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A Multitrait-Multimethod Investigation of Two Checklist Formats for Rating the In-Basket

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A Multitrait-Multimethod Investigation of
Two Checklist Formats for Rating the In-Basket

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B.S. Psychology, May 1976

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ABSTRACT

The two most commonly identified methods of rating the In-Basket both involve the use of checklists. These checklists differ primarily in the way that the items on them are organized. In one (the Dimension Oriented Format), the items pertaining to the entire In-Basket are grouped under the dimension they represent (Frederiksen, Jensen, & Beaton, 1972). In the other (the Item Oriented Format), items representing all dimensions are grouped under the exercise in which they might be expected to occur (Jaffee, 1971). This study investigated the construct validity of In-Basket ratings obtained using these two formats.

The results of an analysis of variance performed on the dimension scores did provide evidence for the construct validity of the two checklists. Effects indicating convergent validity and discriminant validity were both significant while those indicating method bias and measurement and sampling error were not. There were no differences in the convergent validities or discriminant validities of the two formats. Further investigation indicated that the Item Oriented Format enjoyed a higher degree of user acceptance and required approximately 50% less time to use. Based on this evidence, it is suggested that the Item Oriented Checklist might be the best alternative for rating the In-Basket.

Intraclass correlation coefficients were compared with those obtained in other construct validation efforts and possible explanations for the differences were discussed.

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It would be a grave error on the part of the reader to assume that this work was accomplished by me alone, and a grave injustice on my part to permit that to happen. Like the rest of my education, this project would not have been possible without extensive input from a number of sources. I take great pleasure in acknowledging these contributions here, but caution that I have made no attempt to arrange them in order of importance or criticality. Suffice it to say that each was unique and considered invaluable by me throughout the course of this project.

Before continuing, I feel it is necessary to mention that this research was funded in part by the Air Force Human Resources Laboratory, grant number: UES-B-1181-751. Without this, a project of this nature would not have been feasible.

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A Multitrait-Multimethod Investigation of
Two Checklist Formats for Rating the In-Basket

The changes that have occurred in the past twenty years involving employee motivation, compensation and related legal issues have had effects on industry and organizations that are more wide-sweeping than any changes since the industrial revolution. The productivity of most organizations can now be seen as a function of the management of human resources. Selection, performance appraisal, training, and motivation are four key systems necessary for insuring the proper management of an organization's human resources. Of these four systems, an argument can be made that performance appraisal is the most important, because it is a prerequisite for establishing the remaining three (Latham and Wexley, 1982).

In his 1982 text on Personnel Management, Casio identified four developments in this decade that explain a renewed interest in personnel psychology, and thus, human resources. Bernardin and Beatty (1984) argued that these same four developments also led to an increased interest in performance appraisal. These developments are: 1) greater awareness on the part of personnel practitioners and organizations of the impact of legal and economic demands on personnel functions; 2) the changing value system of the American worker; 3) the increasing cost of mismanaging human resources (Hunter & Schmidt, 1982 have estimated that the gross national product could be increased by 80-100 billion dollars a year with improved selection procedures); and, 4) that general productivity in the United States increased only 1% in the years 1973 to 1980 (the lowest increase of any industrial nation), and it is believed

that more valid and useful performance appraisal systems can foster improved productivity (Landy, Farr, & Jacobs, 1982).

Since most personnel practitioners agree that formal performance appraisals are important and that organizations are becoming more and more dependent on them because of a recognized need to make accurate personnel decisions for utility and legal reasons, the area has been receiving intense scrutiny. In their 1977 study, Locher and Teel found that while 90% of the organizations surveyed relied on a system for performance appraisal to make personnel decisions, the majority were dissatisfied with the effectiveness of their system.

The rating format of the performance appraisal is undoubtedly its most salient aspect. Not only does format give form to the appraisal and direction to the rater, but it frequently serves to communicate this information to others who use the performance appraisal for purposes of making personnel decisions as well as giving feedback to the individual.

Bernardin and Beatty (1984) have discussed two general types of appraisal systems which are currently in use. These are behavior oriented and outcome oriented. These systems are different with respect to the information furnished about the ratee's performance as well as the demands placed on the rater.

Behavior oriented ratings can be further divided into two groups based on the nature of the judgment required of the rater. Behavior oriented ratings require absolute judgments which involve deciding whether or not the ratee meets the various performance standards on the rating scale. Included in this category are critical incidents, summated scales, mixed standard scales, behaviorally anchored rating scales (BARS), behavioral observation scales, and forced choice scales.

Ratings requiring relative judgments involve comparing the ratee to peers. Examples of this category include paired comparisons, rank orderings, and observational checklists.

Finally, outcome oriented appraisal systems require the rating of the actual product of the employee's work behavior. While this type of performance appraisal system might seem at first to be ideal, it is rarely used because few jobs involve work that yields concrete products. Results or outcome oriented appraisal systems are feasible only when the relevant work output is well defined, visible, unidimensional, and easily and accurately measured, which is seldom the case.

Much more often, work outcomes are more abstract and theoretical, multidimensional, and effective in a variety of ways that are difficult if not impossible to measure directly. For this reason, it is frequently necessary to establish the relevant categories of job performance and their importance to overall job success. Multidimensional indices of job performance have been recommended as a means of properly assessing relevant abilities in these cases (Dunnette, 1963; Schmidt, & Kaplan, 1971).

Behavior based appraisal measures can account for more job complexity, can be related more directly to what the employee actually does, and are more likely to minimize irrelevant factors not under the control of the ratee than can outcome oriented indices (Latham & Wexley, 1982). The use of such behaviorally based measures has been frequently advocated as a result (Barrett, 1966; Campbell, Dunnette, Lawler, & Weick, 1970; Schwab, Heneman, & DeCotiis, 1975). Regarding the two types of judgments that can be required with behavioral measures, it is the behavioral measures requiring absolute rather than relative

judgments that have been most often used (Smith & Kendall, 1963; Taylor, 1968; Borman, 1974; Lee, Malone, & Greco, 1981). Over 75% of published literature reports the use of this type of appraisal system (Landy & Farr, 1980).

Some conclusions can be drawn at this point regarding requirements for an effective performance appraisal system for the typical multifaceted job with multiple, abstract outcomes. First of all, it has been argued that multiple indices of job performance are important to sample adequately the full range of criteria for success. Next, behaviorally based appraisal measures have been suggested as the most effective means of measuring performance relative to those criteria. Logically, these multiple indices should be independent of one another, and finally they should be able to discriminate between different levels of successful and unsuccessful employees.

Construct Validity

From this discussion then, it is apparent that a variety of performance appraisal formats are in use. Since the formats require different types and amounts of work on the part of the rater, it stands to reason that they may be differentially effective in the performance appraisal task.

Separate reviews by Jacob, Kafry, and Zedeck (1980), and Landy and Farr (1980), have shown that most of the research comparing rating formats has used rating errors (halo, leniency, and central tendency) as criteria for establishing effectiveness. These, plus other reviews of rating format effectiveness based on rating errors (Schwab, Heneman, & DeCotiis 1975; DeCotiis & Petit 1978) have been disappointing and inconclusive in that no clear patterns of differential effectiveness

have emerged. At this point, it seems most appropriate to assume that any rating format is susceptible to rating errors and to attempt to train raters to rate properly rather than try to affect the errors per se (Jacobs, Kafry, and Zedeck, 1980).

A number of authors (Kavanaugh, MacKinney, & Wolins, 1971; Casio 1982; Latham & Wexley 1982; Bernardin & Beatty 1984; Dickinson 1984) have advocated the use of construct validity as a means for comparing rating formats. They argued that use of construct validity furnishes a more complete and useful picture of the effectiveness of the rating format in identifying levels of performance in work behavior. Such an approach is particularly appropriate for the typical situation of multidimensional job performance.

Kavanaugh, MacKinney, and Wolins (1971) discussed the use of construct validity as an important technique for evaluating validity when criterion variables are not simple and well defined with easily identified manifestations. Furthermore, James (1973) stated that when investigating what has been measured in the absence of operationally defined criteria, construct validity must generally be employed.

In general, the study of construct validity can help answer questions concerning the nature of a construct and how well it is being measured (Brown 1968). According to Cronbach and Meehl (1955), a construct is not defined by an isolated event, but rather by a nomological network which is a system of interrelated concepts, propositions, and laws that relates observable characteristics to other observables, observables to theoretical concepts, or one theoretical construct to another. They proposed several criteria for investigating construct validity including correlations between measures.

Campbell and Fiske (1959) elaborated the investigation of construct validity through correlations. This technique requires the use of at least two traits and two methods of assessment to yield a multitrait-multimethod correlation matrix containing the correlations between measures of each combination of trait by method. The methods can be either formats or sources of measurement. The primary concern of the multitrait-multimethod technique is whether or not the correlations in the matrix suggest adequate measurement of the constructs.

In his 1967 study, Lawler was the first to apply the multitrait-multimethod technique to the investigation of construct validity of performance ratings, and thereby, established it as an appropriate technique for this purpose. This was actually a multitrait-multirater investigation, but the technique and principles are the same for multitrait-multimethod studies. Subsequent authors (Kavanaugh, MacKinney, & Wolins, 1971; James, 1973; Keaveny, & McGann, 1975; Lee, Malone, & Greco, 1981; Dickinson, 1984) have identified the multitrait-multimethod as the most popular and most appropriate means of investigating the construct validity of ratings.

While the multitrait-multimethod technique does address the criteria for evaluating construct validity established by Cronbach and Meehl (1955), there are several disadvantages to its use. Perhaps most important, comparisons of correlations in the multitrait-multimethod matrix are essentially subjective. In addition, comparisons of effect sizes either within or across studies are impossible. Finally, the method of comparison can be quite cumbersome and tedious, particularly as the matrices become large as when dealing with more than three methods and/or traits.

An analysis of variance procedure to assess the multitrait-multimethod matrix correlations was developed by Kavanaugh, MacKinney, and Wolins (1971). The actual computational procedures for estimating mean squares and variance components of the analysis of variance model were first discussed in Boruch, Larkin, Wolins, and MacKinney (1970). Of the main effects in this analysis, methods and traits are fixed and people (the subjects of the rating procedure) are random. The effects of interest are: people, which provide evidence for convergent validity; people by traits, which provide evidence for discriminant validity; people by source, method bias; and error, for measurement and sampling error. Treatment of these four important criteria with analysis of variance eliminates the subjective judgments necessary in the direct evaluation of the multitrait-multimethod matrix by furnishing tests for significance. The model also makes provisions for the calculation of variance components, which indicate effect size or the amount of variance due to the source. Two advantages of having the variance components are that they facilitate comparison of effect sizes relative to each other and to error variance.

Dickinson, Hassett, and Tannenbaum (1986) in a meta-analysis of multitrait-multimethod investigations of performance ratings, identified a number of factors that have demonstrated a positive effect on the major aspects of construct validity. Regarding convergent validity, they cite use of behavioral dimensions, example anchored scales, and involving "experts" in the development of the scales as being associated with higher convergent validity. They identified these same factors, plus rater training as important to lower method bias. Finally, regarding discriminant validity, they cite the importance of rater

training and the use of several ratings per dimension as being associated with higher discriminant validity.

The In-Basket

It has been argued earlier in this paper that an effective performance appraisal system must assess multiple, behavioral dimensions of performance which have been identified as important to successful job performance. One technique designed to do this that has received a great deal of attention is the assessment center, which has been described in detail by Thornton and Byham (1982). The assessment center uses multiple job-related exercises that have been designed to tap independent dimensions of performance that have been identified as important to successful performance of the target job. The subject of the assessment, the ratee, is evaluated relative to his or her performance on each of these dimensions in each exercise. In their review of one thousand assessment center reports from 12 large companies, Byham and Byham (1976) have claimed that the assessment center is capable of producing the behaviors it purports to measure.

The most consistently used assessment center exercise is the In-Basket. Thornton, and Byham (1982) reported based on their review of five hundred assessment centers that 95% of them used the exercise, which can be described as providing a sample of the administrative aspects of the manager's job. The ratee is typically presented with a packet of materials (or a manager's desk top "In-Basket") containing a variety of items requiring the manager's attention. After an explanation of the exercise, the ratee is given a specified amount of time to review, prioritize, and write responses to the items. It is these written responses that are later evaluated relative to the individual's

performance on the behavioral dimensions.

Research on the In-Basket to date has been extensive and promising. Hinrichs and Haanpera (1976) reported an interrater reliability of In-Basket ratings of .92. Criterion validity studies have also been generally positive. Bray and Grant (1966) reported significant correlations between In-Basket scores and the overall assessment center score. Similarly, Huck (1974) found that the In-Basket was the primary determinant of the overall assessment center score for white females and the secondary determinant for black females. Furthermore, In-Basket dimension ratings were found to correlate most highly with the final assessment center dimension ratings (Huett, 1975) and to contribute the most unique information to these final ratings (Neidig, Martin, & Yates, 1977).

Validity studies of the In-Basket using a criterion external to the assessment center have also been generally positive. Brass and Oldham (1976) reported positive, significant correlations between ratings on In-Basket dimensions and concurrent, on-the-job ratings of the same dimensions made by trained supervisors. Overall performance on the In-Basket has also been shown to correlate positively with changes in position level within a three year period (Wollowick, & McNamara, 1969).

The In-Basket literature appears to be lacking in two significant areas. First of all, considering the heavy emphasis on the rating of "behavioral dimensions" in both the In-Basket and the assessment center, Tenopyr's (1977) recommendation of investigating construct validity as an important component in the validation of performance appraisal systems would seem especially important here.

Related to this need, an important consideration in any construct

validity study is the particular method(s) used to obtain the ratings. One possible reason that the format for rating the In-Basket has not been addressed may be the fact that there does not appear to be a consistently used rating strategy for the exercise. Crooks states, in Moses and Byham's 1977 book, The Selection and Development of Assessment Center Techniques that, in the interest of expedience, most users do not score the In-Basket used in their assessment centers. She continues that the assessors read the In-Basket items and make notes as they see appropriate. Later, upon completing this review, they rate dimension performance on a five to one scale.

Two types of "checklist" formats used to rate the In-Basket have also been reported. These checklists consist of possible responses to the In-Basket items and only require the rater to read the In-Basket and check off the appropriate responses. One of these checklists has responses grouped by dimension and requires reading of the entire In-Basket product prior to rating (Frederiksen, Jensen, & Beaton, 1972). Dimension scores are obtained by totaling the number of responses checked in each dimension group. The other checklist type format has responses grouped by In-Basket item (Jaffee, 1971). Responses in this system can be coded to identify them with the appropriate dimension, and dimension scores are obtained by totaling the number of responses checked pertaining to each dimension.

Advantages of the Checklist Format

DeNisi, Cafferty, and Meglino (1984) have proposed a cognitive model of the performance appraisal process which hypothesizes distinct steps intended to collect, encode, store, and retrieve appraisal information. The model suggests that the rater takes an active role in

deciding what information is attended to in addition to how it is encoded based on his or her perceptions of what is required by the rating task. They argue that the nature of the rating process serves a directive function guiding the rater to look for certain dimensions or aspects of behavior as well as establishing the rater's role as observer or judge. The usefulness of treating observation and judgment as separate components of the rating process has been widely recognized (Borman, 1978; Landy, & Farr, 1980; Murphy, Garcia, Kerkar, Martin, & Balzer, 1982).

