



# *Performance Assessment*

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*Dixon Southworth*  
*NYS Department of Civil Service*

# *Constitutional Requirement- Merit and Fitness*

## ■ *Merit- Meritorious Service*

- *Work Activities*
- *Work Behaviors*
- *Work Results*

## ■ *Fitness- Competencies*

- *Knowledge*
- *Skills*
- *Abilities*

# *Selection Process*

## ■ *Other Tests*

- *Written*
- *Battery*
- *Oral*
- *Training & Experience*
- *Performance*

## ■ *Performance Assessment*

# *Systems Theory*



# *Training Areas*

**Work Behaviors**

**Outputs  
Outcomes  
Impacts**

**Conflict  
Management**

**TQM**

**Risk Management**

**Performance  
Measurement**

**Team Building**

**Customer Satisfaction**

# *Performance Assessment Process*

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

# *Performance Dimensions*

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## ■ *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*

# *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*

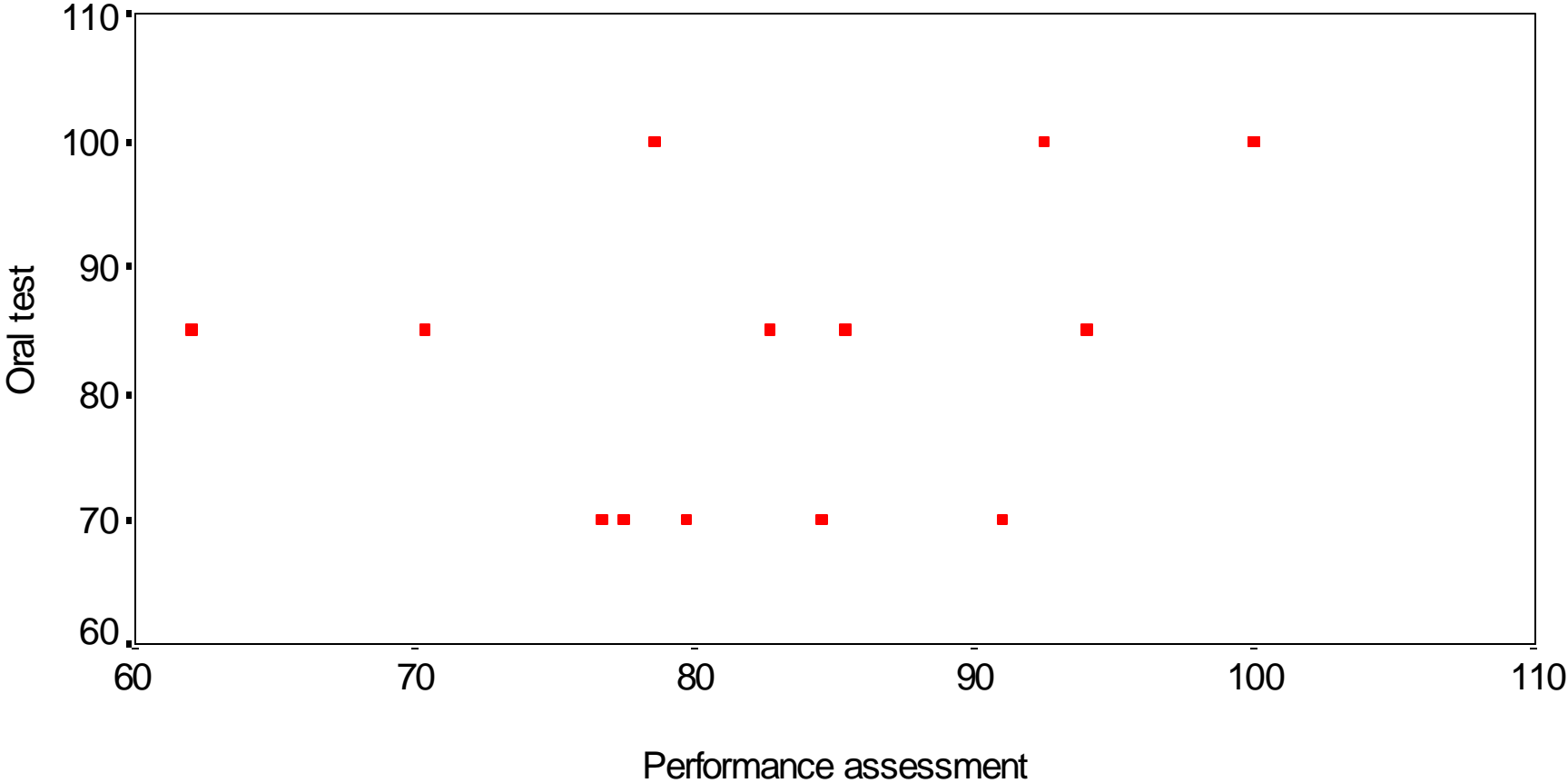
# *Conducting Performance Assessment*

- *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*

TABLE 1								
# of cases	8	13	29	10	34	75	253	TOTAL CASES
EXAM	A1*	A2*	A3*	B1*	B2***	B3***	12	TOTAL EXAMS
