

Evaluation of the Three Ranks  
Eligibility List Pilot Study  
for the  
California State Personnel Board

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## SUMMARY

On 9/21/11 the State Personnel Board (SPB) contracted with Donnoe & Associates, Inc. to conduct an evaluation of the Three Ranks Eligible List Pilot Study (Pilot). This evaluation was directed at four points: 1) THE PILOT PROCESS, including the departments' use of tools and understanding of the pilot requirements, 2) MERIT or quality of applicants under the Pilot, 3) QUANTITY of applicants under the Pilot, and 4) TIMELINESS of the process. These four points were assessed through a review and analysis of background documents; analysis of data regarding Pilot examinations and candidates; and collection and analysis of new information regarding the Pilot.

Conclusions reached include: 1) The Three Ranks Pilot Study has been successful, 2) the procedures established are well understood by department human resources staff, 3) the examination processes under Three Ranks have merit, 4) the examination processes under Three Ranks have resulted in both a greater quantity, and more diverse pool of candidates available to departments on eligibility lists, and 5) the Pilot has streamlined the examination process for departments.

As a result of this evaluation, it is recommended that the State Personnel Board takes steps to: 1) Adopt a new exam rule allowing Limited Scores, 2) Establish policy and procedure for application of the Limited Scores Rule to specific classifications / examinations, and 3) Establish and implement a permanent SPB audit function for Limited Score examinations.

## SETTING THE STAGE FOR THE EVALUATION

On July 1, 2008 the Three Rank Eligible List Pilot Study (Pilot) began. This was identified as a two-year pilot study (SPB Pinkies, 8/15/08, 10/29/08, 4/23/09). The Pilot included 99 State Departments / Agencies, and 42 job classifications. The basis for the 42 job classifications to be eligible for the Pilot included four possible inclusion criteria: 1) examinations for classifications that require professional licensure, certification, registration, or specialized advanced degree (15 job classifications), 2) examinations for classifications that facilitate employment of persons with specialized needs (1 job classification), 3) consortium examinations (24 classifications), and 4) examinations that were exceptions to the above three criteria (2 job classifications).

The Pinkies that established the Pilot set-forth the requirements for participating departments. For an examination to be part of the Pilot, there needed to be a validation study or job analysis on file and available for review. Additionally, participating departments were required to administer the examination in accordance with the validation study/job analysis recommendations. This quality assurance step established a foundation of job-relatedness or content validity for all examinations in the Pilot. Additionally, all examinations included in the Pilot were to be administered in

accordance with standard SPB policies and reviewed/authorized by HR Mod. Departments were also required to document the job-relatedness of every step in the hiring process, including candidate performance during the probationary period. Subsequent audits by HR Mod indicate that departments were in compliance with these requirements of the Pilot.

Approval for a job classification to be in the Pilot was provided for individual departments, and could have a wide date range for the same classification. For example, *Associate Governmental Program Analyst* (AGPA) was an approved Pilot consortium examination for 82 departments, with approval dates ranging from May 2009 through June 2010; *Accountant Trainee* was an approved Pilot consortium examination for 41 departments, with approval dates ranging from November 2009 through August 2010. The first approvals for the Pilot occurred in October 2008 (Department of Social Services; *Adoptions Specialist*, *Medical Consultant I* and *Medical Consultant I Psychiatrist*). In November 2008 the Department of Developmental Services (*Office Occupations Clerk*) and the Office of the Inspector General were added to the Pilot (*Special Assistant Inspector General* and *Senior Assistant Inspector* classifications). The remaining departments / classifications were approved for the Pilot between April 2009 and August 2010. The last departments to be approved included Corporations, Pesticide Regulation, California Conservation Corps, and Office of Legislative Counsel (August 2010).

In June 2010 the SPB contracted with Cooperative Personnel Services (CPS) to complete an evaluation of the Pilot. This evaluation ran for five months, then CPS presented their evaluation report to the SPB in December 2010.

In February 2011 HR Mod responded to the CPS evaluation report. This response was very critical of the CPS evaluation, and identified a number of factual errors in the report. Then, in response to the HR Mod criticism, CPS did not acknowledge that they made errors, but instead stated “While we cannot attest to the final data that HR Mod has provided without conducting the same analyses, we agree that this is a good approach in assessing the data. As we indicated . . . we would support the inclusion of HR Mod’s latest analysis of this data in an addendum to (our) Report.”

The SPB and HR Mod reaction to the CPS evaluation provided the basis for the current evaluation, conducted by Donnoe & Associates, Inc.. The CPS evaluation report, and a number of the data sources used for the CPS report, were reviewed and re-analyzed as part of this current evaluation of the Pilot – taking into consideration the errors noted by the HR Mod review.