Checklist formats are an attempt to define performance dimensions and scale values in more specific terms. The major advantage of these measures is that the rater has to make fewer inferences about the ratee's performance, operating more in the role of observer and less as judge (Schwab, Heneman, & DeCotiis, 1975). While the requirements associated with the role of observer are very basic, those associated with the role of judge involve the more complex cognitive processes of categorization, integration, and evaluation.

Checklist formats also have the advantage of furnishing a common point of reference or expectation for all raters and tend to predispose the rater toward observing and recognizing rather than rating or judging (Jacobs, Kaffery, & Zedeck, 1980). Latham and Wexley (1977) suggest for these reasons, that checklist formats should more accurately identify independent behavioral dimensions than those requiring more "judgmental" ratings. Further advantage is seen in that performance appraisals using checklists readily lend themselves to employee feedback and the development of individual training programs (Blood, 1974).

Checklist formats have been included in one construct validation

investigation. Dickinson and Tice (1973) found only moderate convergent validity and low discriminant validity. Findings of this study should not be taken as a demonstration of total lack of validity for the checklist procedure as Dickinson and Tice conducted a multitrait-multirater investigation. Studies using raters as the multiple methods of measurement frequently fail to demonstrate discriminant validity as different sources of rating, (e.g., supervisors, peers, subordinates) can be expected to have different perspectives for viewing and evaluating the individual.

The Present Study

The focus of this research was the investigation of the construct validity of the In-Basket as rated with item oriented and dimension oriented checklists which were developed specifically for this purpose. Behavioral dimensions and examples for both checklists were developed by the same method to reflect the properties of a nomological-network as described by Cronbach and Meehl (1955). Construct validity was investigated using the analysis of variance procedure for evaluating the multitrait-multimethod matrix (Kavanaugh et al., 1971). Raters were trained prior to rating on the use and purpose of the checklists as well as on the In-Basket exercise and the dimensions being rated.

Variables identified by Dickinson et al. (1986) as impacting construct validity were addressed. Specifically, behavioral dimensions were used, and experts were involved in developing the scales. These variables have been shown to result in higher convergent validity and lower method bias. Rater training was used to increase knowledge of the scales, and it was expected to lower method bias and increase discriminant validity.

The use of the same procedures in the construction of both scales was expected to eliminate any developmental differences between the two formats and help to insure lower method bias. The use of several ratings per dimension was also expected to increase discriminant validity.

Based on this discussion and past research, it was anticipated that both formats would demonstrate good convergent validity, adequate discriminant validity, and reasonably low method bias and rating error. Furthermore, the item oriented checklist was expected to show somewhat better discriminant validity because it is a less complex cognitive rating task than the dimension oriented format.

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Method

Raters

Raters were fourteen graduate students currently enrolled in the industrial/organizational psychology program at Old Dominion University. Seven were male and seven were female. They ranged in age from 23 to 38 with a mean of 28 and standard deviation of 4.75. Eleven had previously participated as ratees in an assessment center that utilized the same In-Basket, however, their In-Basket performance was not used as stimuli in this research. They were randomly assigned to use one of the two rating formats and each rated the same ten In-Baskets. Raters were paid five dollars an hour for approximately twelve and a half hours work, including rater training.

Dimension Development

A review of the assessment center literature resulted in choosing seven dimensions based on the frequency of their use as reported in the literature (Dickinson, & Silverhart, 1985). These seven dimensions included: Problem Analysis, Sensitivity, Planning and Organizing, Initiative, Persuasion, Problem Solution, and Communication.

The In-Baskets evaluated by the raters were actually produced in an assessment center using forty-three graduate and undergraduate business administration majors, who were given forty-five minutes to complete the exercise. This set of forty-three In-Baskets was reviewed and individual responses to its items were recorded by six persons, who were involved in the development and operation of the assessment center.

Two-hundred and thirty-four separate responses to the In-Basket items were recorded, each indicative of actions the candidate believed important to resolving the problem. The next step involved assigning

each of these responses to one of the behavioral dimensions noted earlier. The two hundred and thirty four responses were listed on a questionnaire and six raters (the persons who had been involved in development and operation of the assessment center) were instructed to assign each behavioral response to that dimension which it most represented. The forms used for this task can be seen in Appendix A.

Two-hundred and eight of these In-Basket responses were assigned to dimensions at or above the criterion level of 83%, which reflected agreement by five of the six raters. Two of the dimensions, Initiative and Persuasion, were not adequately represented by responses and were dropped from further use. The five remaining dimensions and their definitions can be seen in Appendix B.

Next, the thirty responses deemed most important for representing the full range of performance shown for each dimension were chosen for rank ordering. One exception to this occurred with the Sensitivity dimension, which involved only five responses, but it was determined important enough to be retained by the six raters. The responses pertaining to a dimension were listed following a definition of the dimension and clarification specific to the exercise. Following a detailed discussion of ranking criteria, the raters were instructed to use an "alternate ranking strategy". This strategy involved ranking the most, then least desirable responses, followed by the second most and second least desirable, and so on until completing the list. The forms used for ranking can be seen in Appendix C.

The effectiveness of the rank ordering was assessed using Kendall's Coefficient of Concordance (W). The W's computed for each set of rankings exceeded the recommended criteria for use with this number of

judges and items (Edwards, 1967), and are presented in Table 1.

Insert Table 1 about here

The reliabilities of the average rankings of these responses was also assessed, as recommended by Taylor (1968). As shown in Table 1, these reliabilities ranged from .88 to .96 and were adequate for the purposes of this research.

The In-Basket Exercise

The In-Basket required that the assessee assume the role of an individual who had recently been promoted to fill a position which had been vacant for a short period of time. The individual was instructed that he or she was to address the various letters, reports, and memoranda that had accumulated on the predecessor's desk during the period of time in which the position was vacant. The assessee was told that he or she must work as though no other staff members were available at the time and that there was no access to files or any other information aside from the materials presented in the exercise itself. As such, all responses to the items in the In-Basket had to be written in the form of letters, memos, and notes with no person-to-person or telephone contact. Finally, the assessee was given 45 minutes to complete the exercise. This time limit was considered short enough to require swift decision making and concise responses.

The individual's performance on the exercise was evaluated after its completion by reviewing his or her written responses to the In-Basket items.

A copy of the In-Basket developed for use in this research can be

seen in Appendix D.

Ten completed In-Baskets were chosen to be representative of the initial set of forty-three. The set of forty-three In-Baskets was scored preliminarily by six raters who were involved in the development and operation of the Assessment Center. The means, standard deviations, and intercorrelations of the five dimension scores are presented in Table 2.

Insert Table 2 about here

The means, standard deviations, and intercorrelations of the dimensions for the ten In-Baskets chosen for this research are shown in Table 3. A comparison of Tables 2 and 3 indicates that the ten In-Baskets chosen for use in this research are representative of the forty-three.

Insert Table 3 about here

Rating Formats

Two rating checklists were developed using the dimensions and item responses obtained from the 43 In-Baskets. Each checklist used the same dimensions and the same set of In-Basket responses. In-Basket responses were assigned values according to the quintile of their average ranking (ie. 5, 1-20; 4, 20-40; 3, 40-60; 2, 60-80; 1, 80-100).

The dimension oriented checklist had items grouped together by dimension, and the item oriented checklist had them grouped by In-Basket item. The dimension score was derived by averaging the values of the checked items pertaining to the same dimension across all items in the

In-Basket. The two checklists can be seen in Appendices E. and F.

Rater Training

A rater training program was developed based on two points noted earlier. First, as indicated by Bernardin and Beatty (1984), rating accuracy is positively correlated with the raters' knowledge of the dimensions being rated. Also, Latham and Wexley (1981) have demonstrated the value of practice and feedback involving the scales and their use.

Prior to training, each rater was given a copy of the In-Basket including all instructions to an assessee. In addition, each rater was given a copy of the definitions of the dimensions and some examples of responses that pertained to each dimension. They were asked to take the time to read and familiarize themselves with the exercise and the dimension definitions.

The training session began with a presentation and discussion of the In-Basket, its use as an assessment device in general, and then moved to the specific items of the In-Basket used in this research.

The next phase of the training involved defining the dimensions that were used and presenting behavioral examples of each. Following this, the rating formats were reviewed and discussed as they related to the dimensions and behaviors.

After discussion of the dimensions and rating formats, example In-Basket responses were presented and discussed. The purpose of this phase was to clarify for the raters, the relationships between the responses and the dimensions. Once the group demonstrated that it could reach agreement on placement of a response in the appropriate dimension, attention was shifted to the discussion of good, average, and poor

examples of responses for each dimension. This was followed by discussion of the appropriate rating format and instructions for its use.

The final phase of the training involved the practice rating of an In-Basket. Each participant used the checklist that he or she was to use in the research. Upon completion, the ratings were reviewed for the purpose of providing feedback.

Training was done in two groups on successive days in order to accommodate all fourteen raters. All training was done by the experimenter and one other individual who was instrumental in all phases of development and operation of the assessment center. Training required approximately three hours per group.

The Rating Procedure

Raters were asked to work on the rating tasks without discussing them with anyone other than the experimenters. They were each given five In-Baskets and asked to complete and return them within one day, at which time they were given five more to be completed within the next day.

Raters using the dimension oriented rating scales were instructed to read through the In-Basket making notes if they liked, and then, to check off the responses made by the ratee as they appeared on the rating form. The raters were instructed to compute dimension scores upon completion of the entire In-Basket by averaging the weighted values of the items checked under each dimension.

Raters using the item oriented rating scales were instructed to read one item and complete the checklist for that item before moving on to the next. They were further instructed to compute dimension scores

upon completion of all items of the In-Basket by averaging the weighted values of each checked response coded as pertaining to the dimension across all items.

Upon completion of the rating task, all raters were given a four item questionnaire designed to gather information about their impressions of the particular checklist they used. A copy of this questionnaire can be seen in Appendix G.

Design

A 12 X 2 X 10 X 5 analysis of variance was performed based on the 12 raters, 2 rating formats, 10 ratees (or In-Baskets), and 5 dimensions. Raters were nested in formats, and all raters rated the same ten ratees.

The analysis of variance procedure was used to assess convergent validity, discriminant validity, method bias, and error variance (Kavanaugh, McKinney, and Wolins, 1971; Dickinson, 1984). The following is a list of sources in the analysis which pertained to construct validity: 1) Assesseees - convergent validity; 2) Assesseees by Dimensions - discriminant validity; 3) Assesseees by Formats - method bias; and, 4) Error - measurement and sampling errors; 5) Formats - format bias; 6) Dimensions - dimension bias; 7) Dimensions by Formats - dimension by format bias; and, 8) Assesseees by Dimensions by Formats - differential discriminant validity by formats. Appendix H includes a summary of the relevant sources, psychometric interpretations, and error terms for the design.

Results

Overview

A repeated measures analysis of variance was performed on the dimension scores to evaluate the multitrait-multimethod properties of the two rating formats. Variance components were computed for all effects, while intraclass correlation coefficients were computed only for the random effects. An additional analysis of variance was computed on the Rater Questionnaire data to determine whether differences existed regarding rating time required for the formats, and a chi-square analysis was done to evaluate format preference.

Analysis of Variance

A four way, repeated measures analysis of variance was performed to investigate the multitrait-multimethod properties (convergent validity, discriminant validity, method bias, and error) of the two ratings. In addition, variance components and intraclass correlation coefficients (Vaughn, & Corballis, 1969) were computed to describe the amount of variance accounted for by each effect. The intraclass correlation coefficients were computed using only variance components for the random effects; the Dimensions, Formats, and Dimension by Format components were not used since they were for fixed effects. Omitting fixed effects allowed comparisons of the intraclass correlations to other multitrait-multimethod studies. Each intraclass correlation coefficient was computed as the ratio of a source's variance component to the sum of all random effects components.

A summary of the design describing sources of variation along with their psychometric interpretations can be seen in Appendix H.

Convergent Validity

The main focus of the investigation was the Assessee's source of variation and its interactions with Formats and Dimensions. The variation due to Assessee's is an indication of the overall ordering of the assessee's by the measures. The more the measures agree in their ordering, the greater the differences in assessee's. From this, it follows that the more the measures agree or converge in their ordering, the greater the people effect. This source of variation reflects the convergent validity of the measures.

Convergent validity can be due to the dimensions being evaluated or the particular method used for measurement (i.e., the rating format). Ordering of assessee's based on dimensions is desirable, while ordering based on methods is not. The impact of these two sources on the Assessee's effect can be evaluated by comparing the magnitude of their interactions with Assessee's.

The summary table for the analysis of variance is presented in Table 4, which indicates that the assessee effect was significant. The magnitude of its intraclass correlation indicates that the measures possessed low convergent validity. This interpretation of magnitude is based on Dickinson et al. (1985) who suggested that intraclass correlation values for convergent validity, discriminant validity, and method bias be described verbally as: good (above .3); medium, moderate (.20 to .29); and low, poor (less than .20).

Insert Table 4 about here

Discriminant Validity

The Dimensions x Assesseees interaction indicates differential ordering of assesseees by dimensions. This interaction is desirable, because it suggests that the dimensions represent different constructs. The stronger this interaction effect, the more distinct the discriminations of the assesseees by the dimensions. The Dimensions by Assesseees interaction reflects the discriminant validity of the measures. The test for this interaction was significant indicating that the checklists did possess discriminant validity. Furthermore, the magnitude of the intraclass correlation coefficient indicates a high amount of discriminant validity.

The interaction of Dimensions x Assesseees x Formats indicates the differential ability of the formats to discriminate between assesseees based on the dimensions. A significant interaction here would indicate that one of the formats produced greater discriminant validity than the other. The F test for this interaction was not significant and it accounted for a trivial amount of variance (1.1%), indicating that there was no difference in the discriminant validity of the two checklists.

Method Bias

The Assesseees x Formats interaction indicates the differential ordering of assesseees by formats. This differential ordering introduces a "systematic bias" into the measures. The greater the Assesseees x Formats interaction, the more biased are the measures. The test for this interaction was not significant and it accounted for little of the variance (i.e. 1.1%), indicating that the checklists tended to order the assesseees in the same way.

Remaining Sources

The repeated measures analysis of variance also indicated several remaining sources of variation that were statistically significant. Only the Dimensions effect accounted for a non-trivial amount of variance. A Scheffe's post hoc comparison indicated that this effect was due to significantly greater ($p < .01$) ratings for Problem Analysis, Planning and Organizing, and Communication compared to Sensitivity and Problem Solution. Inspection of the means in Table 3 indicates that this is the pattern of significance to be expected for the ten In-Baskets.

The Raters within Formats and its interaction with Dimensions were also significant. These effects indicated biases by the raters in rating the In-Baskets. However, these biases were trivial in that they accounted for little variance in the ratings. Apparently, the raters were similarly effective in scoring the In-Baskets.

Format Preference

Thirteen of the fourteen raters in the study responded to the Rater Questionnaire. Six of these thirteen used the item oriented checklist and seven used the dimension oriented checklist. While 100% of the raters who used the item oriented checklist stated that they would prefer this over the other format, 71% of those who used the dimension oriented format also preferred the item oriented measure (see Table 5). A two-way chi square analysis indicated that the greater preference for the item oriented checklist was statistically significant (Chi-square = 9.49, $df=1$, $p < .01$).