<b>0.97</b>	.98 (61)	0.98 (61)	.98 (61)	.97 (54)	.99 (54)	.96 (54)		Internal Reliability of SBRS (No. of Items)
<b>0.87</b>	.94 (4)	0.82 (4)	.87 (4)	.74 (5)	0.93 (5)	.90 (5)		Internal Reliability of NBRS (No. of Items)
<b>0.91</b>	0.97	0.87	0.95	0.85	0.94	0.87		Correlation Between Performance Score (NBRS) and Final Score
	p=.000	p=.000	p=.000	p=.002	p=.000	p=.000		Significance (Pearson;two-tailed)
<b>0.68</b>	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)
<b>0.34</b>	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)
<b>0.78</b>	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)
<b>87.30</b>	78	86	83	88.5	91	89		Mean Performance Score
<b>17%</b>	0	2 (15%)	6 (21%)	3 (30%)	10(29%)	12 (16%)		Number/ % scores of 95 on performance
<b>26%</b>	1(12.5%)	3 (23%)	2 (7%)	2 (20%)	13 (38%)	24 (32%)		Number/ % scores of 100 on performance
<b>-0.42</b>	0.489	0.135	-0.21	-0.523	-1.491	-0.697		Skewness
# of cases	4	6	12	7	51	4		
EXAM	C*	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 (NBRS) 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 Score
	0	1 (17%)	1 (8.3%)	1(14%)	7 (14%)	0		Number/ % scores of 95 on performance
	0	1 (17%)	2 (16.7%)	2(29%)	16 (31%)	1 (25%)		Number/ % scores of 100 on performance
	-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)								

