



State of West Virginia  
Department of Administration  
Purchasing Division  
2019 Washington Street East  
Post Office Box 50130  
Charleston, WV 25305-0130

## Request for Quotation

RFQ NUMBER

DPS1212

PAGE

1

ADDRESS CORRESPONDENCE TO ATTENTION OF:

TARA LYLE  
304-558-2544

WEST VIRGINIA STATE POLICE

4124 KANAWHA TURNPIKE  
SOUTH CHARLESTON, WV  
25309 304-746-2141

\*922152201 <sup>336</sup>919-852-6902  
LAW ENFORCEMENT SERVICE INC  
3409 W WENDOVER AVE STE A  
GREENSBORO NC 27407-1579

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DATE PRINTED

TERMS OF SALE

SHIP VIA

F.O.B.

FREIGHT TERMS

11/30/2011

BID OPENING DATE:

01/05/2012

BID OPENING TIME

01:30PM

LINE

QUANTITY

UOP

CAT.  
NO.

ITEM NUMBER

UNIT PRICE

AMOUNT

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952-39

1  
SUITABILITY ASSESSMENT SYSTEM

OPEN-END CONTRACT

OPEN-END CONTRACT TO PROVIDE AN INTEGRATED SUITABILITY  
ASSESSMENT SYSTEM TO SUPPORT SCREENING AND SELECTION  
OF APPLICANTS TO THE WV STATE POLICE TROOPER POSITION,  
PER THE ATTACHED SPECIFICATIONS.

### INQUIRIES:

WRITTEN QUESTIONS WILL BE ACCEPTED UNTIL CLOSE OF  
BUSINESS ON 12/19/2011. QUESTIONS MAY BE SENT VIA  
USPS, FAX, COURIER OR E-MAIL. IN ORDER TO ASSURE NO  
VENDOR RECEIVES AN UNFAIR ADVANTAGE, NO SUBSTANTIVE  
QUESTIONS WILL BE ANSWERED ORALLY. IF POSSIBLE,  
E-MAIL QUESTIONS ARE PREFERRED. ADDRESS INQUIRIES TO:

TARA LYLE  
DEPARTMENT OF ADMINISTRATION  
PURCHASING DIVISION  
2019 WASHINGTON STREET, EAST  
CHARLESTON, WV 25305

FAX: 304-558-4115  
EMAIL: TARA.L.LYLE@WV.GOV

RECEIVED

2011 DEC 29 AM 9:48

WV PURCHASING  
DIVISION

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE

*Ellen Cutler*

(Ellen Cutler)

TELEPHONE

(336) 852-6902

DATE

12-20-11

TITLE

President

FEIN

56-1616645

ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'



## GENERAL TERMS & CONDITIONS REQUEST FOR QUOTATION (RFQ) AND REQUEST FOR PROPOSAL (RFP)

1. Awards will be made in the best interest of the State of West Virginia.
  2. The State may accept or reject in part, or in whole, any bid.
  3. Prior to any award, the apparent successful vendor must be properly registered with the Purchasing Division and have paid the required \$125 fee.
  4. All services performed or goods delivered under State Purchase Order/Contracts are to be continued for the term of the Purchase Order/Contracts, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise available for these services or goods this Purchase Order/Contract becomes void and of no effect after June 30.
  5. Payment may only be made after the delivery and acceptance of goods or services.
  6. Interest may be paid for late payment in accordance with the *West Virginia Code*.
  7. Vendor preference will be granted upon written request in accordance with the *West Virginia Code*.
  8. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.
  9. The Director of Purchasing may cancel any Purchase Order/Contract upon 30 days written notice to the seller.
  10. The laws of the State of West Virginia and the *Legislative Rules* of the Purchasing Division shall govern the purchasing process.
  11. Any reference to automatic renewal is hereby deleted. The Contract may be renewed only upon mutual written agreement of the parties.
  12. **BANKRUPTCY:** In the event the vendor/contractor files for bankruptcy protection, the State may deem this contract null and void, and terminate such contract without further order.
  13. **HIPAA BUSINESS ASSOCIATE ADDENDUM:** The West Virginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, is available online at [www.state.wv.us/admin/purchase/vrc/hipaa.html](http://www.state.wv.us/admin/purchase/vrc/hipaa.html) and is hereby made part of the agreement provided that the Agency meets the definition of a Cover Entity (45 CFR §160.103) and will be disclosing Protected Health Information (45 CFR §160.103) to the vendor.
  14. **CONFIDENTIALITY:** The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in <http://www.state.wv.us/admin/purchase/privacy/noticeConfidentiality.pdf>.
  15. **LICENSING:** Vendors must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, and the West Virginia Insurance Commission. The vendor must provide all necessary releases to obtain information to enable the director or spending unit to verify that the vendor is licensed and in good standing with the above entities.
  16. **ANTITRUST:** In submitting a bid to any agency for the State of West Virginia, the bidder offers and agrees that if the bid is accepted the bidder will convey, sell, assign or transfer to the State of West Virginia all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the State of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to the bidder.
- I certify that this bid is made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership, or person or entity submitting a bid for the same material, supplies, equipment or services and is in all respects fair and without collusion or Fraud. I further certify that I am authorized to sign the certification on behalf of the bidder or this bid.

### INSTRUCTIONS TO BIDDERS

1. Use the quotation forms provided by the Purchasing Division. Complete all sections of the quotation form.
2. Items offered must be in compliance with the specifications. Any deviation from the specifications must be clearly indicated by the bidder. Alternates offered by the bidder as **EQUAL** to the specifications must be clearly defined. A bidder offering an alternate should attach complete specifications and literature to the bid. The Purchasing Division may waive minor deviations to specifications.
3. Unit prices shall prevail in case of discrepancy. All quotations are considered F.O.B. destination unless alternate shipping terms are clearly identified in the quotation.
4. All quotations must be delivered by the bidder to the office listed below prior to the date and time of the bid opening. Failure of the bidder to deliver the quotations on time will result in bid disqualifications: Department of Administration, Purchasing Division, 2019 Washington Street East, P.O. Box 50130, Charleston, WV 25305-0130
5. Communication during the solicitation, bid, evaluation or award periods, except through the Purchasing Division, is strictly prohibited (W.Va. C.S.R. §148-1-6.6).





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Department of Administration  
Purchasing Division  
2019 Washington Street East  
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VENDOR

\*922152201 336 919-852-6902  
LAW ENFORCEMENT SERVICE INC  
3409 W WENDOVER AVE STE A  
GREENSBORO NC 27407-1579

SHIP TO

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS		
11/30/2011						
BID OPENING DATE: 01/05/2012		BID OPENING TIME 01:30PM				
LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
<p>EXHIBIT 3</p> <p>LIFE OF CONTRACT: THIS CONTRACT BECOMES EFFECTIVE ON AWARD AND EXTENDS FOR A PERIOD OF ONE (1) YEAR OR UNTIL SUCH "REASONABLE TIME" THEREAFTER AS IS NECESSARY TO OBTAIN A NEW CONTRACT OR RENEW THE ORIGINAL CONTRACT. THE "REASONABLE TIME" PERIOD SHALL NOT EXCEED TWELVE (12) MONTHS. DURING THIS "REASONABLE TIME" THE VENDOR MAY TERMINATE THIS CONTRACT FOR ANY REASON UPON GIVING THE DIRECTOR OF PURCHASING 30 DAYS WRITTEN NOTICE.</p> <p>UNLESS SPECIFIC PROVISIONS ARE STIPULATED ELSEWHERE IN THIS CONTRACT DOCUMENT, THE TERMS, CONDITIONS AND PRICING SET HEREIN ARE FIRM FOR THE LIFE OF THE CONTRACT.</p> <p>RENEWAL: THIS CONTRACT MAY BE RENEWED UPON THE MUTUAL WRITTEN CONSENT OF THE SPENDING UNIT AND VENDOR, SUBMITTED TO THE DIRECTOR OF PURCHASING THIRTY (30) DAYS PRIOR TO THE EXPIRATION DATE. SUCH RENEWAL SHALL BE IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF THE ORIGINAL CONTRACT AND SHALL BE LIMITED TO TWO (2) ONE (1) YEAR PERIODS.</p> <p>CANCELLATION: THE DIRECTOR OF PURCHASING RESERVES THE RIGHT TO CANCEL THIS CONTRACT IMMEDIATELY UPON WRITTEN NOTICE TO THE VENDOR IF THE COMMODITIES AND/OR SERVICES SUPPLIED ARE OF AN INFERIOR QUALITY OR DO NOT CONFORM TO THE SPECIFICATIONS OF THE BID AND CONTRACT HEREIN.</p> <p>OPEN MARKET CLAUSE: THE DIRECTOR OF PURCHASING MAY AUTHORIZE A SPENDING UNIT TO PURCHASE ON THE OPEN MARKET, WITHOUT THE FILING OF A REQUISITION OR COST ESTIMATE, ITEMS SPECIFIED ON THIS CONTRACT FOR IMMEDIATE DELIVERY IN EMERGENCIES DUE TO UNFORESEEN</p>						
SEE REVERSE SIDE FOR TERMS AND CONDITIONS						
SIGNATURE <i>Ellen Catter</i> (Ellen Catter)		TELEPHONE (336) 852-6902		DATE 12-20-11		
TITLE President		FEIN 56-1616645		ADDRESS CHANGES TO BE NOTED ABOVE		

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'





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<p>CAUSES (INCLUDING BUT NOT LIMITED TO DELAYS IN TRANSPORTATION OR AN UNANTICIPATED INCREASE IN THE VOLUME OF WORK.)</p> <p>QUANTITIES: QUANTITIES LISTED IN THE REQUISITION ARE APPROXIMATIONS ONLY, BASED ON ESTIMATES SUPPLIED BY THE STATE SPENDING UNIT. IT IS UNDERSTOOD AND AGREED THAT THE CONTRACT SHALL COVER THE QUANTITIES ACTUALLY ORDERED FOR DELIVERY DURING THE TERM OF THE CONTRACT, WHETHER MORE OR LESS THAN THE QUANTITIES SHOWN.</p> <p>ORDERING PROCEDURE: SPENDING UNIT(S) SHALL ISSUE A WRITTEN STATE CONTRACT ORDER (FORM NUMBER WV-39) TO THE VENDOR FOR COMMODITIES COVERED BY THIS CONTRACT. THE ORIGINAL COPY OF THE WV-39 SHALL BE MAILED TO THE VENDOR AS AUTHORIZATION FOR SHIPMENT, A SECOND COPY MAILED TO THE PURCHASING DIVISION, AND A THIRD COPY RETAINED BY THE SPENDING UNIT.</p> <p>BANKRUPTCY: IN THE EVENT THE VENDOR/CONTRACTOR FILES FOR BANKRUPTCY PROTECTION, THE STATE MAY DEEM THE CONTRACT NULL AND VOID, AND TERMINATE SUCH CONTRACT WITHOUT FURTHER ORDER.</p> <p>THE TERMS AND CONDITIONS CONTAINED IN THIS CONTRACT SHALL SUPERSEDE ANY AND ALL SUBSEQUENT TERMS AND CONDITIONS WHICH MAY APPEAR ON ANY ATTACHED PRINTED DOCUMENTS SUCH AS PRICE LISTS, ORDER FORMS, SALES AGREEMENTS OR MAINTENANCE AGREEMENTS, INCLUDING ANY ELECTRONIC MEDIUM SUCH AS CD-ROM.</p> <p>REV. 05/26/2009</p> <p>PURCHASING CARD ACCEPTANCE: THE STATE OF WEST VIRGINIA CURRENTLY UTILIZES A VISA PURCHASING CARD PROGRAM WHICH IS ISSUED THROUGH A BANK. THE SUCCESSFUL VENDOR</p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE <i>Ellen Cutler</i> (Ellen Cutler)	TELEPHONE (836) 852-6902	DATE 12-20-11
TITLE President	FEIN 56-1616645	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'





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MUST ACCEPT THE STATE OF WEST VIRGINIA VISA PURCHASING  
CARD FOR PAYMENT OF ALL ORDERS PLACED BY ANY STATE  
AGENCY AS A CONDITION OF AWARD.

### VENDOR PREFERENCE CERTIFICATE

THIS TEAM EXHIBIT HAS BEEN REPLACED BY THE ONLINE  
VERSION WHICH IS AVAILABLE HERE:  
[HTTP://WWW.STATE.WV.US/ADMIN/PURCHASE/VRC/VENPREF.PDF](http://www.state.wv.us/admin/purchase/vrc/venpref.pdf)

### NOTICE

A SIGNED BID MUST BE SUBMITTED TO:

DEPARTMENT OF ADMINISTRATION  
PURCHASING DIVISION  
BUILDING 15  
2019 WASHINGTON STREET, EAST  
CHARLESTON, WV 25305-0130

THE BID SHOULD CONTAIN THIS INFORMATION ON THE FACE OF  
THE ENVELOPE OR THE BID MAY NOT BE CONSIDERED:

SEALED BID

BUYER:-----TL/32-----

RFQ. NO.:-----DPS1212-----

BID OPENING DATE:-----01/05/2012-----

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE

TITLE

FEIN

TELEPHONE

DATE

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BID OPENING DATE:

01/05/2012

BID OPENING TIME 01:30PM

LINE

QUANTITY

UOP

CAT.  
NO.

ITEM NUMBER

UNIT PRICE

AMOUNT

BID OPENING TIME: -----1:30 PM-----

PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY  
TO CONTACT YOU REGARDING YOUR BID:

(336) 299-0110

CONTACT PERSON (PLEASE PRINT CLEARLY):

Ellen Cuttler

\*\*\*\*\* THIS IS THE END OF RFQ DPS1212 \*\*\*\*\* TOTAL:

\$ 50,775.00

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE

Ellen Cuttler (Ellen Cuttler)

TELEPHONE

(336) 852-6902

DATE

12-20-11

TITLE

President

FEIN

56-1616645

ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'



## **DPS 1212**

The West Virginia State Police are soliciting competitive bids for a vendor to provide an integrated suitability assessment system to support screening and selection of applicants to the West Virginia State Police Trooper position. This system must have direct utility to our existing selection processes including background and personal history investigation, as well as assessment of the relevant cognitive, educational and inter-personal abilities necessary to perform critical job components and duties of this position. The system must assess suitability to complete training and subsequently, perform the duties of a West Virginia State Trooper as well as gather, organize and evaluate applicant background and personal history information for us in our background investigation and review process.

### **SPECIFICATIONS**

1. The vendor will use a pre-conditional offer of employment personal history/background questionnaire. This questionnaire provides for the collection of detailed personal history/background information on law enforcement applicants. The questionnaire must be able to be completed on-line, over the Internet and administered through a secure site under the control of the vendor. Vendor must have a fully developed production on-line questionnaire with a history of significant utilization in support of law enforcement employment selection processes. Newly developed and/or "beta" versions without a history of sustained viability may not be considered. Evidence of vendor site control, vendor experience and the use of the on-line questionnaire must be provided. The following scores and reports are necessary to support our selection process:

- A. For each applicant, a set of detailed reports derived from personal history must be provided to include:

1. Background Investigators report of a comprehensive compilation of the applicant's personal life history. The data must be organized into sections as follows:

SECTION 1 – Identifying information: contains name and SSN.

SECTION 2 – Detailed information regarding residences, parents and Siblings and drivers license information

SECTION 3 – Educational History

SECTION 4 – Detailed employment history for the past 10 years. This section must include:



Basic descriptive information (name, address, telephone number of employer, dates of employment, description of duties, supervisor name, reason for leaving place(s) of employment.

Performance and/or disciplinary incidents.

SECTION 5 – Military History – Dates of service, rank progression, disciplinary history, discharge status

SECTION 6 – Marital Status, Family Information, Information regarding marriage, children

SECTION 7 – Legal. This section must contain a history of infractions, arrests, integrity violations and civil actions as well as dispositions.

SECTION 8 – Substance Abuse – History of use of illegal substances and description of current use of legal substances.

SECTION 9 – Applications to other agencies (include dates of application and disposition.)

SECTION 10 – Other legal incidents; includes incidents of domestic violence.

2. **LIFE EVENTS REPORT:** This must include a summarization of the information described above to be used by background investigators and reviewers to identify pertinent issues prior to conducting their interview. The report must organize pertinent data into “life events” identified by background investigators as germane to evaluating applicant personal history. The life event report must include a “begin and end date” for each event(s) in question and as well as the frequency of these events (if applicable).

3. **CRITICAL ITEMS REPORT:** This report analyzes life event data and identifies critical items and negative indicators used to focus background investigation review as well as to generate specific risk scores used to assess applicant suitability. Critical items and Negative indicators are further defined below:

**Critical Items:** Are items, which have been directly linked, through published research, to specific job outcomes in law enforcement.

**Negative Indicators:** Are items, which although linked to negative outcome by subject matter experts have not been empirically validated and, as such are identified as items for investigator follow up.



4. **BIODATA SUMMARY:** This report must contain a listing of the various bio data indices as well as an overall risk rating for each applicant's background.
  5. **DISCREPANCY REPORT:** This report must contain discrepancies that are identified when the applicant's responses are compared to previous applications to the West Virginia State Police and/or other law enforcement agencies in the vendor's proprietary data base.
- B. An initial eligibility list, rank ordering applicants in terms of overall suitability for initial referral subsequent selection stages in terms of both suitability and selection efficiency, must be available within 1 week of test administration.
  - C. Screening reports documenting and detailing life history, cognitive ability/educational achievement and interpersonal ability scores into a single suitability prediction. The report must also include specific findings in each of these areas for use by interviewers and background reviewers.
  - D. Comprehensive suitability reports. These reports are generated on final candidates only (those who have successfully completed background review and oral interview/interpersonal skills evaluation.). These reports combine results of the above measures (background, cognitive/educational test, interpersonal ability/style test) with an interview. The reports must provide specific performance related information for use by training officers and supervisors with reference to areas for remediation, supervisory focus, etc. Suitability scores must be available within 24 hours after candidate interviews. Comprehensive suitability reports must be available within 2 weeks of interview completion.

**In addition, information and predictions provided by this system must conform to the following:**

1. The instrument(s) selected must sample information from multiple domains, such as cognitive ability, educational history, interactive ability, employment/life history, and vocational attitudes. Similarly the initial eligibility rankings must also be based on scores from multiple domains. Documentation describing the predictive validity of each domain to specific job outcomes, as well as the independent contribution of each domain in predicting these outcomes, must be provided. Furthermore, the predictive validity of the instruments must be shown to have been verified through specific criterion research.

The characteristics of the population used to verify validity must be congruent with the West Virginia State Police applicants screened in the past 10 years in terms of size (applicant pool), demographics, and initial qualifications. Data presented in these studies must be drawn from comparison of applicant groups

rather than a concurrently compared to incumbents. Criterion must be objectively defined job outcomes (e.g. failure to complete training, disciplinary action) directly applicable to the duties, responsibilities and critical performance of a West Virginia State Trooper as defined by occupational analysis. Specific preference will be given to peer reviewed research which has appeared in recognized academic journals.

2. The proposed process/instruments must be shown to have minimal adverse impact on minority groups. Documentation to this effect must be provided.

Similar to 1 above, documentation of selection ratios with reference to specific groups must be congruent with the characteristics of the West Virginia State Police applicants screened in the past 10 years in terms of size (of applicant pool), demographics, and initial qualifications. The critical performance attributes of the target job must also be congruent with the duties of a West Virginia State Trooper as defined by occupational analysis. The results must include no less than 500 applicants and no more than 10 years of past history. The results cited must also relate only to the specific instruments/process proposed.

3. Necessary documentation, training and supervision to the West Virginia State Police Personnel Director for administration of assessment instruments must be provided. Similarly, a program for follow up consultation and decision making support must be provided. Finally, the proposal must include an ongoing program for validation of suitability predictions as well as evaluations of the effectiveness of the screening program as compared to previous academy training yields and initial job performance of graduates.
- E. Sample reports (life history reports, screening reports, comprehensive suitability report) and description of scoring scheme.
  - F. Cost of ancillary and/or support services (ongoing validation and effectiveness evaluation: training and decision making support)
  - G. Qualifications of Vendor and/or Vendor's Staff or other individuals who would perform the professional and artistic services.
    - i. Description of Company and Services
    - ii. Qualifications of principal service providers. Include education and professional license information for all proposed service providers. Indicate if these providers are full time employees or subcontractors.
    - iii. List of contracts and references including the number of similar assessments performed for and each referenced client and the dates that these services were provided.
    - iv. Description of published, peer reviewed, research based on the data and or processes to be utilized in this project.





## SCREENING REPORT SPECIFICATION

A report documenting and detailing life history, cognitive ability/educational achievement and interpersonal scores into a single suitability prediction. The report must also include specific findings in each of these areas for use by interviewers and background reviewers. These reports must be available within 3 working days of completion of assessment process and must be able to be transmitted in secure electronic format. This report must combine life history and bio-data information collected by the pre-conditional offer of employment, personal history/background questionnaire described above at 3.A with results of psychometric test (cognitive, educational and personality/interactive abilities) described above at 3.B into a single document. This report must integrate data from not less than three domains.

1. Cognitive Ability/Educational Potential
2. Background/Life History
3. Interactive/Interpersonal Abilities

This report must place applicants into a suitable category:

CATEGORY 3: Minimum standards are met. While a minor negative indication may exist, testing shows that the candidate should satisfactorily complete the application process and should have satisfactory job performance.

CATEGORY 2: Numerous minor negative factors are indicated in testing. While the candidate may be suitable, performance is likely to be marginal

CATEGORY 1: Major contra-indication is suggested by the testing. There is a significant likelihood that the candidate will not successfully complete the application process, training and/or will perform unsatisfactorily.

Within each category, this report should identify negative indicators within specific areas,

Background  
Intelligence  
Education  
Work History  
Personality  
Honesty & Integrity

This report must also contain specific "on the job" performance predictions. These predictions must be based on published research and compare each applicant's bio-data and psychometric test scores to the vendor's research database. Based on this information, this report must predict the probability of the following outcomes:





Selection Process Success-passing all stages of the typical law enforcement employment process (aptitude, oral board, background, suitability and being placed on an eligibility list)

Completion of Training and/or Probation-selected from eligibility list, employed successfully completing academy and field training, remaining employed 12 months (subsequent to training) without significant performance problems.