Insert Table 5 about here

Rating Time

A one-way analysis of variance was performed on data from the Rater Questionnaire to determine whether the formats required different amounts of time to use and whether the amount of time required influenced the choice of a preferred format.

As shown in Table 6, there was a significant difference in the amount of time required to use the formats (see Table 6). The average time required to use the item oriented format was 26.25 minutes, while the dimension oriented format required 40.71 minutes to complete. Standard deviations were 6.88 and 6.08 respectively (see Table 6).

Insert Table 6 about here

Discussion

The most consistently used assessment center exercise is the In-Basket (Thornton, & Byham, 1982). This exercise is relied on most heavily in determining overall assessment center ratings for the assessee (Huck, 1974; Huett, 1975). While the results of reliability and criterion validity studies have been quite promising (Bray and Grant, 1966; Wolowick, & McNamara, 1969; Brass, & Oldham, 1976; Neidig, Martin, & Yates, 1977). the In-Basket literature appears to be lacking in two significant areas. First, there is very little information available regarding the method of rating the In-Basket. In their book dealing with the exercise, Frederiksen, Jensen, and Beaton (1972) stated that there is frequently no scoring of the In-Basket per se as the raters simply read through the written responses and form subjective impressions regarding dimension performance. Even more importantly, there has been no construct validity study of ratings attained from the exercise.

The present study investigated the construct validity of In-Basket ratings attained using two types of checklists which have reportedly been used for rating the In-Basket (Jaffee, 1971; Frederiksen, Jensen, & Beaton, 1972). It was hypothesized that the measures would attain good convergent validity, low method bias, and reasonable discriminant validity, and further, that the item oriented format would demonstrate greater discriminant validity than the dimension oriented format.

The results of the analysis of variance performed on dimension scores did provide strong evidence for the construct validity of these two checklists. The Assessee's effect was significant, demonstrating convergent validity. The Dimensions by Assessee's effect was also

significant. This indicated that the measures were capable of discriminating effectively between the independent dimensions and that assesseees were ordered differently based on the dimensions: This established the presence of Discriminant Validity.

The Dimensions by Assesseees by Formats interaction was not significant. This indicated that there was no difference between the two checklists in their abilities to discriminate between assesseees based on the dimensions. There was no differential discriminant validity.

Finally, the lack of a significant interaction for the Assesseees by Formats effect indicated that the assesseees were ranked in the same order by both formats. There was no Method Bias.

The results of this study may be compared to those attained in other multitrait-multimethod research. As shown in Table 7, the intraclass correlation coefficient for the effect representing convergent validity in this study was 0.124 compared to 0.343 from Dickinson and Tice's (1973) investigation of the construct validity of behavioral checklists used to rate firemen. Dickinson et al. (1986) reported an average intraclass correlation of 0.346 for convergent validity in their meta-analysis of multitrait-multimethod studies of performance ratings. While the evidence discussed earlier did identify the presence of convergent validity, this comparison of coefficients suggests there was lower convergent validity in this study than is typically reported. While the data obtained from this research gives no explanation for this occurrence, several possible mediating factors can be discussed.

Insert Table 7 about here

First, in their meta-analysis, Dickinson et al. (1986) reported correlations between various factors and the three primary types of evidence for construct validity. The number of ratings per dimension was negatively correlated ($r = -.32$) with convergent validity. Most of the checklists developed for use in this research used from twenty-five to twenty-eight items. The one exception was the Sensitivity dimension which used only five items. It is possible that the large number of items used on the checklists adversely affected the convergent validity.

The Dickinson et al. (1986) meta-analysis also identified two other factors negatively correlated with convergent validity that were present in this research. The use of students as raters had a correlation of -0.42 with the magnitude of convergent validity, and rating in an academic setting versus a field setting had a correlation of -0.37 . It is possible that replication of this study in a field setting, using more traditional raters would result in higher convergent validity.

Finally, it seems likely that the lower convergent validity was actually due to few overall differences between the assessees. Although the ten In-Baskets were chosen to be representative, they were quite homogeneous with respect to average dimension scores. The low convergent validity may simply reflect the nature of the ten In-Baskets. Further construct validation research using a more heterogeneous set of In-Baskets would answer this question.

The intraclass correlation coefficient for the effect representing discriminant validity in this study was 0.525 compared to those of 0.055 from Dickinson and Tice (1973) and the 0.128 average from the Dickinson

et al. (1986) meta-analysis. This outcome was desirable and several explanations can be offered.

First, the extensive, systematic procedures used in the development of the behavioral dimensions used in this research helped insure that the dimensions were conceptually independent. Non-independent dimensions would have resulted in high correlations between dimensions and a definite lack of discriminant validity.

In addition, the scale development procedures required a high level of agreement among judges in matching response items to the appropriate dimension. This helped insure functionally independent dimensions. Once again, non-independent dimensions would have resulted in low discriminant validity.

Finally, three factors that Dickinson et al. (1986) identified as being negatively correlated with convergent validity were also identified as being positively correlated with discriminant validity. The number of items per dimension correlated at 0.63; using students as raters at 0.68; and rating in an academic setting versus a field setting at 0.56. These three factors merit further discussion.

The number of items per dimension appears to involve a tradeoff between convergent and discriminant validity. While a larger number of items tends to be related to lower convergent validity, it is also related to higher discriminant validity. Although the effect size for convergent validity was smaller than in previous research, convergent validity was established. Second, it is typically much more difficult to establish discriminant validity than convergent validity, so perhaps the tradeoff is worthwhile. Future research should address manipulation of the number of items on the checklist in order to gain a better

understanding of the optimum number of items per dimension, if in fact one exists.

The other two factors, using students as raters, and rating in an academic setting rather than a field setting are perhaps more of a threat to the external validity of this study. Future research should attempt to replicate these findings in a field setting using more typical raters to determine the extent of their influence on discriminant validity.

The intraclass correlation for method bias in this study was 0.006 compared to 0.277 from Dickinson and Tice (1973) and the 0.223 average from the Dickinson et al. (1986) meta-analysis. This result was also desirable. One possible explanation is the fact that both checklists utilized the same response items and were developed using the same procedures. The only difference between the two was in the grouping of items on the checklist. The item oriented checklist had items grouped by In-Basket item and the dimension oriented checklist had items grouped by dimension.

Based on the preceding discussion of multitrait-multimethod properties, there is no basis on which to choose one checklist over the other. There was no difference in the discriminant validity, and the method bias was negligible. However, two findings have important implications for the choice of checklists. First, the item oriented checklist required significantly less time to use than the dimension oriented checklist. Inspection of Table 6 reveals that the average time required to rate one assessee with the item oriented checklist was 26.25 minutes and for the dimension oriented checklist was 40.71 minutes. The savings in rating time is substantial.

In addition, the item oriented checklist was preferred more often than the dimension oriented checklist. Among those raters using the item oriented checklist, 100% said that they would prefer to use it over the alternative in the future. Of those raters using the dimension oriented checklist, only 29% said that they would prefer to continue using that checklist with 71% opting for the item oriented checklist. Since raters were exposed to both checklists during training, these preferences were based on knowledge of the requirements of the checklists.

Conclusion

As stated previously, the In-Basket is frequently used as an assessment device by itself and in assessment centers, but there has never been one accepted method for rating the exercise, nor has there been an effort to establish the construct validity of the exercise. The In-Basket developed for use in this research was representative of those used in other research and in the field. In addition, while there is no published research regarding methods used to rate the In-Basket, the two checklists developed for use in this research were based on two that have reportedly been used. The entire rating procedure, from rater training to the actual rating process was designed to simulate, as closely as possible an actual rating situation.

The dimensions that were scored in this study exhibited strong construct validity. The assessees were differentiated with each of the five dimensions. It appears that at least for the In-Basket used in this study, assessees are described uniquely with each of the dimensions.

With no discernable differences between the checklists regarding construct validity and the benefits of enjoying a higher degree of rater preference and requiring approximately 50% less time to use, it would seem. based on this research, that the item oriented checklist might be the better choice for scoring the In-Basket.

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Table 1

Kendall's Coefficient of Concordance (W) and Reliabilities for
the Average Ranking of Dimension Statements

Dimension	W	Reliability
Problem Analysis	.71	.92
Sensitivity	.82	.96
Planning and Organizing	.78	.95
Problem Solution	.63	.88
Communication	.75	.93

Table 2

Means, Standard Deviations, and Intercorrelations of the Dimension
Scores for the Forty-Three In-Baskets

	PA	SN	PO	PS	CM
PA	1.000				
SN	0.167	1.000			
PO	0.056	0.067	1.000		
PS	0.066	-0.052	0.248	1.000	
CM	0.340 *	0.255	0.058	0.316 *	1.000

Mean	4.837	0.767	3.326	1.093	3.512
SD	2.339	0.996	2.244	8.234	2.354

Note. Abbreviations are: Problem Analysis (PA); Sensitivity (SN); Planning and Organizing (PO); Problem Solution (PS); Communication (CM); Standard Deviation (SD).

* $p < .01$.

Table 3

Means, Standard Deviations, and Intercorrelations of the Dimension
Scores for the Ten In-Baskets

	PA	SN	PO	PS	CM
PA	1.000				
SN	-0.028	1.000			
PO	-0.064	-0.050	1.000		
PS	-0.146	-0.070	0.136	1.000	
CM	0.320	0.263	0.055	0.099	1.000
<hr/>					
Mean	4.900	0.900	3.500	1.600	4.800
SD	3.213	1.370	2.415	7.442	3.327

Note. Abbreviations are: Problem Analysis (PA); Sensitivity (SN);
Planning and Organizing (PO); Problem Solution (PS); Communication (CM);
Standard Deviation (SD).

* $p < .01$

Table 4

Summary Table for the Analysis of Variance for Construct Validity

<u>Source</u>	df	MS	F-ratio	Variance Component	Intraclass Correlation Coefficient
<u>Between Raters</u>					
Formats (F)	1	0.194	1.10	.000	----
Raters (R/F)	12	0.159	3.31* ^a	.003	.017
<u>Within Raters</u>					
Assesseees (A)	9	1.56	52.00*	.022	.124
A x F	9	0.048	1.60	.001	.006
A x R/F	108	0.030	0.6	-.002	.000
Dimensions (D)	4	37.674	25.93* ^a	.209	----
D x F	4	0.002	0.01	-.001	----
D x R/F	48	0.145	3.02*	.010	.056
D x A	36	1.356	28.25*	.093	.525
D x A x F	36	0.059	1.23	.002	.011
D x A x R/F	432	0.048	----	.048	

Note. When a variance component was negative, that component was used in the denominator to calculate an interclass correlation coefficient, but its coefficient was set to zero.

* $p < .01$

^a

Quasi F-ratio.

Table 5

Descriptive Statistics: Preference and Rating Time Required for the
Item and Dimension Oriented Formats

	<u>Format</u>	
	Item Oriented	Dimension Oriented
Number Responding	6	7
Percentage Preferring Item Oriented Format	100%	71%
Percentage Preferring Dimension Oriented Format	0%	29%
Average Time Reported for Rating an Assessee	26.25 min.	40.71 min.

Table 6

Summary Table for the Analysis of Variance for Time Required to Rate
One Assessee

Source	df	MS	F
Formats	1	720.17	14.76 *
Error	11	48.78	

* $p < .01$

Table 7

Intraclass Correlation Coefficient Comparisons

Source	Convergent Validity	Discriminant Validity	Method Bias
Present Study	0.124	0.525	0.006
Dickinson & Tice (1973)	0.343	0.055	0.277
Dickinson, Hassett, & Tannenbaum (1986)	0.346	0.128	0.223

Note. The intraclass correlation values reported for the Dickinson et al. (1986) study were actually weighted averages developed for use in their meta-analysis.

Appendix A:

Response to Dimension Matching Task

In-Basket Responses

Following this, you will see two lists. The first is a numbered list of behavioral dimensions along with their definitions. The second is a list of responses to each of the thirteen items in the In-Basket exercise. Your task is to assign each response to the dimension that seems most applicable by recording the dimension number in the space to the right of the response. Thank-you very much for your time and assistance.

Dimensions

1. Problem Analysis. a.)breaking up a problem into its essential parts; b.)identifying relationships between different pieces of information which bear on a single problem; c.)identifying problems which require additional information before a solution can be reached.

2. Planning and Organizing. The ability to set priorities for one's self or others; develop a specific course of action utilizing proper personnel and other resources to accomplish a specific goal.

3. Problem Solution.

4. Sensitivity. Actions that indicate a consideration for others' feelings, needs, and points of view; letting people know you are aware of their situation.

5. Initiative. Actively influencing events rather than passively accepting; taking charge and directing others.

6. Persuasiveness. The ability to sell ideas to others; to elicit their cooperation and participation.

7. Communication. The ability to verbally convey ideas and concepts in a manner so they are understood by others and provide enough detail to accurately convey the message.

8. Other. Use this category for any response that you believe does not fit accurately into one of the other categories. When using this response, please write in what you think an appropriate dimension category would be.

