Performance Assessment

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Agenda

- *What is Performance Assessment?*
- *How is it different from other tests?*
- *What are the strengths and weaknesses?*
- *What are the steps in conducting a Performance Assessment?*

Selection Process

- **Other Tests**
  - *Written*
  - *Battery*
  - *Oral*
  - *Training & Experience*
  - *Performance Test*
- **Performance Assessment**

Constitutional Requirement- Merit and Fitness

- *Merit- Meritorious Service*
  - *Work Activities*
  - *Work Behaviors*
  - *Work Results*
- *Fitness- Competencies*
  - *Knowledge*
  - *Skills*
  - *Abilities*

Systems Theory

Inputs	Process	Outputs
Knowledge/ Skills/ Abilities	Work Activities/ Work Behaviors	Work Results: *Product Service Information*
Tests	Performance Assessment	Performance Assessment

Training Areas

Work Behaviors

Outputs

Outcomes

Impacts

Conflict Management

TQM

Risk Management

Performance Measurement

Team Building

Customer Satisfaction

Strengths and Weaknesses

■ *Strengths*

- *Meets Constitutional mandate*
- *Improves examination results*
- *Sends message that work activities, work behaviors and work results matter*
- *Provides a way to relate training and development opportunities to job*
- *Clarifies concepts of work activities, behaviors and results*

Strengths and Weaknesses

- **Weaknesses**
  - *Time consuming*
  - *Requires commitment*
  - *Not easy*

Performance Assessment Process

- **A) Develop lists from Samples**
  - performance dimensions
  - work behaviors
- **B) Announce examination**
  - Examination components
  - Relative weights
- **C) Conduct Performance Assessment**

Performance Dimensions

- **Sample**
  - I Program Activities and Special Projects (Quality and Quantity of Work)
  - II Staff and Self Training and Development
  - III Improvements and Innovations
  - IV Organizational Outreach and Promotion (Customer Service and Relations)

Work Behaviors

- **Tied to Performance Dimensions**
- **Sample**
  - 1) Program Activities and Special Projects
    - Leadership behaviors
    - Work processing behaviors (Planning, implementing and evaluating workload)
    - Behaviors demonstrating program expertise
    - Problem solving behaviors
    - Conflict management behaviors

Announcing the Examination

- **Sample Examination Components**
  - **Battery Test (1/2)**
  - **Performance Assessment (1/2)**
    - *Program Activities and Special Projects (35%)*
    - *Staff and Self Training and Development (35%)*
    - *Improvements and Innovations (20%)*
    - *Customer Service and Relations (10%)*

Conducting a Performance Assessment

- **Step 1- Candidate prepares document**
  - Candidate submits a document (2,500-5,000 words) explaining accomplishments
  - Candidate lists
    - activities- important results- his/her role
    - dates of activities
    - who can best verify information

Conducting a Performance Assessment

■ *Step 2- Rater (Supervisor) rates candidate document*

- *Raters are identified and briefed*
- *Rater reviews candidate's document for accuracy;*
- *Rater identifies candidate's work behavior strengths and weaknesses;*
- *Rater notes important accomplishments in candidate's document;*
- *Rater awards ratings*

Conducting Performance Assessment

- **Step 3- Review for rater error or bias**
  - Review panels are established and briefed
  - 2-3 reviewers on a panel
  - Review 10-15 performance assessments
  - Send unsupported ratings to rater for revisions
  - When returned, approve or revise ratings
  - Attest ratings are supported by PA package

Completion of examination

- *Results sent to Civil Service Department*
- *Eligible List established*
- *Candidates have opportunity to review and appeal ratings*
  - *Administrative error- return to agency*
  - *Difference of opinion- forward to CSC with recommendation to dismiss appeal*

Summary

- **Performance assessment**
  - *Is effective*
  - *Sends the right messages*
- **Other applications**
  - *Develop communication with Training community to match training with improvement opportunities- Reinforces role of training and development*