Disciplinary Action/Job Dysfunction-experienced disciplinary action (multiple reprimands, brief suspensions, terminations) for specific job related infractions such as lateness, attendance, conduct, integrity, use of force.

## **AWARD**

The contract will be awarded to the vendor with the most complete bid meeting all of the specifications with the lowest grand total.

**END OF SPECIFICATIONS**





# Bid Form DPS 1212

DPS 1212		BID OPENING:		
Item #	Description	*Estimated Annual Quantity	Unit Price	Extended Price
1.	Phase I – Preliminary Screener Report – per candidate	220	\$ 145. <sup>00</sup>	\$ 31,900. <sup>00</sup>
2.	Phase II – Comprehensive Evaluation Reports – per candidate	100	\$ 175. <sup>00</sup>	\$ 17,500. <sup>00</sup>
3.	Administrative fee for non-complete or fail to appear for interview – per candidate	10	\$ 100. <sup>00</sup>	\$ 1,000. <sup>00</sup>
4.	Annual renewal fee of on-line security access Year One	1	\$ 125. <sup>00</sup>	\$ 125. <sup>00</sup>
5.	Annual renewal fee of on-line security access Year two	1	\$ 125. <sup>00</sup>	\$ 125. <sup>00</sup>
6.	Annual renewal fee of on-line security access Year three	1	\$ 125. <sup>00</sup>	\$ 125. <sup>00</sup>
			<b>Total</b>	<b>\$ 50,775.<sup>00</sup></b>

**Bidder / Vendor Information:**

Name: Law Enforcement Services, Inc.

Address: 3409-A West Wendover Ave.  
Greensboro NC 27407

Phone #: (336) 852-6902

Email Address: ecuttler@lesi.com

**Contact Coordinator Information:**

Name: Ellen Cuttler, President

Address: 3409-A West Wendover Ave.  
Greensboro NC 27407

Phone #: (336) 852-6902

Email Address: ecuttler@lesi.com

\*Quantities are estimated annual usage for bidding purposes and bidder's information.



RFQ No. DPS1212STATE OF WEST VIRGINIA  
Purchasing Division**PURCHASING AFFIDAVIT**

**West Virginia Code §5A-3-10a states:** No contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and the debt owed is an amount greater than one thousand dollars in the aggregate.

**DEFINITIONS:**

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

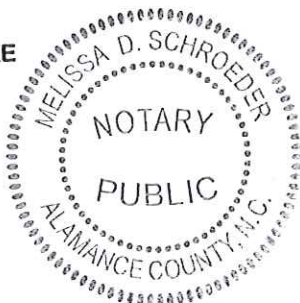
"Debtor" means any individual, corporation, partnership, association, limited liability company or any other form or business association owing a debt to the state or any of its political subdivisions. "Political subdivision" means any county commission; municipality; county board of education; any instrumentality established by a county or municipality; any separate corporation or instrumentality established by one or more counties or municipalities, as permitted by law; or any public body charged by law with the performance of a government function or whose jurisdiction is coextensive with one or more counties or municipalities. "Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceeds five percent of the total contract amount.

**EXCEPTION:** The prohibition of this section does not apply where a vendor has contested any tax administered pursuant to chapter eleven of this code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

Under penalty of law for false swearing (*West Virginia Code §61-5-3*), it is hereby certified that the vendor affirms and acknowledges the information in this affidavit and is in compliance with the requirements as stated.

**WITNESS THE FOLLOWING SIGNATURE**Vendor's Name: Law Enforcement Services, Inc. by Ellen CutlerAuthorized Signature: Ellen Cutler Date: 12-20-11State of NCCounty of Alamance, to-wit:Taken, subscribed, and sworn to before me this 20<sup>th</sup> day of December, 2011.My Commission expires August 18<sup>th</sup>, 2014.

AFFIX SEAL HERE

NOTARY PUBLIC Melissa D. Schroeder



n/a

## State of West Virginia

# VENDOR PREFERENCE CERTIFICATE

Certification and application\* is hereby made for Preference in accordance with *West Virginia Code*, §5A-3-37. (Does not apply to construction contracts). *West Virginia Code*, §5A-3-37, provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the *West Virginia Code*. This certificate for application is to be used to request such preference. The Purchasing Division will make the determination of the Resident Vendor Preference, if applicable.

1. **Application is made for 2.5% resident vendor preference for the reason checked:**  
 \_\_\_\_\_ Bidder is an individual resident vendor and has resided continuously in West Virginia for four (4) years immediately preceding the date of this certification; or,  
 \_\_\_\_\_ Bidder is a partnership, association or corporation resident vendor and has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or 80% of the ownership interest of Bidder is held by another individual, partnership, association or corporation resident vendor who has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or,  
 \_\_\_\_\_ Bidder is a nonresident vendor which has an affiliate or subsidiary which employs a minimum of one hundred state residents and which has maintained its headquarters or principal place of business within West Virginia continuously for the four (4) years immediately preceding the date of this certification; or,
2. **Application is made for 2.5% resident vendor preference for the reason checked:**  
 \_\_\_\_\_ Bidder is a resident vendor who certifies that, during the life of the contract, on average at least 75% of the employees working on the project being bid are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; or,
3. **Application is made for 2.5% resident vendor preference for the reason checked:**  
 \_\_\_\_\_ Bidder is a nonresident vendor employing a minimum of one hundred state residents or is a nonresident vendor with an affiliate or subsidiary which maintains its headquarters or principal place of business within West Virginia employing a minimum of one hundred state residents who certifies that, during the life of the contract, on average at least 75% of the employees or Bidder's affiliate's or subsidiary's employees are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; or,
4. **Application is made for 5% resident vendor preference for the reason checked:**  
 \_\_\_\_\_ Bidder meets either the requirement of both subdivisions (1) and (2) or subdivision (1) and (3) as stated above; or,
5. **Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:**  
 \_\_\_\_\_ Bidder is an individual resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard and has resided in West Virginia continuously for the four years immediately preceding the date on which the bid is submitted; or,
6. **Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:**  
 \_\_\_\_\_ Bidder is a resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard, if, for purposes of producing or distributing the commodities or completing the project which is the subject of the vendor's bid and continuously over the entire term of the project, on average at least seventy-five percent of the vendor's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years.

Bidder understands if the Secretary of Revenue determines that a Bidder receiving preference has failed to continue to meet the requirements for such preference, the Secretary may order the Director of Purchasing to: (a) reject the bid; or (b) assess a penalty against such Bidder in an amount not to exceed 5% of the bid amount and that such penalty will be paid to the contracting agency or deducted from any unpaid balance on the contract or purchase order.

By submission of this certificate, Bidder agrees to disclose any reasonably requested information to the Purchasing Division and authorizes the Department of Revenue to disclose to the Director of Purchasing appropriate information verifying that Bidder has paid the required business taxes, provided that such information does not contain the amounts of taxes paid nor any other information deemed by the Tax Commissioner to be confidential.

**Under penalty of law for false swearing (West Virginia Code, §61-5-3), Bidder hereby certifies that this certificate is true and accurate in all respects; and that if a contract is issued to Bidder and if anything contained within this certificate changes during the term of the contract, Bidder will notify the Purchasing Division in writing immediately.**

Bidder: \_\_\_\_\_ Signed: \_\_\_\_\_

Date: \_\_\_\_\_ Title: \_\_\_\_\_

\*Check any combination of preference consideration(s) indicated above, which you are entitled to receive.



**PROPOSAL FOR**  
**WEST VIRGINIA**  
**STATE POLICE**  
**REQUEST FOR QUOTATION**  
**DPS1212**

**SUBMITTED BY:**



**LAW ENFORCEMENT SERVICES, INC.**  
**3409-A WEST WENDOVER AVENUE**  
**GREENSBORO, NC 27407**  
**(336) 852-6902**

**Exhibits in this proposal contain proprietary confidential information which should not be photocopied, distributed, nor included in any public release or for any purpose other than the evaluation of this quote (DPS 0904).**

**In this regard, please note that public disclosure of this information would violate the ethical principals and professional conduct guidelines published by the American Psychological Association as well as the Code of Fair Testing Practices and the Standards for Educational and Psychological Testing published by the Joint Committee on Testing Practices of the American Educational Research Association.**



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December 20, 2011

State of West Virginia  
Department of Administration  
Purchasing Division  
Building 15  
2019 Washington Street, East  
Charleston, WV 25305-0130

**RE: Reply to RFQ# DPS1212 Suitability Assessment System, West Virginia State Police**

The attached proposal contains our detailed response to RFQ# DPS0904 (Suitability Assessment System, West Virginia State Police). As noted in our response, we believe the LESI® Multi-domain Assessment Process (including onlinePHQ®), meets or exceeds the requirements of the West Virginia State Police as described in your specifications.

The following pricing information, which can also be found on page 12 of the signed RFQ (attached) will be valid until 03/31/12.

- |   |                              |
|---|------------------------------|
| 1. Multi-domain screening reports with onlinePHQ®<br>("Preliminary screener report" as described on RFQ, includes initial eligibility list as described in specifications)        | \$ 145.00 per applicant      |
| 2. Comprehensive Suitability Evaluation Report  | \$ 175.00 per applicant      |
| 3. Administrative processing fee<br>(Failure to initiate/complete onlinePHQ® after completing testing and/or failure to appear for scheduled interview)                           | \$ 100.00 per applicant      |
| 4. Annual Renewal for online Security Access Fee:   | \$ 125.00 per annual renewal |
| 5. Training and consultation to Agency Personnel<br>(Includes training in applicant administration, orientation of background investigators and unlimited telephone consultation) | \$ No charge                 |

These prices are FOB South Charleston, WV and inclusive of all materials and regular administrative expenses as well as travel, lodging, and food expense.

Thank you for the opportunity to respond to your proposal. If you are in need of any additional information, please do not hesitate to contact me.

Sincerely,

Ellen B. Cuttler, President

EC:mw

Attachments

LESI®  
Law Enforcement Services, Inc.  
3409 West Wendover Avenue Suite A  
Greensboro, North Carolina 27407  
336.852.6902  
www.lesi.com





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## **Introduction:**

As we understand it, West Virginia State Police has requested offers/proposals from a qualified individual or firm to provide an integrated suitability assessment system to support the screening and selection of applicants to West Virginia State Police sworn law enforcement trooper positions. The system should have direct utility to existing selection processes, including background and personal history investigation, as well as assessment of the relevant cognitive, educational and interpersonal abilities necessary to perform critical job components and duties of sworn law enforcement positions. The system should assess suitability to complete training, and subsequently, perform the duties of law enforcement positions as well as gather, organize and evaluate applicant background and personal history information for use in background investigation and review processes.

We believe that the LESI® Multi-domain Assessment System meets or exceeds the specifications as described in RFQ# DPS1212. Listed below are the specifications published in RFQ# DPS1212 followed by a description of LESI®'s proposed instruments, processes and services. Specific cost and pricing information may be found in the sealed bid letter attached to this proposal.

## **Published Specifications: (as per RFQ# DPS1212)**

### **Specification 1.**

The vendor will use a pre-conditional offer of employment personal history/background questionnaire. This questionnaire provides for the collection of detailed personal history/background information on law enforcement applicants. The questionnaire must be able to be completed on-line, over the Internet and administered through a secure site under the control of the vendor. Vendor should have a fully developed production on-line questionnaire with a history of significant utilization in support of law enforcement employment selection processes. Newly developed and/or "beta" versions without a history of sustained viability will not be considered. Evidence of vendor site control, vendor experience and the use of the on-line questionnaire must be provided. The following scores and reports are necessary to support our selection process.

### **Response to Specification 1:**

The LESI® onlinePHQ® is a standardized life history questionnaire presented in electronic format. It is used to gather comprehensive life history data which is then analyzed to derive investigative hypotheses and biodata (life history) values upon which on-the-job performance predictions are based. This questionnaire utilizes a unique data structure (U.S. Patent #7,346,541 issued 3/18/08) to store, organize and analyze complex life history information, report discrepancies and create detailed, well-organized and accurate life history reports in a very short amount of time. The information in these reports is also used to support background investigations as well as to identify critical items, discrepancies, and predict the likelihood of specific negative job outcomes.

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RFQ#DPS1212





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LESI® onlinePHQ® was originally developed in consultation with background investigators from several State Police and municipal law enforcement agencies. The questionnaire was originally utilized (in beta mode) in March, 2000. The application has been implemented in full production mode since December, 2000. To date, the onlinePHQ® database includes at least 65,000 administrations in support of employment applications to at least 800 State and municipal criminal justice agencies. OnlinePHQ® has been in use at West Virginia State Police since 2002. Our database contains 1992 onlinePHQ® cases derived from WVSP applicants. The LESI® database contains suitability data from over 2300 applications to WVSP since 1993.

The secure servers supporting this application are located at a secure Tier 1 certified industrial data center in Morrisville, North Carolina, are completely self contained (not co-hosted) and are under the direct physical control of the Company.

**Specification 1A.** For each applicant, a set of detailed reports derived from personal history should be provided to include:

1. **Background Investigators' Report** a comprehensive compilation of the applicants' personal life history. The data is organized into sections as follows:

Section 1 – *Identifying information*; contains name, SSN, etc.

Section 2 – *Additional identifying information*; detailed information regarding residences, parents and siblings, driver's license information, etc.

Section 3 – *Educational history*

Section 4 – *Detailed employment history* for the past 10 years. This section should include:

Basic descriptive information- (name, address, telephone number of employer, dates of employment, description of duties, supervisor name, reasons for leaving, etc.)

Performance and/or disciplinary incidents.

Section 5 – *Military History*; Dates of service, rank progression, disciplinary history, discharge status, etc.

Section 6 – *Marital Status, Family information*; Information regarding marriage, children, etc.

Section 7 – *Legal*; This section should contain a history of infractions, arrests, integrity violations and civil actions as well as dispositions of each.

Section 8 – *Substance use*; history of use of illegal substances and description of current use of legal substances.

Section 9 – *Applications to other agencies*; (includes dates of application and disposition).

Section 10 – *Other legal*; includes incidents of domestic violence.

2. **Life events report:** A summarization of the information described above to be used by background investigators and reviewers to identify pertinent issues prior to conducting their interview. The report should organize pertinent data into "life events" identified by background investigators as germane to evaluating applicant personal history. The life event report should include a "begin and end date" for each event(s) in question as well as the frequency of these events (if applicable).

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3. **Critical Items report:** This report analyzes life event data and identifies critical items and negative indicators used to focus background investigation review as well as to generate specific risk scores used to assess applicant suitability. Critical items and Negative indicators are further defined below:

**Critical Items:** are items, which have been directly linked, through published research, to specific negative job outcomes in law enforcement.

**Negative indicators:** are items, which although linked to negative outcome by subject matter experts (background reviewers), have not, as yet, been empirically validated and, as such, are identified as items for investigator follow up.

4. **Biodata Summary:** This report should contain a listing of the various bio data indices as well as an overall risk rating for each applicant's background.

5. **Discrepancy Report:** This report should contain discrepancies identified when the applicant's responses are compared to previous applications to other law enforcement agencies in the vendor's database.

### Response to Specification 1A:

The LESI® onlinePHQ® (a component of LESI®'s Multi-domain Assessment Process) is a standardized life history questionnaire presented in electronic format. It is used to derive investigative hypotheses and biodata (life history) values upon which on-the-job performance predictions are based. This questionnaire utilizes a unique data structure (U.S. Patent #7,346,541 issued 3/18/08) to store, organize and analyze complex life history information and allow LESI® to produce very detailed, well-organized and accurate reports in a very short amount of time. The information in these reports is used to support background investigations as well as identify critical items, discrepancies, and predict the likelihood of specific negative job outcomes.

LESI® onlinePHQ® reports are designed to provide the information required by West Virginia State Police Specification A. A detailed description of onlinePHQ® reports may be found in Exhibit 1, pages 8-10.

**Specification 1B:** An initial eligibility list, rank ordering applicants in terms of overall suitability for initial referral to subsequent selection stages of both suitability and selection efficiency, must be available within 1 week of test administration.

### Response to Specification 1B:

The LESI® Multi-domain screening process generates an ordered grouping of applicants in terms of overall suitability to complete training and perform the duties of a police officer and/or trooper. A detailed description of LESI® scores and levels of suitability may be found in Exhibit 1, pages 4-6.

**Specification 1C:** Screening reports, documenting and detailing life history, cognitive ability/educational achievement, and interpersonal ability scores into a single suitability prediction. The report shall also include specific findings in each of these areas for use by interviewers and background reviewers.

### Response to Specification 1C:

The LESI® Multi-domain Preliminary Screener addresses findings in three performance rating areas, assigns the general level of suitability and identifies negative indicators. Detailed explanation of these scores may be found in Exhibit 1, pages 4-6.

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**Specification 1D:** . Comprehensive suitability reports. These reports are generated on final candidates only (those who have successfully completed background review and oral interview/interpersonal skills evaluation). These reports combine results of the above measures (background, cognitive/educational tests, interpersonal ability/style tests) with an interview. The reports should provide specific performance related information for use by training officers and supervisors with reference to areas for remediation, supervisory focus, etc. Suitability scores must be available within 24 hours after candidate interviews. Comprehensive suitability reports must be available within 2 weeks of interview completion.

### **Response to Specification 1D:**

The LESI® Comprehensive suitability report is generated on final applicants (those who receive a conditional offer of employment). This process includes a structured interview with an experienced police psychologist and addresses psychological suitability, presence of psychological conditions that would impede performance as a police officer, history of treatment for psychological issues, etc. This report conforms to all pre-employment screening guidelines as published by the International Association of Chiefs of Police. Detailed description of these reports may be found in Exhibit 2.

### **Additional Specifications:**

In addition, information and predictions provided by this system shall conform to the following:

1. The instrument(s) selected shall sample information from multiple domains, such as cognitive ability, educational history, interactive ability, employment/life history, and vocational attitudes. Similarly, the initial eligibility rankings shall also be based on scores from multiple domains. Documentation describing the predictive validity of each domain to specific job outcomes, as well as the independent contribution of each domain in predicting these outcomes, shall be provided. Furthermore, the predictive validity of the instruments shall be shown to have been verified through specific criterion research.

The characteristics of the population used to verify validity must be congruent with the West Virginia State Police applicants screened in the past 10 years in terms of size (applicant pool), demographics, and initial qualifications. Data presented in these studies must be drawn from comparison of applicant groups rather than a concurrently compared to incumbents. Criterion must be objectively defined job outcomes (e.g. failure to complete training, disciplinary action) directly applicable to the duties, responsibilities and critical performance of a West Virginia State Trooper as defined by occupational analysis. Specific preference will be given to peer reviewed research which has appeared in recognized academic journals.

2. The proposed process/instruments shall be shown to have minimal adverse impact on minority groups. Documentation to this effect shall be provided.

Similar to 1 above documentation of selection rations with reference to specific groups must be congruent with the characteristics of the West Virginia State Police applicants screened in the past 10 years in terms of size (of applicant pool), demographics, and initial qualifications. The critical performance attributes of the target job must also be congruent with the duties of a West Virginia State Trooper as defined by occupational analysis. The results must include no less than 500 applicants and no more than 10 years of past history. The results cited must also relate only to the specific instrument/process proposed.

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3. Necessary documentation, training and supervision to the West Virginia State Police Personnel Director for administration of assessment instruments must be provided. Similarly, a program for follow-up consultation and decision making support must be provided. Finally, the proposal must include an ongoing program for validation of suitability predictions as well as evaluations of the effectiveness of the screening program as compared to previous academy training yields and initial job performance of graduates.

### **Response to additional specifications:**

# 1: Predictive validity of the LESI® Multi-domain screening process has been documented through specific criterion research. Representative results may be found in Exhibit 5, pages 1-4. In addition, representative published research may be found in Exhibit 6.

#2: The LESI® Multi-domain screening process has been found to have minimal adverse impact on minority groups. Representative documentation may be found in Exhibit 7.

#3: Administration of the LESI® Multi-domain screening process can be done on-site by Department personnel. At no charge (beyond out of pocket travel, lodging and food expense), LESI® will provide training and supervision for test administration as well as unlimited Departmental support as needed. This support includes unlimited interpretive consultation to Department personnel, as well. Tests will be scored in the LESI® home office located, in Greensboro, NC. LESI® continually gathers outcome data for ongoing validation research. The results of this research, which does not specifically identify nor compare participants, are offered to all participating client agencies at no cost. Specialized and/or custom research programs are also available.

**Specification 1E:** Sample reports (life history reports, screening report, comprehensive suitability report) and description of scoring schema.

### **Response to Specification 1E:**

Samples of LESI® Multi-domain screening reports may be found in Exhibit 3, pages 2-5. Samples of LESI® onlinePHQ® reports may be found in Exhibit 3, pages 6-20. Samples of Comprehensive suitability reports may be found in Exhibit 4, pages 1-14.

**Specification 1F:** Cost of ancillary and/or support services (ongoing validation and effectiveness evaluation; training and decision making support)

### **Response to Specification 1F:**

LESI® will provide unlimited Departmental decision support as needed via telephone at no charge. This support includes unlimited interpretive consultation to Department personnel as well as support to background investigators utilizing onlinePHQ®.

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Note: The consultation and support described above does NOT include consultation for litigation support, expert testimony participation in pre-trial deposition or any other professional service which falls outside the scope of routine administration and use of the LESI® Multi-Domain screening report.

**Specification G. i.:** Qualifications of vendor and/or vendor's staff or other individuals who would perform the professional services.

**i:** Description of Company and Services.

**Response to Specification G. i:**

Law Enforcement Services, Inc. (dba LESI®) and its' Director of Psychological Services, Dr. Michael Cuttler, have provided psychological assessment services to law enforcement agencies since 1984. LESI® currently serves over 900 agencies on state and municipal levels in 18 States. In addition, LESI® designs selection processes, job knowledge tests and promotional assessment exercises as well as job analysis research and process validation projects in Law Enforcement and Criminal Justice Agencies. From its inception, LESI® has been a research oriented firm with a strong commitment to providing its' client agencies with valid, job related information. Our Multi-domain approach to pre-employment assessment (combination of bio-data with psychometrics) has been awarded U.S. Patent #7,346,541 and has been the subject of peer reviewed research published in the Journal of Applied Psychology and the Journal of Criminal Justice and Behavior (see Exhibit 6). In addition, LESI® continually documents the validity of the process through structured validation research. Our database currently contains data from more than 75,000 administrations of the LESI® Multi-domain Assessment Battery given in law enforcement agencies of varying sizes. Our ongoing research programs correlate the results of our assessment process with several academy and "on-the-job" performances measures. The Multi-domain Assessment System conforms to Federal Employment Guidelines, including ADA, civil rights rules/regulations, as well as all professional guidelines published by The Commission on Accreditation of Law Enforcement Agencies and the American Psychological Association.