# EXAMINATION A

DIAGRAM 1



# EXAMINATION B

DIAGRAM 3

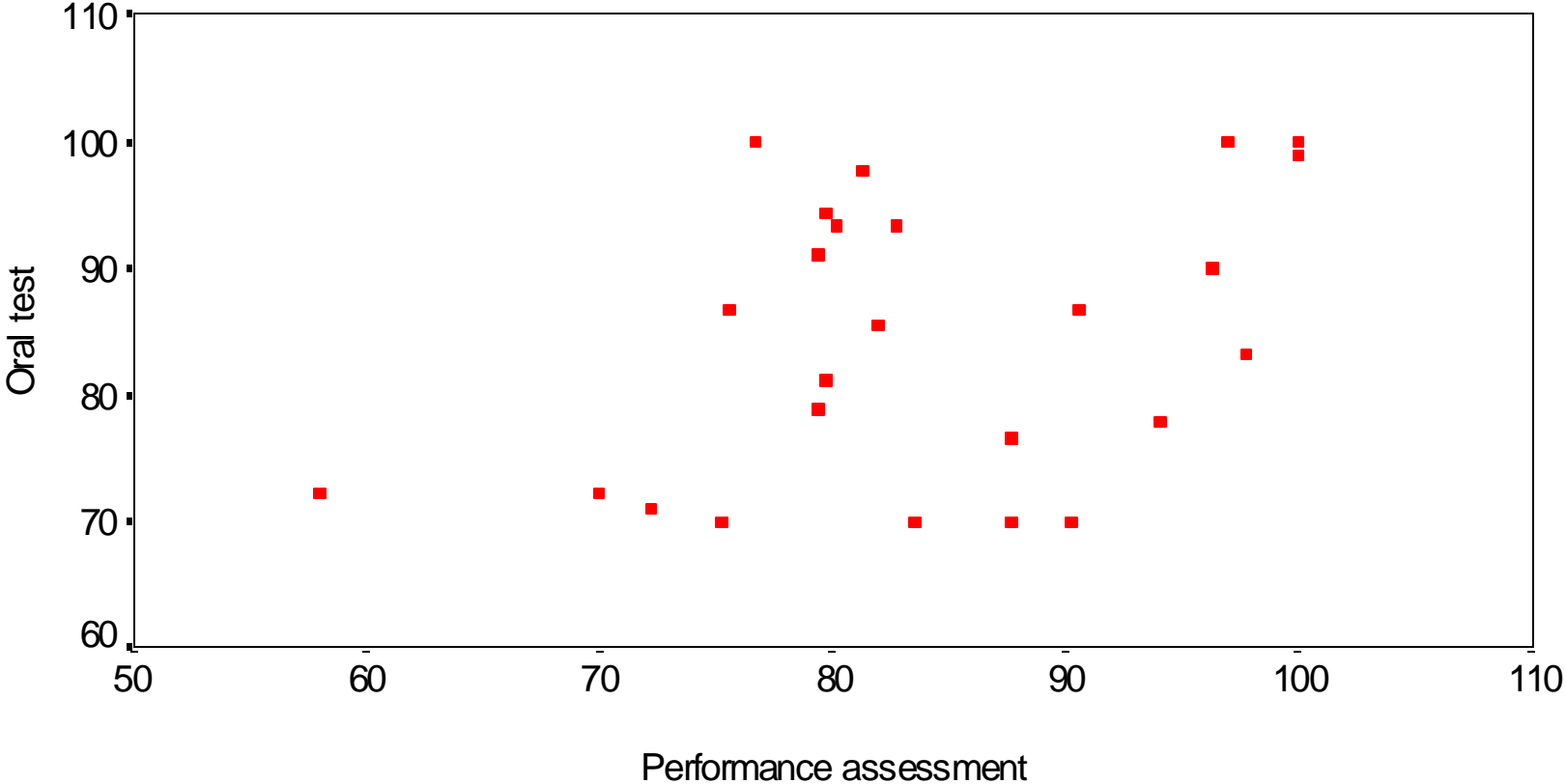