1. Problem Analysis
2. Planning and Organizing
3. Problem Solution
4. Sensitivity
5. Initiative
6. Persuasiveness
7. Communication
8. Other

Sexual Harassment

- Asks about similar complaints against Bill _____
- Keeps notes for future reference _____
- Takes immediate action against Bill _____
- Lets Cindy know problem is being looked into _____
- Makes arrangements to schedule them at
different times _____
- Has assistant speak to Bill _____
- Notifies store manager of problem _____
- Informs staffers of consequences of harassment _____
- Makes plans to talk to Cindy and/or Bill _____
- Makes plans to observe Bill _____
- Delegates entire matter to his/her assistant _____
- Apologizes to Cindy _____
- Postpones action / No action _____

Val-U Trac Lights

- Sees relationship between lights and sales memo _____
- Arranges to have lights in stock checked for
defect _____
- Has lights in stock checked and returned for
credit _____
- Makes arrangements to get new lights _____
- Attempts to contact customers who have already
purchased the lights _____
- Contacts the regional furniture manager _____
- Informs the store manager _____
- Deals with the summer sale advertisement _____
- Delegates to assistant _____
- Provides specific action plan _____
- Postpones action / No action _____

Quality Inspection

- Investigates why department is dirty _____
- Has staff clean or replace items _____
- Notifies staff to avoid situation in future _____
- Delegates to assistant _____
- Provides specific action plan _____
- Replies to the regional furniture manager _____
- Postpones action / No action _____

1. Problem Analysis
2. Planning and Organizing
3. Problem Analysis
4. Sensitivity
5. Initiative
6. Persuasiveness
7. Communication
8. Other

Employee Theft

- Talks to Lori to get more information _____
- Has sales records and inventory checked _____
- Arranges to have Mike Cohen watched _____
- Informs store manager of the problem _____
- Thanks Lori for the information _____
- Informs staff of the consequences of theft _____
- Changes Mike's hours so not working closing _____
- Arranges/plans to confront Mike _____
- Arranges to strengthen security _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No Action _____

Customer Complaint

- Sees relationship between complaint/training/
promotion _____
- Investigates the problem further _____
- Arranges to locate the merchandise _____
- Apologizes to the customer _____
- Offers additional merchandise _____
- Speaks to Lori about the complaint _____
- Informs store manager about the complaint _____
- Suggests training program for Lori _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No action _____

Summer Sales Bulletin

- Has someone check to insure the ad is correct _____
- Has assistant insure adequate stock is ordered _____
- Informs staff of sale _____
- Insures adequate staff is scheduled _____
- Arranges to have department prepared _____
- Addresses light availability problem _____
- Delegates to assistant _____
- Provides specific action plan _____
- Postpones action / No Action _____

1. Problem Analysis
2. Planning and Organizing
3. Problem Solution
4. Sensitivity
5. Initiative
6. Persuasiveness
7. Communication
8. Other

Manager's Meeting

- Sees relationship between meeting and Valley Furniture cabinet request _____
- Has assistant check current sales levels _____
- Solicits input from staff concerning improvements _____
- Makes note to self for future action _____
- Notifies manager of intent to attend _____
- Plans to discuss with assistant before meeting _____
- Delegates to assistant _____
- Provides specific action plan _____
- Postpones action / No action _____

Dress-Code Violations

- Checks into the extent of the problem _____
- Informs staffers of the company policy _____
- Takes immediate action against the employees _____
- Provides specific action plan _____
- Plans to address the issue in a staff meeting _____
- Informs Woods of action taken _____
- Delegates to assistant _____
- Postpones action / No action _____

Time-off Request

- Notes conflict between request and sale _____
- OK's request without assuring she can be spared _____
- Refers Phyllis to the assistant or personnel _____
- Refuses the request _____
- Notifies Phyllis of action _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No action _____

Performance Appraisal of Staffer

- Investigates other problems with ratings _____
- Checks past ratings of Chandler _____
- Seeks (plans to seek) further information _____
- Plans to discuss with Chandler _____
- Grants the transfer _____
- Informs Sue of the plan _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No Action _____

1. Problem Analysis
2. Planning and Organization
3. Problem Solution
4. Sensitivity
5. Initiative
6. Persuasiveness
7. Communication
8. Other

Training Workshops

- Sees relationship with customer complaint _____
- Identifies staff in need of training _____
- Informs staff of workshops _____
- Makes note to address in the future _____
- Plans to ask assistant for input _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No action _____

Valley Furniture Cabinet Request

- Makes arrangements to have sales checked _____
- OK's request _____
- Checks to see if cabinets can be purchased _____
- at a reduced price _____
- Informs manager of the situation _____
- Sees the relationship with the Manager's Meeting _____
- Plans to get assistant's (staff's) input _____
- Plans to contact Peters _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No action _____

Buyer Promotion

- Sees relationship between memo and performance _____
- ratings _____
- Sees relationship between memo and customer _____
- complaint _____
- OK's suggestion _____
- Protests suggestion _____
- Plans to discuss with Lori _____
- Plans to get additional information from assistant _____
- Delays decision to get more information _____
- Informs store manager of action taken _____
- Suggests other employee(s) _____
- Provides specific action plan _____
- Delegates to assistant _____
- Postpones action / No action _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Sexual Harassment -- The item involves a personal note to the manager from Cindy Adams, a female trainee alledging sexual harassment on the part of Bill Silverman, the male individual assigned to train her. She requests help from the department manager and states that she will file a complaint if the action is not stopped. In a response, the manager:

- Will investigate whether similar complaints have been made against Bill _____
- Prepares notes for future reference _____
- Has assistant investigate _____
- Suggests immediate action against Bill _____
- Will question Bill _____
- Has Frank Ryan (assistant) question Bill _____
- Warns or will warn Bill _____
- Has Frank (assistant) warn Bill _____
- Acknowledges the problem for Cindy _____
- Apologizes to Cindy _____
- Plans to question to Cindy _____
- Has Frank (assistant) question Cindy _____
- Arranges to schedule Bill and Cindy at different times _____
- Explains the problem to Pat (store manager) _____
- Explains the consequences of harrassment to all staff _____
- Schedules a meeting with Cindy upon return _____
- Schedules a meeting with Bill upon return _____
- Arranges to have Frank (assistant) carry out a specific plan to deal with the issue _____
- Delegates entire matter to Frank (assistant) without specific suggestions _____
- Describes a secific solution or plan to deal with the problem _____
- Postpones action until return _____
- Outlines or describes no action _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Val-U Trac Lights -- Involves a memo from the light supplier, informing the manager that light switches are faulty and may cause fires. Also states that lights will not be delivered as planned. In a response, the manager:

Recognizes the relationship between the lights and the sales memo

Has lights removed from the sales bulletin

Has (assistant) remove the lights from the sales bulletin

Has lights pulled from stock

Has lights returned for credit

Makes arrangements to get new lights

Has Frank (assistant) get new lights

Attempts to contact customers who have already purchased the lights

Explains the problem to Bill Hansen (regional furniture manager)

Explains the problem to Pat (store manager)

Arranges to have another company as a secondary supplier

Quality Inspection -- involves a letter to the manager from Bill Hansen (regional furniture) manager complaining about the dusty, greasy furniture on display. Hansen demands the situation be rectified immediately. In a response, the manager:

Will investigate why department is dirty

Has Frank (assistant) investigate

Recommends staff clean or replace items

Has Frank (assistant) get staff to clean

Explains the problem to the staff

Notifies Bill Hansen (regional manager) of the action taken

Notifies Pat (store manager) of the problem

Establishes a policy that items be cleaned before being put on display

Schedules a weekly cleaning inspection

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Employee Theft -- involves a note to the manager from Lori Thomas stating that Mike Cohen has taken at least 2 microwave ovens from the store at closing time. In a response, the manager:

- Will question Lori for more information _____
- Asks Frank (assistant) to question Lori _____
- Asks Frank (assistant) to investigate _____
- Has sales records / inventory checked _____
- Has security watch Mike _____
- Has Frank (assistant) watch Mike _____
- Explains the problem to Pat (store manager) _____
- Takes immediate action against Mike _____
- Thanks Lori for the information _____
- Explains the consequences of theft to all staff _____
- Recommends changing Mike's hours so he does
not working closing _____
- Has Frank (assistant) change Mike's hours _____
- Will confront Mike _____
- Has Frank (assistant) confront Mike _____
- Conveys the problem to security _____
- Has Frank (assistant) inform security _____
- Has security strengthened _____
- Establishes a policy that employees are
responsible for the merchandise they handle _____

Customer Complaint -- involves a letter from Brenda Miller (a customer) who claims that she had ordered a sofa which had not been delivered when promised and that on calling the store to investigate, that she was treated rudely by the salesperson, Lori Thomas. In a response, the manager:

- Recognizes the relationship between the complaint
and the training workshop memo _____
- Recognizes the relationship between the complaint
and the suggested promotion _____
- Will investigate the problem further _____
- Has Frank (assistant) investigate _____
- Arranges to locate the merchandise _____
- Apologizes to the Brenda Miller (customer) _____
- Has Frank (assistant) appologize to Brenda
Miller (customer) _____
- Suggests offering Brenda Miller (customer)
additional merchandise _____
- Suggests reducing the price for Brenda (customer) _____
- Will question Lori about the problem _____
- Has Frank (assistant) question Lori _____
- Has Frank (assistant) take action against Lori _____
- Conveys the problem to Pat (store manager) _____
- Suggests training program for Lori _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Summer Sales Bulletin -- involves a memo from Pat Willams (store manager) to the dept. manager announcing the summer sale and including an advanced copy of the newspaper advertisement listing sale items and prices as well as the dates of the sale. The sale items include the Valu-Trac Lights (which will not be available) and the dates coincide with the time off requested by Phillis (a staffer). In a response, the manager

- Has someone check to insure the ad is correct _____
- Has Frank (assistant) make sure adequate stock is ordered _____
- Makes sure enough staff is scheduled for sale _____
- Has Frank (assistant) make sure adequate staff is scheduled for sale _____
- Recognizes the relationship between the time off request and the sale dates _____
- Recognizes the relationship between the unavailable lights and the sales bulletin _____
- Addresses the light/sales bulletin problem _____
- Has Frank (assistant) deal with the light/sales bulletin problem _____
- Arranges to have the department prepared for the sale _____
- Arranges a meeting to discuss preparations for the sale upon return _____
- Has Frank (assistant) have the department prepared for the sale _____
- Notifies Pat Williams (store manager) of the light availability problem _____
- Notifies staff of the sale _____
- Delegates the entire matter to Frank (assistant) without specific suggestions _____
- Describes a specific solution or plan to deal with the problem _____
- Postpones action until return _____
- Outlines or describes no action _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Manager's Meeting -- involves a memo from Pat Williams (store manager) notifying the manager of a Dept. Manager's Meeting and that he/she should be prepared to address specific product sales, measures to improve the department, and methods of selecting non-managerial personnel for promotion to management level positions. In a response, the manager:

- Recognizes the relationship between the meeting and the Valley Furniture cabinet request _____
- Recognizes the relationship between the promotion request and the performance appraisals _____
- Recognizes the relationship between the promotion request and suggested promotion of Lori Thomas _____
- Makes notes to self for future action _____
- Will investigate current product sales levels _____
- Has Frank (assistant) check current sales levels _____
- Asks Frank (assistant) for suggestions on the promotion issue _____
- Asks Frank (assistant) for suggestions on improving the dept. _____
- Asks staff for suggestions on improving dept. _____
- Notifies Pat (manager) of intent to attend _____
- Establishes a suggestion box for the staff _____

Dress-Code Violations -- involves a memo from John Woods (assistant store manager) complaining of consistent dresscode violations by three members of the furniture dept. staff and requesting immediate action. In a response, the manager:

- Will investigate the problem further _____
- Has Frank (assistant) investigate the problem _____
- Explains the dresscode to all staff _____
- Has Frank (assistant) enforce the dresscode _____
- Notifies the offending staff to obey the dresscode _____
- Takes immediate action against the employees _____
- Has Frank (assistant) act against the employees _____
- Makes notes to self for future action _____
- Arranges to address at a staff meeting _____
- Notifies assistant store manager of action taken _____
- Delegates the entire matter to Frank (assistant) without specific suggestions _____
- Describes a specific solution or plan to deal with the problem _____
- Postpones action until return _____
- Outlines or describes no action _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Time-off Request -- involves a note to the manager from Phyllis (an employee) requesting time off to attend the wedding of a friend. The request coincides with the dates of the sale. In a response, the manager:

- Recognizes the conflict between request and sale _____
- Investigates whether Phyllis can be spared for the day _____
- Has Frank (assistant) investigate whether Phyllis can be spared for the day _____
- OK's request without assuring Phyllis can be spared _____
- OK's request after making sure she can be spared _____
- Arranges for a replacement _____
- Recommends Phyllis arrange to trade time off with another employee _____
- Has Frank (assistant) arrange to have someone else work in her place _____
- Refuses the request _____
- Tells Phyllis to ask Frank (assistant) about taking the day off _____
- Tells Phyllis to ask the personnel dept. about taking the day off _____
- Notifies Phyllis OK to take the day off _____
- Notifies Phyllis she can not have the day off _____
- Has Frank (assistant) notify Phyllis of the decision _____

1. Problem Analysis
2. Planning and Organizing
3. Problem Solution
4. Sensitivity
5. Communication
6. Other

Performance Appraisal of Staffer -- involves a memo from Sue Baker (personnel director) reporting that a dept. employee (John Chandler) is unhappy with his most recent performance evaluation and has requested a transfer to another department as a result. The memo requests input from the manager regarding this situation. In a response, the manager:

- Investigates other problems with ratings _____
- Has Frank (assistant) check other rating problems _____
- Checks performance rating of Chandler _____
- Has Frank (assistant) check performance rating of Chandler _____
- Asks Frank (assistant) for input on Chandler's performance _____
- Asks Frank (assistant) about problems between Chandler and Chris Martin (the old manager) _____
- Seeks (plans to seek) further information _____
- Arranges to discuss with Chandler _____
- Has Frank (assistant) discuss with Chandler _____
- Grants the transfer _____
- Refuses the transfer _____
- Notifies Sue Baker (personnel director) of the plan _____
- Asks Sue Baker (personnel director) for help _____
- Asks Sue Baker (personnel director) to investigate _____
- Asks Sue (personnel director) for input _____
- Arranges to discuss the performance appraisal process with employees _____
- Establishes a schedule for conducting performance appraisals _____

Training Workshops -- involves a memo from Pat Williams (store manager) notifying the manager of upcoming workshops on handling customer complaints and asks the manager to help in identifying employees who may benefit from the training. In a response, the manager:

- Recognizes the relationship between the memo and the customer complaint _____
- Suggests Lori for the training _____
- Suggests employees for the training _____
- Will investigate training needs _____
- Has Frank (assistant) investigate training needs _____
- Asks Frank (assistant) to suggest employees who may benefit from training _____
- Arranges to talk to Frank (assistant) about suggesting employees for the training program _____
- Notifies all staff of workshops _____
- Makes a note to address the matter in the future _____
- Schedules additional help on training dates _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Valley Furniture Cabinet Request -- involves a letter from John Peters of Valley Furniture asking if the store would be interested in doubling its order for a specific kitchen cabinet. In a response, the manager:

- Will check sales of the cabinets _____
- Has Frank (assistant) check sales of the cabinets _____
- OK's the request _____
- Refuses the request _____
- Checks to see if cabinets can be purchased _____
at a reduced price _____
- Asks Frank (assistant) to investigate whether _____
cabinets can be purchased at a reduced price _____
- Recognizes the relationship between the request _____
and the upcoming Manager's Meeting _____
- Will investigate further _____
- Has Frank (assistant) investigate further _____
- Asks Frank (assistant) for input _____
- Will ask Frank (assistant) for input _____
- Notifies Pat Williams (manager) of the situation _____
- Contacts John Peters _____
- Will contact John Peters _____
- Has Frank (assistant) contact Peters _____
- Delegates the entire matter to Frank (assistant) _____
without specific suggestions _____
- Describes specific solution or plan to _____
deal with the problem _____
- Postpones action until return _____
- Outlines or describes no action _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Buyer Promotion -- involves a memo from Pat Williams (store manager) informing the manager of an upcoming opening for a buyer and asks the manager what he/she thinks of Lori Thomas for the position. In a response, the manager:

- Recognizes the relationship between the memo and the performance ratings _____
- Recognizes the relationship between the memo and the customer complaint _____
- Agrees with the suggestion _____
- Protests the suggestion _____
- Arranges to discuss with Lori _____
- Has Frank (assistant) discuss with Lori _____
- Asks Frank (assistant) about Lori _____
- Asks Frank (assistant) for input _____
- Will ask Frank (assistant) for input _____
- Delays decision to get more information _____
- Makes notes to self for future action _____
- Notifies Pat Williams (store manager) of the _____
- Suggests other employee(s) for consideration _____
- Arranges to replace Lori if promoted _____

Memo from Frank (assistant manager) - involves a memo from Frank asking that the new manager leave instructions prioritizing what should be done before his/her return. In a response, the manager:

- Establishes specific priorities for dealing with all problems _____
- Establishes priorities for dealing with some of the problems _____
- Establishes priorities for none of the problems _____
- Outlines or describes no action _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Miscellaneous - In addition to the responses listed above, the manager:

- Prepares the calendar to indicate the Summer Sale _____
- Prepares the calendar to indicate the Manager's Meeting _____
- Prepares the calendar to indicate the Training Workshops _____
- Prepares the calendar to indicate a meeting with Frank (assistant) upon return _____
- Prepares the calendar to schedule other things _____
- Completes the staff biography form while leaving other items incomplete _____
- Leaves more than one item incomplete _____
- Changes the work schedule to reflect any change due to Phyllis's requested day off _____
- Changes the work schedule so that Cindy and Bill are not working together _____
- Changes the work schedule so that Mike is not working closing hours _____

In-Basket Responses

Following this, you will see two lists. The first is a numbered list of behavioral dimensions along with their definitions and some key words. The second is a list of written responses (e.g., notes, memos, letters) to each of the thirteen items in the In-Basket exercise, plus some miscellaneous behaviors. Your task is to assign each response to the dimension that seems most applicable by recording the dimension number in the space to the right of the response.