**Specification G. ii.** Qualifications of principal service providers. Include education and professional license information for all proposed service providers. Indicate if these providers are full-time employees or sub-contractors.

**Response to Specification G. ii:**

The principal service provider will be Michael J. Cuttler, Ph.D., ABPP, LESI® Director of Psychological and Personnel Research Services. Dr. Cuttler holds a Doctorate in Clinical Psychology from Kent State University and is a consultant to law enforcement and public safety agencies nationwide. As principal author, his scientific research in pre-employment screening, psychological testing, and life history predictors has appeared in the Journal of Applied Psychology and the Journal of Criminal Justice and Behavior. In 2011, Dr. Cuttler published in his research on Pre-employment Assessment: Pre-employment Screening of Police Officers; Integrating Actuarial Prediction Models with Practice; Cuttler, Michael J. in Handbook of Police Psychology, Jack Kitaeff, Ph.D., J.D., Editor, Routledge Psychology Press (2011.)

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In recognition of his contributions to the science and profession of psychology, Dr. Cuttler has been elected as Fellow of the American Psychological Association and is Board Certified by the American Board of Professional Psychology (ABPP) in both Police Psychology and Clinical Psychology. He currently serves as President Elect of the American Board of Police and Public Safety Psychology as well as serving as a Trustee to the ABPP Board of Directors. In addition, Dr. Cuttler is a member of the faculty at UNC-Greensboro, Greensboro, North Carolina, where he holds the title of Graduate Adjunct Professor of Psychology. He is responsible for the design and implementation of several innovative programs nationwide. Detailed resume may be found in Exhibit 8.

**Specification G. iii.** List of specific contacts and references including the number of similar assessments performed for each referenced client and the dates that these services were provided.

**Response to Specification G. iii:**

A representative client list of present and past agencies that have utilized LESI assessment processes as well as a list of specific contacts and references may be found in Exhibit 9.

**Specification G. iv.** Description of published, peer reviewed, research based on the data and/or processes to be utilized in this project.

**Response to Specification G. iv:**

Description of published, peer reviewed, research based on the data and/or processes to be utilized in this project can be found in Exhibit 6.

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West Virginia State Police  
RFQ#DPS1212





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## Exhibit 1

**These exhibits contain proprietary confidential information which should not be photocopied, distributed, nor included in any public release or for any purpose other than the evaluation of this quote (DPS1212).**

In this regard, please note that public disclosure of this information would violate the ethical principals and professional conduct guidelines published by the American Psychological Association as well as the Code of Fair Testing Practices and the Standards for Educational and Psychological Testing published by the Joint Committee on Testing Practices of the American Educational Research Association.

# MULTI-DOMAIN ASSESSMENT PROCESS

US Patent #7,346,541

**LESI®**  
Law Enforcement Services, Inc.  
Greensboro, NC

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West Virginia State Police  
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## SUMMARY OF INSTRUMENTS

### LESI<sup>®</sup> Multi-domain PRE-EMPLOYMENT ASSESSMENT \*

TEST	MEASURES	REPORT ADDRESSES
onlinePHQ <sup>®</sup>	Background and Personal History	<ul style="list-style-type: none"> <li>● Indications of work related problems and/or negative background indicators</li> <li>● Compare current data with historical data (if applicable)</li> </ul>
WONDERLIC & ESI	General Intellectual Ability and Educational Achievement	<ul style="list-style-type: none"> <li>● Ability to complete training</li> <li>● Ability to complete written reports</li> <li>● Ability to concentrate under stress and time pressure</li> </ul>
CPI	Interactive/Interpersonal Abilities	<ul style="list-style-type: none"> <li>● Probability of effectiveness in a criminal justice position</li> <li>● Specific job performance predictors: lateness; absenteeism; disciplinary action; termination within first year</li> </ul>
onlinePHQ <sup>®</sup> Wonderlic ESI CPI	Personal History Questionnaire Wonderlic Personnel Test Education Skills Inventory California Psychological Inventory	

\*Data from all instruments is extracted and combined to calculate the LESI Multi-domain prediction equations; a series of independent actuarial predictions of specific negative job outcomes.

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 Law Enforcement Services, Inc.  
 Greensboro, NC

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## MULTI-DOMAIN PRELIMINARY SCREENER

The **Multi-domain Preliminary Screener** was developed to be used in the very earliest stages of the hiring process and in conjunction with other assessment tools, i.e., polygraph, basic agility test, etc. The **Multi-domain Preliminary Screener** briefly addresses findings in three performance rating areas, assigns the general level of suitability and identifies negative indicators.

### PERFORMANCE RATING AREAS:

Three (3) rating areas are briefly addressed in the Multi-domain Preliminary Screener. They are:

#### Intellectual Ability/Educational achievement (Domain 1)

- How does the candidate compare to applicants and incumbents in other agencies?
- What is the likelihood of successful completion of training and (if previously certified) his/her ability to accurately complete written reports, etc.?
- Is the performance on cognitive tests consistent with the reported level of educational achievement?

#### Background (Domain 2)

- What positive and negative indicators can be identified in the applicant's background and personal history?

#### Interactive Abilities and Interpersonal Skills Abilities (Domain 3)

- Is the applicant able to function responsibly within the parameters of his/her authority?
- Do the applicant's personality characteristics compare favorably with effective officers?

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Greensboro, NC

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## MULTI-DOMAIN PRELIMINARY SCREENER (continued)

### GENERAL LEVELS OF SUITABILITY:

The Multi-domain Preliminary Screener identifies the candidate's general level of suitability within the applicant pool. Based on their backgrounds and test responses, candidates are classified into one of the following three (3) categories:

#### Category 3 – Essentially Suitable

Minimum standards are met. Although a minor negative indication may exist, testing indicates that this candidate has a reasonable probability of satisfactory completion of the employment process as well as satisfactory on the job performance. Proceed with background investigation, initial interview, etc.

#### Category 2- Borderline Suitability

A number of minor negative factors are suggested in the testing. Although this candidate may be suitable, performance is likely to be marginal, at best. Caution is indicated when considering this candidate. Further investigation is likely to identify disqualifying factors.

#### Category 1- Likely to be Unsuitable

A major contra-indication is suggested by the testing (eg. severe educational deficit, emotional disorder, etc.). There is a substantial likelihood that this candidate will not successfully complete the employment process, fail to complete training, and/or will perform unsatisfactorily.

Past experience indicates that the Multi-domain Preliminary Screener will identify approximately 12% of the applicants as unsuitable (Category 1), approximately 33% as having several minor contra-indications (Category 2), and approximately 55% as meeting minimum standards (Category 3, including negative indicators.)

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## MULTI-DOMAIN PRELIMINARY SCREENER (continued)

### NEGATIVE INDICATORS:

In addition to the category of suitability, negative indicators are identified. To specify the type of negative indicator the following codes are used

A = Background  
B = Intellectual  
E = Personality  
X = Invalid profile

*These codes are listed in order of importance on the report.*

The Multi-domain Preliminary Screener can be used by background investigators to "focus" their investigation. In this regard, material may be quickly developed that would allow the "abbreviation" of an applicant's candidacy, thus maximizing Agency resources to pursue more suitable candidates and capitalize on the cost effectiveness of the process. Eliminating even 10% of the applicant pool prior to committing Agency funds for background investigations, medical and comprehensive psychological examinations translates into substantial financial savings. In addition, the more suitable applicants can be quickly identified and hastened along in the hiring process.

Adverse impact has been continually monitored. The minority "selection ratio" has ranged from .70 to .94 since 1989. (The "selection ratio" is the ratio of successful minorities to successful whites). These findings have been examined by a number of independent evaluators, most notably the Commission on Accreditation of Law Enforcement Agencies (CALEA).

It is important to remember that the Multi-domain Preliminary Screener does not certify fitness for duty or allow the candidates to be compared against each other within categories (i.e. all "3's" are equal, all "3e's" are equal, etc.)

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# **Description/Organization onlinePHQ<sup>®</sup> Reports**

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## onlinePHQ® Reports

The following five (5) reports are generated by LESI® (Law Enforcement Services, Inc.) for each applicant who has completed onlinePHQ. These reports are based upon the information that the applicant has provided when completing onlinePHQ®. They include:

1. Bio data Summary
2. Critical Items Report
3. Life Events Report
4. Background Investigator's Report
5. Discrepancy Report (if applicable)

1. The **Bio-data Summary** contains a listing of the bio-data indices as well as the overall risk rating for each applicant. These indices are derived from the life events reported by the applicant. The bio-data summary is a negative index: higher scores indicate more negative critical items, lower scores less critical items.

2. The **Critical Items Report** specifically targets negative areas of the applicant's background, once again, based on the information provided by the applicant. The report includes the following:

- a. **Critical Items:** Items that have been directly linked, through research, to specific negative job outcomes in law enforcement.
- b. **Negative indicators:** Items that, although linked to negative outcomes, have not as yet been empirically validated (they are not used to calculate the bio-data indices that make the predictions). Nonetheless, they are identified as items for follow up.

3. The **Life Events Report** is a highly organized, compilation of applicant information. The data is organized into "life events". (life events and their weights are used to calculate the bio-data indices.) The LER serves as a "snapshot" of the applicant's background, quickly identifying critical information for use during the applicant interview as well during the investigation itself.

4. The **Background Investigator's Report** contains the entire set of questions and answers provided by the applicant. This is the same information found in the Verification Report. Once the applicant completes onlinePHQ, the applicant prints a copy of all the information submitted, as well as signs and attests to the truthfulness of the data. This report, the Verification Report, is sent to LESI® and held as a source document.

*It is important to note that when completing the questionnaire, the applicant cannot scroll through the form to see what questions are coming next. Questions must be answered in the order that they appear, section by section. In addition, when completing the onlinePHQ®, the applicant must fill out required information in a specified way that does not allow the applicant to change or refer to questions previously answered. OnlinePHQ® has been developed to make it difficult for the applicant to provide vague or deceptive answers while entering their information, thus enhancing the accuracy and truthfulness of the data.*

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## onlinePHQ® Reports (con't)

### Organization of the Background Investigator's Report

The following is a description of the organization of the **Background Investigator's Report (BIR)**. The "**BIR**" is the comprehensive compilation of the applicant's responses to all relevant questions in the PHQ. This is the primary document to which investigators should refer to obtain detail about items noted on all the other reports. The data is organized into sections as follows:

#### Section 1 – Identifying information

Contains name, SSN, etc.

#### Section 2 – Additional identifying information

Contains detailed information regarding residences, parents and siblings, driver's license information, etc.

#### Section 3 – Education

Contains all educational information provided by the applicant. Subsections are numbered accordingly (3.1 "overview"; 3.2 Associates, etc.).

**Note:** irrelevant sections will not appear on the report. Therefore, if a person does not have a particular degree, the section numbers might progress from 3.2 (Associates Degree) to 3.6 (Police training) without printing 3.3, 3.4, 3.5, etc.

#### Section 4 – Employment history for the past 10 years

Each position is followed by a sub number (position 1 = 4.1, position 2 = 4.2, etc.) Basic descriptive information is listed under 4.x.1; Performance and/or disciplinary incidents are listed under 4.x.2; for criminal justice positions, specific disciplinary detail is listed under 4.x.3.

**Note:** Occasionally, applicants fail to provide 10 years of employment history as required. In the case of younger applicants, this may be appropriate. However, this is considered a negative indicator if the applicant is over age 25 (and so listed on the critical items report). Background investigators should be aware that all applicants who fail to provide 10 years of employment are so warned and required to confirm this fact prior to continuing with the questionnaire. Explanations such as "I wasn't aware of that" and/or "I forgot", etc.; should be very carefully investigated.

#### Section 5 – Military History

Only applicants who indicate a history of service will complete these questions.

#### Section 6 – Marital status, Family information

Contains information regarding marriage, children, etc.

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## onlinePHQ® Reports (con't)

### Organization of the Background Investigator's Report (con't)

#### Section 7 – Legal

This section is broken into sub-sections as follows:

- 7.1 Traffic
- 7.2 Integrity etc. (employee integrity plus civil litigation)
- 7.3 Criminal Offenses
  - 7.3.1 dispositions, probations, incarcerations, etc.
  - 7.3.2 All criminal incidents, regardless of disposition

#### Section 8 – Substance use

- 8.1 Tobacco and Alcohol
- 8.2. 1 Drug overview
  - 8.2.2 Marijuana
  - 8.2.3 Cocaine
  - 8.2.4 Speed
  - 8.2.5 PCP
  - 8.2.6 Crack and “hard drugs”
  - 8.2.7 Hallucinogens
  - 8.2.8 other drugs not listed

**NOTE:** Section 8.2.1 (drug overview) simply asks the applicant to name those drugs with which he/she has had contact. Once this section is reviewed, confirmed and submitted by the applicant, the detailed sections are presented. These (detailed) sections do not allow the applicant to indicate no use. Investigators should consider denial of contact, particularly with explanation such as “this section was presented in error, I never had contact with this substance” with caution.

#### Section 9 – Applications to other agencies.

**Section 10 – Other legal;** includes incidents of domestic violence.

**Section 11 – Additional comments, explanations, and clarifications;** This section contains comments and corrections made by the applicant after reviewing their verification report. Background investigators should make note of these comments prior to interviewing and/or evaluating this data. In order to preserve data integrity, the corrections listed by the applicant will not be applied to our permanent database until the conclusion of the background investigation.

5. The **Discrepancy Report** contains discrepancies that are identified when historical data is compared to current data using the LESI® national database of law enforcement/public safety applicants.

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## Exhibit 2

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10/10/10

10/10/10

10/10/10

## **Comprehensive Suitability Evaluation by LESI®** **Description of Psychological Test Instruments and Processes\***

The following tests comprise the LESI® assessment battery:

The **LESI® Online PHQ®** is a standardized history questionnaire presented in electronic format. It is used to derive investigative hypotheses and biodata (life history) values upon which our performance predictions are based. This personal history questionnaire utilizes a unique data structure (patent pending) to store, organize and analyze complex life history information, allowing LESI® to produce very detailed, well organized and accurate reports for performance prediction.

The assessment test battery contains two (2) independent measures of intelligence and academic achievement. One of these tests is a timed exercise (**Wonderlic Personnel Test**) and the other is not timed (**Educational Skills Inventory Test**). The combination of these scores is used to predict the likelihood of the applicant successfully completing his/her academy training, the ability to concentrate under stress and time pressure, as well as to accurately complete written reports.

The **California Psychological Inventory (CPI)** is a frequently used and well-researched personality inventory that is incorporated within our assessment battery. In addition, our research has found that the CPI scores can be particularly useful in predicting future disciplinary action in law enforcement officers. The CPI scores also generate a "Police Effectiveness Index" which is a nationally researched predictor of future effectiveness in police officers.

The **Inwald Survey 5 (IS5)** is a 162 question inventory designed for assessing reliability, integrity, work ethic and other specific job related attitudes. This instrument has been specifically designed to conform to federal employment law in regard to pre-employment assessment. Its normative base includes a substantial number of LESI® applicant assessments.

**Semi Structured Clinical Interview :** Clinical interview conducted by a clinical psychologist experienced in police psychology police psychologist. This interview reviews and confirms onlinePHQ® and multi-domain screening results. The interview also addresses psychological suitability, presence of psychological conditions that would impede performance as a police officer, history of treatment for psychological issues, etc.

**\*Data from the test instruments is extracted to calculate the LESI® Discriminant Function Analysis which is a series of actuarial equations linked to the following specific outcomes:**

1. background discrepancies; pre-polygraph admission(s)
2. failure to complete training
3. disciplinary action

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## REPORT FORMAT – Comprehensive Suitability Evaluation

The LESI® comprehensive suitability evaluation process generates a psychological assessment report based on a battery of tests, social history and individual interview. Topics covered in the assessment report include:

- Background data
- Personal impression and presence
- Intellectual characteristics
- Emotional characteristics
- Specific areas of concern
- Overall probability of success in law enforcement

The psychological assessment report includes a narrative, making reference to the above topic areas. In addition, it provides rating scores on each of three performance areas. The sum of the ratings of the three performance areas generates an overall recommendation rating by the psychologist. This allows agencies to better identify specific strengths and weaknesses of individual candidates.

Ratings in the three performance areas represent the psychologist's judgment of the applicant in regard to:

1. Intellectual ability and educational achievement: (0-5)

- a. What is the likelihood of the applicant successfully completing the academic portions of his training?
- b. Will the applicant be able to accurately complete written reports?
- c. Can the applicant concentrate adequately under conditions of stress and/or time pressure?

2. Background: (0-5)

- a. Does the applicant's background and history contain factors that are positive or negative predictors of success in criminal justice?

3. Personality and psychological adjustment: (0-5)

- a. Is the applicant well adjusted psychologically and able to function responsibly within the parameters of his/her authority?
- b. Does the applicant's personality characteristics compare favorably with effective officers?
- c. Is there any indication of emotional disorder, substance abuse, somatization (proneness to physical illness), etc.?

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## RATINGS FOR OVERALL RECOMMENDATIONS

Each of the three performance areas are rated on a 0-5 basis. The Overall Rating is the sum of the three performance area ratings. The final Overall Recommendation Rating based on a 0-15 scale, is defined below:

0 - 5 - Employment definitely not recommended.

A major contra-indication is suggested (e.g. severe educational deficit, emotional disorder, etc.), potential liability and/or negligence if hired.

6 - Employment not recommended.

A significant number of negative factors are suggested. Although this candidate may be suitable, future performance is likely to be marginal, at best.

7 - Recommendation withheld.

A borderline candidate and although there is not sufficient psychological evidence to disqualify this candidate, his/her rating in at least one performance area is quite poor. Predicted effectiveness is marginal.

8 - 9 - Employment recommended.

Minimum standards are met and although a minor negative indication may exist in one or more performance areas, this candidate has a reasonable probability of satisfactory performance, given adequate training and supervision.

10-12 - Employment strongly recommended.

Minimum standards are exceeded and test results indicate a number of positive predictors for success in regard to a career in law enforcement. May have leadership ability.

13+ - Employment definitely recommended.

Exceptional candidate exhibiting a significant number of positive indicators. This candidate probably has leadership ability as well as the potential to make a substantial contribution to the Department.

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## Exhibit 3

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# **Multi-Domain Preliminary Screener Report MDS Report with onlinePHQ®**

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## Multi-Domain Report - Preliminary Screener

The following information has been derived from the LESI® Personal History Questionnaire and results of psychometric testing. Detailed information regarding the negative background indicators may be found in the Background Investigator's Report.

### Identifying Information

**John C. Smith**

Agency: Elm City Police Department  
Position: Police Officer  
SSN: 123-45-6789  
Gender: M  
Date of Birth: 05/05/1972  
Report Date: 02/01/2002

OnlinePHQ Case ID: 12345  
OnlinePHQ Submitted: 01/27/2002  
Psychometric Case ID: 6789  
Psychometric Submitted: 01/25/2002

### Performance Predictions (based on comparison with LESI Database)

	Discriminant Function Bio-Data/Psychometric	Classification Tree Bio-Data/Psychometric	Discriminant Function Psychometric Only	Probability
Discipline	Y	N	N	Average
Fail Training	N/A	N	N	Low

#### Prediction

Probability of experiencing disciplinary action (suspensions and/or terminations) within 5 years is **average**  
Probability of failing to complete training and/or probationary employment is **low**

#### Notes

- Interpersonal effectiveness within normal limits for suitability (see page 4)

### Category

3 A, E

Essentially suitable

**Essentially suitable, however, follow up is recommended in the following areas:**

- A - Background (see Domain #2 on page 3)(also see onlinePHQ Background Investigators Report)
- E - Interactive ability/interpersonal style (see Domain #3 on page 4)

Similar indications and/or corroborations from background review and/or oral review boards should be very seriously considered in this case.

#### Levels of Suitability

Category 3 = Essentially Suitable  
Category 2 = Borderline suitability  
Category 1 = Likely to be unsuitable

#### Negative Indicator Codes

A = Background  
B = Cognitive ability/educational potential  
E = Interactive ability/interpersonal style  
X = Invalid profile

No employment decision should be made on the basis of this report alone. Although this report may identify those candidates who are poor risks for employment, it does not certify fitness, recommend specific duty assignments, or predict future success in law enforcement.