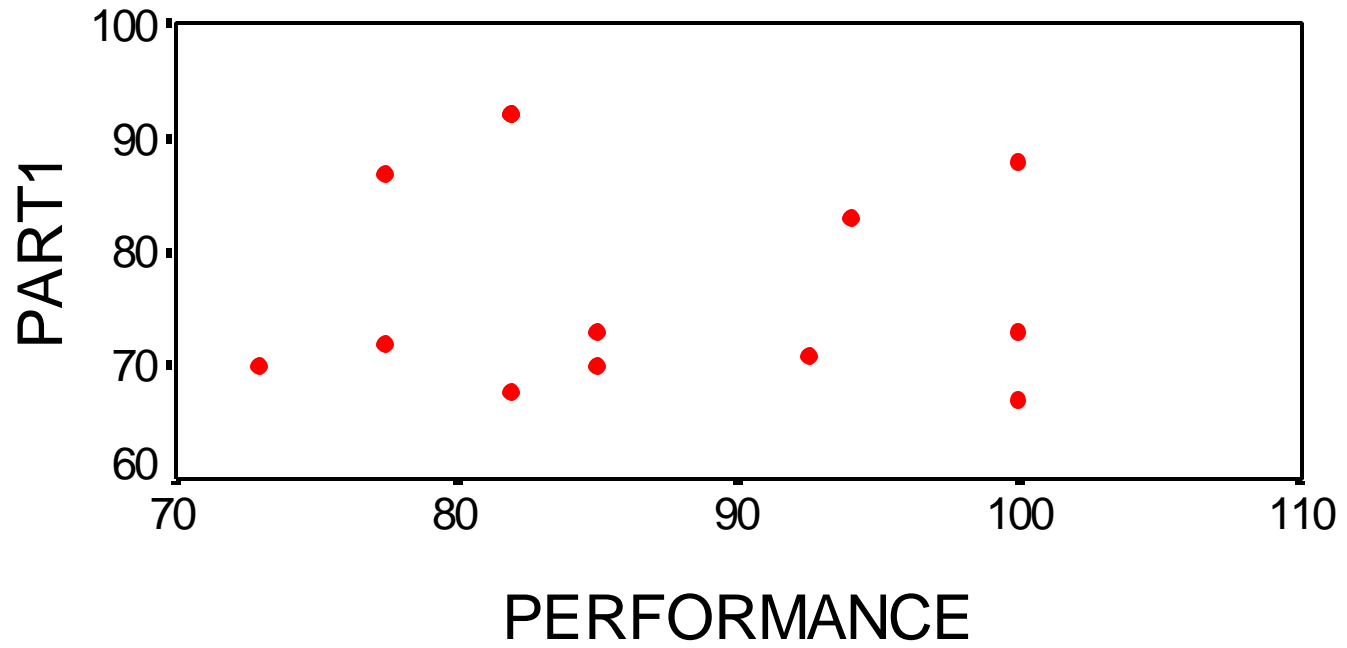
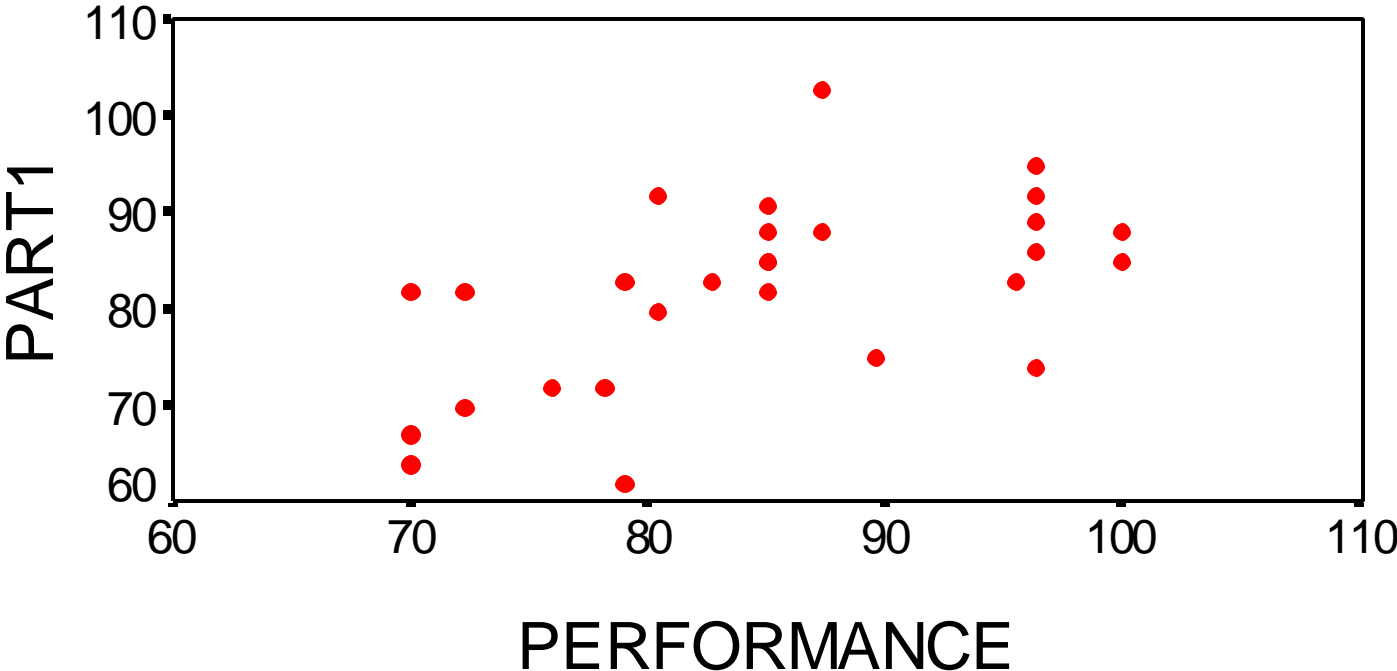