Thank-you very much for your time and assistance.

Dimensions

1. Problem Analysis - Breaking up a problem (e.g. item or issue) into its parts such that the parts can be examined for their importance, interrelationships, or need for additional information.

Key Words:	Separates Identifies Relates	Investigates Recognizes Probes	Inquires
------------	------------------------------------	--------------------------------------	----------

2. Planning and Organizing - The ability to establish priorities and schedules concerning future courses of action for one's self and others.

Key Words:	Establishes Arranges	Prepares Sets
------------	-------------------------	------------------

3. Problem Solution - Providing actions, methods, or explanations that help in answering a problem.

Key Words:	Suggests Generates Outlines	Describes Recommends Advises
------------	-----------------------------------	------------------------------------

4. Sensitivity to others - Responding to other's feelings, needs, and points of view; letting people know you are aware of their individual situations.

Key Words:	Empathizes Supports Annoys	Apologizes Respects Acknowledges	Assumes
------------	----------------------------------	--	---------

5. Communication - The ability to convey ideas and concepts to others.

Key Words:	Conveys Explains	Summarizes Clarifies	Presents
------------	---------------------	-------------------------	----------

6. Other - Use this category for any response that you can not fit accurately into one of the other dimensions. When using this response, please write in what you think the appropriate dimension would be.

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Sexual Harassment -- The item involves a personal note to the manager from Cindy Adams, a female trainee alledging sexual harassment on the part of Bill Silverman, the male individual assigned to train her. She requests help from the department manager and states that she will file a complaint if the action is not stopped. In a response, the manager:

Schedules a time to talk to Cindy
Notifies Cindy of the meeting
Notifies Cindy of the action taken
Schedules a time to talk with Bill
Notifies Bill of the meeting

Val-U Trac Lights -- Involves a memo from the light supplier, informing the manager that light switches are faulty and may cause fires. Also states that lights will not be delivered as planned. In a response, the manager:

Notifies customers who have already purchased
the lights

Quality Inspection -- involves a letter to the manager from Bill Hansen (regional furniture) manager complaining about the dusty, greasy furniture on display. Hansen demands the situation be rectified immediately. In a response, the manager:

Notifies staff of the weekly cleaning
inspections
Makes note to self to conduct weekly cleaning
inspections

Employee Theft -- involves a note to the manager from Lori Thomas stating that Mike Cohen has taken at least 2 microwave ovens from the store at closing time. In a response, the manager:

Schedules Mike to work hours other than
closing times

1. Problem Analysis
2. Planning and Organizing
3. Problem Solution
4. Sensitivity
5. Communication
6. Other

Customer Complaint -- involves a letter from Brenda Miller (a customer) who claims that she had ordered a sofa which had not been delivered when promised and that on calling the store to investigate, that she was treated rudely by the salesperson, Lori Thomas. In a response, the manager:

Writes a letter to Brenda Miller to explain
any action

Dress-Code Violations -- involves a memo from John Woods (assistant store manager) complaining of consistent dresscode violations by three members of the furniture dept. staff and requesting immediate action. In a response, the manager:

Explains the dresscode to the three violating
members

Time-off Request -- involves a note to the manager from Phyllis (an employee) requesting time off to attend the wedding of a friend. The request coincides with the dates of the sale. In a response, the manager:

Writes a memo to Phyllis explaining the
action

Performance Appraisal of Staffer -- involves a memo from Sue Baker (personnel director) reporting that a dept. employee (John Chandler) is unhappy with his most recent performance evaluation and has requested a transfer to another department as a result. The memo requests input from the manager regarding this situation. In a response, the manager:

Schedules a meeting with Chandler

Miscellaneous - in addition to the responses listed above, the manager:

Schedules someone else to work for Phyllis
Schedules Cindy and Bill to work different hours
Schedules Mike to work hours other than
closing hours

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Sexual Harassment -- The item involves a personal note to the manager from Cindy Adams, a female trainee alledging sexual harassment on the part of Bill Silverman, the male individual assigned to train her. She requests help from the department manager and states that she will file a complaint if the action is not stopped. In a response, the manager:

- Arranges to have Frank (assistant) carry out a specific plan to deal with the sexual harassment complaint _____
- Postpones action on the sexual harassment complaint until return _____
- Schedules a date by which Frank (assistant) is expected to report back on anything he has done regarding the sexual harassment complaint _____
- Gives Frank (assistant) a prioritized list of actions relative to the Val-U-Trac lite problem _____

Val-U Trac Lights -- Involves a memo from the light supplier, informing the manager that light switches are faulty and may cause fires. Also states that lights will not be delivered as planned. In a response, the manager:

- Gives Frank (assistant) a prioritized list of actions relative to the Val-U-Trac Light problem _____
- Schedules a meeting with Bill Hansen (regional furniture manager) to discuss the Val-U-Trac Light problem _____
- Schedules a date by which Frank (assistant) is expected to report back on anything he has done regarding the sexual harassment complaint _____
- Prepares notes on the Val-U-Trac Light problem to remind self to act on upon return _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Quality Inspection -- involves a letter to the manager from Bill Hansen (regional furniture) manager complaining about the dusty, greasy furniture on display. Hansen demands the situation be rectified immediately. In a response, the manager:

- Schedules a meeting with Bill Hansen (regional furniture manager) to discuss the problem upon his/her return _____
- Uses the calendar or writes a note to self to schedule own cleaning inspection(s) _____
- Schedules a staff meeting to discuss the problem of Bill Hansen (regional furniture manager)'s complaint about the dirty condition of the dept. _____
- Gives Frank (assistant) a prioritized list of actions relative to the cleaning problem _____
- Schedules a meeting with Frank (assistant) to discuss the employee theft problem _____

Customer Complaint -- involves a letter from Brenda Miller (a customer) who claims that she had ordered a sofa which had not been delivered when promised and that on calling the store to investigate, that she was treated rudely by the salesperson, Lori Thomas. In a response, the manager:

- Gives Frank (assistant) a prioritized list of actions relative to the Customer Complaint _____
- Makes a note to self to deal with the customer complaint upon return _____
- Schedules a meeting with Lori to discuss the customer complaint _____
- Schedules a meeting with Frank (assistant) to discuss the customer complaint _____

Employee Theft -- involves a note to the manager from Lori Thomas stating that Mike Cohen has taken at least 2 microwave ovens from the store at closing time. In a response, the manager:

- Schedules a meeting with Frank to discuss the employee theft problem _____
- Makes notes to self to deal with the employee theft problem in the future _____
- Schedules a meeting with Lori to discuss the employee theft problem _____
- Schedules a meeting with Mike to discuss the employee theft problem _____

1. Problem Analysis 2. Planning and Organizing 3. Problem Solution 4. Sensitivity 5. Communication 6. Other

Summer Sales Bulletin -- involves a memo from Pat Williams (store manager) to the dept. manager announcing the summer sale and including an advanced copy of the newspaper advertisement listing sale items and prices as well as the dates of the sale. The sale items include the Valu-Trac Lights (which will not be available) and the dates coincide with the time off requested by Phillis (a staffer). In a response, the manager

- Schedules a meeting with Frank (assistant) to discuss the Summer Sale _____
- Notes the Summer Sale dates on his/her calendar _____
- Gives Frank (assistant) a prioritized list of actions relative to the Summer Sale _____
- Makes a note to self to deal with the Summer Sale upon return _____

Manager's Meeting -- involves a memo from Pat Williams (store manager) notifying the manager of a Dept. Manager's Meeting and that he/she should be prepared to address specific product sales, measures to improve the department, and methods of selecting non-managerial personnel for promotion to management level positions. In a response, the manager:

- Gives Frank (assistant) a prioritized list of actions relative to the Manager's Meeting _____
- Schedules a meeting with Frank (assistant) to discuss the manager's meeting _____
- Requests sales data from staff by a certain date _____
- Notes the Manager's Meeting on his/her calendar _____

Dress-Code Violations -- involves a memo from John Woods (assistant store manager) complaining of consistent dresscode violations by three members of the furniture dept. staff and requesting immediate action. In a response, the manager:

- Gives Frank (assistant) a prioritized list of actions relative to the dresscode violation problem _____
- Schedules a meeting with Frank (assistant) to discuss the dresscode violation problem _____
- Schedules a meeting(s) with the offending staff to discuss the dresscode violation problem _____

1. Problem Analysis
2. Planning and Organizing
3. Problem Solution
4. Sensitivity
5. Communication
6. Other

Performance Appraisal of Staffer -- involves a memo from Sue Baker (personnel director) reporting that a dept. employee (John Chandler) is unhappy with his most recent performance evaluation and has requested a transfer to another department as a result. The memo requests input from the manager regarding this situation. In a response, the manager:

Schedules a meeting with Sue Baker (personnel director) to discuss the Chandler appraisal/transfer problem

Makes notes to self to address the Chandler appraisal/transfer problem in the future

Gives Frank (assistant) a prioritized list of actions relative to the Chandler appraisal/transfer problem

Training Workshops -- involves a memo from Pat Williams (store manager) notifying the manager of upcoming workshops on handling customer complaints and asks the manager to help in identifying employees who may benefit from the training. In a response, the manager:

Sets a date for Frank (assistant) to return recommendations regarding the Training Workshops

Valley Furniture Cabinet Request -- involves a letter from John Peters of Valley Furniture asking if the store would be interested in doubling its order for a specific kitchen cabinet. In a response, the manager:

Makes notes to self to deal with the Valley Furniture cabinet request upon return

Schedules a meeting with Frank (assistant) to discuss the Valley Furniture cabinet request upon return

Appendix B:
Dimension Definitions

Dimension Definitions

1. Problem Analysis - Breaking up a problem (e.g. item or issue) into its parts such that the parts can be examined for their importance, interrelationships, or need for additional information.

Key Words:	Separates	Investigates	Inquires
	Identifies	Recognizes	
	Relates	Probes	

2. Planning and Organizing - The ability to establish priorities and schedules concerning future courses of action for one's self and others.

Key Words:	Establishes	Prepares
	Arranges	Sets

3. Problem Solution - Providing actions, methods, or explanations that help in answering a problem.

Key Words:	Suggests	Describes
	Generates	Recommends
	Outlines	Advises

4. Sensitivity to others - Responding to other's feelings, needs, and points of view; letting people know you are aware of their individual situations.

Key Words:	Empathizes	Apologizes	Assumes
	Supports	Respects	
	Annoys	Acknowledges	

5. Communication - The ability to convey ideas and concepts to others.

Key Words:	Conveys	Summarizes	Presents
	Explains	Clarifies	

Appendix C:

In-Basket Ranking Task Forms

In-Basket Problem Analysis Ranking Task

Following, is a list of responses to the In-Basket that have been determined to represent the Problem Analysis dimension. The task is to rank order them from most effective (the best representation of the Problem Analysis dimension) to least effective by numbering the responses from 1 (for the most effective) to N (for the least effective).

We recommend that you use the "Alternate Ranking" method in attempting to rank order these responses. First, choose the most effective response ("1"), next the least effective ("30"). Then choose the second most effective response ("2"), and the second least effective ("29") and so on until completing the list.

It is important that only one response can represent a particular score, no ties are allowed.

The following is the definition of the Problem Analysis dimension to aid you in this task.

Once again, thank you very much for your time and effort.

Problem Analysis -- Breaking up a problem (e.g. item or issue) into its parts such that the parts can be examined for their importance, interrelationship, or need for additional information.

- Recognizes the need to investigate whether other complaints of harassment have been made against Bill _____
- Recognizes the need to question Bill about the harassment complaint _____
- Recognizes the need to question Cindy about the harassment complaint _____
- Recognizes the relationship between the Val-U-Trac lights and their presence on the Summer Sale bulletin _____
- Recognizes the need to investigate why the dept. is dirty in response to the poor quality inspection report _____
- Will question Lori, or has Frank (assistant) question Lori for more information regarding her charges of theft against Mike _____
- Has Frank (assistant) investigate the possibility of employee theft _____
- Has sales records/inventory checked in response to the charge of employee theft _____
- Recognizes the relationship between Brenda Miller's complaint and the training workshop memo _____

- Recognizes the relationship between Brenda Miller's complaint and the manager's suggestion that she be promoted to fill the opening for a Buyer _____
- Will question Lori or has Frank (assistant) question Lori about the customer complaint _____
- Has someone check to insure the Summer Sale ad is correct _____
- Recognizes the relationship between Phyllis's time off request and the Summer Sale dates _____
- Recognizes the relationship between the unavailable Val-U-Trac lights and their inclusion in the Summer Sales bulletin _____
- Recognizes the relationship between the Manager's Meeting and Valley Furniture's request to increase kitchen cabinet orders _____
- Recognizes the relationship between the suggested promotion of Lori and her performance on the latest performance appraisal _____
- Recognizes the need to investigate current product sales levels in response to the request for information on product sales from the manager _____
- Asks Frank (assistant) for suggestions on how to choose staff for promotion or for improving the dept. in response to the manager's request for these suggestions _____
- Asks staff for suggestions on how to improve the dept. in response to the manager's request for this information _____
- Recognizes the conflict between Phyllis's time-off request and the Summer Sale dates _____
- Checks Chandler's performance rating in response to his complaint and transfer request _____
- Recognizes the need to discuss the performance appraisal/transfer problem with Chandler _____
- Recognizes the relationship between the Training Workshop memo and the customer complaint against Lori _____
- Recognizes the need to check sales of the Valley Furniture cabinets in response to their request that the dept. increase their order of the cabinets _____
- Recognizes the relationship between Valley Furniture's request to increase the cabinet order and the upcoming Manager's Meeting _____
- Asks or plans to ask Frank (assistant) for input regarding Valley Furniture's request to increase the cabinet order _____
- Recognizes the relationship between Pat (store manager) asking about the possible promotion of Lori and her last performance rating _____

Recognizes the relationship between Pat (store manager) asking about the possible promotion of Lori and the customer complaint

Has Frank (assistant) discuss Pat (store manager)'s suggestion of promoting Lori with her

Asks Frank (assistant) about Lori's suitability for promotion in response to Pat (store manager) asking about the possibility of promoting her

Sensitivity Checklist

Sensitivity -- Responding to other's feelings, needs, and points of view; letting people know you are aware of their individual situations.