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## Background Information

### Employment

- '01- Position 1 - United Parcel Service
- '99-'01 Position 2 - United Parcel Service
- '98-'99 Position 3 – Elm City Furniture
- '94-'98 Position 4 - United States Marine Corps
- '92-'94 Position 5 – Sunset Cafe
- '90-'92 Position 6 – Acropolis Restaurant

### Education

- '01 Bachelor of Arts
- '97 Training for United States Marine Corps Infantry  
Squad Leader

### Military

- '94-'98 US Marines

## Background Risk Summary

Name	Index
Employment Index	3
Criminal Index	1
Substance Index	1
Other Index	0
Total	5





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## Domain 1: Cognitive/Educational Potential

Scores	Percentile	Educational Deficits
Wonderlic Personnel Test:	94.6	• None found
LESI Vocabulary:	98.8	
LESI Mathematical Reasoning:	84.1	
Overall Cognitive/Educational Potential		
• Above average educational potential		

### Notes

- none

## Domain 2: Background Indicators

\* indicates a critical item validated through research; to be verified by the background investigator

• indicates a negative item to be investigated by background investigator

<b>Employment/Military Indicators</b> Risk score 3 (Moderate) <ul style="list-style-type: none"> <li>* Currently unemployed or not full-time employed (while not a student)</li> <li>* Disciplinary Incidents</li> <li>• Safety violations, vehicle accidents, damage to company property</li> <li>• I was verbally counseled:</li> <li>• Lateness, attendance, policy, or work rules violations</li> </ul>	<b>Substance Indicators</b> Risk score 1 (Low) <ul style="list-style-type: none"> <li>* Any Marijuana use</li> </ul>
<b>Criminal Indicators</b> Risk score 1 (Low) <ul style="list-style-type: none"> <li>* Above average number of moving traffic violations</li> </ul>	<b>Other Indicators</b> Risk score 0 (Low) <ul style="list-style-type: none"> <li>• none</li> </ul>
<b>Total Risk score for all categories is: 5</b>	

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## Domain 3: Interactive Abilities and Interpersonal Style

*The following negative indicators were identified through responses on psychometric personality inventories*

### **CPI (California Psychological Inventory)**

- Unusually strong needs for status and recognition
- Strong needs to function independently, may resist direction
- May be sensitive to criticism and/or display unusually strong needs for status and recognition

### **IS5 (Inwald Survey 5)**

- Applicant may not be aware of or concerned with how behavior is being judged by others.
- May fail to meet deadlines and/or complete assignments

### **Notes**

- Negative personality findings listed above are within normal limits for suitability

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# **onlinePHQ® Reports**

**Bio Data Summary**

**Critical Items Reports**

**Life Events Report**

**Background Investigator's Report**

**Discrepancy Report**



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## Bio Data Summary for John C. Smith

Life history data derived from OnlinePHQ® is analyzed, organized, reported and scored in terms of **critical life events**. These critical life events have been found to predict negative employment outcomes in law enforcement and criminal justice applicants (i.e. failure to complete training, serious disciplinary action, disciplinary job termination). Each of these critical life events is assigned a relative weight based on our research. The scores are then grouped according life history area (employment, criminal, substance, other\*) and the sum of these scores is reported below.

Name	Index
Employment Index	3
Criminal Index	1
Substance Index	1
Other Index*	0
Total	5

\* "Other Index" reflects discrepancies, inconsistencies, omissions, and failure to follow explicit directions and system prompts which have been linked, through research, to negative employment outcome.

The Total index reported herein represents a measure of overall risk of negative employment outcome as predicted by with this applicant's life history to date. This score may be used to prioritize groups of applicants for subsequent background investigation and/or other employment selection procedures. However, it is recommended that all data submitted by applicants be verified thru background investigation and that final employment decisions should not be based solely on this information prior to investigative verification

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## Critical Items for John C. Smith

The following items have been directly linked through research to disciplinary action in law enforcement officers.

Name	Begin (Age)	End (Age)	Freq	Detail
Currently unemployed or not full-time employed (while not a student)				
Disciplinary Incidents			2 times	Position 3 – Elm City Furniture, Position 1 - United Parcel Service
Above average number of moving traffic violations		6/1995 (Age 24)	4 time(s)	Moving violation(s)
Any Marijuana use	6/1988 (Age 17)	2/1991 (Age 20)	1-5 time(s)	Marijuana

## Other Negative Indicators for John C. Smith

The items below are negative background indicators recommended for follow up by investigators.

Name	Begin (Age)	End (Age)	Freq	Detail
Safety violations, vehicle accidents, damage to company property				Position 3 – Elm City Furniture
I was verbally counseled:		7/2001 (Age 30)	2 times	Position 3 – Elm City Furniture, Position 1 - United Parcel Service
Lateness, attendance, policy, or work rules violations				Position 1 - United Parcel Service





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## Life Events for John C. Smith

For details of the life events listed below see the appropriate section of the [background investigator's report](#).

#	Name	Begin	End	Freq
Education Events (section 3)				
1)	Bachelor of Arts (received degree or certificate)		8/2001	
2)	Training for United States Marine Corps Infantry Squad Leader (received degree or certificate)		2/1997	
Employment History Events (section 4)				
3)	First decided to pursue a job in law enforcement, criminal justice or public safety	10/2001	10/2001	
4)	First applied to any law enforcement, criminal justice or public safety agency	10/2001	10/2001	
5)	Position 1 - United Parcel Service	1/2001		
	Lateness, attendance, policy, or work rules violations			
	I was verbally counseled:	7/2001	7/2001	1 times
6)	Position 2 - United Parcel Service	6/1999	1/2001	
7)	Position 3 - Elm City Furniture	8/1998	6/1999	
	Safety violations, vehicle accidents, damage to company property			
	I was verbally counseled:	1/1999	1/1999	1 times
8)	Position 4 - United States Marine Corps	5/1994	7/1998	
9)	Position 5 - Sunset Cafe	3/1992	5/1994	
10)	Position 6 - Acropolis Restaurant	5/1990	3/1992	
Military History Events (section 5)				
11)	US Marines	5/1994	6/1998	
Traffic Violation Events (section 7.1)				
12)	Moving violation(s)		6/1995	4 time(s)
13)	Accident(s) with property damage only		10/2000	2 time(s)
Substance Use Events (section 8)				
14)	Alcohol			4 per week
15)	Marijuana	6/1988	2/1991	1-5 time(s)
Applications To Other Agencies Events (section 9)				
16)	Applied to Oak City Police Department	10/2001	10/2001	
17)	Applied to Pine City Police Department	10/2001	10/2001	





## Background Investigator's Report for: John C. Smith

Name: John C. Smith  
Social Security #: 123-45-6789

Phone Number: 111 222-3456  
Email: [bubba7@aol.com](mailto:bubba7@aol.com)  
Case ID: 1234  
Case Date: 01/27/2002  
Report Date: 02/01/2002

Section	Question	Response
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### 1) Identifying Information

Last Name	Smith
First Name	John
Middle Initial	C.
Social Security Number	123-45-6789
Retype Social Security Number to confirm	123-45-6789
Date of Birth	05/05/1972
Please select your Race/Ethnicity	W
Sex	M

### 2) Additional Identifying Information

Citizenship acquired by:	Birth
Height:	6' 4"
Weight:	252
List all other names you have gone by, including nicknames. If female, furnish maiden name:	Big Guy, Bubba
Have you ever legally changed your name?	No
Number of Dependents:	0
Have you ever been issued a drivers license by a state other than North Carolina?	YES
List state(s) and license number(s):	Florida- I no longer have the license (or the number) due to the fact that I turned it in when I moved from Florida
Father's name:	Robert B. Smith
Father's address:	414 Smithfield Drive, Washington, NC
Father's date of birth:	02/25/1946
Is your father still living?	YES
Mother's name:	Roberta Smith
Mother's address:	414 Smithfield Drive, Washington, NC
Mother's date of birth:	05/27/49
Is your mother still living?	YES
Do you have any brothers?	YES
Brother's name:	Patrick Smith
Brother's address:	75 Harbor Lane, Sarasota, FL
Brother's date of birth:	12/3/1974





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Is this brother still living?	YES
Do you have any other brothers?	YES
Brother's name:	Darrel Smith
Brother's address:	N/A Deceased
Brother's date of birth:	08/10/76
Is this brother still living?	no
Do you have any other brothers?	no
Do you have any sisters?	YES
Sister's name:	Carol Butler
Sister's address:	16 Canterbury Drive, Washington, NC
Sister's date of birth:	08/10/76
Is this sister still living?	YES
Do you have any other sisters?	YES
Sister's name:	Deidre Smith
Sister's address:	1414 Primrose Ave., Queens, NY
Sister's date of birth:	02/27/1978
Is this sister still living?	YES
Do you have any other sisters?	no
Are you currently married?	no
Have you been previously married?	no
Is there any other person not listed above with whom you no currently reside who is currently 16 years of age or older?	
Date began residing there:	08/01/98
Complete address:	3 Laredo Court, Elm City, NC
Do you rent?	YES
Landlord's name:	Mr. Joseph Craft
Landlord's complete address:	745 Walker Drive, Elm City, NC
Landlord's telephone number:	336 222-1234
Began residence:	08/01/1998
Ended residence:	Still living there
Complete address:	Same as above, 3 Laredo Court, Elm City, NC
Did you rent?	YES
Name of first reference:	Mr. Todd Carpenter
Complete address:	52 Old County Road, Elm City, NC
Telephone number:	336 333-9876
Name of second reference:	Mrs. Beverly Carpenter
Complete address:	52 Old County Road, Elm City, NC
Telephone number:	336 333-9876
Name of third reference:	Dr. Horace Winter
Complete address:	63 Anthony Avenue, Elm City, NC
Telephone number:	336 454-6262
Alternate Contact Name:	Carol Butler
Complete address:	16 Canterbury Drive, Washington,
Telephone number:	910 675-9876



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Have you previously submitted an application for employment to the agency to which you are applying today? no

### 3) Education

#### 3.1) Overview

High School graduate or GED with no further education	YES
Education beyond high school/GED	YES
Specialized Military Training	YES
Academic, i.e. College	YES
Bachelor Degree(s)	YES

#### 3.3) Academic Bachelor Degrees

Bachelor of Arts	YES
Please select your major field of study:	Humanities ,
What was the name of the Institution?	The University Of North Carolina
Did You Receive your Degree?	YES
Date of Graduation:	8/2001

#### 3.7) Vocational Other

Other	YES
Indicate job title for which training was intended:	United States Marine Corps Infantry Squad Leader
Did you receive a certificate?	YES
Date completed:	2/1997
Use this space to describe training and other information that you may feel is relevant:	Other Marine Corps specialized training received: Marksmanship Instructor School(Range Coach Course) / Assault Climber's Course / Monitor Survey Course(Nuclear/Biological/Chemical Warfare Training)

### 4) Employment History

When did you first decide to pursue a job in law enforcement, criminal justice or public safety?	10/2001
What is the date of your first application to any law enforcement, criminal justice, or public safety agency?	10/2001
Are you currently employed on a full time basis?	no
If other than full time employed, what are your primary sources of support?	Part-time employment , money saved
Have you ever been unemployed for more than 30 days?	no

#### 4.1) Position 1 - United Parcel Service

##### 4.1.1) General Information

Employer:	United Parcel Service
Job Title:	Part-Time Supervisor
Duties:	Lead, supervise, and oversee fourteen hourly employees in the outbound(loading)operations sector of the _____, NC hub. Other duties include: updating and maintaining employee records, <i>instructing</i> employees in proper work techniques, and representing management to hourly employees.
Is/was this job:	Part-time



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Is/was this position in law enforcement, criminal justice, no  
or public safety?

Indicate average number of hours per week: 33

Starting Salary/Wage/Average Commission: \$1300.00

Per: Month

Ending (or Current) Salary/Wage/Average Commission: \$1375.00

Per: Month

Employer address: 1412 Saunders Street, Elm City, NC

Telephone number: 336 111-2222

Supervisor's name: Mr. Michael Garrison

Date Hired: 1/2001

Still employed? YES

#### 4.1.2) Performance/Disciplinary Incidents

Lateness, attendance, policy, or work rules violations YES

I was verbally counseled: YES

Number of times: 1

Date of last incident: 7/2001

Please explain: My immediate full-time supervisor verbally counseled me on the importance of being on time for work and lateness was never again an issue ---- at least no one ever told me it was!

#### 4.2) Position 2 - United Parcel Service

##### 4.2.1) General Information

Employer: United Parcel Service

Job Title: Loader

Duties: Loading tractor-trailer trucks in the outbound (loading)sector

Is/was this job: Part-time

Is/was this position in law enforcement, criminal justice, No  
or public safety?

Indicate average number of hours per week: 25

Starting Salary/Wage/Average Commission: \$8.50

Per: Hour

Ending (or Current) Salary/Wage/Average Commission: \$10.00

Per: Hour

Employer address: 1412 Saunders Street, Elm City, NC

Telephone number: 336 111-2222

Supervisor's name: Mr. Peter Craft

Date Hired: 6/1999

Still employed? no

If not still employed, when did you leave? 1/2001

Which of the following best describes the circumstances under which you left employment at this position? Career advancement,

Please describe the details of all the circumstances you have marked above I was promoted to part-time management (part-time supervision) with same company (U.P.S.) I guess they liked the way I got the job done

##### 4.2.2) Performance/Disciplinary Incidents

No incidents reported



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#### 4.3) Position 3 –Elm City Furniture

##### 4.3.1) General Information

Employer:	Elm City Furniture
Job Title:	Furniture Assembly/Delivery
Duties:	Responsible for the assembly and delivery of furniture for customers
Is/was this job:	Part-time
Is/was this position in law enforcement, criminal justice, or public safety?	no
Indicate average number of hours per week:	20
Starting Salary/Wage/Average Commission:	\$8.00
Per:	Hour
Ending (or Current) Salary/Wage/Average Commission:	\$8.50
Per:	Hour
Employer address:	East Gate Shopping Center, Elm City, NC
Telephone number:	336 343-6778
Supervisor's name:	Mr. Bob Simmons
Date Hired:	8/1998
Still employed?	no
If not still employed, when did you leave?	6/1999
Which of the following best describes the circumstances under which you left employment at this position?	Career advancement
Please describe the details of all the circumstances you have marked above	I left for more hours and better benefits (insurance plan, college tuition reimbursement) at U.P.S.

##### 4.3.2) Performance/Disciplinary Incidents

Safety violations, vehicle accidents, damage to company property	YES
I was verbally counseled:	YES
Number of times:	1
Date of last incident:	1/1999
Please explain:	There was one incident in which delivery truck was slightly damaged in the course of a delivery (accidentally backed into brick mailbox backing out of a driveway on a tight street.) The fellow I was with distracted me and I didn't see the mailbox until it was too late.

#### 4.4) Position 4 - United States Marine Corps

##### 4.4.1) General Information

Employer:	United States Marine Corps
Job Title:	Rifleman (M.O.S. 0311)
Duties:	Various duties and skills pertaining to Infantry specialty: radio communications training(encryption/decryption and codes), patrolling, extensive weapons training, land-navigation(map reading), survival training in various environments, hand-to-hand combat training, physical conditioning, close-order drill, combat operations in the offensive/defensive, extensive experience in M.O.U.T.(Military Operations in Urban Terrain)and close-quarters battle techniques, experience in operating in



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	N.B.C.(Nuclear/Biological/Chemical)warfare environments, extensive experience in heli-borne assault operations. Participated with Marine Expeditionary Unit in the performance of S.O.C.(Special Operations Capability) training, Leadership billets held: Team Leader and Squad Leader.
Is/was this job:	Full-time
Is/was this position in law enforcement, criminal justice, or public safety?	no
Starting Salary/Wage/Average Commission:	\$1000.00
Per:	Month
Ending (or Current) Salary/Wage/Average Commission:	\$1700.00
Per:	Month
Employer address:	MP Company Headquarters Marine Corp Base, US Marines, Fox Co. Camp LeJeune, NC
Telephone number:	910 789-1234
Supervisor's name:	Capt. Forrest (Company C.O.)
Date Hired:	5/1994
Still employed?	no
If not still employed, when did you leave?	7/1998
Which of the following best describes the circumstances under which you left employment at this position?	Resigned for personal reasons will discuss in person
Please describe the details of all the circumstances you have marked above	Left the Marine corps after term of enlistment was complete(Honorable Discharge)to finish college education.

#### 4.4.2) Performance/Disciplinary Incidents

*No incidents reported*

#### 4.5) Position 5 – Sunset Cafe

##### 4.5.1) General Information

Employer:	Sunset Café
Job Title:	Server
Duties:	Waiting on customers
Is/was this job:	Part-time
Is/was this position in law enforcement, criminal justice, or public safety?	no
Indicate average number of hours per week:	30
Starting Salary/Wage/Average Commission:	\$2.25
Per:	Hour
Ending (or Current) Salary/Wage/Average Commission:	\$2.25
Per:	Hour
Employer address:	3767 Garden Avenue, Sarasota, FL
Telephone number:	941 238-7721
Supervisor's name:	Mr. Craven (Owner)
Date Hired:	3/1992
Still employed?	no
If not still employed, when did you leave?	5/1994
Which of the following best describes the circumstances under which you left employment at this position?	Career advancement,
Please describe the details of all the circumstances you have marked above	Left the restaurant to join the Marine Corps.



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#### 4.5.2) Performance/Disciplinary Incidents

*No incidents reported*

#### 4.6) Position 6 – Acropolis Restaurant

##### 4.6.1) General Information

Employer:	Acropolis Restaurant
Job Title:	Server
Duties:	Waiting on customers
Is/was this job:	Part-time
Is/was this position in law enforcement, criminal justice, or public safety?	no
Indicate average number of hours per week:	25
Starting Salary/Wage/Average Commission:	\$2.25
Per:	Hour

Ending (or Current) Salary/Wage/Average Commission:	\$2.25
---	--------

Per:	Hour
------	------

Employer address:	7234 15 <sup>th</sup> Street, Bradenton, FL
-------------------	---

Telephone number:	941 238-4456
-------------------	--------------

Supervisor's name:	Mr. Poloukis
--------------------	--------------

Date Hired:	5/1990
-------------	--------

Still employed?	no
-----------------	----

If not still employed, when did you leave?	3/1992
--	--------

Which of the following best describes the circumstances under which you left employment at this position?	Career advancement ,
---	----------------------

Please describe the details of all the circumstances you have marked above	left the restaurant to take better pay and better hours at Sunset Cafe.
--	---

#### 4.6.2) Performance/Disciplinary Incidents

*No incidents reported*

#### 5) Military History

Have you EVER served in the military on active duty OR reserve duty?	YES
--	-----

##### 5.1) 1st Service

##### 5.1.1) General Information

Branch of Service:	US Marines
Duty Status:	Inactive Reserve
Primary job or MOS:	0311
Enlisted	YES
E:	5
Date Initially Enlisted or Commissioned:	5/1994
Discharge Status:	Honorable without Qualification
Date Discharged, Retired, or Assigned to Reserves:	6/1998
Did your discharge occur prior to full expiration of original or anticipated term of enlistment?	no



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### 5.1.2) Disciplinary History

*No incidents reported*

## 6) Marital Status/Family Information

Current Marital Status:	Single
Number of Previous Marriages:	0
With whom are you currently living?	Alone
Are you currently financially responsible for dependent children who do NOT live with you?	no

## 7) Legal

### 7.1) Traffic Violations

Moving violation(s)	YES
Number of violations:	4
Date of last incident:	06/1995
Describe and/or provide additional information regarding this/these violation(s):	3/13/90:Speeding (60 in a 45) 2/25/95:Speeding (Exceeding safe speed) 4/23/95:Speeding (80 in a 65) 6/16/95:Speeding (76 in a 65)

Accident(s) with property damage only	YES
Number of accidents:	2
Date of last incident:	10/2000
Describe and/or provide additional information regarding this/these violation(s):	9/10/93:Drove into ditch to avoid collision with deer at night in fog. 10/08/00: Low-speed rear-end collision on narrow two-lane road in the rain.

### 7.2) Integrity, etc.

Have you ever been a defendant, plaintiff, respondent in a civil court action(s)?	no
Have you ever taken ANY money or property from an employer?	no
Have you ever taken, bought, sold, received or held stolen property for someone else?	no

### 7.3) Criminal Offenses

#### 7.3.1) Criminal Dispositions, Sentences, and/or Outcomes

Have you ever been arrested, detained, pled guilty or no contest to a charge involving assault or domestic violence?	no
Have you ever been incarcerated?	no
Have you ever been on probation or parole?	no
Have you ever been sentenced to community service?	no
Have you ever been ordered to make restitution?	no
Have you ever been mandated to counseling or education?	no

#### 7.3.2) Reported Criminal Offenses

*No incidents reported*

## 8) Substance Use

### 8.1) Tobacco and Alcohol

Do you smoke now?	no
-------------------	----



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Do you currently drink alcohol?	YES
How many times have you consumed 6 or more drinks at a time?	0
How often have you driven after 4 or more drinks?	0
How many times have you driven with an open container?	0
What is the average number of drinks consumed per week?	4
How many times have you consumed alcohol on the job?	0
How many times have you been warned by an employer about drinking?	0
You may use this space to provide additional information about your social drinker(moderate intake only) use of tobacco and/or alcohol.	

## 8.2) Illegal Drug Use

### 8.2.1) Overview

Have you ever used or experimented with marijuana?	YES
Have you ever used or experimented with cocaine?	no
Have you ever used or experimented with amphetamines, methedrine, dexedrine, "speed"?	no
Have you ever used or experimented with PCP (angel dust)?	no
Have you ever used or experimented with crack cocaine, opiates, morphine, heroin?	no
Have you ever used or experimented with hallucinogens?	no
Have you used or experimented with any illegal drug not listed above?	no
Have you illegally used or experimented with any other drugs?	no

### 8.2.2) Marijuana

Number of times you have smoked/used or experimented with marijuana in your entire life:	1-5
Number of times that you have smoked/used or experimented with marijuana in the last 12 months:	0
Have you ever driven after smoking/using marijuana?	no
Have you ever provided marijuana in exchange for money or goods?	no
Have you ever grown, cultivated, or been involved in the manufacture of marijuana?	no
Have you ever been refused employment or military service because of use of marijuana?	no
Have you ever been disciplined or discharged from employment or military service because of use of marijuana?	no
Age FIRST used or experimented with Marijuana:	17
Date last used or experimented with Marijuana:	2/1991
You may use this space to provide additional information about your marijuana use. minimal experimentation	

## 9) Applications to Other Agencies

Have you previously applied to any law enforcement agency?	YES
--	-----

### 9.1) Agency 1

Agency name:	Oak City Police Department
City:	Oak City
State:	NC
Date applied:	10/2001
Were you employed by this agency?	Not yet



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Were you offered employment with this agency?	Not yet
Have you applied to any other law enforcement agencies?	YES

**9.2) Agency 2**

Agency name:	Pine City Police Department
City:	Pine City
State:	NC
Date applied:	10/2001
Were you employed by this agency?	Not yet
Were you offered employment with this agency?	Not yet
Have you applied to any other law enforcement agencies?	No

**10) Other Legal**

Have you ever intentionally or unintentionally slapped, punched or otherwise injured a spouse or domestic partner?	No
Have you ever been served with or been the subject of a domestic restraining order	No
Have you ever cheated, lied, or misrepresented facts during an application or employment evaluation process?	No

**11) Additional Comments, Explanations and Clarifications**

I am not employed with either of the police departments I have applied with because i am currently going through the application/hiring process.