TABLE 2			
# of cases	14	25	39
EXAM	A	B	2
	0.39 (14)	0.38 (25)	Correlation Between Performance Scores and Part 1 Scores (No. of Items)
	p=.171	p=.059	Significance (No. of Items)
	0.79 (11)	0.85 (11)	Correlation Between Performance Scores (Segment 1) and Final Scores
	p=.003	p=.001	Significance (Pearson;two-tailed)
	.87 (3)	0.66 (13)	Correlation Between Performance Scores (Segment 2) and Final Scores
	p=.333	p=.000	Significance (Pearson;two-tailed)
		(1)	Correlation Between Performance Scores (Segment 3) and Final Scores
			Significance (Pearson;two-tailed)

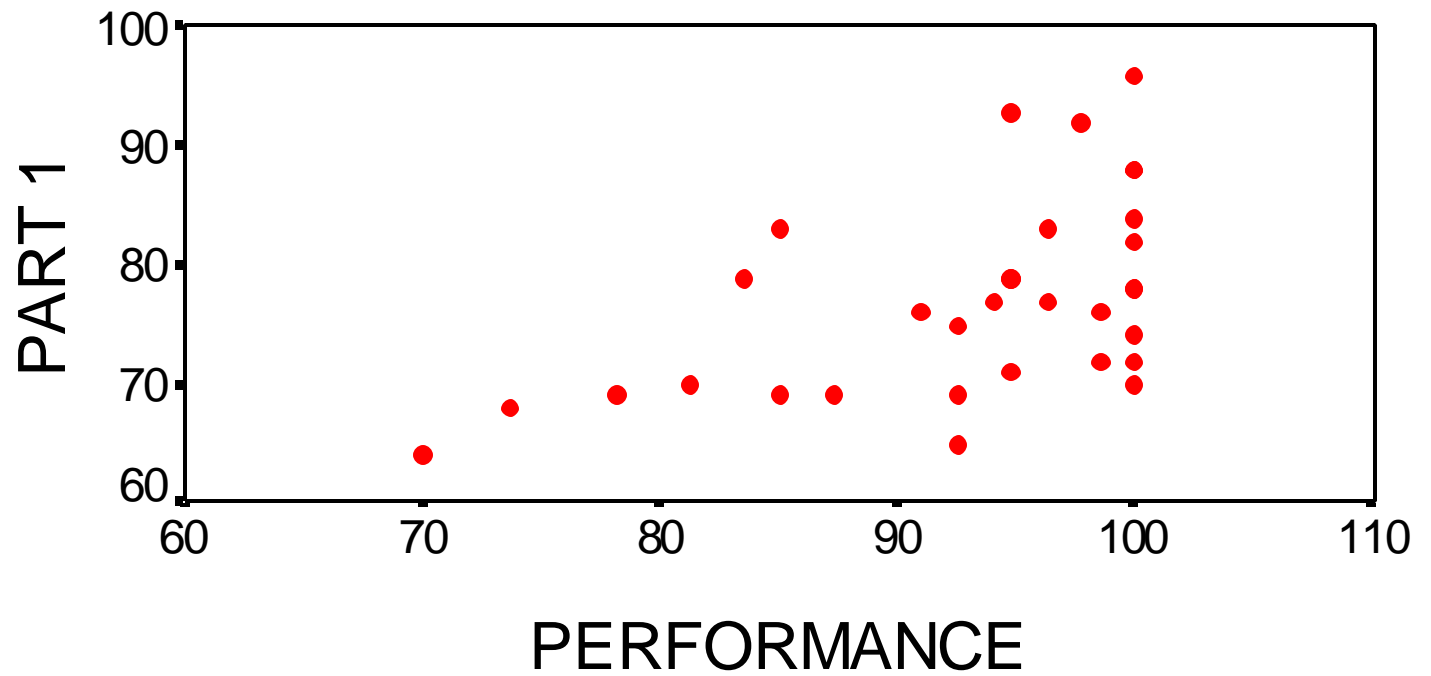
CHART 1 EXAM A2



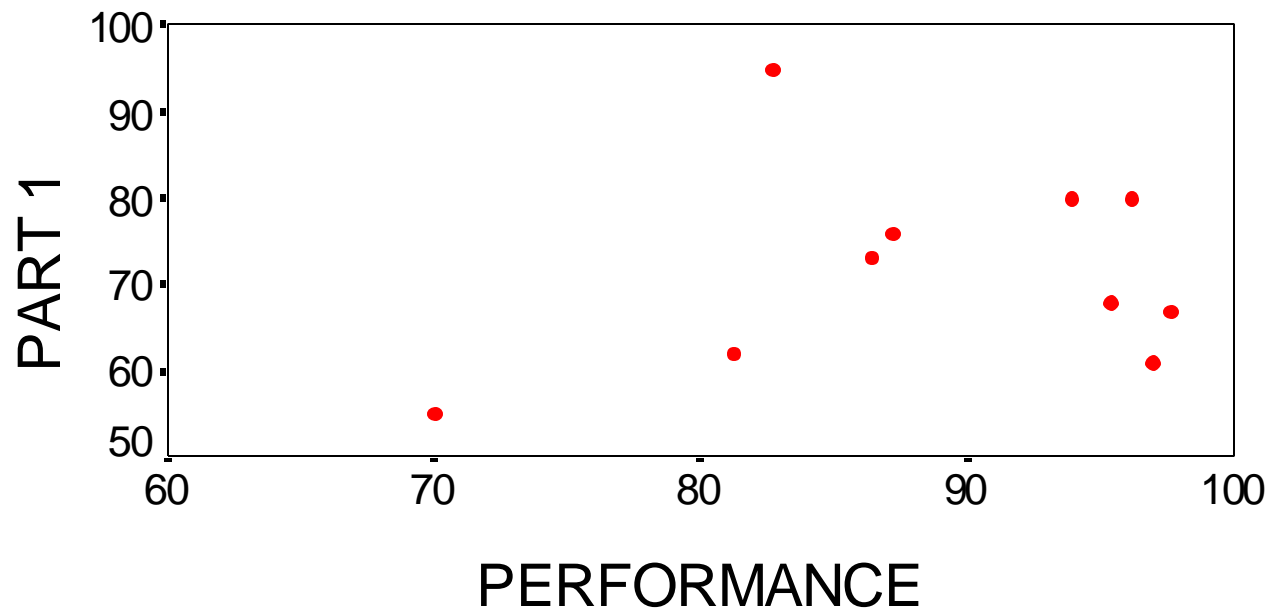
# CHART 2 EXAM A3



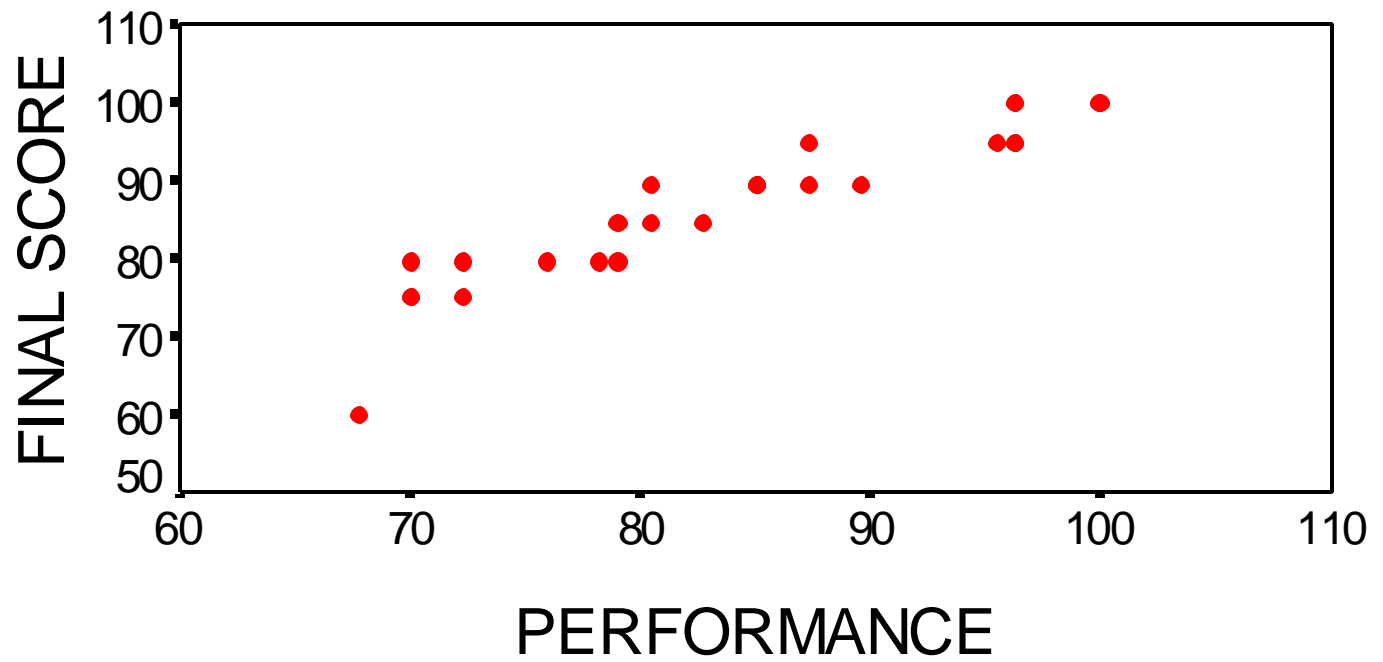
# CHART 3 EXAM B2



## CHART 4 EXAM B1



# CHART 5 EXAM A3



**TABLE 3**

# of cases(a)	7	13	28	10	32	74	246	TOTAL CASES
EXAM	A1*	A2*	A3*	B1*	B2***	B3***	12	TOTAL EXAMS
