O'Connell both served as police officers for many years prior to their academic careers. This is what makes this book a unique tool for police departments, criminal justice academic programs, police professionals, scholars and students.

This book will help police managers who aim to transform their organizations. It will help organizations move from a traditional management mindset towards more modern practices applied in successful organizations. It will also help managers who wish to keep their organizations at the cutting edge of a rapidly developing field.

The act of policing a community or a nation is a critically important function. May we continue to learn from one another.

To a peaceful World!

Mehmet Kiliclar

*Governor and General Director of Turkish National Police
Ankara, Turkey*

Foreword

“The Turkish National Police is a learning organization.” It was the savvy observation of an Ohio Police Chief during the first of a number of our law enforcement trips to Turkey between 2004 and 2008. Through the content and insights contained within *Police Performance Appraisals: A Comparative Perspective*, Dr. Gul and Dr. O’Connell continue to substantiate the accuracy of that observation.

As anyone involved in business management assuredly knows, the foundation for operating successfully depends upon the people you engage in your operation. A great proportion of management literature focuses on what Jim Collins metaphorically referred to as “putting the right people on the bus.” But, once we have our people on our bus, how do we know they are doing their job we hired them to do? How do we know roles are being performed substantially? How do we know agreed upon goals and objectives are being effectively achieved? How do we know unacceptable actions are not being unwittingly engrained? How do we know employees understand their roles and organizational expectations? How do we know employees have the opportunity to input their perspectives? As Dr. Gul and Dr. O’Connell deliberate, adopting policies for judging and evaluating our people is paramount to achieving organizational excellence.

A unique aspect of Dr. Gul’s and Dr. O’Connell’s work is the international comparative nature of studying police performance appraisal

systems from two major police departments from two different countries. Comparing and contrasting are powerful methodologies to surfacing “best practices.” As the authors note, bi-country comparative analysis allows one to differentiate universal police practices from culturally specific police practices. Both are useful educational perspectives. Both have “value-adding” power to our mental expansion pursuits.

Police Performance Appraisals: A Comparative Perspective is organized in content and approach such that this unique book should become a standard text in Police Academies, and University Criminal Justice Academic Programs. Police Leadership and Management curricula pragmatically bias toward books which find marriage between balancing theory and practice. Through applied, empirical research, useful case studies surface, because information is grounded in real-life laboratory settings, that is, functioning Law Enforcement Agencies.

Explored within this text are the on-going philosophical tensions between Police Leaders who emphasize traditional policing tactics versus those who lean toward implementation of community policing practices. Conceptual verbiage used in the book is “traditional versus modern” systems of appraising performance. Proactive and reactive policing applications are not mutually exclusive, but Dr. Gul and Dr. O’Connell serve to challenge, “Are we accurately reflecting our departmental philosophy and mission by assuring personnel evaluation systems and processes mirror and measure that agency-specific philosophy and mission?”

In Ohio during the late 1980s, we developed and implemented our Police Executive Leadership College (PELC). In explaining to business leaders the value and need for PELC, I often would note, “These Police Chiefs operate multi-million dollar business organizations.” The intention of the intensive PELC education program was/ is to introduce a number of organizational management practices into the repertoire of Police Command Staffs. Included is a comprehensive and well-grounded police performance appraisal system, paramount to achieving operational efficiencies. Just like well operated corporate businesses, an effective “multi-million dollar” police organization requires adoption and confidence in policies, processes, and systems to evaluate the agencies’ most valued asset, the police personnel.

I had the good fortune of meeting Dr. Serdar Kenan Gul while he was a Doctoral Student at Kent State University. The Turkish National Police is an organization of some 225,000 personnel. To their great credit, the TNP sent 200 of their “best and brightest” to the United States to enroll in graduate programs. Additional TNP officers enrolled in other countries’ Universities. Ohio was most fortunate because a number of these “best and brightest” Officers enrolled at Kent State University, Ohio. They became Colleagues and they cemented as life-long Friends. This international educational effort, a systematic way to learn and absorb the best police practices of many countries, was principally the vision of the General Directorate of the Turkish National Police.