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## Discrepancies for John C. Smith

**Current Case: 1234 taken on 01/27/2002 for Elm City Police Department**

The table below represents discrepancies identified when comparing the current case with previous case(s) on file. Background investigators should pay particular attention to reconciling these discrepancies in the course of investigation of this applicant.

*CI = Critical Items - items that have been directly linked through research to disciplinary action in law enforcement officers.*

*NI = Negative Indicators - are negative background indicators recommended for follow up by investigators.*

Previous Case(s)	This Agency?	Type	Name	Begin (Age)	End (Age)	Freq	Detail
10/04/2001	N	CI	More than one resignation for personal reasons			2 times	Position 5 – Sunset Café, Position 3 – Elm City Furniture







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## Exhibit 4

**These exhibits contain proprietary confidential information which should not be photocopied, distributed, nor included in any public release or for any purpose other than the evaluation of this quote (DPS1212).**

In this regard, please note that public disclosure of this information would violate the ethical principals and professional conduct guidelines published by the American Psychological Association as well as the Code of Fair Testing Practices and the Standards for Educational and Psychological Testing published by the Joint Committee on Testing Practices of the American Educational Research Association.





## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "A"

CANDIDATE: XXXX

INTERVIEW DATE: July 13, 200X

The following evaluation represents the opinion of the psychologist concerning the individual named. The judgments are based upon a psychological interview and psychological test results. **These judgments are germane only to the position indicated and are considered valid for no longer than 6 months from the date shown above.** This evaluation should not be shared with any other agency or used for any purpose other than that indicated herein. This document should not be photocopied. The physical security of this document is the responsibility of the Agency named herein.

### BACKGROUND:

XXXXXX is a 34 year old male evaluated in conjunction with his application for employment as a Cadet Trooper, XXXXX State Police. Mr. XXXXX is currently employed as a Police Officer at the XXXXX Police Department and has been so employed for approximately 4½ years.

Mr. XXXXX holds a Bachelors Degree in Criminal Justice from the State University of XXXXX. He served 6 years in the US Army and was discharged with the rank of E-4. He is married and has 1 child.

### PRESENTING DATA:

Mr. XXXXX presents in a generally appropriate manner. He was open, honest and friendly during the interview, maintained good eye contact and expressed himself adequately.

### TESTS ADMINISTERED:

California Psychological Inventory, Educational Skills Inventory Test, Inwald Survey 5, Personal History Questionnaire, Wonderlic Personnel Test.

### RESULTS OF PSYCHOLOGICAL TESTING AND PERSONAL INTERVIEW:

Mr. XXXXX's score on the Wonderlic Personnel Test was at the 76.6 percentile which is above average for cadet trooper applicants. His score on the Brief Intelligence Test was at the 90.2 percentile which is above average as well, when compared to our database of cadet trooper applicants.

Analysis of the error patterns in the intellectual testing is consistent with the impression of above average general intellectual ability. There is no indication of educational deficits nor is there a noted tendency for his performance to deteriorate with stress and time pressure.

**Exhibit 4, page 1**

## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "A"  
July 13, 200X

These scores indicate that Mr. XXXXX would not experience difficulty completing the academic portions of his training. In addition, his performance if called upon to complete written reports and/or routine administrative tasks is likely to be adequate.

Mr. XXXXX's performance on the California Psychological Inventory indicates that he is a cautious, well-controlled individual who will typically think before acting on impulse. He is also highly conventional and conforming and will seek the acceptance of others. He will be quite concerned with pleasing others and avoiding criticism.

Mr. XXXXX is an interpersonally assertive individual who prefers to be in charge of a group or activity rather than merely a participant. He has definite opinions and views, a strong sense of purpose in life and will characteristically exercise leadership when attempting to influence others. In addition, he is a moderately ambitious person who will be hard working and willing to make personal sacrifices in order to achieve his long term goals.

Mr. XXXXX is socially outgoing and comfortable in a variety of interpersonal situations, whether with strangers or with friends. He will be poised, spontaneous and flexible when dealing with others. He is aware of human idiosyncrasies and differences, but not upset by them. He will integrate his activities well with others and will be able to deal with those whose lifestyles and points of view differ from his own.

Mr. XXXXX is a self-confident individual who is comfortable with himself at this time. He will rely on his own opinions and views and will trust his own views more than the views of others. In spite of this, however, he will faithfully follow the directions of others, even on issues of personal importance that may significantly affect his own life. As such, he will rarely, if ever, question those in authority.

Mr. XXXXX is a conscientious individual who is concerned about the welfare of others. He will display a sense of civic responsibility and has an appreciation for social orderliness. In addition, he will be achievement oriented, resourceful and able to function well in both structured and unstructured situations as well as in situations calling for independent judgment.



## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "A"  
July 13, 200X

### SUMMARY AND CONCLUSIONS:

Mr. XXXXX's score on the Police Effectiveness Index of the California Psychological Inventory is 54 which is significantly above average. The Inwald Survey 5 indicates that his profile suggests a low risk for performance difficulties. The LESI Discriminant Function Analysis does not indicate an above average probability of disciplinary action and/or performance difficulties. In total, I find Mr. XXXXX to be an acceptable candidate for employment as a Cadet Trooper, XXXXX State Police.

In this regard, the testing indicates that Mr. XXXXX is an individual of above average intelligence. He has demonstrated his interest in law enforcement through his educational activities and current employment. He is also reasonably well-adjusted and has many of the personality characteristics associated with success in law enforcement. As such, I believe he has a reasonable probability for success as a Cadet Trooper, XXXXX State Police.

#### Performance Area Ratings (0-5)

Intellectual ability and academic achievement	3
Background	3
Psychological adjustment	3

OVERALL RATING 9  
Employment recommended

Michael J. Cuttler, Ph.D.  
Consulting Psychologist

MJC:grt

Exhibit 4, page 3



## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "B"

CANDIDATE: XXXX

INTERVIEW DATE: May 1, 200X

The following evaluation represents the opinion of the psychologist concerning the individual named. The judgments are based upon a psychological interview and psychological test results. **These judgments are germane only to the position indicated and are considered valid for no longer than 6 months from the date shown above.** This evaluation should not be shared with any other agency or used for any purpose other than that indicated herein. This document should not be photocopied. The physical security of this document is the responsibility of the Agency named herein.

### BACKGROUND:

XXXXX is a 28 year old female evaluated in conjunction with her application for employment as a Cadet Trooper, XXXXX State Police. Ms. XXXXX is currently employed at a retail store and has been so employed for approximately 2½ years.

Ms. XXXXX holds a Bachelors Degree in Justice Administration from XXXXX College. She is married and has 1 child. She has no history of military service.

### PRESENTING DATA:

Ms. XXXXX presents in a generally appropriate manner. She was open, honest and friendly during the interview, maintained good eye contact and expressed herself adequately.

### TESTS ADMINISTERED:

California Psychological Inventory, Educational Skills Inventory Test, Inwald Survey 5, Personal History Questionnaire, Wonderlic Personnel Test.

### RESULTS OF PSYCHOLOGICAL TESTING AND PERSONAL INTERVIEW:

Ms. XXXXX's score on the Wonderlic Personnel Test was at the 98.8 percentile which is above average for cadet trooper applicants. Her score on the Brief Intelligence Test was at the 90.2 percentile which is above average as well, when compared to our database of cadet trooper applicants.

Analysis of the error patterns in the intellectual testing is consistent with the impression of above average general intellectual ability. There is no indication of educational deficits nor is there a noted tendency for her performance to deteriorate with stress and time pressure.

**Exhibit 4, page 4**

## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "B"

May 1, 200X

These scores indicate that Ms. XXXXX would not experience difficulty completing the academic portions of her training. In addition, her performance if called upon to complete written reports and/or routine administrative tasks is likely to be good.

Ms. XXXXX's performance on the California Psychological Inventory indicates that she is a cautious, well-controlled individual who will typically think before acting on impulse. She is also highly conventional and conforming and will seek the acceptance of others. She will be quite concerned with pleasing others and avoiding criticism.

Ms. XXXXX is a reasonably assertive individual who usually prefers to be in charge of a group or activity rather than merely a participant. She has a good sense of purpose in life and will usually exercise leadership when attempting to influence others. In addition, she is a moderately ambitious person who will be hard working and willing to make personal sacrifices in order to achieve her long term goals.

Ms. XXXXX is somewhat shy and retiring interpersonally and not very outgoing socially. In addition, behavior patterns that differ from her own cause her some discomfort. She will have a restricted view of what behaviors are "proper" and will be quite critical of those whose lifestyles and points of view differ from her own.

Ms. XXXXX is a reasonably self-confident individual who is reasonably comfortable with herself at this time. She will rely on her own opinions and views and will trust her own views more than the views of others. In spite of this, however, she will faithfully follow the directions of others, even on issues of personal importance that may significantly affect her own life. As such, she will rarely, if ever, question those in authority.

Ms. XXXXX is a conscientious individual who is concerned about the welfare of others. She will display a sense of civic responsibility and has an appreciation for social orderliness. In addition, she will be reasonably resourceful and able to function reasonably well in both structured and unstructured situations.





## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "B"  
May 1, 200X

### SUMMARY AND CONCLUSIONS:

Ms.XXXXX's score on the Police Effectiveness Index of the California Psychological Inventory is 48 which is average. The Inwald Survey 5 indicates that her profile suggests a low risk for performance difficulties. The LESI Discriminant Function Analysis does not indicate an above average probability of disciplinary action and/or performance difficulties. In total, I find Ms.XXXXX to be an acceptable candidate for employment as a Cadet Trooper, XXXXX State Police.

In this regard, the testing indicates that Ms.XXXXX is an individual of above average intelligence. She is also reasonably well-adjusted and her profile is within normal limits.

The primary negative in Ms. XXXXX's profile involves the personality testing. In this regard, the testing indicates lack of interpersonal flexibility. As such, she may, at times, be uncomfortable in situations calling for interpersonal subtlety and finesse.

As noted above, Ms. XXXXX's profile is within normal limits and, based on the information available, she is acceptable for employment. Given proper training and supervision, she has a reasonable probability of success as a Cadet Trooper, XXXXX State Police.

### Performance Area Ratings (0-5)

Intellectual ability and academic achievement	4
Background	3
Psychological adjustment	2

OVERALL RATING 9  
Employment recommended

Michael J. Cuttler, Ph.D.  
Consulting Psychologist

MJC:grt

Exhibit 4, page 6



## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "C"

CANDIDATE: XXXX

INTERVIEW DATE: April 16, 200X

The following evaluation represents the opinion of the psychologist concerning the individual named. The judgments are based upon a psychological interview and psychological test results. **These judgments are germane only to the position indicated and are considered valid for no longer than 6 months from the date shown above.** This evaluation should not be shared with any other agency or used for any purpose other than that indicated herein. This document should not be photocopied. The physical security of this document is the responsibility of the Agency named herein.

### BACKGROUND:

Mr. XXXX is a 25 year old male evaluated in conjunction with his application for employment as a Cadet Trooper, XXXX State Patrol. Mr. XXXX is currently unemployed and has been unemployed for approximately 3 months. Prior to that, he was employed as a laborer for approximately 7 months. Prior to that, he was unemployed for approximately 10 months.

Mr. XXXX is a high school graduate who has completed vocational certification in Electronics Technology and has no further education. He served approximately 4 years in the US Marine Corps and was discharged with the rank of E-3. He is single and lives with his parents.

### PRESENTING DATA:

Mr. XXXX presents in a generally appropriate manner. He was open, honest and friendly during the interview, maintained good eye contact and expressed himself adequately.

### TEST ADMINISTERED:

California Psychological Inventory, Educational Skills Inventory Test, Inwald Survey 5, Personal History Questionnaire, Wonderlic Personnel Test.

### RESULTS OF PSYCHOLOGICAL TESTING AND PERSONAL INTERVIEW:

Mr. XXXX's score on the Wonderlic Personnel Test was at the 42.1 percentile which is average for cadet trooper applicants. His score on the Brief Intelligence Test was at the 19.5 percentile which is low average, when compared to our database of cadet trooper applicants.

Analysis of the error patterns in the intellectual testing is consistent with the impression of low average to average general intellectual ability. In addition, there is indication of significant educational deficits in the areas of mathematical reasoning ability.

Exhibit 4, page 7





## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "C"  
April 16, 200X

These scores indicate that Mr. XXXX would not experience undue difficulty completing the academic portions of his training. In addition, his performance if called upon to complete written reports and/or routine administrative tasks is likely to be adequate.

Mr. XXXX's performance on the California Psychological Inventory indicates that he is a cautious, well-controlled individual who will typically think before acting on impulse. He is also reasonably conforming and will usually seek the acceptance of others. He will be reasonably concerned with pleasing others and avoiding criticism.

Mr. XXXX is an interpersonally assertive individual who prefers to be in charge of a group or activity rather than merely a participant. He has definite opinions and views and will usually exercise leadership when attempting to influence others. However, he also indicates that he is relatively disinterested in achievement. He is likely to be unwilling or unable to make personal sacrifices in order to achieve his goals.

Mr. XXXX is socially outgoing and comfortable in a variety of interpersonal situations, whether with strangers or with friends. He will be reasonably poised when dealing with others. He is aware of human idiosyncrasies and differences, but not unduly upset by them. He will integrate his activities reasonably well with others and will be able to deal reasonably well with those whose lifestyles and points of view differ from his own.

Mr. XXXX is a self-confident individual who is comfortable with himself at this time. He will rely on his own opinions and views and will trust his own views more than the views of others. However, he will usually follow the directions of others. As such, he will rarely question those in authority.

Mr. XXXX indicates that he is reluctant to make personal sacrifices for the good of others. This is an unusual finding in law enforcement officers and has been found to predict disciplinary action.

Mr. XXXX will be reasonably resourceful and able to function reasonably well in structured and unstructured situations.





## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "C"  
April 16, 200X

### SUMMARY AND CONCLUSIONS:

Mr. XXXX's score on the Police Effectiveness Index of the California Psychological Inventory is 50 which is average. The Inwald Survey 5 indicates that his profile suggests a high risk for performance difficulties, primarily due to indications of work ethic and reliability concerns. The LESI Discriminant Function Analysis does not indicate an above average probability of disciplinary action and/or performance difficulties. In total, I find Mr. XXXX to be a borderline candidate for employment as a Cadet Trooper, XXXX State Patrol.

In this regard, the testing indicates that Mr. XXXX is a reasonably intelligent individual. He is also reasonably well-adjusted and his profile is within normal limits. As such, sufficient data does not exist to justify completely disqualifying him from consideration for employment at this time. However, there are several negative indicators in his profile which should be very carefully considered during the employment process.

One set of negatives in Mr. XXXX's profile involves his background. In this regard, this applicant's employment history since his discharge from the US Marine Corps has been quite poor and includes multiple protracted periods of unemployment as well as a protracted period of part-time employment. In addition, during the personal interview, Mr. XXXX indicated that he received a Page 11 entry in the US Marine Corps for "non-recommendation for Corporal." He indicated that he had not accumulated enough points for Corporal due to "switching units several times." It is strongly recommended that background investigators pay close attention to this applicant's employment history as well as his military history.

It is also noted that Mr. XXXX has applied to multiple law enforcement agencies recently. However, he failed to indicate this information on Question #10 of the LESI Personal History Questionnaire or on Question #25 of the XXXXX employment application. In addition, this applicant's background includes 2 alcohol-related arrests as well as marijuana usage approximately 1½ years ago. Background investigators should pay close attention to this applicant's substance usage as well as the thoroughness and completeness of application materials.

Another set of negatives in Mr. XXXX's profile involves the personality testing. In this regard, the testing indicates lack of initiative and reluctance to make personal sacrifices for others. Law enforcement officers in our database with profiles such as this may be uncomfortable in situations calling for independent judgment.

**Exhibit 4, page 9**



## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "C"  
April 16, 200X

As noted above, Mr. XXXX's profile is within normal limits and, as such, sufficient data does not exist to justify completely disqualifying him from consideration for employment at this time. However, due to the above noted negative indicators, I am unable to recommend him without reservations. If Mr. XXXX's background is acceptable to the XXXXX State Patrol, then he would be acceptable for employment. However, if hired, it is strongly recommended that training officers and supervisors pay close attention to the above noted negative indicators. Without proper training and supervision, he will have an above average tendency to develop "bad habits" in the field.

### Performance Area Ratings (0-5)

Intellectual ability and academic achievement	3
Background	2
Psychological adjustment	2

OVERALL RATING 7

Borderline candidate

Recommendation withheld

Michael J. Cuttler, Ph.D.  
Consulting Psychologist

MJC:mst





## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "D"

CANDIDATE: XXXX

INTERVIEW DATE: September 2, 200X

The following evaluation represents the opinion of the psychologist concerning the individual named. The judgments are based upon a psychological interview and psychological test results. **These judgments are germane only to the position indicated and are considered valid for no longer than 6 months from the date shown above.** This evaluation should not be shared with any other agency or used for any purpose other than that indicated herein. This document should not be photocopied. The physical security of this document is the responsibility of the Agency named herein.

### BACKGROUND:

Mr. XXXX is a 21 year old male evaluated in conjunction with his application for employment as a Cadet Trooper, XXXX State Police. Mr. XXXX is currently unemployed and has been unemployed for approximately 3 months. Prior to this, he was employed as a produce associate at a grocery store for approximately 5 years on a part-time basis. However, he was asked to resign from that position.

Mr. XXXX is a high school graduate with no further education. He is single and lives alone. He has no history of military service.

### PRESENTING DATA:

Mr. XXXX presents in a generally appropriate manner. He was open, honest and friendly during the interview, maintained good eye contact and expressed himself adequately.

### TESTS ADMINISTERED:

California Psychological Inventory, Educational Skills Inventory Test, Inwald Survey 5, Personal History Questionnaire, Wonderlic Personnel Test.

### RESULTS OF PSYCHOLOGICAL TESTING AND PERSONAL INTERVIEW:

Mr. XXXX's score on the Wonderlic Personnel Test was at the 24.0 percentile which is low average for cadet trooper applicants. His score on the Brief Intelligence Test was at the 9.9 percentile which is below average when compared to our database of cadet trooper applicants.

Analysis of the error patterns in the intellectual testing is consistent with the impression of below to low average general intellectual ability. In addition, there is indication of substantial educational deficits in the areas of reading comprehension, mathematical reasoning ability and written expression.

**Exhibit 4, page 11**

## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "D"  
September 2, 200X

These scores indicate that although Mr. XXXX possesses adequate general intelligence to perform the duties of a cadet trooper, he may experience difficulty completing the academic portions of his training. In addition, his performance if called upon to complete written reports and/or routine administrative tasks is likely to be poor.

Mr. XXXX's performance on the California Psychological Inventory indicates that he is an unusually impatient individual. Although he can move quickly from idea to action, he may, on occasion, do so too quickly. Individuals with profiles such as this often fail to think through the long range implications of their actions. In addition, he indicates that he is not particularly concerned with the impression his behavior creates in others and does not particularly care what others think of him. Individuals with profiles such as this are often characterized as "thick-skinned" people who are insensitive to others.

Mr. XXXX is a reasonably assertive individual who prefers to be in charge of a group. He has definite opinions and views and will usually exercise leadership when attempting to influence others. However, he also indicates that he is relatively disinterested in achievement. He is likely to be unwilling or unable to make personal sacrifices in order to achieve his goals.

Mr. XXXX is somewhat shy and retiring interpersonally and not very outgoing socially. In addition, behavioral patterns that differ from his own cause him some discomfort. He will have a restricted view of what behaviors are "proper" and will be quite critical of those whose points of view and lifestyles differ from his own.

Mr. XXXX is a reasonably self-confident individual who is reasonably comfortable with himself at this time. He will rely on his own opinions and views and will trust his own views more than the views of others. However, he will faithfully follow the directions of others, even on issues of personal importance that may significantly affect his own life. As such, he will rarely, if ever, question those in authority.

Mr. XXXX indicates that he is reluctant to make personal sacrifices for the good of others. This is an unusual finding in law enforcement applicants and has been found to predict disciplinary action.

Mr. XXXX in structured situations. Structure and organization are appealing to him and he values them in most endeavors. He will be considerably less comfortable in unusual situations or in situations calling for independent judgment.



## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "D"  
September 2, 200X

### SUMMARY AND CONCLUSIONS:

Mr. XXXX's score on the Police Effectiveness Index of the California Psychological Inventory is 39 which is substantially below average. The Inwald Survey 5 indicates that his profile suggests a high risk for performance difficulties and a high risk for job termination, primarily due to indications of work ethic and reliability concerns. The LESI Discriminant Function Analysis indicates an above average probability of disciplinary action and/or performance difficulties, primarily due to indications of impatience, lack of initiative, lack of interpersonal sensitivity and discomfort in situations calling for independent judgment. In total, I find Mr. XXXX to be a questionable candidate for employment as a Cadet Trooper, XXXXX State Police.

In this regard, although Mr. XXXX possesses adequate general intelligence to perform the duties of a police officer, the results of the cognitive/educational testing indicate substantial educational deficits in the areas of reading comprehension, mathematical reasoning ability and written expression. These scores indicate that he may have difficulty completing additional academic training as well as administrative tasks and that he is likely to benefit from remedial educational attention.

The second set of negatives in Mr. XXXX's profile involves his background. In this regard, this applicant's background includes an involuntary resignation from employment at a grocery store subsequent to an integrity violation. In addition, during the personal interview, this applicant indicated that he used marijuana approximately 1½ years ago. This is a significant negative indicator since it occurred while he was a volunteer firefighter and is in direct contradiction to the information supplied on Question #44 of the signed and notarized XXXXX application form. Background investigators should pay close attention to this applicant's employment history, including the circumstances surrounding his job termination. Background investigators should also pay close attention to his substance usage.

The third set of negatives in Mr. XXXX's profile involves the personality testing. In this regard, the testing indicates impatience, lack of interpersonal sensitivity and lack of initiative. As such, he may fail to think through the long range implication of his actions and may be uncomfortable in situations calling for interpersonal subtlety and finesse. There are also indications that he may be uncomfortable in situations calling for independent judgment.

Due to the above noted negative indicators, I am unable to recommend Mr. XXXX for employment at this time.