	0.69 (7)	-0.08 (13)	0.52 (28)	0.08 (10)	0.50 (32)	0.25 (74)		Correlation Between Performance Scores and Part 1 Scores (No. of Cases)
	p=.085	p=.787	p=.005	p=.833	p=.003	p=.035		Significance
	0.84 (6)	0.87 (5)	0.47 (9)	0.95 (6)	(N/A)	(N/A)		Correlation between Performance Scores (Segment 1) and Part 1 Scores
	p=.036	p=.056	p=.206	p=.003				Significance (Pearson;two-tailed)
	(1)	0.88 (6)	0.69 (19)	(3)				Correlation between Performance Scores (Segment 2) and Part 1 Scores
		p=.021	p=.001					Significance (Pearson;two-tailed)
		(2)		(1)				Correlation between Performance Scores (Segment 3) and Part 1 Scores
								Significance (Pearson;two-tailed)
					10(29%)	12 (16%)		Number/ % scores of 95 on performance assessment
					13 (38%)	24 (32%)		Number/ % scores of 100 on performance assessment
# of cases(a)	4	6	12	7	49	4		
EXAM	C*	D1*	D2*	E1*	E2*	F**		
	0.02 (4)	0.36 (6)	0.18 (12)	0.19 (7)	0.48 (49)	(N/A)		Correlation Between Performance Scores and Part 1 Scores (No. of Cases)
	p=.982	0.489	p=.567	P=.679	p=.000			Significance
	(N/A)	0.92 (4)	0.79 (8)	0.84 (5)	0.72 (43)			Correlation between Performance Scores (Segment 1) and Part 1 Scores
		p=.085	p=.020	p=.076	p=.000			Significance (Pearson;two-tailed)
		(2)	(3)	(1)	(6)			Correlation between Performance Scores (Segment 2) and Part 1 Scores
								Significance (Pearson;two-tailed)
			(1)	(1)				Correlation between Performance Scores (Segment 3) and Part 1 Scores
								Significance (Pearson;two-tailed)
* Relative weight - Part 1 (1), Performance (2)								
** One part examination								
*** Relative weight - Part 1 (1), Performance (1)								
(a) Does not include scores of candidates who failed performance assessment								