Although the Pilot was initially considered to be a two-year effort, eligibility lists created under the Pilot in 2008 could still be in effect, with new applicants gaining eligibility and being added to many of existing eligibility lists each month. Yet, on

February 15, 2011 Governor Jerry Brown issued a hiring freeze across state government. This hiring freeze was comprehensive, and applied to vacant, seasonal and full and part-time positions. It prohibited hiring outside contractors to compensate for the hiring freeze, converting part-time positions into full-time positions, or transferring employees between agencies and departments. This action was part of Brown's efforts to save money for the current fiscal year and to cut \$363 million in operational costs next fiscal year. This hiring freeze has impacted the Pilot study by preventing further appointments. Therefore, the relevant period for Pilot appointments is October 2008 (first approved departments / classifications) through February 2011. Donnoe & Associates' Pilot evaluation study predominantly considers this 28 month time frame.

## EVALUATION METHODOLOGY

This evaluation was directed at four points: 1) THE PILOT PROCESS, including the departments' use of tools and understanding of the pilot requirements, 2) MERIT or quality of applicants under the Pilot, 3) QUANTITY of applicants under the Pilot, and 4) TIMELINESS of the process. These four points were assessed through a review and analysis of background documents that established and reported on the progress of the Pilot, analysis of data regarding Pilot examinations and candidates, and collection and analysis of new information regarding the Pilot. Each of these steps have been summarized below.

### Review of Background and Foundation Documents

A list of key documents and reports that were reviewed for this evaluation are shown below in Table 1. This indicates which documents and reports provided information related to: 1) PROCESS (documentation of the pilot process), and/or report on 2) MERIT, 3) QUANTITY of applicants, or 4) TIMELINESS issues. These documents are considered secondary sources of evaluative information (i.e., indirect evidence); yet all report virtually the same information and thereby provide a very strong argument in favor of the Pilot. Another listing of all documents reviewed for this evaluation is shown in Attachment 1.

The Pilot was announced through SPB Pinkies (8/15/08, 10/29/08, 4/23/09). These set the requirements for the Pilot, and passed responsibility for monitoring progress and managing the Pilot to HR Mod. During the Pilot, HR Mod reported progress to the SPB and the Legislature (2009, 2010, 2011); addressing the Pilot as an aspect of the overall human resources modernization effort.

In a February 2010 progress report to the SPB, HR Mod provided a status update on project implementation and operations, and a compliance audit for departments participating in the Pilot. This was approximately 16 months into the Pilot, with one more year to go before the Governor's hiring freeze would be implemented.

The audit summary in this report concluded that “Departmental HR staffs understand and are adhering to the requirements of the Pilot.” Additionally, the audit found that the hiring process under the Pilot was a change for some hiring supervisors. Prior to the Pilot, these supervisors did not have to articulate their screening criteria and hiring interview processes. Now under the Pilot, such documentation was required. While this recognizes a possible workload increase at the hiring supervisor level of examining, this is not a negative aspect of the Pilot.

As the Three Ranks Pilot was being initiated, HR Mod was charged with several projects geared towards improvement of the effectiveness of selection processes. These interconnected projects had many common goals, including streamlining of examinations. While the intent of the Pilot was to “*facilitate the appointment of the right persons for the right jobs, consistent with a competitive merit-based process that ranks competitors and is free of patronage,*” it was also recognized that the steps being taken for Pilot examinations would result in a streamlining of the whole exam process. For example, most examinations in the Pilot are variations of Training and Experience examinations (T&Es), involving self-certification by applicants, and have computer-based examining. This significantly reduces the amount of time needed of department staff to examine candidates. Next, most Pilot examinations result in continuous eligibility lists, not dated lists. With a continuous list, names of eligibles are added at any time, expire within a set time frame, but do not depend on time-specific exam bulletins, scheduled exams, and creation of department specific or time limited lists. These factors together have significantly reduced the time required of departments for selection of candidates to fill vacancies.

In the April 2010 progress report to the SPB, HR Mod recommended that the Board approve the processes developed through the Three Rank Eligible List Pilot Study be made permanent by promulgating a new rule, and extend the Pilot until such a rule could be adopted. This report indicated the following positive attributes were a result of the Pilot:

- Departments supported making the limited ranks scoring a permanent rule.
- More qualified applicants eligible for consideration.
- A more structured approach to the selection process resulted from the Pilot, with job-related selection criteria at every exam phase.
- More participation by hiring supervisors.
- Better and more consistent documentation of the entire selection process.
- Departments participating in the Pilot overwhelmingly complied with the requirements to document and demonstrate the job-relatedness of their selection for each appointment made under the pilot (e.g., “...for 96% of the appointments, documentation included a duty statement for the job, the vacancy announcement, screening criteria to evaluate the applicants . . . and 95% of the time, the file included a written explanation of the reason the applicant was chosen . . .”).