Exhibit 4, page 13

## Sample Comprehensive Suitability Reports

Psychological Evaluation, Applicant "D"  
September 2, 200X

### Performance Area Ratings (0-5)

Intellectual ability and academic achievement	2
Background	2
Psychological adjustment	2

OVERALL RATING 6  
Employment not recommended

Michael J. Cuttler, Ph.D.  
Consulting Psychologist

MJC:mst



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## Exhibit 5

**These exhibits contain proprietary confidential information which should not be photocopied, distributed, nor included in any public release or for any purpose other than the evaluation of this quote (DPS1212).**

In this regard, please note that public disclosure of this information would violate the ethical principals and professional conduct guidelines published by the American Psychological Association as well as the Code of Fair Testing Practices and the Standards for Educational and Psychological Testing published by the Joint Committee on Testing Practices of the American Educational Research Association.



## LESI® Multi-domain Assessment Battery – Validation

The following is additional information regarding the validation research supporting our pre-employment assessment battery. Toward that end, I am including it with the West Virginia State Police RFQ.

The LESI pre-employment assessment battery is designed to assure both content validity and predictive validity. We have documented content validity of our assessment battery through the administration of a job analysis questionnaire which was completed by 431 representatives of 157 municipal law enforcement agencies.

We have developed content based weights and linkages between these (performance attribute) areas and various scores derived from our assessment battery. These scores (i.e., background and history) and scales (i.e., test scores) are the primary components of the Decision tree and discriminant function equations which form the cornerstone of our outcome predictions. The Discriminant function equations predict the following four outcomes:

- **Selection Process Success** - passing all stages of the typical police employment process (aptitude, oral board, background, psychological) and being placed on an eligibility list.
- **Successful Employment** - selected from list, employed, successfully completing academy and field training, remaining employed for 12 months (subsequent to training) without significant performance problems.
- **Disciplinary Action** - referred for fitness for duty evaluation in conjunction with disciplinary action.
- **Job Dysfunction** – experienced disciplinary action (above squad level) for specific job related infractions.

I have attached the classification matrices upon which these predictions are based. We feel the predictive validity of these equations are substantial.

Michael J. Cuttler, Ph.D.  
Director

LESI®  
Law Enforcement Services, Inc.  
Greensboro, NC

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West Virginia State Police  
RFQ#DPS1212

**CLASSIFICATION MATRIX FOR SELECTION FAILURES**

N = 608 APPLICANTS

**PREDICTED**

**OBSERVED**

CATEGORY	% CORRECT	Q	NQ	T
Q	77.79	217	55	272
NQ*	85.71	48	288	336
TOTAL	83.10	265	343	608

**Q = QUALIFIED FOR EMPLOYMENT**  
(passed all stages; made eligibility list)

**NQ = SELECTION PROCESS FAILURES**  
(dropped from eligibility list)

\*Includes 52 psych failures

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Greensboro, NC

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**CLASSIFICATION MATRIX FOR SUCCESSFUL HIRES**

N = 329 HIRES\*

**PREDICTED**

**OBSERVED**

CATEGORY	% CORRECT	1/2	3	TOTALS
1/2	69.57	64	28	92
3	95.36	11	226	237
TOTAL	88.10	75	254	329

**CAT 1/2 = HIRED, BUT FAILED TO COMPLETE TRAINING & TENURE**

**CAT 3 = HIRED, COMPLETED TRAINING & TENURE**

\*All hired candidates received acceptable or borderline psych evaluations

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CLASSIFICATION MATRIX FOR DISCIPLINARY EVALUATION

N = 118

PREDICTED

OBSERVED

	% CLASSIFIED	FFD	CONTROL	TOTALS
FFD	69.5	41	18	59
CONTROL	86.4	8	51	59
TOTAL	77.97	49	69	118

FFD - REFERRED FOR DISCIPLINARY FFD

CON - NOT REFERRED

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## Exhibit 6

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In this regard, please note that public disclosure of this information would violate the ethical principals and professional conduct guidelines published by the American Psychological Association as well as the Code of Fair Testing Practices and the Standards for Educational and Psychological Testing published by the Joint Committee on Testing Practices of the American Educational Research Association.

## Prediction of Dysfunctional Job Behaviors Among Law Enforcement Officers

Charles D. Sarchione  
University of North Carolina at Greensboro

Michael J. Cuttler  
Law Enforcement Services, Incorporated

Paul M. Muchinsky and Rosemary O. Nelson-Gray  
University of North Carolina at Greensboro

This study examined the predictability of dysfunctional job behaviors among law enforcement officers using 3 scales (Responsibility, Socialization, and Self-Control) of the California Psychological Inventory (H. G. Gough, 1995) that were hypothesized to assess the construct of conscientiousness, and 3 construct-oriented life history indices (drug use, criminal, work). Law enforcement officers were classified into disciplinary and control groups ( $n = 109$  each), using a matched-case control study design. Mean differences between the 2 criterion groups on the 6 predictor variables were all statistically significant and in the hypothesized direction. The results are discussed in the context of conscientiousness as an explanatory construct, the relationship between life history and personality constructs, and methodological concerns in the development of construct-oriented life history indices.

The most recent theoretical conceptions of work behavior have been based on the tenets of personality theory. The Big Five, or five-factor model of personality (Costa & McCrae, 1985), has received extensive empirical support for predicting work behavior (e.g., Barrick & Mount, 1991). Although the Big Five conceptualization of personality has been criticized for being too broad (McAdams, 1992; Schneider, Hough, & Dunnette, 1996), theorists and researchers have found it to be a useful framework for presenting personality constructs. One factor, that of Conscientiousness, has received particular attention. Conscientiousness as a construct relates to the degree of organization, control, and motivation in goal-directed behavior. Individuals exhibiting high Conscientiousness tend to be organized, reliable, hard-working, self-directed, scrupu-

lous, and persevering. Individuals low in Conscientiousness tend to be lazy, careless, lax, impulsive, and irresponsible (Costa & Widiger, 1994; R. T. Hogan, 1991). Consistently evident throughout the literature is that Conscientiousness shows positive relations with job performance criteria evidenced within several occupational groups.

McCrae, Costa, and Piedmont (1993) discussed the Big Five in relation to the California Psychological Inventory (CPI; Gough, 1987). The CPI is a structured, empirically derived personality assessment intended for use with non-psychiatrically disturbed individuals. The current version of the CPI includes 20 scales designed to assess personality characteristics important for social interaction and for forecasting practical life outcomes (R. T. Hogan, 1991). Research has compared the NEO Personality Inventory (NEO-PI; Costa & McCrae, 1985) and the CPI in terms of their respective representation of the Big Five personality factors (R. T. Hogan, Hogan, & Roberts, 1996; McCrae et al., 1993). Rational analysis of CPI item content and empirical results (correlations between the NEO-PI and CPI) showed convergence between the CPI and four of the five factors (excluding Agreeableness), suggesting a representation of the CPI scales as Big Five personality factors.

Given the social interactions encountered by law enforcement officers and the CPI's demonstrated ability to predict behavior (McCrae et al., 1993), the CPI has received attention in law enforcement research. Research investigating the CPI in law enforcement has been conducted with police cadets (e.g., Hargrave & Berner, 1984;

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We thank Neal Schmitt for his comments on several measurement issues associated with this research and Grace Kissling for her assistance in statistical analyses.

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R. T. Hogan, 1971) as well as police officers (e.g., Hargrave & Hiatt, 1989). Hargrave and Hiatt (1989) reported associations between CPI scales Communitarity, Good-Impression, Responsibility, Self-Control, Socialization, Tolerance, and Sense of Well-Being with officers involved in serious job problems (e.g., unnecessary use of force, providing drugs to inmates).

On the basis of previous research on the Big Five personality theory, we hypothesized that three scales of the CPI assessed the construct of conscientiousness. Furthermore, these three scales were hypothesized to predict work behavior in the law enforcement occupation. The scales were selected on the basis of past research on the construct of conscientiousness across a broad spectrum of occupations. The first scale is Responsibility, selected because of its demonstrated theoretical relevance and predictive capability from previous investigations of job performance (e.g., Barrick & Mount, 1991). The second scale is Socialization, which measures the degree to which individuals adhere to social norms. Individuals who score high on this scale are predicted to be dependable and rule-abiding (Gough, 1987). Collins and Schmidt (1993) found that the Socialization scale significantly discriminated criminal offenders in a prison population from non-offenders who held various managerial positions. The third scale is Self-Control, which measures freedom from impulsivity. High scoring individuals try to control their emotions and temper; whereas low scoring individuals tend to be unpredictable and spontaneous. Hough, Eaton, Dunnette, Kamp, and McCloy (1990) reported significant relationships between this personality dimension and several work behavior criteria across different occupations.

In addition to assessing the construct of conscientiousness with a personality inventory, we also sought to measure it through life history variables. Tenopir (1994) has argued there is convergence between life history and personality constructs. In similar fashion, Mumford, Snell, and Reiter-Palmon (1994) stated "Perhaps the most straightforward answer to the question we have posed covering the relationship between background data and personality is to argue that background data represent little more than an alternative format for personality assessment" (pp. 584-585). Thus, we were interested in examining both life history and personality scale variables as manifestations of conscientiousness in forecasting job behaviors among law enforcement officers.

Hough and Paullin (1994) have discussed the three major strategies of constructing scales to measure individual difference variables: external (empirical), inductive (internal), and deductive (rational). The pure form of the deductive strategy bases decisions about item selection and item weighting on expert opinion, that is, theory or hypotheses. The deductive strategy has become associated with hypothesis testing, theory building, and construct validation. Construct-oriented scale construction is con-

sidered as an updated variation of the deductive strategy. Nickels (1994) proposed that life history items should be developed on the basis of a well-formulated specification of the domain of behaviors of interest. Such a theory-based approach would serve to provide a stronger basis for drawing inferences concerning the meaningfulness of these items. By targeting item development on well-specified dimensions, validity generalization becomes more plausible. Nickels argued that a logical extension of validity generalization would be the subsequent availability of general item pools for use in future studies.

The central hypothesis of our study is that the personality construct of conscientiousness predicts dysfunctional behaviors subsequent to selection as a law enforcement officer. Additionally, we hypothesized that dysfunctional behaviors prior to selection would be associated with dysfunctional behaviors after selection into the law enforcement agency. Specifically, we derived three classes of dysfunctional behavior as a law enforcement officer: negative work history events, criminal activity, and drug use activity. Previous empirical research has provided evidence that each of these classes of negative life events is associated with the underlying construct of conscientiousness. J. Hogan and Ones (1994) and Sackett and Wanek (1996) have provided, in part, reviews of studies relating conscientiousness to a wide range of employee behaviors, some of the dysfunctional type. Slora (1991) examined the predictability of theft, Collins and Schmidt (1993) examined white collar criminal activity, and Ones, Viswesvaran, and Schmidt (1993) examined the validity of integrity tests in predicting the dysfunctional behaviors of theft, disciplinary problems, and absenteeism. These studies indicate theoretically and practically significant relationships between measures of conscientiousness or integrity and dysfunctional job behaviors.

We were interested in testing the validity of personality and life history constructs in forecasting dysfunctional job behaviors in an occupational sample for which such behaviors have high public visibility and produce high organizational scrutiny—that of law enforcement officers. Dysfunctional job behaviors typically encompass a wide variety of undesirable actions as absence, theft, and drug use. However, among occupations as law enforcement officers, the criterion conceptualization can be expanded to include sexual misconduct, insubordination, and inappropriate verbal conduct toward the public. These dysfunctional behaviors can lead to formal disciplinary action by the law enforcement agency against the offending officer. It is these behaviors that result in the law enforcement agency incurring public outrage and rebuke. The offending officers are regarded as false positives in the classic decision-theoretic selection paradigm—officers who were selected for inclusion in the law enforcement agency but who subsequently exhibited unsatisfactory behavior on the job. The intent of the selection pro-



cess would be to minimize their frequency in the population of law enforcement officers.

In summary, we hypothesized that the construct of conscientiousness as represented by three scales of the CPI and three life history dimensions would discriminate between law enforcement officers who have exhibited dysfunctional job behaviors and officers who have not exhibited such behavior.

## Method

### Participants

A police psychologist provided us with access to the data needed to conduct this research study. The psychologist provided assessment services to approximately 200 law enforcement agencies in the Southeastern region of the United States, having the responsibility to assess applicants for selection. From 1984 to 1995 the psychologist assessed approximately 9,000 applicants. On the basis of the psychologist's knowledge of his client agencies, 13 agencies were judged to be amenable to participation in a research study. The 13 law enforcement agencies were contacted by us, and all of them agreed to participate. The law enforcement officers selected for study represented two criterion groups, disciplinary ( $n = 109$ ) and control ( $n = 109$ ). All officers who met the criteria for the disciplinary group were selected. Control group officers were matched with disciplinary group officers with regard to law enforcement agency, date of hire, gender, age, ethnicity, and education. Twenty-two officers were women and 196 were men; 44 officers were African American, 172 were European American, and 2 were Latin American. This study was a retrospective matched-case control study in that the control participants were matched on law enforcement agency and personal characteristics of the disciplinary participants.

### Criterion

**Disciplinary group.** The disciplinary group consisted of law enforcement officers involved in situations requiring formal disciplinary or departmental action (e.g., officer reprimand, investigation, suspension, or termination from duty) as a result of their behavior on the job after selection. Job dysfunctions included excessive force, sexual misconduct (e.g., sexual contact with citizens while on duty), substance abuse (e.g., appearing for duty intoxicated), insubordination or supervisory problems (e.g., not following orders, arguing with supervisors), embezzlement of property (e.g., theft of agency property), truthfulness (e.g., lying to supervisors), multiple motor vehicle violations (e.g., speeding, reckless driving), inappropriate verbal conduct toward public (e.g., racial slurs, profanity), and multiple duty responsibility violations (e.g., failing to complete required assignments and duty obligations). The manifestation of these behaviors on the job placed the law enforcement officers in the disciplinary group. Although it would have been preferable to scale the dysfunctional behaviors as a continuous variable, it was not readily feasible to do this for reasons of criterion contamination. The sample was drawn from law enforcement agen-

cies of different sizes and contexts, and similar behaviors across agencies would result in differential administrative responses.

**Control group.** The control group consisted of law enforcement officers who have not exhibited any of the above job dysfunctions. Officers selected for the control group had at least one unfounded complaint, at least one justified use of force, or both. This selection criterion was invoked to assist in not selecting officers whose records contained no disciplinary or departmental actions because of a lack of active duty as an officer.

### Predictors

**California Psychological Inventory.** The most current version of the CPI (Form 434) contains 20 scales (Gough, 1995). A fourth grade reading ability is required to adequately complete the CPI, and adequate estimates of reliability are reported on the basis of internal consistency and test-retest methods. The three scales previously described (Responsibility, Socialization, and Self-Control) were selected for investigation. The CPI scores were obtained from a database of test results maintained by the police psychologist. There were complete test scores for the 218 individuals comprising the sample.

**Life history information.** Life history information was obtained from personal history questionnaires, a structured interview, and/or a background investigation report, all completed prior to psychological assessment for candidacy (e.g., preemployment-applicant status). Using the general paradigm proposed by Mumford, Costanza, Connelly, and Johnson (1996), life history information was organized into rationally determined domains by seven subject matter experts (SMEs), expressly for the participants comprising the sample in this research. The SMEs were senior law enforcement personnel responsible for hiring decisions. The SMEs identified three domains of performance-relevant characteristics for law enforcement officers: work history, criminal history, and drug use history. The truthfulness of the information on the questionnaires was subsequently investigated by background investigators from law enforcement agencies in which the individual was applying, and corrections (if any) were made on the questionnaires. The life history experiences from the three domains are listed in Table 1. To scale the life history indices, the SMEs performed three Q-sorts, one for each life history domain, using typed index cards. Each life history area was randomly assigned with regard to order of presentation. SMEs were instructed to sort the cards from least severe to most severe.

Descriptive statistics were conducted and life experiences were scaled. Each group of experiences within the three life history areas was assigned a scoring weight. After investigating each participant's file and documenting the life experiences, we then computed index scores for each participant by summing the weights of all experiences met within each life history domain for that participant. The possible range of index scores for the three domains were (a) work history = 0-32, (b) drug use history = 0-31, and (c) criminal history = 0-36. Table 1 presents the assigned weight for each experience. There were missing life history data for 14 participants (7 from each group); mean index scores were substituted for these missing data.



Table 1  
*Life History Experiences and Assigned Weights*

Weight	Experience
Work history	
5	Disciplined and/or terminated or discharged from employment due to drug use
4	Termination from more than two jobs
3	If military experience, received summary court martial
3	If military experience, received any UCMJ discipline resulting in loss of rank, discharge, or both
3	Indication of substantial disciplinary or any integrity problems in more than two jobs
2	If military experience, discharged from service with less than a complete honorable discharge (e.g., general discharge under honorable conditions or less) does not include hardship or nonpsychiatric medical discharge
2	Termination from one job
2	Indication of substantial disciplinary or any integrity problems in one job
2	Employed by more than two law enforcement agencies without evidence of career (or compensation) advancement
1	More than five full time jobs in last 4 years (excluding temporary employment as student)
1	If military experience, received written disciplinary action—non-UCMJ
1	If military experience, received UCMJ company grade discipline not resulting in loss of rank
1	More than one resignation due to personal reasons
1	Employed by one law enforcement agency without evidence of career (or compensation) advancement with regard to current agency of application
1	Pattern (more than two jobs) of decrease in earnings in employment history (negative earnings)
Drug history	
4	Any hard drug (heroin, crack, methamphetamine) usage as an adult (18 years or older)
4	Use of hallucinogen (LSD, mescaline, hashish, etc.) in past 2 years
4	Cocaine use in past 2 years
4	Cocaine use after age 25 if applicant is older than 25
3	Any cocaine use
3	Admission to any illegal drug use subsequent to beginning school for law enforcement or criminal justice major, or both (drug use subsequent to making decision to work in law enforcement)
3	Any hard drug (heroin, crack, methamphetamine) usage as an adolescent
3	Marijuana use in past 12 months (for applicants ages 21–25)
2	Marijuana use in past 24 months (for ages greater than 25)
1	Any marijuana use
Criminal history	
4	DUI conviction in past 2 years
4	More than one DUI arrest in past 2 years
4	More than one DUI conviction in past 5 years
4	More than one domestic related arrest in past 2 years
4	One domestic related conviction in past 12 months
3	Any domestic related arrest
3	Any DUI conviction
3	Any domestic related conviction
2	Significant juvenile record in applicants less than age 25 (emphasis on larceny, drugs, or assault)
2	More than one nontraffic related arrest
1	More than three moving violations
1	More than three automobile accidents
1	Nontraffic related arrest

Note. UCMJ = Uniform Code of Military Justice; DUI = driving under the influence of alcohol.

### Statistical Analyses

Means and standard deviations were computed for the three personality scales and three life history indices. Correlations were computed among the six predictor variables. Univariate analyses (*t* tests and effect sizes) were computed that assessed the capacity of each of the six predictor variables to differentiate

the two criterion groups. Given a sample size of 109 cases in each group, setting alpha equal to .05, and hypothesizing a medium effect size, the estimated power of this study was .88.

### Results

The correlations among the six predictor variables are presented in Table 2.



Table 2  
Correlations Among Predictor Variables

Variable	1	2	3	4	5	6
1. Responsibility		.40*	.52*	-.01	-.08	.01
2. Socialization			.40*	-.11	-.18*	-.13
3. Self-Control				-.04	-.09	-.02
4. Work history					.10	.35*
5. Drug history						.07
6. Criminal history						

Note.  $N = 218$ .

\*  $p < .01$ .

Table 3 shows the means, standard deviations,  $t$ -test results, effect sizes ( $d$ ), and effect sizes corrected for range restriction ( $d_c$ ) for the three personality scales and three life history indices in differentiating the two criterion groups. The basis for computing the amount of range restriction in the three personality scores came directly from the database of the police psychologist's CPI test file. CPI test scores were retained on 7,538 applicants who had been assessed over the 11-year period. By comparing the standard deviation of the three test scores in the total applicant population (7,538) with the standard deviation of the test scores in the sample used in this study ( $N = 218$ ), we were able to directly compute the amount of range restriction in the CPI scores, using the correction formula

$$r_c = \frac{Ur}{\sqrt{(U^2 - 1)r^2 + 1}} \quad (1)$$

The amount of range restriction is measured by  $u$  (Hunter & Schmidt, 1990), where

$$u = \frac{\sigma_{x \text{ sample}}}{\sigma_{x \text{ population}}} = \frac{1}{U} \quad (2)$$

The magnitudes of the  $u$  coefficient for the three test scores were .83 for Responsibility, .87 for Socialization, and .81 for Self-Control. These coefficients were used to compute the estimated effect sizes for the three test scores corrected for restriction in range. The  $d$  coefficients were converted to  $r$ s using the formula (Rosenthal & Rosnow, 1991)

$$d = \frac{2r}{\sqrt{1 - r^2}} \quad (3)$$

The corrected  $r$ s ( $r_c$ ) were then converted back to (corrected)  $d$  ( $d_c$ ) coefficients.

Because of the CPI test score database, it was possible to directly compute the amount of range restriction in the sample test scores. However, such was not the case with the life history indices. The life history indices were computed expressly for the 218 participants who comprised the sample. Thus, there was no corresponding referent population of life history indices. Accordingly, it was only possible to estimate indirectly the amount of range restriction in the life history indices. We initially hypothesized the amount of range restriction in the life history indices

Table 3  
Disciplinary and Control Group Means, Standard Deviations, Significance Tests, and Effect Sizes

Variable	Disciplinary group ( $n = 109$ )		Control group ( $n = 109$ )		$t(216)$	$d$	$d_c$
	$M$	$SD$	$M$	$SD$			
CPI							
Responsibility	51.95	7.73	56.24	5.83	4.618*	.60	.67
Socialization	55.78	7.82	58.86	4.66	3.523*	.47	.52
Self-Control	57.95	7.45	60.83	6.64	3.003*	.40	.48
Life history							
Work index	0.92	1.50	0.13	0.46	-5.276*	.67	.74
Drug use index	0.95	1.33	0.58	0.85	-2.462*	.33	.40
Criminal index	0.62	0.89	0.25	0.58	-3.543*	.48	.55

Note.  $d$  = effect size;  $d_c$  =  $d$  coefficient corrected for range restriction; CPI = California Psychological Inventory.

