



# **NYS DSP Core Competencies Evaluation Process**



## What is a competency based program?

- Setting standard of support
- How our staff should be performing everyday
- Not just a training or evaluation program
- Skill based competency program
- Objectives are measurable through defined tasks



## Competencies

- Encompasses 7 Goal Areas
- Includes the NADSP Code of Ethics
- Leads to improved quality of life for people with developmental disabilities



## Goal 1: Putting People First

- Supporting a person's unique capacities, personality and potential
- Getting to know the person through assessment and discovery
- Advocacy
- Facilitating personal growth and development
- Facilitation of services



## Goal 2: Building and Maintaining Positive Relationships

- Building and maintaining positive relationships
- Meaningful communication



## Goal 3: Demonstrating Professionalism

- Professional relationships
- Professional behavior
- Diversity and inclusion
- Documentation
- Education, training and self-development
- Organizational participation
- Ethics



## Goal 4: Supporting Good Health

- Promoting positive behavior and supports
- Supporting health and wellness
- Recognizing, preventing and reporting abuse



## Goal 5: Supporting Safety

- Safety first
- Supporting crisis prevention, intervention and resolution
- Ensures safety of individuals during environmental emergencies



## Goal 6: Having a Home

- Supporting people to live in the home of their choice



## **Goal 7: Being Active and Productive in Society**

- Active participation in the community
- Employment, educational and career goal attainment



## Research on improving performance:

- Performance improves when specific goals are established;
- Participation by the employee in the goal-setting procedure helps produce favorable results;
- Coaching should include specific praise plus developmental feedback to enhance growth, and should be an on-going process;
- An imbalance of too much criticism compared to praise can negatively effect achievement of goals;
- Unspecified praise has little effect, one way or the other, on performance.

“In sophisticated, well-managed organizations, performance appraisal is the single most important management tool.”

*-The Performance Appraisal Question and Answer Book  
by Dick Grote*



## What is Performance Evaluation?

- It is a formal system to assess how an individual is performing within an organization.
- It includes the completion of a standardized evaluation tool which summarizes a year's worth of work and supervision meetings.
- It is an opportunity for a supervisor to review with the employee in a face-to-face meeting his/her progress based on an agreed upon set of standards and a goal plan.



## Training Objectives to Ensure an Accurate Evaluation?

- Supervisors will:
  - Use observations and supervisions throughout the year to ensure a fair and accurate evaluation;
  - Use language that will clearly state the right message based on the staff's overall performance rating;
  - Understand an evaluation is a legal document/contract and the facts presented must be stated accurately in behavioral terms;
  - Understand the implications surrounding "benefit entitlement" which may go into effect after staff have worked for the agency for a specified amount of time



## Evaluation Tools

- Review of Core Competency Instruction Sheet



## Review the Initial and Annual Evaluation Tools

- Goals – Competencies – Skills – Tasks
- Rating System for Initial and Annual
- Meeting standard is a high expectation
- Exceeding standard is for exceptional performance only
- Comments are optional
- N/A's



## 360 Degree Evaluation Options

- Evaluation for Individual being supported, family member, or other advocate
- Initial and Annual Evaluations completed by supervisor
- Initial and Annual Evaluations can be used as self-evaluation



## Exercise (20 Minutes)

- Divide into groups of 3
  - Employee
  - Supervisor
  - Observer
- 10 minutes to review annual tool with employee and explain the scoring system
- 5 minutes of feedback from the observer and employee
- 5 minutes in big group discuss:
  - How did it go?
  - What did you learn?
  - What was challenging?



## Supervisor Summary Page

- Tabulation of Standards
- Do you share the overall numerical number that is listed on the bottom of the last page?
- Plan for Employee Development as a SMART Goal
  - Specific
  - Measurable
  - Attainable
  - Relevant
  - Tracking



## Exercise – 15 Minutes

- Staff receives this evaluation of 150 items :
  - 10 exceeds, 130 meets, 1 does not meet, 9 N/A
- In groups of 3's (playing different roles from last exercise)
  - Staff, supervisor, observer
- ½ group – staff is very upset, ½ group – staff is satisfied (each ½ group not told other group's role).
- Satisfied group goes first
- Big group – How do you deal with an upset staff person both pro-actively and reactively – No surprises



## System for the Annual Evaluation

- **Preparation:**
  - Pull out year's worth of documentation - observations, supervisions notes, STAR/AR forms; and review; (for supervisors, clinicians, and support staff do a 360 assessment if possible);
  - Determine overall rating;
  - Complete evaluation tool;
  - Review with your supervisor.
- **Pre-meeting:**
  - Meet with staff; review the tool and rating system;
  - Set stage for what's coming (based on anticipated overall rating);
  - Tell staff to complete a self-evaluation tool.
- **Evaluation meeting**
  - Face to face
  - Create a new goal plan for the upcoming year by using the Interaction Process (Open, Clarify, Develop, Agree, and Close).



## Evaluation – Opening Statement!

- Start your meeting by making an introductory statement consistent with his or her overall rating. For example, say:
  - “You are a great performer and are ready for more responsibility”
  - “You are a solid worker. You’re consistent and you get along well with your colleagues”
  - “You have been struggling all year to meet standards and overall you have been underperforming”
    - I believe you have the ability to meet the standards. We will create a plan to do that so you can meet standards within 3 months. OR
    - I believe it is time to acknowledge that this position is not a good match for your skills.

**Note:** Clearly review the expectations and consequences of underperforming: create a plan, document, and follow-up in a timely manner. (Not doing so can lead to legal ramifications!)



## When to Mention Overall Rating

- Even though the evaluation tools have the overall ratings at the end, we recommend sharing the overall at the beginning of the evaluation session. Remember to emphasize that “meets standards” is a high rating.



## Addressing Conflicts During the Evaluation Meeting

- You can negotiate a disputed rating for a given area if it's not a major point (“you’re right I’ll change that”).
- Assess emotional thermometer:
  - If necessary, stop the process and reframe;
  - Do not get into a power struggle (there should be nothing new in the evaluation that the staff has not already heard).
- If a staff refuses to sign , refer to your policy and/or call HR.



## Major Mistakes of Performance Evaluations

- **The Mistake of Inflation** (avoiding addressing underperformance issues, leading the staff to believe they are doing better than they are)
- **The Mistake of Surprise** (saving bad news for the evaluation)
- **The Mistake of Vagueness** (“keep up the good work”)
- **The Mistake of Brevity** (performance evaluation meeting is rushed)
- **Overall Do’s and Don’ts**
  - Don’t allow The Halo/Horns Effect - one aspect of the staff’s performance – good or bad – to influence entire evaluation:
  - Don’t give a Partial Rating – based only on last few months;
  - Don’t show Favoritism - this will discredit you as a supervisor in the eyes of others.



## Remember

- The performance evaluation is a legal document. It needs to be completed accurately and in a timely fashion.
- Staff should not be surprised by the evaluation. Supervisors should be continuously providing feedback throughout the year.
- Write your evaluation as if it will be read in court!
  - There are potential legal problems for an agency if they do not evaluate accurately.