TABLE 1

# of cases	8	13	29	10	34	75	253 TOTAL CASES
EXAM	A1*	A2*	A3*	B1*	B2***	B3***	12 TOTAL EXAMS
0.97	.98 (61)	0.98 (61)	.98 (61)	.97 (54)	.99 (54)	.96 (54)	Internal Reliability of SBRS (No. of Items)
0.87	.94 (4)	0.82 (4)	.87 (4)	.74 (5)	0.93 (5)	.90 (5)	Internal Reliability of NBRS (No. of Items)
0.91	0.97	0.87	0.95	0.85	0.94	0.87	Correlation Between Performance Score and Final Score
	p=.000	p=.000	p=.000	p=.002	p=.000	p=.000	Significance (Pearson;two-tailed)
0.68	0.81	0.4	0.74	0.57	0.8	0.69	Correlation Between Part 1 Score and Final Score
	p=.026	p= .174	p=.000	p=.088	p=.000	p=.000	Significance (Pearson;two-tailed)
0.34	0.69 (7)	-0.08 (13)	0.52 (28)	0.08 (10)	0.50 (32)	0.25 (74)	Correlation Between Performance Score and Part 1 Score (# of cases)
	p=.085	p=.787	p=.005	p=.833	p=.003	p=.035	Significance (Pearson;two-tailed)
0.78	0.9	0.9	0.78	0.83	0.93	0.69	Correlation Between Performance Score and SBRS
	p=.003	p=.000	p=.000	p=.003	p=.000	p=.000	Significance (Pearson;two-tailed)
87.30	78	86	83	88.5	91	89	Mean performance assessment score
0.20	0	2 (15%)	6 (21%)	3 (30%)	10(29%)	12 (16%)	Number/ % scores of 95 on performance assessment
0.16	1(12.5%)	3 (23%)	2 (7%)	2 (20%)	13 (38%)	24 (32%)	Number/ % scores of 100 on performance assessment
-0.42	0.489	0.135	-0.21	-0.523	-1.491	-0.697	Skewness

# of cases	4	6	12	7	51	4	
EXAM	C1*	D1*	D2*	E1*	E2*	F**	
	.97 (48)	.98 (54)	.93 (54)	0.92 (54)	.98 (53)	.63 (54)	Internal Reliability of SBRS (No. of Items)
	.73 (5)	.92 (6)	.92 (6)	0.49 (3)	.89 (4)	.77 (3)	Internal Reliability of NBRS (No. of Items)
	0.87	0.98	0.95	0.91	0.93		Correlation Between Performance Score and Final Score
	p=.128	p=.001	p=.000	p=.005	p=.000		Significance (Pearson;two-tailed)
	0.49	0.53	0.45	0.57	0.73		Correlation Between Part 1 Score and Final Score
	p=.512	p=.282	p=.138	p=.187	p=.000		Significance (Pearson;two-tailed)
	0.02 (4)	0.36 (6)	0.18 (12)	0.19 (7)	0.48 (49)		Correlation Between Performance Score and Part 1 Score (# of cases)
	p=.982	0.489	p=.567	P=.679	p=.000		Significance (Pearson;two-tailed)
	0.89	0.98	0.61	0.59	0.79	0.86	Correlation Between Performance Score and SBRS
	p=.109	p=.000	p=.048	P=.163	p=.000	p=.140	Significance (Pearson;two-tailed)
	84	86	82	91	88	81	Mean performance assessment score
	0	1 (17%)	1 (8.3%)	1(14%)	7 (14%)	0	Number/ % scores of 95 on performance assessment
	0	1 (17%)	2 (16.7%)	2(29%)	16 (31%)	1 (25%)	Number/ % scores of 100 on performance assessment
	-1.659	-0.3	-0.043	0.037	-0.397	0.713	Skewness

* Relative weight - Part 1 (1), Performance (2)

** One part examination

*** Relative weight - Part 1 (1), Performance (1)

SAMPLE PERFORMANCE DIMENSION DESCRIPTIONS

I. Program and/or Special Project Activities

A) Program Activities- Candidate supervises a significant program by planning a high level of work activities and establishing high work standards, seeing that the work is fully completed, evaluating workload and incorporating adjustments and/or corrections into the workload. Candidate properly delegates responsibility, holding staff accountable for assignment completion, and provides insights and guidance where appropriate. Candidate provides direction in incorporating agency and program goals into workload activities.

B) Special Project Activities- Candidate supervises significant special projects and is cognizant of objectives, time frames and staff assignments. Candidate leads project teams by recognizing strengths of the various team members and using these strengths in achieving project goals. Candidate recognizes short-term nature of assignment, setting benchmarks to assure completion on time. Candidate recognizes areas of special concern that may be reasonable to address during current projects or may be a source for future projects. Candidate assures the completion of a credible project by communicating criticality, complexity and significance of work in the final product, tying the final product to agency and/or program goals.