\*  $p < .01$  (one-tailed).



was greater than the amount of range restriction in the personality test scores. The basis for this hypothesis is that applicants with histories of excessive drug use, criminal activity, and/or work history problems would not be accepted into law enforcement positions. Furthermore, some applicants with such life histories would not even submit themselves for consideration for employment in law enforcement. Although logically we hypothesized greater range restriction in the life history indices, we had no empirical bases to support such a conclusion. Consequently, we estimated the amount of range restriction in the life history indices to be equal to the greatest amount of range restriction empirically demonstrated among the three test scores, which was  $u = .81$  (for Self-Control). Thus, the amount of range restriction ( $u$ ) in the three life history indices was estimated to be .81, which we recognize may be conservative.

As shown in Table 3, the three CPI scales (Responsibility, Socialization, and Self-Control) significantly ( $p < .01$ ) differentiated the two groups. All three life history indices significantly ( $p < .01$ ) differentiated the two groups. Corrected effect sizes for the personality scales ranged from .48 (Self-Control) to .67 (Responsibility), and corrected effect sizes for the life history indices ranged from .40 (Drug Use) to .74 (Work). All of the differences in the two sets of scores (per predictor) were in the hypothesized direction.

### Discussion

The relationships shown in Table 2 between the three personality scales and the three life history indices generally reveal small observed correlations. Ones et al. (1993) found an observed correlation of .22 between integrity tests (which measure, in part, conscientiousness) and composite measures of counterproductive behaviors on the job, such as drug and alcohol use. However, after correcting for downward biases caused by range restriction and criterion unreliability, the corrected correlation was .32. In this study, using the formula for the correlation of linear composites (Nunnally, 1978, p. 166), the sum of the three CPI scales that measure conscientiousness (Responsibility, Socialization, and Self-Control) and the sum of the three life history indices (work, drug use, criminal) was .15 (reflected; actual value was  $-.15$ ). Correcting this observed correlation for downward biases caused by range restriction and criterion unreliability (estimated to be .60; Schmidt, Hunter, & Urry, 1976), the corrected correlation was .27. The corrected validity coefficients from the two studies are similar in magnitude, although the domain of dysfunctional (or counterproductive) behaviors between the two studies were not identical.

The results can be examined from two perspectives: the construct of conscientiousness and methodological concerns in the use of construct-oriented life history indi-

ces. In general, the overall pattern of results provided support for the theory that conscientiousness is predictive of dysfunctional job behaviors, at least among law enforcement officers. The research findings provide validity generalization for the diagnostic value of conscientiousness in understanding work behavior. Of the subscales of the Conscientiousness factor, the strongest predictive power was evidenced for Responsibility. Individuals scoring low on this scale are characterized as being careless, impulsive, and having little concern for a sense of duty. The Socialization scale assessed integrity and conformance to rules and regulations. Low scoring individuals tend to be more prone to risk-taking and rebellious behaviors. The third scale of the CPI that exhibited a moderate effect size ( $d \geq .40$ ) was Self-Control, which assesses freedom from impulsivity. Low scoring individuals tend to be unpredictable and excitement-seeking. The theoretical basis for the predictive power of Conscientiousness pertains to individual manifestations of impulsive tendencies, a conclusion also reached by J. Hogan and Ones (1994). Our findings are consistent with those reported by Ones et al. (1993) regarding the validity of conscientiousness to forecast what they referred to as "counterproductive" behaviors, including theft, absenteeism, tardiness, and disciplinary problems. The criterion conceptualization in our study would be more consistent with disciplinary problems than with theft, absenteeism, or tardiness. However, the domain of disciplinary problems was expanded in this research by inclusion of a range of inappropriate behaviors particularly endemic to the law enforcement occupation.

The association between the construct-oriented life history indices and the criterion classification underscores the principle of behavioral consistency. That is, officers who had previous employment problems, a history of drug use, and a history of criminal activity were more likely to have been formally disciplined in their law enforcement careers than officers who did not exhibit this pattern of previous behavior. The construct-oriented or rational approach to scale construction has been challenged because of the loss of predictive validity compared to empirical-keying or internal (e.g., factor analytic) approaches. Thus, the trade-off is generally between the predictive accuracy of empirical and internal scale development procedures versus the theoretical advances that can be accrued through the rational method of scale construction. As Hough and Paullin (1994) have noted, each method of scale construction has its ardent proponents. In a study of law enforcement officers, Schmitt, Jennings, and Toney (1996) used the rational method to develop life history scales intending to be supportive of existing hypothetical constructs and to be predictive of job performance criteria. One dimension that emerged from their study was labeled "positive image/community involvement" and reflects attributes similar to those assessed in this study, including



an "ability to maintain a professional demeanor and appearance at all times, an ability and willingness to be uncompromisingly honest, ethical and law abiding, and an ability to be responsible, dependable, and project a positive attitude while performing tasks" (Schmitt et al., 1996, p. 55). This dimension was found to be clearly interpretable with a strong theoretical base, yet it was not predictive of job performance criteria in their study. The criteria in their study consisted of a job knowledge test and supervisor ratings of motivation and technical proficiency. Unlike in the Schmitt et al. study, the life history indices in this study were predictive of job behavior. The difference in outcomes between the two studies may be attributable to how the criterion was conceptualized. In this study, three specific life history indices (work, drug use, criminal) were predictive of a specific category of job performance—being classified as a disciplined law enforcement officer. The issue of the loss of predictive power of construct-oriented life history scales compared to empirical or internally constructed scales may rest on the specificity of the criteria being predicted. The bandwidth-fidelity dilemma of measurement has been generally limited to the assessment of predictor constructs. That is, arguments have been proposed regarding the relative merits of assessing broad versus narrowly defined personality constructs. Less concern has been directed to the bandwidth-fidelity dilemma as it applies to the criterion. Cronbach (1960) argued in favor of using complex predictors to forecast complex criteria, and vice versa. We concur with the position of J. Hogan and Roberts (1996) on this matter: "The criterion problem is a real issue. In our view, both the nature and the bandwidth of the criterion dictate the choice of predictor(s)" (p. 631). In this study, we obtained validity of construct-oriented life history indices when those indices assessed narrow aspects of behavior (i.e., criminal, drug use, and work history) and the criterion was similarly constructed (i.e., disciplinary problems).

An examination of the items comprising the life history indices (Table 1) reveals an array of dysfunctional behaviors, such as marijuana use, military court martial, conviction for driving under the influence of alcohol, and so on. The individuals who engaged in such behaviors had a much higher probability of subsequent disciplinary problems as law enforcement officers than their counterparts who did not engage in such behaviors. That is, candidates for law enforcement positions were more likely to be predicted as true negatives (in the personnel selection usage of the term) if they had a prior history of these dysfunctional behaviors. However, it is also the case that some law enforcement officers in our study did not engage in these behaviors, yet they subsequently became disciplinary cases for their agencies (i.e., false positives). That is, the selection process failed to predict their future dysfunctional job behavior. The practical significance of these

findings is that prior life history evidence of dysfunctional behaviors (either at work, through drug use, or criminal activity) should be taken very seriously in the personnel selection process. Past dysfunctional behavior predicts future dysfunctional behavior. However, the absence of past dysfunctional behaviors does not necessarily indicate their absence in the future.

A further consideration rests with the criterion classification of disciplinary and control group officers. The on-the-job behavior of law enforcement officers rests along a continuum of functionality. At one end there is the officer who has a totally clean record—a model officer with regard to his or her conduct. At the other end of the continuum is the officer who has been terminated from duty for inappropriate conduct. In between these end points are officers who have engaged in a range of behaviors. At some point along the continuum an officer's behavior is judged to be sufficiently egregious to receive formal disciplinary or departmental action. An officer who is engaging in mildly dysfunctional behavior is more likely to be counseled or informally warned rather than be formally disciplined. Only if the pattern of dysfunctional behavior continues or escalates is the officer more likely to be formally disciplined.

Finally, from a methodological perspective, the present research raises questions regarding the creation of construct-oriented life history indices. The life history behaviors assessed in this research pertained to criminal history, work history, and drug use history. Some specific behaviors were very infrequently engaged in by the law enforcement officers. For example, none of the officers in the study had ingested heroin, yet heroin usage is a component of the broader construct of drug usage. According to the tenets of classic test theory, items that produce extremely skewed response rates should be deleted from a test or scale. Many of the more discriminating scale items had a very low percentage of endorsement in general, as, for example, 7% of the disciplinary group and 1% of the control group. The psychometric issue in question is the measurement of highly infrequent behaviors. Other scientific disciplines, such as seismology, are concerned with the prediction of rare events, but the events are not summated to form a scale, with a corresponding score per unit of observation. There is relatively little in the way of guidance from current psychometric literature regarding the measurement of highly infrequent behaviors. Discarding items in scale construction that produce extreme base rates of response (e.g., 10% or less of the respondents) would (in this study) result in the loss of some of the most valid items for discriminating the two groups. The decision to treat each item individually and not create a scale undermines the logic of construct-oriented measurement, which consists of a rational or theory-based development of multiple items assessing the construct in question.



Commensurate with the issue of construct-oriented scale development that assesses infrequently observed behaviors is the issue of the internal consistency reliability of the scale. It is standard psychometric practice to assess the internal consistency reliability of a multi-item scale that purports to measure a unidimensional construct. The magnitude of the internal consistency reliability coefficient is taken as evidence of the homogeneity of the items, and in turn the scale's psychometric integrity. When rarely observed behaviors are summated to create a scale, the resulting internal consistency reliability coefficient will be low, caused by the greatly reduced variance in the response distribution. If the standard precept of high internal consistency reliability is imposed for a scale to have psychometric integrity, life history indices that assess rare events will generally not be deemed acceptable. This issue has been addressed by Mitchell (1996), who stated that it is incorrect to require life history indices to manifest internal consistency reliability. Similarly, Bollen and Lennox (1991) examined classic measurement assumptions from a structural equation perspective and concluded that valid measures of a unidimensional construct must be internally consistent for effect indicators, but not causal indicators. By following the traditional empirical or internal approach to assessment, certain psychometric properties can be enhanced, but often at the expense of a theory-based research orientation. Alternatively, theory-based measurement can produce empirical results that may be deemed to have questionable psychometric integrity. It appears that if this field is going to advance in its capacity to explain behavior, researchers are either going to have to develop new methods of statistical analysis to accommodate data that do not meet classic measurement assumptions, or they will have to modify some long-held beliefs regarding what constitutes acceptable psychometric standards. Failure to do either will seemingly have researchers continually pulling on both ends of the rational-empirical rope with a limiting Gordian knot being the inevitable outcome.

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# PREDICTION OF LAW ENFORCEMENT TRAINING PERFORMANCE

## Prediction of Law Enforcement Training Performance and Dysfunctional Job Performance with General Mental Ability, Personality, and Life History Variables

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Abstract

Two studies were conducted on personnel in the field of law enforcement. Study 1 examined the predictability of law enforcement candidates who failed to complete either academy or field training ( $n = 132$ ) versus a matched-case control sample ( $n = 132$ ) who passed training. Study 2 examined the predictability of law enforcement officers who were formally disciplined ( $n = 200$ ) for inappropriate behavior on the job versus a matched-case control sample ( $n = 200$ ) who were not disciplined. General mental ability, personality, and life history variables served as the predictors of these criteria. The predictive accuracy of a specially constructed life history veracity index (an internal validity scale) was also examined. The results revealed both criteria were predictable, but with differential accuracy across the predictor types. The findings were discussed in the context of recent research on the selection of law enforcement personnel, the major constructs assessed in the study, and issues associated with longitudinal validation research.

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As chronicled by Drees, Ones, Cullen, Spilberg, and Viswesvaran (2003), the screening of police applicants can be traced back to 1829 in London. Until 1960 the assessment of candidates was limited primarily to mental ability and selected aptitudes. Oglesby (1957) suggested that the evaluation of police candidates would be enhanced by the assessment of personality related factors. Interest in a comprehensive assessment of police candidates has grown over the past 30 years. Bolte and Smith (2001) reported that 35 of the 50 states currently have formal standards for psychological fitness in the selection of police officers, although there is disagreement across the states regarding how fitness is to be determined (i.e., clinical judgment vs. paper-and-pencil exam). Drees et al. reported that five states have mandated the use of specific psychological instruments as the Minnesota Multiphasic Personality Inventory (MMPI; Hathaway & McKinley, 1943) or the California Psychological Inventory (CPI; Gough & Bradley, 1996) to assess emotional competence and/or screen out psychopathy. Spilberg (2003) reported that a recent survey of police officer selection procedures indicated that the psychological assessment of police candidates was not handled consistently across the states. Some jurisdictions use psychological assessments to screen in candidates with "normal" personalities, while others screen out candidates with "abnormal" personalities.

A meta-analysis of personality and police officer behavior was conducted by Ones, Viswesvaran, Cullen, Drees, and Langkamp (2003). The focus of the meta-analysis was on the validity of the underlying psychological constructs predictive of police officer behavior. The meta-analysis examined the predictability of effective and counterproductive work behaviors. The construct of counterproductive work behaviors included a wide range of behaviors such as firearms misuse, theft, excessive force, negligence, delinquency, integrity problems, misuse of

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official vehicles, inappropriate sexual behavior, insubordination, and failure to comply with departmental regulations. Disciplinary actions following these counterproductive behaviors included reprimands, assignment to restricted duty, disciplinary warnings, and suspension from active duty. The personality constructs were based upon measures assessed by the MMPI, CPI, and related instruments. The findings revealed that Agreeableness, Impulse Control, and Socialization were negatively associated with counterproductive behaviors, while Risk Taking was positively associated with counterproductive behaviors. These authors concluded that selected psychological constructs are useful for predicting a broad range of differential behaviors and criteria for police officers.

Sarchione, Cuttler, Muchinsky, and Nelson-Gray (1998) examined the predictability of dysfunctional job behavior among law enforcement officers using the Big Five personality constructs and life history information. Officers were placed into two criterion groups: those officers involved in situations requiring formal disciplinary or departmental action (e.g., officer reprimand, investigation, suspension, or termination from duty) as a result of their behavior on the job after selection; and a control group of officers who had not exhibited any dysfunctional job behaviors. Job dysfunctions included a range of behaviors similar to those described by Ones et al. (2003), and included use of excessive force, sexual misconduct, substance abuse, insubordination or supervisory problems, lying, multiple motor vehicle violations, inappropriate verbal conduct toward the public, and multiple duty violations. The life history information consisted of three indices derived from information reported in personal history questionnaires, structured interviews, and/or background investigation reports, all completed prior to psychological assessment for candidacy. The indices were work history (e.g., prior terminations



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from previous employment, military court martial, etc.), drug use history (e.g., heroin, crack, methamphetamine usage as an adult, cocaine use in the past two years, etc.), and criminal history (e.g., DUI conviction in the past two years, domestic related arrest in the past two years, etc.).

Three personality scales from the CPI (Responsibility, Socialization, and Self-Control) also served as predictor variables. The results indicated that all three of the personality scales and all three of the life history indices significantly differentiated the two groups of officers (disciplinary and control). These results were consistent with the findings from the meta-analysis reported by Ones et al. (2003). The results were also consistent with larger meta-analyses examining the predictability of dysfunctional or counterproductive behavior across a wide range of organizations (e. g., Ones, Viswesvaran, & Schmidt, 1993).

All of the studies cited have been directed to the predictability of dysfunctional behavior among law enforcement officers. However, there is a previous decision-point in the selection process of officers. All officers had successfully passed a law enforcement training school program and had thus become sworn officers. However, some candidates for law enforcement positions are terminated from training school, and thus never become officers. In addition to the prediction of behaviors among law enforcement officers, we were also interested in the prediction of candidate behavior while in training school. One major meta-analytic review (Colquitt, LePine, & Noe, 2000) proposed and tested an elaborate model designed to explain success in training. Among several predictor variables examined, the personality construct of conscientiousness was positively correlated with declarative knowledge ( $r = .12$ ) and skill acquisition ( $r = .18$ ) in training. However, cognitive ability was found to be positively correlated with pre-training self-efficiency ( $r = .39$ ), declarative knowledge ( $r = .76$ ), and skill acquisition

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( $r = .42$ ). On the basis of this comprehensive meta-analysis, it was concluded that personality constructs are not as strongly related to success in training as cognitive ability.

In a meta-analytic investigation limited to law enforcement occupations, Aamodt (2002) reported an average correlation of  $r = .41$  ( $p = .62$ ) between mental ability and various measures of academic performance. In a study limited to the European community, Salgado et al. (2003) reported an average correlation of  $r = .13$  between mental ability and academy performance. Likewise, Hirsch, Northrup, and Schmidt (1986) reported an average correlation of  $r = .34$  between mental ability and academy training. Aamodt found an average correlation of  $r = .13$  between conscientiousness and training, and an average correlation of .07 between conscientiousness and discipline problems. Varela (2000) found a somewhat smaller correlation  $r = .06$ , ( $p = .10$ ) between personality scales and law enforcement training performance. The general pattern of findings from these studies was that both mental ability and personality were predictive of law enforcement training, with mental ability being superior to personality in predictability. While research on the job-related behaviors of law enforcement officers was more limited, a similar pattern emerged.

The purpose of the present study was to advance our understanding of selection issues associated with the law enforcement profession. We built upon the previous research of Sarchione et al. in expanding our ability to forecast counterproductive behaviors among law enforcement officers. However, we were also interested in examining issues associated with performance of candidates in training school prior to their becoming officers. The recent research on law enforcement selection issues (e.g., Drees, et al., 2003; Ones, et al., 2003;

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Spilberg, 2003) indicated that there is growing professional interest in an occupation that is critical to public welfare and trust.

### Method

#### Study 1

##### Participants

Study 1 was directed at differentiating candidates who completed versus failed to complete the law enforcement academy training program. Candidates were selected from 25 law enforcement agencies situated over a four-state area. The candidates selected for study represented two criterion groups, completed training ( $n = 132$ ) and failed to complete training ( $n = 132$ ). Forty-six candidates were women and 218 were men; 26 candidates were African American, 10 were Latin American, and 228 were European American. The completed and failed to complete candidates were matched with regard to law enforcement agency, date of training, gender, and ethnicity.

##### Criterion

*Failed to complete training group.* Candidates for law enforcement positions were required to complete a two-phase training program in law enforcement. The first phase was to pass an academic program in the standards and practices of law enforcement. The program was offered by a law enforcement training academy. The length of time in the academic program varied between 4 and 6 months, depending upon the requirements of the particular academy.



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Those candidates who successfully passed academic training then proceeded to field training which lasted another 4 to 6 months. Field training consisted of on-the-job training activities in law enforcement, where each candidate was guided and evaluated by a field training law enforcement officer. Members of this criterion group, failed to complete training, did not complete the training for one of several reasons. Most candidates failed to pass the written tests in the academy and were thus dropped from the law enforcement training program. Other candidates who passed the academy training experienced difficulties in the field training. Some candidates voluntarily withdrew from field training after learning about the actual on-the-job duties and activities of law enforcement. Other candidates received a failing evaluation from their field training officer, and were thus terminated from the program. Some of these candidates were overtly terminated, while others were asked to resign or withdraw in lieu of being terminated. Therefore, the 132 members of the failed to complete training group consisted of candidates who were dropped from law enforcement training at some point during either the academy or field training. As such none of the members of this group graduated to become law enforcement officers.

*Completed training group.* The 132 members of the completed training group successfully passed both the academy training and the field training, and thus graduated to become law enforcement officers. Depending upon the particular law enforcement agency, the total length of training time (both academy and field) varied between 8 and 12 months.

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### Study 2

#### Participants

Study 2 was directed at differentiating law enforcement officers involved in situations requiring formal disciplinary or departmental action versus a control group of law enforcement officers who received no disciplinary or departmental action. Law enforcement officers were selected from 39 law enforcement agencies situated over a four-state area. The law enforcement officers selected for study represented two criterion groups, discipline ( $n = 200$ ) and control ( $n = 200$ ). None of the participants in Study 1 were participants in Study 2. Forty officers were women and 360 were men; 54 officers were African American, 12 were Latin American, and 328 were European American. The discipline and control officers were matched with regard to law enforcement agency, date of hire, gender, and ethnicity.

#### Criterion

*Disciplinary group.* The disciplinary group consisted of law enforcement officers involved in situations requiring formal disciplinary or departmental action (e.g., officer reprimand, investigation, suspension, or termination from duty) as a result of their behavior on the job after selection. Job dysfunctions included excessive force, sexual misconduct (e.g., sexual contact with citizens while on duty), substance abuse (e.g., appearing for duty intoxicated), insubordination or supervisory problems (e.g., not following orders, arguing with supervisors), embezzlement of property (e.g., theft of agency property), lying, multiple motor vehicle violations (e.g., speeding, reckless driving), inappropriate verbal conduct toward public (e.g., racial slurs, profanity), multiple duty responsibility violations (e.g., failing to complete

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required assignments and duty obligations), and undue use of force. The manifestation of these behaviors on the job placed the law enforcement officers in the disciplinary group. The sample was drawn from law enforcement agencies of different sizes and contexts, and similar behaviors across agencies would result in differential administrative responses.

*Control group.* The control group consisted of law enforcement officers who had not exhibited any of the above job dysfunctions. Officers selected for the control group had at least one unfounded complaint, at least one justified use of force, or both. This selection criterion was invoked to attempt to avoid selecting officers whose records contained no disciplinary or departmental actions because of a lack of active duty as an officer.

### Predictors

*Wonderlic Personnel Test.* The Wonderlic Personnel Test (1983) is a widely used assessment of general mental ability. The test consisted of 50 questions in increasing order of difficulty. The test manual reported a KR20 reliability coefficient (a measure of the internal consistency of the questions) of .88. The Wonderlic scores were obtained from a database of test results maintained by the first author. There were complete Wonderlic test scores for every participant in the study.

*California Psychological Inventory.* The most current version of the CPI (Form 434) contains 20 scales (Gough & Bradley, 1996). A fourth grade reading ability is required to adequately complete the CPI, and adequate estimates of reliability were reported based on internal consistency and test-retest methods. The three scales previously described (Responsibility, Socialization, and Self-control) were selected for investigation. The CPI scores



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were obtained from a database of test results maintained by the police psychologist. The internal consistency reliability of the three scales were in the .80s. There were complete test scores for each participant in the study.