Table 1. Documents Directly Related to the Pilot

Date	Document Description	Related to			
		Process	Merit	Quantity	Timeliness
8/15/08	SPB PINKIE. Announcing the Three Ranks Pilot, specified the requirements for inclusion in the Pilot Study.	X			
10/29/08	SPB PINKIE. Three Ranks Pilot, Additional Information.	X			
4/23/09	SPB PINKIE. Three Ranks Eligible List Pilot Study. This pinkie supercedes and rescinds the prior two.	X			
2/4/10	HR Mod: Three Ranks Eligible List Pilot Study Progress Report / Compliance Audit Report.	X	X	X	
4/7/10	HR Mod: Three Rank Eligible List Pilot Study Compliance Audit Report, December 2009 - February 2010	X			
4/15/10	HR Mod Memo Building on the Three Rank Eligible List Pilot Study. Note: recommends SPB adopt new Rule on 3 ranks (scores).	X	X	X	X
5/4/10	SPB Meeting Agenda, including a list of speakers, comments and letters.	X	X	X	X
5/11/10	Memo from SPB to all state agencies: Notice of hearing on Three Ranks Pilot – to be held 6/10/10.	X			
6/8/10	Memo from Exam Supervisors' Forum to SPB regarding Three Ranks Pilot.	X	X	X	X
4/6/11	HR Mod 2011 Annual Report to the Legislature.	X			
6/29/11	Memo from HR Mod, re: Final Report and Archive of HR Mod Project. This includes 10+ related documents, memos, etc. reporting on the HR Modernization Project	X			

## Analysis of Existing Data

A large number of data sources were reviewed as part of this evaluation (see Attachment 2 for a list of data sources). For the purposes of this evaluation, data sources that were used have been re-analyzed and/or re-interpreted and can be considered primary sources of information (i.e., direct evidence) about the Pilot.

Within the data summaries presented in this evaluation, there are some observed inconsistencies. Using AGPA as an example, Table 2 shows the Pilot eligibility list included 6,466 candidates, and Table 4.B. reports 13,419 candidates attaining list eligibility. For the eligibility list differences, Table 2 shows current eligibles, whereas Table 4.B. shows candidates who became eligible – but the eligibility for many of these candidates has since expired, and over 3,000 were removed because they have been hired. Additionally, Table 2 shows 3,139 hires, Table 3 indicates 3,560 hires; and Table 4.B. reports 3,196 hires. The minor differences shown in numbers hired are based on slightly different data accumulation and reporting times. In summary, differences observed in these tables for any single classification are not relevant for the purpose of this evaluation – and more importantly, the analyzed data has been verified through the SPB and is believed to be accurate.

Also, within Table 2, class codes 6039, 6040 and 8011 have effective list dates of July and August 2008; yet the first approvals for the Pilot were in October 2008. This is correct: Prior to the Pilot, departments had existing eligibility lists for some classifications. Once the departments were approved for the Pilot, SPB was able to go back to the existing eligibility lists and convert scores to the three approved scores in the Pilot. Then if any new applicants took subsequent exams, they were assigned one of the approved three scores and merged onto the existing eligibility list.

The HR Mod criticisms of the CPS report were directed at reported information concerning: 1) exam appeals, 2) probationary rejections, and 3) screening for minimum qualifications. The present evaluation re-analyzes CPS survey data, and also analyzes probationary rejection rates. However, the HR Mod criticism of the CPS report did not affect this analysis of CPS survey data. Additionally, the present analysis of probationary rejection rates is based solely on new data provided directly by the SPB – not data taken from CPS or HR Mod.

Re-Analysis of the CPS Survey Data. As part of the CPS evaluation of the Pilot, two surveys were designed and administered – one for applicants and the other for departments. The analysis of this survey data was reported in the *Three Rank Eligible List Pilot Study Evaluation, Final Report* (CPS, December 2010). The raw data collected by CPS was again analyzed as part of the present evaluation study.

The CPS department survey provides good evidence of perceived Quality (Merit) among hiring supervisors and department managers / respondents (CPS department



survey, questions: Q4, Q10, Q51, Q58 and Q61). Additionally, in the CPS applicant survey, Q19 and Q31 provide indications of Quality for the Three Rank process as perceived by applicants.

A complete summary of the two CPS surveys, and comments regarding individual questions in the surveys, is presented in Attachment 3.

Three Ranks Eligible Lists: Table 2. Of the 42 classifications, 38 have active eligibility lists, each with an average of 964 eligibles. Viewing the Pilot eligible list data by the four criteria for inclusion in the Pilot, shows:

1. Examinations for classifications that require professional licensure, certification, registration, or specialized advanced degree (15 job classifications): 4,217 Eligibles currently on Pilot Lists; and 956 Hires from these lists.
2. Examinations for classifications that facilitate employment of persons with specialized needs (1 job classification): 114 Eligibles currently on Pilot Lists; and 0 Hires.
3. Consortium examinations (24 classifications; 20 active lists): 32,186 Eligibles currently on Pilot Lists; and 5,255 Hires from these lists.
4. Examinations that were exceptions to the above three criteria (2 job classifications): 117 Eligibles currently on Pilot Lists; and 209 Hires from these lists.