These TNP Officers/KSU Graduate Students developed a strong and personal relationship with the Police Chief at Kent State University, Chief John Peach. A man of vision, leadership, and consummate diplomacy, Chief Peach led our Ohio law enforcement efforts toward developing great professional and friendship relationships between the two countries’ Officers and Families. As Professor Omar Alomari of the Ohio Department of Public Safety noted, “We are engaged in ‘soft power’ efforts to strengthen our countries’ bonds, and thus, safety.”

Congratulations to Dr. Gul and Dr. O’Connell for advancing policing management practices, and for centering focus on continued professionalizing of our People. Perpetuating the value of “Learning Organizations,” particularly across the divides of continents and cultures, is an undertaking worth committing.

Tesekkur Ederim. Thank you.

Todd Wurschmidt, PhD, CAE, CFRE

1985–2008 Executive Director

Ohio Association of Chiefs of Police

2009–Present Executive Director

Law Enforcement Foundation of Illinois

About the Authors

Serdar Kenan Gul, PhD, received a BS degree in criminal justice from the Turkish National Police Academy (TNPA) in 1996; an MS degree in public management from Gazi University, Ankara, Turkey, in 2001; an MA degree in criminal justice from the Department of Justice Studies at Kent State University, Kent, Ohio, in 2003; and a PhD degree from the Political Science Department at Kent State University in 2007. Dr. Gul has published many articles and book chapters and coauthored the following books: *Kamu Kurumlarında Performans Yonetimi* [*Performance Management in Public Sector*], Ankara, Seckin, 2008; *Güvenlik Yonetimi* [*Security Management*], Ankara, Seckin, 2010; and *Suçun Ölçümü* [*Measurement of Crime*], Ankara, Adalet, 2010. His research interests include police management, performance appraisal, comparative criminal justice, and quantitative research methods. After working at different units of the Turkish National Police Organization as a ranking officer for almost 15 years, Dr. Gul is currently an associate professor and director of the Security Management Research Center at TNPA. He teaches Human Resources Management, Public Administration, and Police Management courses at the College of Security Sciences and Comparative Policing graduate course at the Institute of Security Sciences at TNPA. He is also editor

for the *Turkish Journal of Police Studies*, a peer-reviewed quarterly published scientific journal.

Paul O'Connell, PhD, JD, has been a full-time member of the criminal justice faculty at Iona College in New Rochelle, New York, since 1994. He received his PhD from CUNY where his doctoral thesis was *The History and Development of the Compstat Model of Police Management* (2002). Dr. O'Connell began his professional career in criminal justice in 1981, serving the New York City Police Department (NYPD) first as a police officer, and then as a police academy instructor, in-service trainer, and curriculum developer. After receiving an MPA and JD, he worked as a trial attorney with the firm of Cummings & Lockwood in Stamford, Connecticut. He is the former associate dean of the School of Arts and Science and former chair of Iona College's Criminal Justice Department. He teaches at both the undergraduate and graduate levels, conducts funded research, and lectures widely on the topics of police performance measurement, integrity management, and law enforcement training systems. He is the author of *Performance-Based Management for Police Organizations*, Waveland, 2007. Dr. O'Connell is a senior public safety consultant with the International City/County Management Association (ICMA) and has provided consulting services to a variety of government agencies, including assessment of existing policing policies and practices, and development of proactive management strategies. Over the years, he has collaborated with the Center for Technology in Government (Albany, New York), Giuliani Partners (New York, New York), and the Center for Society, Law and Justice (University of New Orleans). He is a participant in the Fulbright Specialists Program, Council for the International Exchange of Scholars (CIES).