*Life history information.* Life history information was obtained from personal history questionnaires, a structured interview, and/or a background investigation report, all completed prior to psychological assessment for candidacy (e.g., preemployment/applicant status). Using the general paradigm proposed by Mumford, Costanza, Connelly, and Johnson (1996), life history information was organized into rationally determined domains by seven subject matter experts (SMEs), expressly for the subjects who comprised the sample in this research. The SMEs were senior law enforcement personnel responsible for hiring decisions. The SMEs identified three domains of performance-relevant characteristics for law enforcement officers: (a) work history; (b) criminal history; and (c) drug use history. The truthfulness of the information on the questionnaires was subsequently investigated by background investigators from law enforcement agencies to which the individual was applying, and corrections (if any) were made on the questionnaires.

A fourth domain was created based upon each participant's responses to a series of questions about their lives. This domain, unlike the work history, criminal history, and drug use history domains, was not derived on a substantive or content-oriented basis. Rather, it was based on internal discrepancies, inconsistencies, or omissions in the participant's responses to a series of questions that were asked in a variety of formats or contexts. For example, a candidate may have omitted a substantial period of time in documenting his or her work history. Alternatively, a candidate may have responded negatively to a single item question regarding whether he or she

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had ever been terminated from a job, yet describes in the narrative portion of the work history report that the reason a job change occurred was because of a termination. A minor job application discrepancy would be conflicting dates of employment or termination in the work history report. Seven possible manifestations of discrepancies in work history were identified.

Descriptive statistics were conducted and life experiences were scaled. Each group of experiences within the four life history areas was assigned a scoring weight. After investigating each subject's file and documenting the life experiences, index scores for each subject were then computed by summing the weights of all experiences met within each life history domain for that subject. The possible range of index scores for the four domains were (a) work history = 0-32; (b) drug use history = 0-31; (c) criminal history = 0-36; and (d) discrepancy index = 0-12. There were no missing life history data for the participants. The list of weighted life history items is available from the second author.

### Statistical Analyses

Means and standard deviations were computed for the Wonderlic mental ability test, the three personality scales, and the four life history indices for the four groups of participants. Correlations were computed among the eight predictor variables. Univariate analyses ( $F$  tests and effect sizes) were computed that assessed the capacity of each of the eight predictor variables to differentiate the two sets of criterion groups. Given a sample size of 132 participants in each criterion group in the training study, setting alpha equal to .05, and hypothesizing a medium effect size, the estimated power of Study 1 was .90. Given a sample size of 200

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participants in each criterion group in the discipline study, setting alpha equal to .05, and hypothesizing a medium effect size, the estimated power of Study 2 was .98.

### Hypotheses and Research Design

For both Study 1 and Study 2 it was hypothesized that the predictor variables examined would differentiate the two sets of respective criterion groups. In Study 1 it was predicted those candidates who completed academy training would score significantly ( $p < .05$ ) higher on assessments of general mental ability and the three personality dimensions than those candidates who failed to complete training. It was predicted those candidates who completed academy training would score significantly lower on the four life history indices than those candidates who failed to complete training. In Study 2 it was predicted those officers who had not been disciplined would score significantly higher on assessments of general mental ability and the three personality dimensions than those officers who had been disciplined. It was predicted that officers who had not been disciplined would score significantly lower on the four life history indices than those officers who had been disciplined.

### Results

The correlations among the eight predictor variables are presented in Table 1. The results for the completed and failed to complete training groups ( $n = 264$ ) are shown below the

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Insert Table 1 about here

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main diagonal, while the results for the discipline and control groups ( $n = 400$ ) are shown above the main diagonal.

Table 2 shows the means, standard deviations,  $F$ -test results, effect size ( $r$ ), and effect sizes corrected for range restrictions ( $r_c$ ) for the eight predictor variables in differentiating the

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Insert Table 2 about here

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completed training and failed to complete training criterion groups (Study 1). Table 3 shows the means, standard deviations,  $F$ -test results, effect size ( $r$ ), and effect sizes corrected for range

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Insert Table 3 about here

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restrictions ( $r_c$ ) for the eight predictor variables in differentiating the discipline and control criterion groups (Study 2). The basis for computing the amount of range restriction in the mental ability test scores and three personality scale scores came directly from the first author's database. Wonderlic test scores were retained on over 28,000 applicants over a 20-year period. Similarly, CPI scale scores were retained on over 22,000 applicants over the same time period. By comparing the standard deviation of the four scores in the total applicant population with the

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standard deviation of the scores in the samples used in this study, it was possible to directly compute the amount of range restriction in the scores, using the correction formula

$$r_c = \frac{Ur}{\sqrt{(U^2 - 1)r^2 + 1}}. \quad (1)$$

The amount of range restriction is measured by  $\mu$  (Hunter & Schmidt, 1990), where

$$\mu = \frac{\sigma_{x \text{ sample}}}{\sigma_{x \text{ population}}} = \frac{1}{U}. \quad (2)$$

The magnitudes of the  $\mu$  coefficient in the training study were .74 for mental ability, .84 for Responsibility, .89 for Socialization, and .87 for Self-Control. The magnitudes of the  $\mu$  coefficient in the discipline study were .85 for mental ability, .91 for Responsibility, .86 for Socialization, and .91 for Self-Control. These coefficients were used to compute the estimated effect sizes for the three test scores corrected for restriction in range.

Because of the test score database, it was possible to directly compute the amount of range restriction in the sample test scores. However, such was not the case with the life history indices. The life history indices were computed expressly for the participants who comprised the four samples. Accordingly, it was only possible to estimate indirectly the amount of range restriction in the life history indices. It was initially hypothesized the amount of range restriction in the life history indices was greater than the amount of range restriction in the test scores. The basis for this hypothesis is that applicants with histories of excessive drug use or criminal

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activity, for example, would not be accepted into law enforcement positions. Furthermore, some applicants with such life histories would not even submit themselves for consideration for employment in law enforcement. Although logically greater range restriction in the life history indices was hypothesized, the authors had no empirical basis to support such a conclusion. Consequently, it was estimated the amount of range restriction in the life history indices was equal to the greatest amount of range restriction empirically demonstrated among the four test scores, which was  $\mu = .74$  (for mental ability) in the training group study, and  $\mu = .85$  (for mental ability) in the discipline group study.

Discussion

Study 1 addressed the predictability of law enforcement candidates who completed training versus those who failed to complete training. Although none of the three personality scales were predictive of the criterion, one of the life history indices, the work index, was found to be. Finally, general mental ability was found to be predictive of success in law enforcement training.

The results from Study 2 involving the prediction of dysfunctional job behaviors among law enforcement officers partially replicated the findings reported by Sarchione et al. As was the case in the Sarchione et al. study, the three personality scales (Responsibility, Socialization, and Self-Control) which collectively measure the construct of Conscientiousness were each correlated significantly ( $p < .05$ ) with the criterion of group membership. However, the magnitude of the effect sizes were smaller in the present study. Likewise, two of the three (work history and drug history) life history scales were significantly ( $p < .05$ ) correlated with the



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criterion, while the third scale (criminal history) failed to replicate from the previous study. However, one of the significant findings from this study was a *reversal* of a significant result from the previous study involving the drug use history index. In this study the drug use index for the control group was higher than for the disciplined group, while the opposite result occurred in the Sarchione et al. (1998) study.

The present study also included two predictor variables which were not used in the previous study. They were general mental ability (as measured by the Wonderlic Personnel Test) and the veracity index from the life history questionnaire. Both of these variables were significantly ( $p < .05$ ) correlated with the criterion. The magnitude of the effect size for the veracity index was equal to the effect size for the work history index, which were the two strongest predictors in the study. Seven of the eight predictor variables were significantly correlated with the criterion, as shown in Table 3. The results of the present study replicated the findings from the previous study, and the two additional variables added to the predictability of the criterion.

The validity of two predictors (general mental ability and work history) generalized across both criteria. The sustaining validity of general mental ability to forecast a wide range of criteria is well documented in the literature. Ree and Earles (1992) and Hunter and Schmidt (1996) have articulated the broad ranging capacity of general mental ability to predict job performance across a wide spectrum of occupations. Schmidt and Hunter (1998) have meta-analytically estimated the validity of general mental ability in predicting job performance to be .51. In the vast majority of individual empirical studies job performance is defined and measured as gradations of quality or efficiency. This study took a different approach to defining

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and measuring (i.e., classifying) job performance. The focus was on dysfunctional job behaviors evidenced in a group of law enforcement officers, and a statistically-matched control group was identified for comparison purposes. Even with this type of conceptualization of job performance, general mental ability was found to be a useful predictor, although its effect size was less than the average reported by Schmidt and Hunter (1998). With regard to the training criterion in Study 1, general mental ability was also found to be a valid predictor. Our findings corroborate the results reported by Ree and Earles (1991) who examined the predictability of general mental ability in forecasting job-training school grades of Air Force enlistees. However, the magnitude of the effect size for general mental ability was less in the current study than that reported by Ree and Earles (1991). Possible reasons for this reduced predictability will be discussed shortly.

The second predictor construct used in this study, Conscientiousness, exhibited differential predictive accuracy across the two criteria. In forecasting dysfunctional job behaviors, each of the three scales of the CPI that collectively defined conscientiousness (i.e., Responsibility, Socialization, and Self-Control) was significantly correlated with group membership in Study 2. These findings replicate what was reported by Sarchione et al., as well as being consistent with the results reported by Ones et al. (1993). The literature reveals that the personality factor of Conscientiousness predicts social deviance among law enforcement officers (e.g., Hargrave & Berner, 1994; Hargrave & Hiatt, 1989), and the results of this study are consistent with those findings. However, Conscientiousness was not found to be predictive of law enforcement training (Study 1). There is a larger literature base on the validity of personality in predicting job performance than training performance. Hurtz and Donovan (2000)

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conducted a meta-analysis of the validity of the Big Five personality factors in predicting job performance and training performance. Although based on far fewer individual studies, the results of the validity of Conscientiousness in predicting training performance (compared to job performance) revealed a trivial relationship. Hurtz and Donovan found a corrected correlation of  $r = .03$  between Conscientiousness and training performance. The results from this study (Table 2) parallel that finding.

The third predictor construct used in this study, life history, exhibited inconsistent relationships with the two criteria, based upon the particular life history index in question. The work index was the only predictor that significantly predicted both criteria. Consistent with the Sarchione et al. study findings, the work history index significantly predicted dysfunctional job behaviors. The work history index also predicted training performance, being only one of two variables (the other being general mental ability) to do so. The criminal index did not predict either criterion, and its inability to predict dysfunctional job behaviors was a failure to replicate the findings from Sarchione et al. The findings for the drug use index in predicting dysfunctional job behavior were a reversal from the Sarchione et al. study. In both studies there was a significant relationship between the drug use index and dysfunctional job behavior. In the Sarchione et al. study, control group law enforcement officers had a lower average drug use score than did the disciplined group of officers. In this study the control group law enforcement officers had a higher average drug use score than did the disciplined group. The authors are unable to offer an empirically verifiable explanation for this reversal of findings. However, it is speculated that there may be a differential response set operating for applicants who later are disciplined, making them more prone to respond falsely to questions about drug use. Finally, the



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veracity index significantly predicted dysfunctional job behavior (Study 2) but not training performance (Study 1). No other variable in either study had an effect size greater than that found for the veracity index in Study 2 (it was equal in magnitude to the effect size for the work history index). Officers who were found to engage in giving inconsistent or discrepant responses to life history questions were more likely to be members of the disciplined group than their counterparts in the control group. In summary, the predictive capacity of life history information to forecast job behavior found in this study is consistent with the results reported in previous studies (e.g., Carlson, Scullen, Schmidt, Rothstein, & Erwin, 1999; Elkins & Phillips, 2000).

The overall pattern of our results is fairly consistent with past research on law enforcement selection, although the magnitude of some effect sizes were smaller. Studies that have examined candidate behavior in training and officer behavior on the job (using general mental ability and personality as predictors) typically reach the following conclusion. General mental ability is predictive of success in tasks requiring cognitive/intellectual skills (as completing training school). Candidates who do not complete training may have done so because of deficient mental skills or because of disciplinary problems resulting in their dismissal. Relatively few candidates who fail to complete training do so because of disciplinary problems warranting their expulsion. As such, personality tests tend not to be highly predictive of success in training. However, the criterion for success (as measured in this study) among officers shifts to the specific absence of dysfunctional, negative behavior. In the study of law enforcement officers, the "successful" officers were a control group who had not committed dysfunctional behaviors. As the criterion was defined more narrowly among the officers on the job, and

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pertained to exhibiting dysfunctional behavior, the validity of the personality variables increased. The validity of mental ability in both studies was comparable.

The authors wish to offer four possible explanations as to why the effect sizes for some variables were not as high in this study compared to previous research. Conducting field research in law enforcement is fraught with methodological limitations. While law enforcement agencies are in general willing to share some information for research purposes, the nature of the research conducted in the present study was potentially intrusive and embarrassing to the agencies. The present researchers had to make inquiries of the law enforcement agencies regarding, what were in effect, problem personnel or outright failures. These were either candidates who failed to complete law enforcement training, or officers who had to be disciplined (up to and including dismissal from the job) for politically and socially charged reasons (e.g., racial bias, undue use of force, corruption, moral turpitude, etc.). As with all organizations, there is some reluctance to openly reveal the identities of specific individuals who were involved in what are basically "private personnel matters." It is not known the degree to which the specific law enforcement agencies may have been less than totally forthcoming in revealing the identities of such individuals. To the extent this may have had some influence on the individuals selected for the disciplined criterion group, there could well be some degree of range restriction in the variables selected for investigation.

Secondly, the individuals selected for analysis in both Study 1 and 2 came from multiple law enforcement agencies. That is, the candidates in Study 1 who attended law enforcement training academy did not all attend the same academy. There were differences among the training academies with regard to length of training, and quite possibly with regard to the

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standards used to assess the candidates. Likewise, during field training the candidates were serving in different law enforcement agencies. It is similarly likely that the different agencies did not invoke the identical performance standards across agencies in evaluating the candidate's field performance. As was mentioned in Sarchione et al., different law enforcement agencies can and do respond differently to matters of officer misconduct. Mild cases of misconduct may result in a verbal warning in one agency and a written reprimand in another. Only when the level of misconduct reaches a certain level of magnitude or frequency does there tend to be more uniformity and consistency in the agencies' response to that misconduct. This source of error can only be controlled for by the selection of all candidates and/or officers from the same academy or agency at the same point in time, which is logistically impossible given the sample sizes needed to conduct the research.

Third, the criterion group "failed to complete training" is a composite of reasons for being placed in that classification. For many candidates, it was because they failed the written knowledge tests in the training academy. For other candidates, it was because they failed the performance tests in the training academy in the areas of weapons use, vehicle use, and physical skills. Yet other candidates failed on-the-job field training. It is possible that the effect sizes for some of the predictors would have been greater if this criterion group (failed to complete training) had been more homogenous. For example, the literature reveals that general mental ability is a stronger predictor of a criterion that reflects mental ability, as test scores in training (e.g., Carretta & Ree, 2000). There is no known literature on the validity of general mental ability to predict weapons use, for example. Thus, it is hypothesized that the validity of general mental ability to predict failure to complete training due to failure on the knowledge tests in law



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enforcement training would be higher than when unconfounded with other reasons for failing to complete training. Unacceptably small sample sizes prohibited the authors from making a more fine-grained analysis of the failed to complete training group.

Fourth, as is always the case with successive selection models, law enforcement officers who are on the job are the survivors of many assessments, including passing the training academy. As such, there is an inevitable restriction in range in these individuals. Restriction in range on the predictor variables can be corrected for (and was in this study), but there can be no correction for restriction in range on the criterion variables. It is possible that the candidates who failed to complete training may have contributed a substantial number of individuals to the disciplined group had they been allowed to proceed to become law enforcement officers. Because they failed to complete training, they never progressed to become law enforcement officers. Behavioral problems among candidates evidenced in the training academy would result in the candidate's expulsion, thus truncating the further manifestation of such behaviors on the job in law enforcement. As Sackett and Ostgaard (1994) noted there can be multiple explanations for range restriction in criterion variables among occupational members. Thus, the reported validity indices in this study are most likely an underestimate of their true predictive relationship in an unrestricted population.

The present study is the first to empirically examine the utility of a validity index specifically constructed for a life history questionnaire. While the psychometric rationale for the veracity index originated from personality assessment, its conceptual basis comes from individual responses to perceived invasiveness of life history information (Mael, Connerley, & Morath, 1996). Mael et al. outlined the parameters of invasiveness in life history items, which

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included items that could be verified for accuracy, negative items, transparent items, and “personal” items. All four of these parameters of invasiveness are evidenced in the life history questionnaire used to assess law enforcement candidates. Questions pertaining to drug use (marijuana, crack, LSD, cocaine, heroin, methamphetamine) are obviously negative in tone, highly transparent and can be construed to be of a “personal” nature since they can apply to non-work usage. Questions about DUI arrest and conviction, larceny, and domestic assault are likewise invasive, as are questions about military court martial, forced resignation from employment, suspension from work, and dishonorable discharge from the military. The inducement to falsify the responses to such questions is very high given the candidate’s desire to create a favorable impression. Thus, what is the basis to believe that candidates would be truthful in answering such questions? The answer may be represented by the fourth parameter of invasiveness identified by Mael et al., that of verifiability. All law enforcement candidates are informed they may have to take and pass a polygraph examination to obtain employment in law enforcement. Admitting to indiscretions in their past, however incriminating, is preferable to failing the polygraph examination, which results in rejection from the selection process.

In its current state of development the veracity index consists of seven items, most pertaining to work related issues. It is conceivable that some candidates would allege they were “unsure” or somewhat “careless” in responding to these types of questions (as opposed to outright lying). Yet it is the occurrence of such inconsistent responding that was found to be predictive of dysfunctional job behaviors in subsequent employment in law enforcement. The effect size for the veracity index was equal to the effect size for the work history index, which were the best predictors in the research study for either criterion. Given the length of many life

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history questionnaires (several hundred questions, similar in length to personality inventories), it would be possible to design veracity indices within them. In personality assessment, very high inconsistency scores are a basis to preclude the assessment from interpretation by the analyst. However, the inconsistency indices in personality inventories are generally not related to an external outcome measure or criterion. Alternatively, with life history assessment, a veracity index could be used as a scorable and interpretable aspect of the candidate's suitability for employment, based upon the very behavior evidenced in completing the life history questionnaire. Thus the construction of veracity indices in life history questionnaires may yield valuable insights into the overall assessment of candidates, and should be a viable avenue for future research in our discipline.

Finally, it is rare for behavioral researchers to discuss the social and economic conditions in effect at the time of their research. However, the social and economic conditions in effect during the course of this research may have contributed to the findings. The samples used in the present research were drawn almost exclusively from law enforcement personnel from 1993 to 2000. The past ten years have witnessed cycles of economic activity in this country. Law enforcement agencies have been forced to lower their standards to unprecedented levels to fill jobs, according to Johnson (2000). The Clinton administration's \$8 billion grant program aimed at putting 100,000 more officers on the street fell short of its goal largely because of problems in recruiting enough qualified applicants. Attempts to recruit law enforcement personnel in some jurisdictions continue to suffer despite lowering the minimum age for recruits from 22 to 21, substituting work experience for the previously required two years of college, and lowering physical ability requirements. From a prediction standpoint, it becomes increasingly difficult to



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accurately forecast success versus failure (in training or on the job) when the quality of the applicant pool has been greatly reduced. As noted by Johnson, the current social and economic climate has compelled law enforcement agencies to select candidates who, compared to previous cohorts, would have been rejected. Senior law enforcement officials assert that the public is not as sensitized to the issue of the declining qualifications of law enforcement personnel because of a low national level of crime. However, public awareness is increased by internal scandals within police departments regarding officers fabricating evidence and committing other crimes.

In short, our empirical results must be considered within the larger social and economic context in which the data were collected. Carsten and Spector (1987) demonstrated that there is a varying relationship between employee job dissatisfaction and turnover as a function of the level of unemployment. While the present authors did not conduct a longitudinal study to directly verify how economic conditions affected the variables analyzed in this study, experts in law enforcement have attested to their impact. It is also possible that major traumatic events such as the terrorist attack of September 11, 2001, can influence relationships among variables previously identified under different social conditions (Ryan, West, & Carr, 2003). As recent research has suggested (Spilberg, 2003), public awareness of the criticality for accurate selection decisions in law enforcement and security organizations has been intensified in the post-9/11 world. The authors encourage researchers to be cognizant of the possibility that large-scale variables of a social and/or economic nature may influence the magnitude of relationships among the psychological variables that they measure.

Furthermore, from an operational standpoint, there are two general selection models for using the types of predictors examined in this study. That is, candidates can either be selected in

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or selected out on the basis of their responses to the questions. Most important personnel selection decisions are made sequentially, as initial applicants are gradually reduced to a pool of final candidates. It is recommended that the measures examined in this study be used to select out individuals who are predicted to engage in dysfunctional behavior. Other selection methods (as the interview) could be used to select in candidates who are predicted to engage in functional behavior.

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Table 1

Correlations Among Predictor Variables in Both Studies

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>
1. Wonderlic	---	.22*	-.03	-.11*	-.12*	-.01	-.05	-.21*
2. Responsibility	.14*	---	.36*	.53*	.05	.04	-.08	.03
3. Socialization	.02	.54*	---	.44*	-.05	.02	-.09	-.01
4. Self-Control	-.06	.48*	.51*	---	-.05	.01	.02	.03
5. Work Index	.03	-.03	-.12	.01	---	.00	.08	.34*
6. Drug Index	-.07	.01	-.08	-.05	.08	---	.12*	.01
7. Criminal Index	-.04	-.03	-.12	-.04	.09	.19*	---	.19*
8. Veracity Index	.05	.02	-.01	.00	.19*	.01	.03	---

Discipline/control study above the diagonal ( $n = 400$ )  
 Completed/failed to complete training study below the diagonal ( $n = 264$ )  
 $p < .05$