Acknowledges the Sexual Harassment problem for
Cindy

Apologizes to Cindy for the Sexual Harassment
problem

Thanks Lori for the information regarding the
employee theft problem

Apologizes to the Brenda Miller (customer) for the
delayed delivery of her sofa or her rude
treatment by Lori (staff)

Has Frank (assistant) appologize to Brenda
Miller (customer) for the delayed delivery of
her sofa or her rude treatment by Lori (staff)

TOTAL

SENSITIVITY RATING (DIVIDE BY 5)

In-Basket Planning and Organizing Ranking Task

Following, is a list of responses to the In-Basket that have been determined to represent the Planning and Organizing dimension. The task is to rank order them from the best example of planning and organizing to the worst by numbering them from 1 to N.

We recommend that you use the "Alternate Ranking" method in attempting to rank order these responses. First, choose the best example and number it "1", then the worst example and number it "30". Next, choose the second best example and number it "2", then the second worst example numbering it "29" and so on until completing the list.

It is important that only one response represent a particular score, no ties are allowed.

The following is a definition of the Planning and Organizing dimension to aid you in the task.

Once again, thank you very much for your time and effort.

Planning and Organizing - the ability to establish priorities and schedules for one's self and others concerning future courses of action.

- Postpones action on the sexual harassment complaint until return _____
- Schedules a date by which Frank (assistant) is expected to report back on anything he has done regarding the sexual harassment complaint _____
- Lets Frank (assistant) know the order in which actions should be taken, or dates by which they should be completed _____
- Schedules a meeting with Bill Hansen (regional furniture manager) to discuss the Val-U-Trac Light problem _____
- Schedules a date by which Frank (assistant) is expected to report back on anything he has done regarding the sexual harassment complaint _____
- Prepares notes on the Val-U-Trac Light problem to remind self to act on upon return _____
- Schedules a meeting with Bill Hansen (regional furniture manager) to discuss the problem upon his/her return _____
- Schedules a staff meeting to discuss the problem of Bill Hansen (regional furniture manager)'s complaint about the dirty condition of the dept. _____
- Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the cleaning problem _____

Schedules a meeting with Frank (assistant) to discuss the employee theft problem _____

Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the employee theft problem _____

Schedules a meeting with Mike to discuss the employee theft problem _____

Makes a note to self to deal with the customer complaint upon return _____

Schedules a meeting with Lori to discuss the customer complaint _____

Schedules a meeting with Frank (assistant) to discuss the customer complaint _____

Schedules a meeting with Frank to discuss the employee theft problem _____

Makes notes to self to deal with the employee theft problem in the future _____

Schedules a meeting with Lori to discuss the employee theft problem _____

Schedules a meeting with Frank (assistant) to discuss the Summer Sale _____

Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the Summer Sale _____

Makes a note to self to deal with the Summer Sale upon return _____

Schedules a meeting with Frank (assistant) to discuss the manager's meeting _____

Requests sales data from staff by a certain date _____

Notes the Manager's Meeting on his/her calendar _____

Schedules a meeting(s) with the offending staff to discuss the dresscode violation problem _____

Schedules a meeting with Sue Baker (personnel director) to discuss the Chandler appraisal/transfer problem _____

Makes notes to self to address the Chandler appraisal/transfer problem in the future _____

Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the Chandler appraisal/transfer problem _____

Sets a date for Frank (assistant) to present recommendations regarding the Training Workshops _____

Makes notes to self to deal with the Valley Furniture cabinet request upon return _____

In-Basket Problem Solution Ranking Task

Following, is a list of responses to the In-Basket that have been determined to represent the Problem Solution dimension. The task is to rank order them from the best representation of the dimension to the worst by numbering them from 1 (best) to N (worst).

We recommend that you use the "Alternate Ranking" method in attempting to rank order these responses. First, choose the most effective response ("1"), then the least effective ("30"). Next, choose the second most effective response ("2"), followed by the second least effective ("29") and so on until completing the list.

It is important that only one response represent a particular score, no ties are allowed.

The following is a definition of the Problem Solution dimension to aid you in this task.

Once again, thank you for your time and effort.

Problem Solution - Providing actions, methods, or strategies that help in answering a problem.

Warns, will warn, or has Frank (assistant) warn Bill regarding the sexual harassment complaint

Describes a specific solution or plan to deal with the sexual harassment complaint

Has the Val-U-Trac lights removed from the sales bulletin

Makes arrangements to get lights to replace the Val-U-Trac lights

Recommends staff clean or replace items in response to the manager's complaint about the dirty condition of the dept.

Schedules a weekly cleaning inspection in response to the manager's complaint about the dirty condition of the dept.

Arranges to have security or Frank (assistant) watch Mike in response to Lori's report that he is stealing

Recommends changing Mike's hours so he is not working at closing time in response to Lori's report that he is stealing

Will confront Mike or has Frank (assistant) confront Mike regarding Lori's report that he is stealing

Has security strengthened in response to Lori's report that Mike has been stealing

Suggests offering Brenda Miller (customer) additional merchandise or a discount in response to her complaint about the delayed delivery of her sofa and rude treatment by Lori _____

Recommends immediate action against Lori in response to Brenda Miller's complaint about the delayed delivery of her sofa and rude treatment by Lori _____

Suggests training program for Lori in response to Brenda Miller's complaint about the delayed delivery of her sofa and rude treatment by Lori _____

Has Frank (assistant) make sure adequate stock is ordered for the Summer Sale _____

Makes sure or has Frank (assistant) make sure adequate staff is scheduled for the Summer Sale _____

Delegates the entire Summer Sale matter to Frank (assistant) without specific suggestions _____

Has Frank (assistant) enforce the dresscode _____

Recommends immediate action against the employees accused of the dresscode violations _____

Delegates the entire matter of the dresscode violations to Frank (assistant) without specific suggestions _____

OK's the time off request without assuring Phyllis can be spared for the day _____

OK's the time off request after making sure Phyllis can be spared for the day _____

Recommends Phyllis arrange to trade time off with another employee in response to her request for a day off to attend the wedding of a friend _____

Has Frank (assistant) arrange to have someone else work for Phyllis in response to her request for a day off to attend the wedding of a friend _____

Refuses Phyllis's request for a day off to attend the wedding of a friend _____

Refers Phyllis to Frank (assistant) or the personnel dept. about taking the day off _____

Grants John Chandler's transfer _____

Refuses John Chandler's transfer _____

Suggests employees for the training in response to the Training Workkshop memo _____

Protests Pat (store manager)'s suggestion of promoting Lori _____

Suggests other employee(s) for possible promotion _____

In-Basket Communication Ranking Task

Following, is a list of responses to the In-Basket that have been determined to represent the Communication dimension. The task is to rank order them from the best to the worst example of communication in the exercise by numbering them from 1 to N.

We recommend that you use the "Alternate Ranking" method in attempting to rank order these responses. First, choose the best example and number it "1", then the worst example and number it "30". Next, choose the second best example and number it "2", then the second worst example numbering it "29" and so on until completing the list.

It is important that only one response represent a particular score, no ties are allowed.

The following is a definition of the Communication dimension to aid you in the task.

Once again, thank you very much for your time and effort.

Communication - Conveying ideas and concepts to others.

- Explains the problem of the sexual harassment complaint to Pat (store manager) _____
- Explains the consequences of sexual harrassment to all staff in response to the sexual harassment complaint _____
- Notifies Cindy of the meeting to discuss her sexual harassment charge _____
- Notifies Cindy of the action taken response to her the sexual harassment charge _____
- Notifies Bill of the meeting to discuss Cindy's sexual harassment charge _____
- Explains the Val-U-Trac light problem to Bill Hansen (regional furniture manager) _____
- Explains the Val-U-Trac light problem to Pat (store manager) _____
- Notifies customers who have already purchased the Val-U-Trac lights of the problem with the switches _____
- Explains the problem of the manager's complaint about the dirty condition of the dept. to the staff _____
- Notifies Bill Hansen (regional manager) of the action taken regarding his complaint about the dirty condition of the dept. _____
- Notifies Pat (store manager) of the manager's complaint about the dirty condition of the dept. _____
- Explains the report of employee theft to Pat (store manager) _____

Explains the consequences of theft to all staff
in response to the report of employee theft _____

Conveys the report of employee theft to security _____

Has Frank (assistant) inform security of the
report of employee theft _____

Conveys Brenda Miller's complaint to Pat
(store manager) _____

Writes a letter to Brenda Miller to explain any
action taken _____

Notifies Pat Williams (store manager) of the
Val-U-Trac light availability problem _____

Notifies staff of the upcoming Summer Sale _____

Notifies Pat (manager) of intent to attend the
Manager's Meeting _____

Explains the dresscode to all staff in response to
the manager's complaint of violations _____

Notifies John Woods (assistant store manager)
of action taken regarding the complaint of
dresscode violations _____

Explains the dresscode to the three violating
members _____

Writes a memo or letter to Phyllis explaining the
action _____

Notifies Sue Baker (personnel director) of the plan
to deal with the John Chandler appraisal/
transfer problem _____

Notifies all staff of the upcoming Training
Workshops _____

Notifies Pat Williams (manager) of the request by
Valley Furniture to increase the order of
their cabinets _____

Contacts John Peters regarding their request to
increase the order of their cabinets _____

Will contact John Peters regarding their request
to increase the order of their cabinets _____

Notifies Pat Williams (store manager) of any
opinions on his suggestion of promoting Lori _____

Appendix D:
The In-Basket

NAME _____

SOC. SEC # _____

INTRODUCTION TO THE IN-BASKET

You are about to participate in an exercise referred to as an In-Basket. In this exercise, you will assume the role of a manager and will deal with many of the items that typically accumulate in an in-basket on a day-to-day basis. Each item will require your attention and some form of action. The information on the following pages is intended to familiarize you with the In-Basket exercise. Please read it carefully.

Background

During the last two years, you have been the assistant department manager at Weston's #69. Weston's is a national chain department store where you can buy furniture and home furnishings, clothes, sporting goods, and appliances. You have really enjoyed working for Weston's Houston, Texas store #69. It is one of the smaller Weston's, but you have always done an excellent job with the store's limited resources.

Weston's management has noticed your abilities and has promoted you to Chicago store #72. Store #72 is one of Weston's new "super-stores", carrying a greater range of products and services compared to most other Weston's.

You are now the new furniture department manager for store #72. The previous department manager, Chris Martin, suffered a heart attack and passed away earlier in the week.

The department you will be managing is almost twice as large as the one in your old store, and has double the staff. Your department carries a variety of furniture and home furnishings including couches, recliners, tables, carpeting, lamps, etc. The services your department provides include carpet installation, interior decorating, and delivery of products.

This change in your career is just what you have been wanting. If you show management that you can run a large department effectively, you could be considered for promotion to Assistant Store Manager.

The Situation

Today is Sunday, May 31. You have been in Chicago for the past few days looking for an apartment for you and your family. The store manager, Pat Williams, has asked you to stop by #72 after store hours to handle the mail which has piled up on the old department manager's desk since his death.

It is now 6:00 p.m. You are in Chris' old office (your new office). You have stopped there on your way to the airport. You have to catch the 8:30 plane back to Houston; so you will have to leave for the airport at 7:00. This gives you 45 minutes to handle the mail on Chris' desk. You will not be returning to Chicago and #72 until Monday, June 8, which is your first official day on the job.

Instructions

You are responsible for handling the in-basket items which follow. For the purposes of this exercise, you must assume that you cannot reach anyone by phone because it is Sunday. Also, assume that any items that you find in this in-basket have not been handled by anyone else. Remember, the store is closed.

1. Please remove the paper clip and feel free to complete the items in any order you wish.
2. You must write down everything you do or plan to do for each of the in-basket items. Do not merely describe what you would write. Instead, actually write the memos, letters, etc. that you feel are necessary using the materials in this packet. If you delegate work to someone, please indicate the directions you would provide for them. If you decide to defer action or take follow-up action at a later date, make sure you write this down so we know what your response to the item is.
3. In preparing a letter, memo, etc., try to identify it in such a way that we know what in-basket item(s) you are responding to, and if at all possible, please clip the memo to the front of the in-basket item(s) involved.
4. The calendar is provided to use as you wish.
5. You can not have any conversations by phone or otherwise.
6. Also, you can not take any of your work with you on the plane.
7. PLEASE WRITE NEATLY.
8. One final tip - most people find it helpful to "get into character" by pretending they are actually in the situation described. You may find this is a good approach for taking the in-basket.

JUNE

31	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	1	2	3	4

WESTON'S
ORGANIZATIONAL CHART

STORE MGR.
PAT WILLIAMS

REG. FURN. MGR.
BILL HANSEN

ASST. STORE MGR.
JOHN WOODS

DEPT. MGR.
APPLIANCES

DEPT. MGR.
SPORTING GOODS

DEPT. MGR.
FURNITURE

DEPT. MGR.
CLOTHING & SHOES

DEPT. MGR.
SERVICE

DEPT. MGR.
TOYS

ASST. DEPT. MGR.
FRANK RYAN

FULL TIME SALES
JEFF CARTER
KATHY DALTON
PHYLLIS JOHNSON
LORI THOMAS

PARTTIME SALES
STEVE WETHINGTON
GLEN CHANDLER
CINDY ADAMS
JILL HERNANDEZ

STOCK HELP
MIKE COHEN
PAT CONNORS
PAUL ROSS
BILL SILVERMAN

WESTON'S

STORE #	STAFF WORKING SCHEDULE												WEEK ENDING:		
	5-31		6-1		6-2		6-3		6-4		6-5		6-6		TOTAL
NAME	SUN.		MON.		TUE.		WED.		THU.		FRI.		SAT.		
FULL TIME SALES	IN	OUT	IN	OUT	IN	OUT	IN	OUT	IN	OUT	IN	OUT	IN	OUT	
Jeff Carter	-----		10	7	10	7	-----		12	9	10	7	12	9	40
Kathy Dalton	-----		-----		12	9	12	9	10	7	12	9	10	7	40
Phyllis Johnson	-----		10	7	12	9	10	7	-----		10	7	12	9	40
Lori Thomas	-----		12	9	10	7	10	7	12	9	-----		10	7	40
<u>PART TIME SALES</u>															
Steve Wethington	-----		5	9	-----		-----		1	5	2	9	-----		15
Cindy Adams	-----		-----		10	2	10	2	-----		10	2	10	2	16
Glen Chandler	-----		10	2	-----		10	5	5	9	-----		5	9	19
<u>STOCK HELP</u>															
Mike Cohen	-----		10	7	10	7	-----		10	7	10	7	10	7	40
Pat Connors	-----		-----		1	5	-----		1	5	1	5	-----		12
Paul Ross	-----		10	7	10	7	10	7	10	7	-----		10	7	40
Bill Silverman	-----		10	2	-----		10	5	-----		10	2	-----		15

TO: New Dept. Manager
FROM: Human Resource Department
RE: Yearbook

Congratulations, and welcome aboard!

You have arrived just in time to get your picture in this Year's Weston's #72 yearbook. We have you scheduled to get your picture taken on Thursday, June 11th at 12:15 p.m. Under everyone's picture will be a short biography about the person, no more than 150 words. I have attached a biography form for you to fill out. Almost everyone has filled out their form for this year's yearbook, so whenever you get a chance, we would appreciate the form being filled out, so we can send the yearbook to the printshop.

Please mail the form to Sandy Pappas in Personnel through the inter-office mail by June 21.