By exam type, 34 of the 38 current eligible lists are based on training and experience exams (including training & experience exams, supplemental application exams, internet exams, and qualifications appraisal exams). These 34 lists include 36,501 eligibles, and represent 6,278 Pilot hires (i.e., 99% of eligibles and 97% of hires are from Pilot lists based on T&E exams, or versions of T&E exams).

Clearly, the largest number of Pilot hires has been with consortium examinations; and next with examinations for classifications that require special licensure, certification, etc. Conversely, the remaining three eligibility lists have only 231 current eligibles (114 from criteria 2 above plus 117 from criteria 4 above), and account for only 209 total hires (i.e., the eligible list representing the single classification that facilitates employment of persons with specialized needs, and the two that are approved exceptions to the Pilot inclusion criteria).

Table 2. Summary of Three Rank Eligible Lists

Class Code	Classification	Effective List Date	Exam Type	Number of Eligibles on List, Effective 11/2/2011	Number of Hires by 9/30/2011
Classifications requiring professional licensure, certification, registration, or specialized advanced degree					
5706	Deputy Attorney General III	07/27/09	T&E*	361	151
5778	Staff Counsel	12/15/08	T&E	1,510	189
5780	Staff Counsel IV	08/11/09	T&E	138	34
5795	Staff Counsel III (Specialist)	07/16/09	T&E	391	175
6039	Special Assistant Inspector General	08/22/08	T&E	7	3
6040	Senior Assistant Inspector General	08/22/08	T&E	4	0
6612	Investigative Certified Public Accountant	08/27/09	Written + QAP	18	2
7551	Physician and Surgeon	01/21/10	T&E	24	0
7784	Medical Consultant I	07/06/09	T&E	58	16
7785	Medical Consultant I (Psychiatrist)	07/06/09	T&E	22	4
8011	Health Facilities Evaluator Nurse	07/10/08	T&E	559	189
8165	Registered Nurse	03/16/10	T&E	441	14
8250	Nursing Education Consultant	06/17/09	T&E	37	4
9423	Adoptions Specialist	06/03/09	T&E	177	5
9818	Senior Vocational Rehabilitation, Counselor, Qualified Rehabilitation Professional	02/23/10	T&E	470	170
Subtotal				4,217	956
Classifications that facilitate employment of persons with specialized needs					
1107	Office Occupations Clerk	11/01/08	Perf	114	0
Subtotal				114	0

Class Code	Classification	Effective List Date	Exam Type	Number of Eligibles on List, Effective 11/2/2011	Number of Hires by 9/30/2011
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Consortium Examinations

762	Environmental Scientist	12/30/09	T&E	1,459	141
916	Fish and Wildlife Technician	08/24/09	T&E	718	19
4175	Auditor	03/29/10	T&E	1,201	68
4179	Accountant Trainee	01/21/10	T&E	2,930	274
4800	Staff Services Manger I	07/31/09	T&E	4,529	798
4801	Staff Services Manager II (Supervisory)	08/12/09	T&E	1,711	326
5393	Associate Governmental Program Analyst	05/15/09	T&E	6,466	3,139
5576	Research Scientist I (Chemical Sciences)	05/30/09	T&E	123	4
5577	Research Scientist I (Epidemiology/Biostatistics)	05/30/09	T&E	149	14
5578	Research Scientist I (Microbiological Sciences)	05/30/09	T&E	55	0
5579	Research Scientist I (Physical Engineering)	05/30/09	T&E	48	0
5580	Research Scientist I (Social/Behavioral)	05/30/09	T&E	247	0
7941	Associate Toxicologist	03/26/09	T&E	38	2
7978	Staff Toxicologist (Specialist)	02/18/10	T&E	22	5
8550	Senior Special Investigator Note: See 8610; class revised	--	--	--	--
8551	Senior Special Investigator, Non-Sworn Note: See 8610; class revised	--	--	--	--
8553	Special Investigator I Note: See 8612; class revised	--	--	--	--

Class Code	Classification	Effective List Date	Exam Type	Number of Eligibles on List, Effective 11/2/2011	Number of Hires by 9/30/2011
8563	Special Investigator I, Non-Sworn Note: See 8612; class revised	--	--	--	--
8610	Investigator I	02/23/10	T&E	2,544	3
8612	Special Investigator	02/23/10	T&E	1,019	4
8619	Compliance Representative (Tri-Agency Collector)	05/06/09	T&E	2,855	150
8690	Business Taxes Representative (Tri-Agency Collector)	05/06/09	T&E	2,067	242
8695	Tax Compliance Rep (Tri-Agency Collector)	05/06/09	T&E	2,724	59
9529	Labor Relations Analyst	07/12/10	T&E	1,282	7
Subtotal				32,187	5,255
Exception classifications					
2016	Service Assistant (Custodian) **	07/13/09	Perf	2	140
2656	Education Programs Consultant	06/19/09	T&E	115	69
Subtotal				117	209
Total for all Pilot classifications / examinations				36,635	6,420

\* Exam Type: T&E includes training & experience exams, supplemental application exams, internet exams, and qualifications appraisal exams; QAP is qualifications appraisal panel (interview); Written is a written test; Perf is a performance exam.