II. Staff and Self Development

A) Staff Development- Candidate aids in the recruitment of highly capable staff by identifying recruitment opportunities, noting those attributes most important to job success and assuring that new appointees possess these attributes. Candidate promotes staff development by setting and maintaining high work standards, identifying areas of concern or need for formal training programs and informal or on-the-job training activities. Candidate serves as a mentor to staff, listening to their requests for help and communicating helpful information to them or working with them to develop plans to improve their work performance. In the process, the candidate builds a team atmosphere of openness and trust. Candidate takes initiative to recruit protected class members into the agency, to retain them and to assist them in career development.

B) Self Development- Candidate establishes and maintains high work standards for him/herself and displays an orientation towards achievement, while continually communicating concern for human needs of others. Candidate pursues self development through activities such as academic course work, credentials, affiliations, offices held in professional organizations, and special projects and committees. Candidate develops a network of communication within the agency and program as well as externally.

III) Program/Product Improvements and Innovations

A) Program/Product Improvements- Candidate contributed to significant improvements by identifying problems with existing procedures or structures and developing solutions. The candidate identified opportunities to improve the program/ product by expanding the scope of existing parameters and/or identifying and making use of new resources. These improvements are measurable and defined in terms of effectiveness or efficiency.

B) Program/Product Innovations- Candidate contributed to significant improvements through innovations derived from new technologies including computers and/or staff development. These improvements are measurable and defined in terms of effectiveness or efficiency.

IV) Customer Service and Relations

The candidate displays an understanding of the role of the program as a vehicle for social improvement, and for enhancing public accountability. The candidate develops appropriate lines of communication to various interested audiences within and external to the program area to effectively convey the results of work, and to build support for the program and the Department. The candidate meets with appropriate audiences to develop constructive working relations and address their concerns, and is able to differentiate and balance the interests of the "stakeholders" and "customers."

SAMPLE WORK BEHAVIOR DESCRIPTIONS

I. Program and Special Project Activities

I A Leadership

_____ 1   Demonstrates poise, self -confidence, ease of interaction and decisiveness.

_____ 2   Displays ability to motivate staff and provide necessary direction, leadership and guidance; formulates major planning priorities, using a team approach, and provides guidance to subordinates in prioritizing their planning activities.

_____ 3   Instills in staff the necessity for objectivity, rational findings, thoroughness and accuracy, and sound professional judgment in the development of agency reports and documents.

_____ 4   Procures necessary resources and manages them to maximize program efficiency and effectiveness.

I B Expertise in Managing a Program

_____ 1   Demonstrates breadth of viewpoint; shows alertness to implications of problems, and soundness and relevance of solutions.

_____ 2   Ensures that resources are allocated to high impact areas.

_____ 3   Ensures that workers are held responsible and accountable for complying with professional and governmental standards and legal requirements.

_____ 4   Uses cost benefit and cost effectiveness analyses, or other evaluative techniques.

I C Work Processing- Planning, Implementation and Evaluation

_____ 1   When planning activities, identifies priorities/ recognizes constraints.

_____ 2   Articulates resources necessary to achieve goal; in assigning work, considers staff experience, performance capabilities, and schedules; assesses in-house limitations and contacts outside parties, as necessary.

_____ 3   Monitors progress of assignments; ensures that planned activities are completed within a reasonable time.

_____ 4   Identifies steps to evaluate the effectiveness of workload; measures productivity.

I D Problem Solving

_____ 1   Shows understanding of the problem situation; identifies existing or potential issues/ recognizes conflicting information.

_____ 2   Carries out problem solving procedures - identifies problem, researches situation, identifies possible causes, identifies possible solutions, selects solution, evaluates results.

I E Conflict Management

_____ 1   Deals with conflicts between staff or between staff and customers or constituents appropriately.

_____ 2   Where possible, assumes a solution orientation; attempts to bring about a lasting solution by addressing underlying causes.

_____ 3   When necessary, asserts authority and/or managerial role.

_____ 4   Recognizes importance of face-saving strategies.

II.   Staff and Self Development

II A Staff Development

_____   1   Delegates work effectively; shares information with staff/ listens to them; shares credit with staff.

_____   2   Identifies training needs of staff and allocates appropriate resources.

_____   3   Conducts and oversees a performance evaluation process designed to inform employees of what they have done well, in what areas they need to improve their performance, and with the objective of developing employees for greater responsibility.