May 28, 1985

TO: New Department Manager
FROM: Cindy Adams
SUBJECT: Harrassment

I would like to inform you of a problem that I am having with Bill Silverman. He is always making passes at me. He follows me everyone in the store and is always asking me out even though I told him that I don't want to go.

Yesterday, while I was in the storeroom, he came back and tried to touch me. A customer saw him and it was very embarrassing for me. I would have reported this sooner but you were not here yet. His advances toward me are making it very uncomfortable for me to work here. If something isn't done I'm going to file a sexual harrassment complaint.

TO: New Dept Manager
FROM: Bill Hansen, Regional Furniture Manager
RE: Val-U-Track Lights

Just wanted to let you know that we will not be receiving any of the ValU Track Lights from the manufacturer until the middle of the month. There are problems with the electrical switches used for the lights and this may cause electrical fires. Please make other arrangements until this problem can be resolved.

TO: Chris Martin
FROM: Bill Hansen, Regional Furniture Manager
RE: Quality Inspection Report

This is the second time this month that I have seen your department in a mess. I found dust on all the furniture and the glass coffee tables were smudged with grease. If efforts aren't made to get the department cleaned immediately I'm going to give you a Warning Notice. Get this place in shape!

May 22, 1985

Chris:

I think you should know that Mike has been taking items from the store after it closes. I heard him talking to some of his friends last week about taking two microwaves. Please don't let him know I told you, but I thought you should know.

Lori Thomas

May 23, 1985

Pat Williams, Weston's Store Manager
Weston's
1118 Lake Shore Dr.
Chicago, Ill. 60609

Mr. Williams,

I have always been a loyal shopper at Weston's for over 10 years and have always been treated with respect and courtesy. But never was I treated so poorly as I was last Wednesday.

One of the salespersons, I believe her name was Lori Thomas, promised me that my new sofa would be delivered in less than two weeks. Well, it still has not been delivered. When I called Lori Thomas to discuss the matter with her, she was very rude to me. She said she couldn't track down every late delivery and that I should call Customer Service. Then she hung up on me.

I have never been so outraged before. I am writing to inform you that I'm cancelling my order with this store and am advising all my friends to do the same.

Sincerely,

Brenda Miller
1723 Mission Blvd.
Highland Park, Il.

WESTON'S

FURNITURE AND HOME FURNISHINGS

It is time once again to gear-up for the Summer Sale!
The sale will run from June 13 thru June 18. We are going to
advertise in our circular and the Chicago Tribune.

Below is a list of the advertised items and prices.

LAMPS

Hi-Lite Desk Lamps	\$ 25.00
Val-U Track Lights	\$ 73.00
Asta Chandeliers	\$ 96.95

RECLINERS

Viking Recliners	\$125.50
Leucadia Recliners	\$115.00
Booth Recliners	\$145.95

TABLES

Valet Dinner Tables	\$220.00
Grant Kitchen Tables	\$ 98.99
Augusta Coffee Tables	\$ 95.95

SOFAS

Randall Sofa Beds	\$355.95
Majestic Sofa Modules	\$458.99
Housemann-Royale Sofas	\$697.95

TO: New Dept. Manager
FROM: Pat Williams, Store Manager
RE: Departmental Manager Meetings

This is to inform you that on June 10th, 4:00-6:00 p.m. we will be holding our annual departmental managers meeting to discuss the new product lines for the coming year and to prepare for the upcoming Fall season. We would like to make some decisions concerning those items that have not proven to be profitable for us and any suggestions for improving the departments. Please be prepared to discuss these at our meeting.

TO: New Department Manager
FROM: Pat Williams, Store Manager
RE: Management Advancement

Please have in my office by June 11th your ideas as to the best method for selecting nonmanagement people for movement to management. As you know, this is a crucial problem due to the number of retirements that will come up in the next two years.

TO: New Department Manager
FROM: John Woods, Assistant Store Manager
RE: Dress Code Violations

It has come to my attention that several of your subordinates (Jeff Carter, Pat Conners and Kathy Dalton have been violating the company's dress code (No blue jeans, ties must be worn, and wellgroomed hair).

Please handle this immediately.

TO: New Department Manager
FROM: Phyllis Johnson

I really need to take June 15th off to go to my best friend's wedding. I have already told her that I would there.

Thanks.

Phyllis

TO: Chris Martin
FROM: Sue Baker, Assistant Director, Human Resources Dept.
RE: Morale

It has come to my attention that one of your employees (Glen Chandler) is upset about the performance ratings he received from you. He has asked to be transferred to another department.

Please respond.

Sue Baker

WESTON'S
CORPORATE HUMAN RESOURCES

TO: ALL STORE MANAGERS
FROM: JAMES DONOVAN, VICEPRESIDENT
RE: HANDLING CUSTOMER COMPLAINTS

We have contracted Dickinson & Associates, a management consulting firm, to provide a series of training workshops in handling customer complaints. Workshops are scheduled to begin June 27 at corporate headquarters. Please submit to corporate personnel a list of those persons in your store that you feel would most benefit from these workshops by June 15; so that we can schedule accordingly. Please include a justification statement for each.

To Chris
Date 5-26 Time 1:00 A.M. P.M. x

WHILE YOU WERE OUT

Mr. John Peters
of Valley Furniture
Phone 555-8080 4462
Area Code Number Extension

TELEPHONED PLEASE CALL X
CALLED TO SEE YOU WILL CALL AGAIN
WANTS TO SEE YOU
RETURNED YOUR CALL URGENT

Message Wants to discuss our ordering 10% more
of their kitchen cabinets. Call and let him
know if this is your intent.

P.K.

Operator

TO: New Department Manager
FROM: Pat Williams, Store Manager
RE: Promotions

There is to be an opening for a Buyers job in the near future. I've recommended one of your employees, Lori Thomas, for the job. It should be a nice step for her.

What do you think?

Pat

WESTON'S

PERFORMANCE RATINGS
(FURN. DEPT)

Poor-Fair-Average-Good-Excellent

Last Name	Inter personal	Perform Dimen. Prod. Knowl.	Sales	Overall Rating
Carter	Excel.	Good	Good	Good
Dalton	Fair	Good	Aver.	Aver.
Johnson	Good	Aver.	Fair	Poor
Thomas	Poor	Excel.	Aver.	Aver.
Wethington	Good	Good	Excel.	Excel.
Adams	Aver.	Fair	Good	Good
Hernandez	Aver.	Good	Poor	Poor
Chandler	Poor	Aver.	Poor	Fair

Appendix E:
Item Oriented Checklist

Item Oriented Checklist

Sexual Harassment -- The item involves a personal note to the manager from Cindy Adams, a female trainee alledging sexual harassment on the part of Bill Silverman, the male individual assigned to train her. She requests help from the department manager and states that she will file a complaint if the action is not stopped. In a response, the manager:

- | | |
|---|--------|
| Recognizes the need to investigate whether other complaints of harassment have been made against Bill | PA 1__ |
| Recognizes the need to question Bill about the harassment complaint | PA 1__ |
| Recognizes the need to question Cindy about the harassment complaint | PA 1__ |
| Acknowledges the Sexual Harassment problem for Cindy | SN 4__ |
| Apologizes to Cindy for the Sexual Harassment problem | SN 1__ |
| Postpones action on the sexual harassment complaint until return | PO 1__ |
| Schedules a date by which Frank (assistant) is expected to report back on anything he has done regarding the sexual harassment complaint | PO 4__ |
| Schedules a meeting with Cindy to discuss her sexual harassment complaint | PO 5__ |
| Schedules a meeting with Bill to discuss Cindy's harassment complaint | PO 2__ |
| Lets Frank (assistant) know the order in which actions should be taken, or dates by which they should be completed regarding Cindy's harassment complaint | PO 5__ |
| Warns, will warn, or has Frank (assistant) warn Bill regarding the sexual harassment complaint | PS 5__ |
| Describes a specific solution or plan to deal with the sexual harassment complaint | PS 5__ |
| Explains the problem of the sexual harassment complaint to Pat (store manager) | CM 2__ |

Explains the consequences of sexual harrassment to all staff in response to the sexual harassment complaint	CM 5_
Notifies Cindy of the meeting to discuss her sexual harassmt charge	CM 3_
Notifies Cindy of the action taken response to her the sexual harassmt charge	CM 5_
Notifies Bill of the meeting to discuss Cindy's sexual harassmt charge	CM 1_

Val-U Trac Lights -- Involves a memo from the light supplier, informing the manager that light switches are faulty and may cause fires. Also states that lights will not be delivered as planned. In a response, the manager:

Schedules a meeting with Bill Hansen (regional furniture manager) to discuss the Val-U-Trac Light problem

PO 4_

Prepares notes on the Val-U-Trac Light problem to remind self to act on upon return

PO 1_

Makes arrangements to get lights to replace the Val-U-Trac lights

PS 5_

Explains the Val-U-Trac light problem to Pat (store manager)

CM 2_

Notifies customers who have already purchased the Val-U-Trac lights of the problem with the switches

CM 4_

Notifies Pat Williams (store manager) of the Val-U-Trac light availability problem

CM 3_

Quality Inspection -- involves a letter to the manager from Bill Hansen (regional furniture) manager complaining about the dusty, greasy furniture on display. Hansen demands the situation be rectified immediately. In a response, the manager:

Schedules a staff meeting to discuss the problem of Bill Hansen (regional furniture manager)'s complaint about the dirty condition of the dept.

PO 3_

Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the cleaning problem

PO 5_

Recommends staff clean or replace items in response to the manager's complaint about the dirty condition of the dept.

PS 5_

Schedules a weekly cleaning inspection in response to the manager's complaint about the dirty condition of the dept.

PS 4_

Conveys the problem of the manager's complaint about the dirty condition of the dept. to the staff

CM 5_

Notifies Bill Hansen (regional manager) of the action taken regarding his complaint about the dirty condition of the dept.

CM 4_

Notifies Pat (store manager) of the manager's complaint about the dirty condition of the dept.

CM 1_

Employee Theft -- involves a note to the manager from Lori Thomas stating that Mike Cohen has taken at least 2 microwave ovens from the store at closing time. In a response, the manager:

Has Frank (assistant) investigate the possibility of employee theft	PA 2__
Thanks Lori for the information regarding the employee theft problem	SN 3__
Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the employee theft problem	PO 5__
Schedules a meeting with Mike to discuss the employee theft problem	PO 4__
Makes notes to self to deal with the employee theft problem in the future	PO 1__
Schedules a meeting with Lori to discuss the employee theft problem	PO 4__
Arranges to have security or Frank (assistant) watch Mike in response to Lori's report that he is stealing	PS 4__
Recommends changing Mike's hours so he is not working at closing time in response to Lori's report that he is stealing	PS 5__
Has security strengthened in response to Lori's report that Mike has been stealing	PS 4__
Explains the report of employee theft to Pat (store manager)	CM 3__
Explains the consequences of theft to all staff in response to the report of employee theft	CM 5__
Conveys the report of employee theft to security	CM 4__
Has Frank (assistant) inform security of the report of employee theft	CM 1__

Customer Complaint -- involves a letter from Brenda Miller (a customer) who claims that she had ordered a sofa which had not been delivered when promised and that on calling the store to investigate, that she was treated rudely by the salesperson, Lori Thomas. In a response, the manager:

Recognizes the relationship between Brenda Miller's complaint and the manager's suggestion that she be promoted to fill the opening for a Buyer	PA 5_
Will question Lori or has Frank (assistant) question Lori about the customer complaint	PA 2_
Recognizes the need to investigate the customer complaint further	PA 4_
Apologizes to the Brenda Miller (customer) for the delayed delivery of her sofa or her rude treatment by Lori (staff)	SN 2_
Has Frank (assistant) apologize to Brenda Miller (customer) for the delayed delivery of her sofa or her rude treatment by Lori (staff)	SN 5_
Makes a note to self to deal with the customer complaint upon return	PO 1_
Schedules a meeting with Lori to discuss the customer complaint	PO 3_
Schedules a meeting with Frank (assistant) to discuss the customer complaint	PO 2_
Suggests offering Brenda Miller additional merchandise or a discount in response to her complaint about the delayed delivery of her sofa and rude treatment by Lori	PS 4_
Recommends immediate action against Lori in response to Brenda Miller's complaint about the delayed delivery of her sofa and rude treatment by Lori	PS 2_
Conveys Brenda Miller's complaint to Pat (store manager)	CM 1_
Writes a letter to Brenda Miller to explain any action taken	CM 5_

Summer Sales Bulletin -- involves a memo from Pat Willams (store manager) to the dept. manager announcing the summer sale and including an advanced copy of the newspaper advertisement listing sale items and prices as well as the dates of the sale. The sale items include the Valu-Trac Lights (which will not be available) and the dates coincide with the time off requested by Phillis (a staffer). In a response, the manager:

Has someone check to insure the Summer Sale ad is correct	PA 2_
Recognizes the relationship between the unavailable Val-U-Trac lights and their inclusion in the Summer Sales bulletin	PA 5_
Schedules a meeting with Frank (assistant) to discuss the Summer Sale	PO 4_
Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the Summer Sale	PO 5_
Makes a note to self to deal with the Summer Sale upon return	PO 1_
Has the Val-U-Trac lights removed from the sales bulletin	PS 5_
Has Frank (assistant) make sure adequate stock is ordered for the Summer Sale	PS 4_
Makes sure or has Frank (assistant) make sure adequate staff is scheduled for the Summer Sale	PS 5_
Delegates the entire Summer Sale matter to Frank (assistant) without specific suggestions	PS 1_
Notifies staff of the upcoming Summer Sale	CM 3_

Manager's Meeting -- involves a memo from Pat Williams (store manager) notifying the manager of a Dept. Manager's Meeting and that he/she should be prepared to address specific product sales, measures to improve the department, and methods of selecting non-managerial personnel for promotion to management level positions. In a response, the manager:

Asks staff for suggestions on how to improve the dept. in response to the manager's request for this information

PA 2__

Notes the Manager's Meeting on his/her calendar

PO 1__

Notifies Pat (manager) of intent to attend the Manager's Meeting

CM 1__

Dress-Code Violations -- involves a memo from John Woods (assistant store manager) complaining of consistent dresscode violations by three members of the furniture dept. staff and requesting immediate action. In a response, the manager:

Recognizes the need to investigate the problem of the dresscode violations further	PA 1__
Schedules a meeting(s) with the offending staff to discuss the dresscode violation problem	PO 3__
Has Frank (assistant) enforce the dresscode	PS 2__
Recommends immediate action against the employees accused of the dresscode violations	PS 3__
Delegates the entire matter of the dresscode violations to Frank (assistant) without specific suggestions	PS 1__
Explains the dresscode to all staff in response to the manager's complaint of violations	CM 4__
Notifies John Woods (assistant store manager) of action taken regarding the complaint of dresscode violations	CM 5__
Explains the dresscode to the three violating staffers	CM 5__

Time-off Request -- involves a note to the manager from Phyllis (an employee) requesting time off to attend the wedding of a friend. The request coincides with the dates of the sale. In a response, the manager:

Investigates whether or not Phyllis can be spared for the day

PA 3_

Recognizes the conflict between Phyllis's time-off request and the Summer Sale dates