\*\* Service Assistant Custodian now has 2 individuals remaining on the list, partially due to expiration of eligibility. The initial list was much larger and facilitated 140 hires. This data was provided by and verified through SPB.

Probation Reports. The Pilot Study required participating departments to complete and submit to HR Mod, statistical information with probationary report data for every person hired from a Three Ranks Eligibility List (see Attachment 2. Data Reviewed / Analyzed). The data collected on an HR Mod form included:

1. Department, classification, date list established, total number of: eligibles, exam appeals, and appointments (by type, including permanent appointments, limited term appointments, hires new to state service, departmental / internal hires, promotions-in-place, A02 / A01 appointments).
2. Probationary reporting summary, including the total number of employees rated as: Outstanding, Standard, Improvement Needed, Unacceptable; and number of rejections from probation.
3. For each position number / person hired: Employee name, Position Number (agency, unit, class code, serial number) hire information (hire date, type of appointment), Probationary Reports (1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> with Overall Ratings), and Final Probation Results (date, passed, failed).

Available reported probationary data was reviewed as part of the current evaluation study. Data reviewed included: 812 total probation reports submitted across participating departments, with a total of 5,550 individual hiring records (note: This data set had some overlap in hiring records, with successive reports across time including some of the same people [e.g., 1<sup>st</sup>, 2<sup>nd</sup> or 3<sup>rd</sup> probationary reports]; this reduces total data set to approximately half, or about 2,500 individual candidates).

Within this data set there were a total of 7,625 individual ratings of probationary performance (i.e., Outstanding, Standard, Improvement Needed, Unacceptable). Of these, 53% of all observed ratings were “outstanding”, 46% were “standard”, and 1% were “improvement needed” or “unacceptable”.

Can Limited Scores Predict Probationary (Job) Performance? Data on candidate scores for AGPA examinations conducted within the Pilot was compared to probationary performance data provided by HR Mod as part of the baseline data. Pilot scores were available on over 7,000 AGPA applicants; corresponding probation reports with overall ratings during probation were linked by name and department for a total of 343 cases. The correlation between exam score and probation report was 0.0033. This low (zero) correlation coefficient is due at least in part to the severe restriction in range for the reported probationary ratings (i.e., of the 343 cases, 148 candidates were rated as *exceeds standards*, 192 were rated as *meets standards*, and 3 were rated as *needs improvement* or *unsatisfactory*); and the limited scores (three ranks) for candidates. Additionally, unreliability in both the predictor and criterion reduce the potential to find a predictive relationship. Although this outcome was expected, a strong

positive correlation would have provided criterion validity evidence for exam scores predicting job performance. Although this data did not pan-out, it is important for departments to continue to document the probationary performance of employees.

Probation Rejection Rates. Probationary rejection rates were also considered (see Table 3). This data indicates that the probation rejection rate for candidates prior to the Pilot and during the Pilot, (for fourteen selected classifications) remained steady at approximately 1% (1.2% probationary rejection rate for fourteen classifications prior to the Pilot, with 4,443 hires and 53 probationary rejections, and 1.1% rejection rate for the same fourteen classifications during the Pilot with 5,932 hires, and 66 probationary rejections).

This data set was provided by SPB for this evaluation study, and was not the same data set used in the CPS evaluation which was addressed by HR Mod (Response to CPS' Three Ranks Eligible List Pilot Study Evaluation Report, 2/25/11).

In addition to an overall probation rejection rate of 1.1% during the Pilot, less than 1% of all reported probationary ratings (for AGPAs) indicated “*needs improvement or unsatisfactory.*” This is a very positive indicator for the Pilot, and this can be viewed as an indicator that the right candidates are being hired – providing further evidence of Merit in the overall Pilot processes.

Table 3. Summary of Probationary Rejection Rates for 14  
Three Ranks Pilot Classifications

EXAMINATION	Prior to Three Ranks Pilot		During Three Ranks Pilot	
	Hires Two years prior to Date List Established	Number of Rejections During Probation	Hires from Date List Established to 10/27/11	Number of Rejections During Probation
Accountant Trainee	183	1	280	3
Associate Governmental Program Analyst	1,866	20	3,560	28
Auditor I	115	4	49	0
Environmental Scientist	183	4	155	3
Investigator	5	1	17	0
Labor Relations Analyst	5	0	8	2
Physician and Surgeon	10	0	1	0
Registered Nurse	95	2	45	0
Special Investigator			4	0
SSM I	981	15	1,002	17
SSM II (Supervisory)	439	3	387	8
Staff Counsel	285	3	181	5
Staff Counsel III (Specialist)	242	0	188	0
Staff Counsel IV	34	0	55	0
Totals for All 14 Exams / Classifications	4,443	53	5,932	66
Rejection Rate	12 per 1,000 hires		11 per 1,000 hires	

Applicant Flow and Adverse Impact Analysis. Bottom line hiring reports for *Associate Governmental Program Analyst (AGPA)* for pre-Pilot exams, and exam activity during the Pilot, were analyzed by ethnicity, gender and disability (see Tables 4.A, 4.B and 4.C).