A Call for Authors

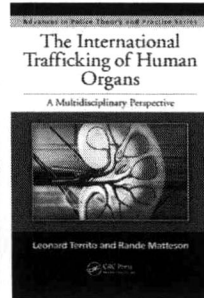
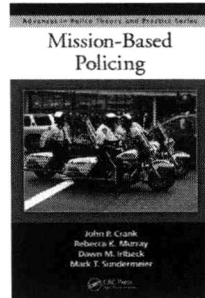
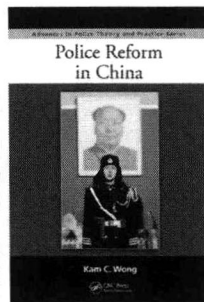
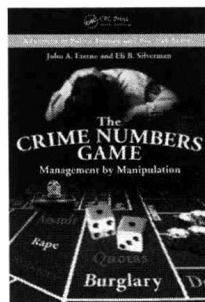
Advances in Police Theory and Practice

AIMS AND SCOPE:

This cutting-edge series is designed to promote publication of books on contemporary advances in police theory and practice. We are especially interested in volumes that focus on the nexus between research and practice, with the end goal of disseminating innovations in policing. We will consider collections of expert contributions as well as individually authored works. Books in this series will be marketed internationally to both academic and professional audiences. This series also seeks to —

- Bridge the gap in knowledge about advances in theory and practice regarding who the police are, what they do, and how they maintain order, administer laws, and serve their communities
- Improve cooperation between those who are active in the field and those who are involved in academic research so as to facilitate the application of innovative advances in theory and practice

The series especially encourages the contribution of works coauthored by police practitioners and researchers. We are also interested in works comparing policing approaches and methods globally, examining such areas as the policing of transitional states, democratic policing, policing and minorities, preventive policing, investigation, patrolling and response, terrorism, organized crime and drug enforcement. In fact, every aspect of policing, public safety and security, as well as public order is relevant for the series. Manuscripts should be between 300 and 600 printed pages. If you have a proposal for an original work or for a contributed volume, please be in touch.



Series Editor

Dilip Das, Ph.D., Ph: 802-598-3680

E-mail: dilipkd@aol.com

Dr. Das is a professor of criminal justice and Human Rights Consultant to the United Nations. He is a former chief of police and founding president of the International Police Executive Symposium, IPES, www.ipes.info. He is also founding editor-in-chief of *Police Practice and Research: An International Journal* (PPR) (Routledge/Taylor & Francis), www.tandf.co.uk/journals. In addition to editing the *World Police Encyclopedia* (Taylor & Francis, 2006), Dr. Das has published numerous books and articles during his many years of involvement in police practice, research, writing, and education.

Proposals for the series may be submitted to the series editor or directly to —

Carolyn Spence

Senior Editor • CRC Press / Taylor & Francis Group

561-998-2515 • 561-997-7249 (fax)

carolyn.spence@taylorandfrancis.com • www.crcpress.com

6000 Broken Sound Parkway NW, Suite 300, Boca Raton, FL 33487

Contents

SERIES PREFACE	ix
FOREWORD BY MEHMET KILICLAR	xiii
FOREWORD BY TODD WURSCHMIDT	xv
ABOUT THE AUTHORS	xix
CHAPTER 1 WHY APPRAISE PERFORMANCE?	1
A New Era of Policing	3
The Need for Individual Performance Appraisal	6
Theoretical Background	12
Purpose of the Book	18
Organization of the Book	19
References	20
CHAPTER 2 APPRAISING THE PERFORMANCE OF POLICE OFFICERS	25
Introduction	25
Definition of the Performance Appraisal	25
History of the Performance Appraisal	26
Purpose of the Performance Appraisal	27
Performance Appraisal Methods	29
Personal Characteristics Based	29
Behaviorally Based	30
Goal Based	34
Various Sources of Appraisal	35
Supervisory Appraisal	35
Peer Appraisal	37
Self-Appraisal	38