PA 5_

OK's the time off request without assuring Phyllis can be spared for the day

PS 1_

OK's the time off request after making sure Phyllis can be spared for the day

PS 4_

Recommends Phyllis arrange to trade time off with another employee in response to her request for a day off to attend the wedding of a friend

PS 2_

Has Frank (assistant) arrange to have someone else work for Phyllis in response to her request for a day off to attend the wedding of a friend

PS 3_

Refuses Phyllis's request for a day off to attend the wedding of a friend

PS 1_

Refers Phyllis to Frank (assistant) or the personnel dept. about taking the day off

PS 1_

Writes a memo or letter to Phyllis explaining the action

CM 5_

Performance Appraisal of Staffer -- involves a memo from Sue Baker (personnel director) reporting that a dept. employee (John Chandler) is unhappy with his most recent performance evaluation and has requested a transfer to another department as a result. The memo requests input from the manager regarding this situation. In a response, the manager:

- Checks Chandler's performance rating in response to his complaint and transfer request PA 3__
- Recognizes the need to discuss the performance appraisal/transfer problem with Chandler PA 4__
- Asks Frank for input on the Chandler performance appraisal/transfer problem PA 3__
- Recognizes the need to investigate the possibility of other performance appraisal problems PA 4__
- Schedules a meeting with Sue Baker (personnel director) to discuss the Chandler appraisal/transfer problem PO 3__
- Makes notes to self to address the Chandler appraisal/transfer problem in the future PO 1__
- Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the Chandler appraisal/transfer problem PO 5__
- Grants John Chandler's transfer PS 2__
- Notifies Sue Baker (personnel director) of the plan to deal with the John Chandler appraisal/transfer problem CM 2__

Training Workshops -- involves a memo from Pat Williams (store manager) notifying the manager of upcoming workshops on handling customer complaints and asks the manager to help in identifying employees who may benefit from the training. In a response, the manager:

Recognizes the relationship between the Training Workshop memo and the customer complaint against Lori

PA 4_

Suggests training program for Lori in response to Brenda Miller's complaint about the delayed delivery of her sofa and rude treatment by Lori

PS 4_

Suggests employees for the training in response to the Training Workshop memo

PS 2_

Notifies all staff of the upcoming Training Workshops

CM 2_

Valley Furniture Cabinet Request -- involves a letter from John Peters of Valley Furniture asking if the store would be interested in doubling its order for a specific kitchen cabinet. In a response, the manager:

Recognizes the relationship between Valley Furniture's request to increase the cabinet order and the upcoming Manager's Meeting PA 5_

Makes notes to self to deal with the Valley Furniture cabinet request upon return PO 1_

Notifies Pat Williams (manager) of the request by Valley Furniture to increase the order of their cabinets CM 1_

Will contact John Peters regarding their request to increase the order of their cabinets CM 1_

Buyer Promotion -- involves a memo from Pat Williams (store manager) informing the manager of an upcoming opening for a buyer and asks the manager what he/she thinks of Lori Thomas for the position. In a response, the manager:

Recognizes the relationship between Pat
(store manager) asking about the possible
promotion of Lori and her last performance
rating PA 5__

Recognizes the relationship between Pat (store
manager) asking about the possible promotion
of Lori and the customer complaint PA 5__

Has Frank (assistant) discuss Pat (store manager)'s
suggestion of promoting Lori with her PA 2__

Protests Pat (store manager)'s suggestion of
promoting Lori PS 1__

Suggests other employee(s) for possible promotion PS 2__

Pat Williams (store manager) of any
opinions on his suggestion of promoting Lori CM 2__

Problem Analysis

TOTAL _____
RATING (Divide by 22) _____

Sensitivity

TOTAL _____
RATING (Divide by 5) _____

Planning and Organizing

TOTAL _____
RATING (Divide by 25) _____

Problem Solution

TOTAL _____
RATING (Divide by 28) _____

COMMUNICATION

TOTAL _____
RATING (Divide by 28) _____

Appendix F:
Dimension Oriented Checklists

Problem Analysis Checklist

Problem Analysis -- Breaking up a problem (e.g. item or issue) into its parts such that the parts can be examined for their importance, interrelationship, or need for additional information.

Recognizes the need to investigate whether other complaints of harassment have been made against Bill	1
Recognizes the need to question Bill about the harassment complaint	1
Recognizes the need to question Cindy about the harassment complaint	1
Has Frank (assistant) investigate the possibility of employee theft	2
Recognizes the relationship between Brenda Miller's complaint and the manager's suggestion that she be promoted to fill the opening for a Buyer	5
Will question Lori or has Frank (assistant) question Lori about the customer complaint	2
Recognizes the need to investigate the customer complaint further	4
Has someone check to insure the Summer Sale ad is correct	2
Recognizes the relationship between the unavailable Val-U-Trac lights and their inclusion in the Summer Sales bulletin	5
Asks staff for suggestions on how to improve the dept. in response to the manager's request for this information	2
Recognizes the need to investigate the problem of the dresscode violations further	1
Investigates whether or not Phyllis can be spared for the day	3
Recognizes the conflict between Phyllis's time-off request and the Summer Sale dates	5
Checks Chandler's performance rating in response to his complaint and request for transfer	3

Recognizes the need to discuss the performance appraisal/transfer problem with Chandler	4
Asks Frank for input on the Chandler performance appraisal/transfer problem	3
Recognizes the need to investigate the possibility of other performance appraisal problems	4
Recognizes the relationship between the Training Workshop memo and the customer complaint against Lori	4
Recognizes the relationship between Valley Furniture's request to increase the cabinet order and the upcoming Manager's Meeting	5
Recognizes the relationship between Pat (store manager) asking about the possible promotion of Lori and her last performance rating	5
Recognizes the relationship between Pat (store manager) asking about the possible promotion of Lori and the customer complaint	5
Has Frank (assistant) discuss Pat's (store manager) suggestion of promoting Lori with her	2

TOTAL

PROBLEM ANALYSIS RATING (DIVIDE BY 22)

Sensitivity Checklist

Sensitivity -- Responding to other's feelings, needs, and points of view; letting people know you are aware of their individual situations.

Acknowledges the Sexual Harassment problem for Cindy	4 _____
Apologizes to Cindy for the Sexual Harassment problem	1 _____
Thanks Lori for the information regarding the employee theft problem	3 _____
Apologizes to the Brenda Miller (customer) for the delayed delivery of her sofa or her rude treatment by Lori (staff)	2 _____
Has Frank (assistant) appologize to Brenda Miller (customer) for the delayed delivery of her sofa or her rude treatment by Lori (staff)	5 _____

TOTAL _____

SENSITIVITY RATING (DIVIDE BY 5) _____

Planning and Organizing Checklist

Planning and Organizing - the ability to establish priorities and schedules for one's self and others concerning future courses of action.

- Postpones action on the sexual harassment complaint until return 1 _____
- Schedules a date by which Frank (assistant) is expected to report back on anything he has done regarding the sexual harassment complaint 4 _____
- Schedules a meeting with Cindy to discuss her sexual harassment complaint 5 _____
- Schedules a meeting with Bill to discuss Cindy's harassment complaint 2 _____
- Lets Frank (assistant) know the order in which actions should be taken, or dates by which they should be completed 5 _____
- Schedules a meeting with Bill Hansen (regional furniture manager) to discuss the Val-U-Trac Light problem 4 _____
- Prepares notes on the Val-U-Trac Light problem to remind self to act on upon return 1 _____
- Schedules a staff meeting to discuss the problem of Bill Hansen (regional furniture manager)'s complaint about the dirty condition of the dept. 3 _____
- Lets Frank know the order in which actions should be taken or dates by which they should be completed relative to the cleaning problem 5 _____
- Lets Frank know the order in which actions should be taken or dates by which they should be completed relative to the employee theft 5 _____
- Schedules a meeting with Mike to discuss the employee theft problem 4 _____
- Makes notes to self to deal with the employee theft problem in the future 1 _____
- Schedules a meeting with Lori to discuss the employee theft problem 4 _____

Makes a note to deal with the customer complaint upon return	1
Schedules a meeting with Lori to discuss the customer complaint	3
Schedules a meeting with Frank (assistant) to discuss the customer complaint	2
Schedules a meeting with Frank (assistant) to discuss the Summer Sale	4
Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the Summer Sale	5
Makes a note to self to deal with the Summer Sale upon return	1
Notes the Manager's Meeting on his/her calendar	1
Schedules a meeting(s) with the offending staff to discuss the dresscode violation problem	3
Schedules a meeting with Sue Baker (personnel director) to discuss the Chandler appraisal/transfer problem	3
Makes notes to self to address the Chandler appraisal/transfer problem in the future	1
Lets Frank know the order in which actions should be taken, or dates by which they should be completed relative to the Chandler appraisal/transfer problem	5
Makes notes to self to deal with the Valley Furniture cabinet request upon return	1

TOTAL

PLANNING AND ORGANIZING RATING (DIVIDE BY 25)

Problem Solution Checklist

Problem Solution - Providing actions, methods, or strategies that help in answering a problem.

Warns, will warn, or has Frank (assistant) warn Bill regarding the sexual harassment complaint	5
Describes a specific solution or plan to deal with the sexual harassment complaint	5
Makes arrangements to get lights to replace the Val-U-Trac lights	5
Recommends staff clean or replace items in response to the manager's complaint about the dirty condition of the dept.	5
Schedules a weekly cleaning inspection in response to the manager's complaint about the dirty condition of the dept.	4
Arranges to have security or Frank (assistant) watch Mike in response to Lori's report that he is stealing	4
Recommends changing Mike's hours so he is not working at closing time in response to Lori's report that he is stealing	5
Has security strengthened in response to Lori's report that Mike has been stealing	4
Suggests offering Brenda Miller additional merchandise or a discount in response to her complaint about the delayed delivery of her sofa and rude treatment by Lori	4
Recommends immediate action against Lori in response to Brenda Miller's complaint about the delayed delivery of her sofa and rude treatment by Lori	2
Has the Val-U-Trac lights removed from the sales bulletin	5
Has Frank (assistant) make sure adequate stock is ordered for the Summer Sale	4
Makes sure or has Frank (assistant) make sure adequate staff is scheduled for the Summer Sale	5

Delegates the entire Summer Sale matter to Frank (assistant) without specific suggestions	1
Has Frank (assistant) enforce the dresscode	2
Recommends immediate action against the employees accused of the dresscode violations	3
Delegates the entire matter of the dresscode violations to Frank (assistant) without specific suggestions	1
OK's the time off request without assuring Phyllis can be spared for the day	1
OK's the time off request after making sure Phyllis can be spared for the day	4
Recommends Phyllis arrange to trade time off with another employee in response to her request for a day off to attend the wedding of a friend	2
Has Frank (assistant) arrange to have someone else work for Phyllis in response to her request for a day off to attend the wedding of a friend	3
Refuses Phyllis's request for a day off to attend the wedding of a friend	1
Refers Phyllis to Frank (assistant) or the personnel dept. about taking the day off	1
Grants John Chandler's transfer	2
Suggests training program for Lori in response to Brenda Miller's complaint about the delayed delivery of her sofa and rude treatment by Lori	4
Suggests employees for the training in response to the Training Workshop memo	2
Protests Pat (store manager)'s suggestion of promoting Lori	1
Suggests other employee(s) for possible promotion	2

TOTAL

PROBLEM SOLUTION RATING (DIVIDE BY 28)

Communication Checklist

Communication - Conveying ideas and concepts to others.

Explains the problem of the sexual harassment complaint to Pat (store manager)	2 _____
Explains the consequences of sexual harrassment to all staff in response to the sexual harassment complaint	5 _____
Notifies Cindy of the meeting to discuss her sexual harassment charge	3 _____
Notifies Cindy of the action taken response to her the sexual harassment charge	5 _____
Notifies Bill of the meeting to discuss Cindy's sexual harassment charge	1 _____
Explains the Val-U-Trac light problem to Pat (store manager)	2 _____
Notifies customers who have already purchased the Val-U-Trac lights of the problem with the switches	4 _____
Notifies Pat Williams (store manager) of the Val-U-Trac light availability problem	3 _____
Conveys the problem of the manager's complaint about the dirty condition of the dept. to the staff	5 _____
Notifies Bill Hansen (regional manager) of the action taken regarding his complaint about the dirty condition of the dept.	4 _____
Notifies Pat (store manager) of the manager's complaint about the dirty condition of the dept.	1 _____
Explains the report of employee theft to Pat (store manager)	3 _____
Explains the consequences of theft to all staff in response to the report of employee theft	5 _____
Conveys the report of employee theft to security	4 _____
Has Frank (assistant) inform security of the report of employee theft	1 _____

Conveys Brenda Miller's complaint to Pat (store manager)	1
Writes a letter to Brenda Miller to explain any action taken	5
Notifies staff of the upcoming Summer Sale	3
Notifies Pat (store manager) of intent to attend the Manager's Meeting	1
Explains the dresscode to all staff in response to the manager's complaint of violations	4
Notifies John Woods (assistant store manager) of action taken regarding the complaint of dresscode violations	5
Explains the dresscode to the three violating staff members	5
Writes a memo or letter to Phyllis explaining any action regarding her request for a day off	5
Notifies Sue Baker (personnel director) of the plan to deal with the John Chandler appraisal/transfer problem	2
Notifies all staff of the upcoming Training Workshops	2
Notifies Pat Williams (manager) of the request by Valley Furniture to increase the order of their cabinets	1
Will contact John Peters regarding their request to increase the order of their cabinets	1
Notifies Pat Williams (store manager) of any opinions on his suggestion of promoting Lori	2
	<u>TOTAL</u>
	<u>COMMUNICATION RATING (DIVIDE BY 28)</u>

Appendix G:

In-Basket Rater Questionnaire

Rater Questionnaire

There is one further favor that I would like to ask of each of you. We were successful in demonstrating construct validity with both of the rating scales we developed for use in this research. At this time, we would like to get your subjective impressions regarding the scales. If you could, please take five minutes to complete the following questionnaire and return it to Mic today or tomorrow.

Once again, thank you very much for the time and effort you have put into this project (and my future). It has been greatly appreciated.

1. Which of the two checklist formats did you use in the rating task?
 - a. Item oriented
 - b. Dimension Oriented
2. Estimate the amount of time it took you to rate one In-Basket with this format.
3. Which of the two checklist formats would you have preferred to use?
 - a. Item Oriented
 - b. Dimension Oriented
4. Use this space to write any comments you would like to make regarding the checklist that you actually used.

Again, thanks a lot!

Appendix H:

Sources of Variation, Psychometric Interpretations and Error Terms for
the Design

Source	Psychometric Interpretation	Error Term
<u>Between Raters</u>		
Formats (F)	Format Bias	Quasi F-ratio
Raters/Formats (R/F)	Rater Bias	(D x A x R/F)
<u>Within Raters</u>		
Assesseees (A)	Convergent Validity	A x R/F
(A x F)	Method Bias	A x R/F
(A x R/F)	Differential Convergent Validity	D x A x R/F
Dimensions (D)	Dimension Bias	Quasi F-ratio
(D x F)	Dimension by Format Bias	Quasi F-ratio
(D x R/F)	Dimension by Rater Bias	D x A x R/F
(D x A)	Discriminant Validity	D x A x R/F
(D x A x F)	Differential Discriminant Validity by Format	D x A x R/F
(D x A x R/F)	Measurement and Sampling Error	