Table 4.A. summarizes applicant flow statistics for six AGPA examinations, including those conducted for the Department of Corrections and Rehabilitation (list dates 10/26/2007 and 7/30/2008), the Department of Motor Vehicles (list dates 3/18/2008 and 10/16/2008) and the Department of Water Resources (list dates 11/21/2008 and 1/16/2009). This data indicates that prior to the Pilot, the AGPA examination process resulted in adverse impact for most non-white applicants (see the last row of Table 4.A. comparing the applications received, and the percent of applicants hired, by ethnicity). Much of this impact occurs in the examination process.

Table 4.B. provides applicant flow statistics for the AGPA Pilot exam process. Virtually all candidates attain list eligibility (no impact). This data indicates that during the Pilot, the AGPA examination process resulted in far less adverse impact than occurred prior to the Pilot, for most non-white applicants (see the last row of Table 4.B. comparing the applications received, and the percent of applicants hired, by ethnicity; contrasted with Table 4.A.). For example, prior to the Pilot, 29% of White applicants were hired, while only 17% of Non-White applicants were hired (this is a 58% relative selection rate – i.e., for every 100 Whites hired, only 58 non-Whites were hired). During the pilot, this changed, and 25% of White applicants were hired while 22% of Non-Whites were hired (this is an 88% relative selection rate – i.e., for every 100 Whites hired, 88 non-Whites were hired). Additionally, while hiring rates are different for minority and non-minority candidates both prior to the Pilot and during the Pilot, the candidate group now attaining list eligibility is far more diverse than with pre-Pilot (AGPA) exams. The success rates for disabled applicants shows no differences from Pre-Pilot to During the Pilot (see Tables 4.A and 4.B).

Table 4.C. summarizes applicant flow statistics by gender prior to the Pilot and during the Pilot (using the same data sets as shown in Tables 4.A and 4.B). This data indicates that prior to the Pilot, the AGPA examination process favored male applicants (29.9% males hired v. 21.0% females hired). During the Pilot, this was reversed, and the process favored female applicants (20.2% males hired v. 25.8% females hired).

A graphic summary of the relative hiring rates by ethnicity and gender, prior to the Pilot and during the Pilot is displayed in Figure 1.

The Uniform Guidelines on Employee Selection Procedures (UGESP, 1978) require systematic validation for examinations that have an adverse impact against one or more protected (minority) groups. The Uniform Guidelines also require employers to consider alternative selection procedures that could have substantially the same degree of job-relatedness, and less adverse impact on protected groups. The example shown



in this evaluation for the AGPA exam demonstrates that the Pilot examination model (T&E, continuous lists, etc.) is a job-related alternative to prior traditional examination models, and has an overall lower adverse impact on the candidate groups. This is another very positive indicator for the Pilot.

Table 4.A. Applicant Flow Analysis, **Pre-Three Ranks Pilot**

Associate Governmental Program Analyst Bottom Line Hiring Report by Ethnicity and Gender, Summary for 6 Exams										
	Am Ind	Asian	Black	Filipino	Hisp	Pac Isl	White	All Non-White	Dis-abled	Total
<b>APPLICATIONS RECEIVED</b>										
Male	0	29	41	20	60	0	141	150	18	291
Female	8	95	231	75	433	6	698	848	57	1546
Total	8	124	272	95	493	6	839	998	75	1837
<b>ATTAINED LIST ELIGIBILITY</b>										
Male	0	10	14	9	22	0	77	55	8	132
Female	3	42	56	21	117	2	316	241	19	557
Total	3	52	70	30	139	2	393	296	27	689
Percent	37.5%	41.9%	25.7%	31.6%	28.2%	33.3%	46.8%	29.7%	36.0%	37.5%
<b>HIRED FROM LIST</b>										
Male	0	8	6	6	14	0	53	34	3	87
Female	1	22	27	12	70	1	193	133	10	326
Total	1	30	33	18	84	1	246	167	13	413
Percent	33.3%	57.7%	47.1%	60.0%	60.4%	50.0%	62.6%	56.4%	48.1%	59.9%
<b>ADVERSE IMPACT ANALYSIS: APPLICATIONS RECEIVED v. HIRED FROM LIST</b>										
Total Rec'd	8	124	272	95	493	6	839	998	75	1837
Total Hired	1	30	33	18	84	1	246	167	13	413
Percent Hired	13%	24%	12%	19%	17%	17%	29%	17%	17%	22%