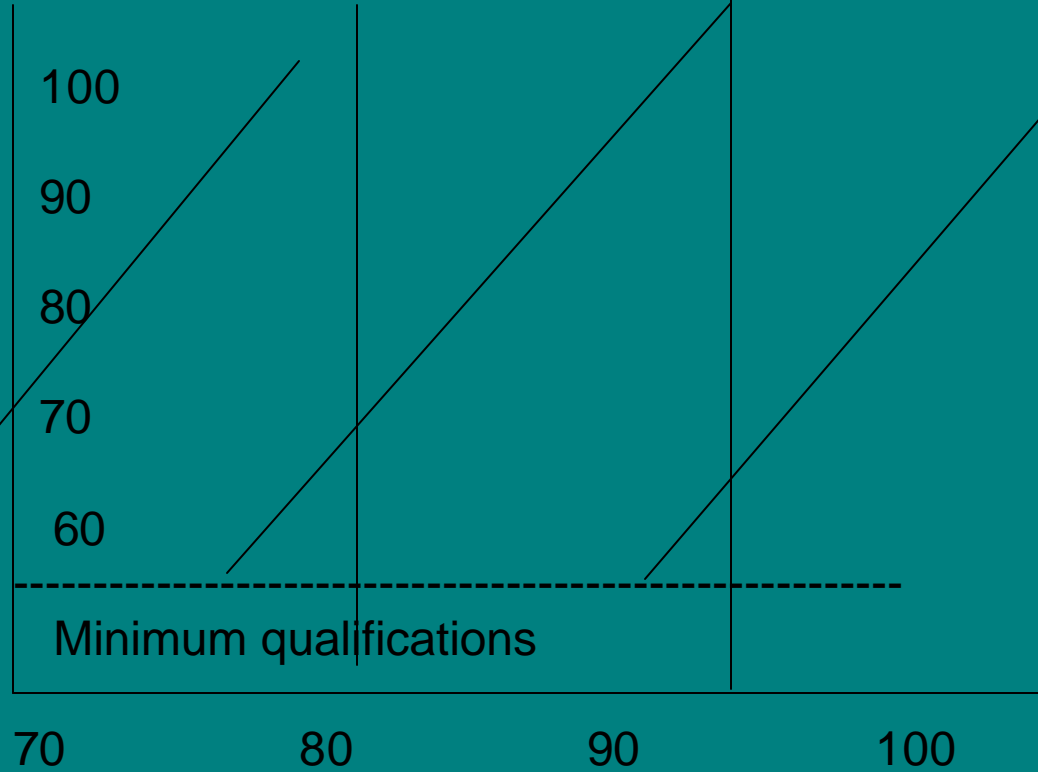
		<b>Performance</b>						
		<b>(Average Grades)</b>						
		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Total</b>	
		<b>Ave -60</b>	<b>60-70</b>	<b>70-80</b>	<b>80-90</b>	<b>90-100</b>		
<b>Ability</b>	<b>1- Basic Skills</b>	13 37.1%	4 11.4%	15 42.9%	3 8.6%		35 9.4%	
	<b>2- Below Grade Lev</b>	9 13.6%	21 31.8%	24 36.4%	9 13.6%	3 4.5%	66 17.8%	
	<b>3- At Grade Lev</b>	5 3.0%	20 12.2%	42 25.6%	80 48.8%	17 10.4%	164 44.2%	
	<b>4- Above Grade Lev</b>			3 3.5%	23 26.7%	60 69.8%	86 23.2%	
	<b>5- Gifted</b>			1 5.0%	2 10.0%	17 85.0%	20 5.4%	
	<b>Total</b>	27 7.3%	45 12.1%	63 17.0%	81 21.8%	97 26.1%	371	

*Job Performance Level*

*Level 1*  
Test  
Score

*Level 2*

*Level 3*



PERFORMANCE

Variable: General Ability		Cases	Mean	SD
Group 1	Performs above ability	215	2.91	0.923
Group 2	Performs at ability level	116	3.09	1.191
Group 3	Performs below ability	40	3.00	0.785
All		371	2.97	1.000

Variable: Grade Average		Cases	Mean	SD
Group 1	Performs above ability	215	4.15	0.779
Group 2	Performs at ability level	116	3.09	1.191
Group 3	Performs below ability	40	1.85	0.986
All		371	3.57	1.205

Variable: Effort (Grade/ Ability)		Cases	Mean	SD
Group 1	Performs above ability	215	1.57	0.548
Group 2	Performs at ability level	116	1.00	0.000
Group 3	Performs below ability	40	0.599	0.132
All		371	1.28	0.546

Variable: Completion of Assignments		Cases	Mean	SD
Group 1	Performs above ability	215	3.26	0.734
Group 2	Performs at ability level	116	2.96	0.848
Group 3	Performs below ability	40	2.20	0.966
All		371	3.05	0.861

Variable: Class Participation		Cases	Mean	SD
Group 1	Performs above ability	215	3.43	1.112
Group 2	Performs at ability level	116	3.09	1.265
Group 3	Performs below ability	40	2.48	1.037
All		371	3.22	1.191

Variable: Attendance		Cases	Mean	SD
Group 1	Performs above ability	215	4.24	0.956
Group 2	Performs at ability level	116	3.99	1.091
Group 3	Performs below ability	40	3.23	1.441
All		371	4.05	1.101

# *Summary*

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- *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*

# *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*

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## ■ *Weaknesses*

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