_____   4   Displays sensitivity to staff member stress, personal problems, and/or need for professional development; articulates criticism in a constructive manner.

II B Team Building

_____   1   Displays orientation towards achievement.

_____   2   Establishes effective work relations; uses team skills in the work place to lessen the rigidity of the organization, and focuses on common goals and plans; affords staff appropriate latitude and delegates work effectively; uses others in problem identification, analysis and solutions.

_____   3   Notifies upper management of critical issues such as potential time overruns, need for major changes in the focus of approved work plans, refusal by others to cooperate or provide information, and discovery of potential fraud.

_____   4   Shows concern and respect for others; displays friendliness and humor.

II C Self Development

_____   1   Demonstrates thorough knowledge of professional standards and procedures, including recent changes and advancements.

_____   2   Demonstrates thorough knowledge of pertinent State laws, rules, regulations and policies, including recent changes and advancements.

_____   3   Demonstrates thorough knowledge of principals and practices of administration and supervision, including recent changes and advancements.

_____   4   Demonstrates strong writing skills.

_____   5   Demonstrates thorough knowledge of the utility of relevant computer software packages and programs, including recent changes and advancements.

III. Program and Product Improvements and Innovations

III A Innovation/ Creativity

_____   1   Articulates goals and vision of the future.

_____   2   Vision is presented in terms of efficiency and effectiveness.

_____   3   Shows a commitment to improve the program to make it more successful.

_____   4   Stresses the concept of continuous improvement; adjusts to new facts and changing conditions.

III B Establishing Cause and Effect

_____   1   Identifies product/program problems or shortcomings.

_____   2   Carries out problem solving procedures - identifies problem, researches situation; identifies possible causes, identifies possible solutions, selects solution, evaluates results.

_____   3   Sets concrete goals to solve problems or improve product/program elements. Goal statements use terms such as "to increase to" or" to decrease to," signifying a level of change for the better.

_____   4   Measures progress and success of various initiatives.

III C Understanding and Managing Risk

_____ 1   Identifies risks, omissions and ramifications of actions.

_____ 2   Considers risks to program survival and stability based on economic and social factors; recognizes risks to credibility, based on both internal and external trust; considers risks to acceptability of products from loss of value or importance.

_____ 3   Alerts proper parties to important, potential dangers.

_____ 4   Takes corrective actions to avoid or minimize risk exposure.

III. Customer Service and Relations

IV A Communication Abilities

_____ 1   Presents ideas clearly, concisely and accurately.

_____ 2   Makes thorough, logical and well-organized presentations.

_____ 3   Responds to questions directly and completely.

_____ 4   Uses appropriate diction, grammar and vocabulary.

IV B Persuasion

_____ 1   Through communication skills and efficient and effective activities, builds support for agency programs.

_____ 2   Recognizes and addresses other perspectives.

_____ 3   Displays interest and enthusiasm; conveys a sense of importance for the issue being discussed.

_____ 4   Demonstrates ease of discussion; effectively uses gestures and facial expressions.

IV C Impact Analysis

_____ 1   Understands and addresses various audiences' needs, concerns and interests, and monitors information on demographics.

_____ 2   Promotes fairness in terms of both equal opportunity to acquire governmental protections and benefits, and demographic impact.

_____ 3   Promotes inclusion.

THE NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

PERFORMANCE ASSESSMENT
RATING DEFINITIONS

OUTSTANDING

This rating indicates that the candidate demonstrated a remarkably high level of appropriate activity for this dimension, providing strong evidence of knowledge, proficiencies and/or work success required to perform the most challenging and difficult work at the next higher level.

HIGHLY EFFECTIVE

This rating indicates that the candidate demonstrated a very high level of appropriate activity for this dimension, providing strong evidence of knowledge, proficiencies and/or work success required to perform the work at the next higher level.

SATISFACTORY

This rating indicates that the candidate demonstrated a high level of appropriate activity for this dimension, providing strong evidence of knowledge, proficiencies and/or work success required to perform the work at his/her present level.

BELOW EXPECTATIONS

This rating indicates that the candidate did not demonstrate sufficient, appropriate activity for this dimension to assure adequate knowledge, proficiencies and/or work success required to perform the work at his/her present job level.