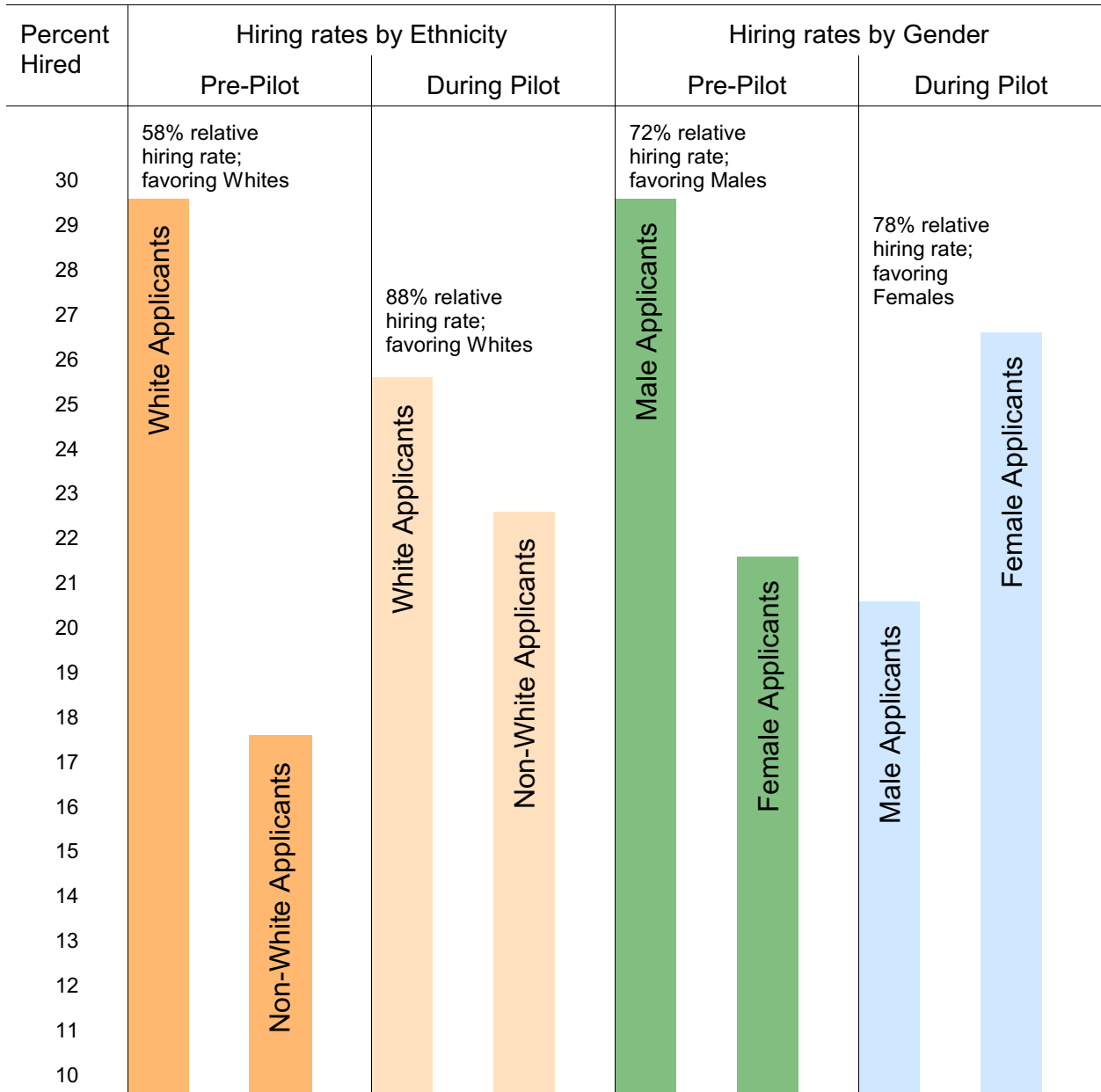
Table 4.B. Applicant Flow Analysis, **During Three Ranks Pilot**

Associate Governmental Program Analyst Bottom Line Hiring Report by Ethnicity and Gender										
	Am Ind	Asian	Black	Filipino	Hisp	Pac Isl	White	All Non-White	Dis-abled	Total
<b>APPLICATIONS RECEIVED</b>										
Male	45	620	617	244	775	32	2363	2333	270	4696
Female	106	974	1418	447	1680	88	4010	4713	259	8723
Total	151	1594	2035	691	2455	120	6373	7046	529	13419
<b>ATTAINED LIST ELIGIBILITY</b>										
Male	45	619	613	242	770	32	2359	2321	270	4680
Female	106	973	1413	447	1673	88	4005	4700	259	8705
Total	151	1592	2026	689	2443	120	6364	7021	529	13385
Percent	100%	99.9%	99.6%	99.7%	99.5%	100%	99.9%	99.6%	100%	99.7%
<b>HIRED FROM LIST</b>										
Male	9	160	67	47	147	9	510	439	36	949
Female	16	266	276	117	447	12	1113	1134	59	2247
Total	25	426	343	164	594	21	1623	1573	95	3196
Percent	17%	27%	17%	24%	24%	18%	26%	22%	18%	24%
<b>ADVERSE IMPACT ANALYSIS: APPLICATIONS RECEIVED v. HIRED FROM LIST</b>										
Total Rec'd	151	1594	2035	691	2455	120	6373	7046	529	13419
Total Hired	25	426	343	164	594	21	1623	1573	95	3196
Percent Hired	17%	27%	17%	24%	24%	18%	25%	22%	18%	24%

Table 4.C. Applicant Flow Analysis by Gender

Associate Governmental Program Analyst Bottom Line Hiring Report						
	Pre-Three Ranks Pilot based on 6 exam summary			During Three Ranks Pilot		
	Male	Female	Total	Male	Female	Total
<b>APPLICATIONS RECEIVED</b>						
Total	291	1546	1837	4696	8723	13419
<b>ATTAINED LIST ELIGIBILITY</b>						
Total	132	557	689	4680	8705	13385
Percent	45.4%	36.0%	37.5%	99.7%	99.8%	99.7%
<b>HIRED FROM LIST</b>						
Total	87	326	413	949	2247	3196
Percent	65.9%	58.5%	59.9%	20.3%	25.8%	23.4%
<b>ADVERSE IMPACT ANALYSIS: APPLICATIONS RECEIVED v. HIRED FROM LIST</b>						
Total Rec'd	291	1546	1837	4696	8723	13419
Total Hired	87	326	413	949	2247	3196
Percent Hired	29.9%	21.0%	22.5%	20.2%	25.8%	23.8%

Figure 1. Relative Hiring Rates by Ethnicity and Gender Pre-Pilot and During Pilot



## Collection and Analysis of New Data

Focus Group Meeting. A group of 11 subject matter experts, representing nine departments, met as a group on 10/10/11 at the SPB to discuss the Pilot. This focus group represented HR staff from participating departments, some with experience in baseline data and reporting requirements of the pilot, and all with hiring supervisor experience. This group provided direct input to our evaluation team on 1) the understandability of the Pilot requirements by HR staff and hiring supervisors, 2) merit / applicant quality, 3) quantity of applicants, and 4) timeliness of the process. A list of the subject matter experts who participated in this group is shown in Attachment 4.

This group discussed the use of HR Mod / SPB tools by department HR staff and hiring supervisors. This group indicated that only a small percentage of department staff were involved with the Pilot study, and hiring supervisors were often only brought into the process as it pertained to their specific role; using job-related criteria to select applicants for interviews, conducting and documenting interviews, making a selection, and documenting the selection, and completing and submitting the probation reports. This group indicated that hiring supervisors do not necessarily recognize the difference between a Pilot Study Three Ranks Eligible List, and any other eligible list that also has three ranks of eligible applicants available for consideration.

With regard to Quality (Merit), this group agreed that the examination processes being used to construct the eligibility lists, and the add-on processes used by departments to further screen applicants maintained the principle of merit. Yet, this group also indicated that the self-certification process for applicants did lead to a small increase in applicants attaining list eligibility without meeting the minimum requirements for the classification. This adds to the time required to complete a hire, and the workload for department staff, by requiring careful review of applicants' qualifications during the hiring process.

With regard to Quantity, or number of applicants, this group was in complete agreement that the number of applicants available for consideration has greatly increased for Pilot examinations.

With regard to Timeliness, this group had two observations: First, the length of time required of department staff to go from a vacancy to a certified list of eligibles has dramatically decreased with Three Ranks examinations – due to the self-certification and training and experience (T&E) exam format. Secondly, the length of time required for a hiring supervisor to go from a certified list of eligibles to an appointment has increased slightly, due to the additional documentation requirements and the extra effort needed for review of (minimum) qualifications. Overall, time requirements for Pilot exams received a very favorable review by this group.

Finally, this focus group was requested to identify hiring supervisors in their departments who could participate in a telephone interview with the evaluation team. This contact information was provided and telephone interviews then were conducted from 10/12/11 through 10/19/11.

Telephone Interviews With Hiring Supervisors. A standardized questionnaire was used in the telephone interviews with hiring supervisors. A copy of this survey, and a summary of responses to the questions is shown in Attachment 5 of this report.

Respondents to the telephone interviews indicated the following:

- They had completed hiring interviews for both consortium examinations (6 classifications) and examinations requiring professional licensure, certification, registration, or specialized advanced degree (2 classifications).
- There were very good indicators of Merit / Quality in the responses (see Attachment 5, Questions 8, 9 and 11).
- For the topic of Quantity, most believe that they are seeing more applicants available for consideration with Pilot eligibility lists (Question 14).
- Candidates on Three Ranks eligible lists are typically more diverse than those on non-Pilot eligibility lists (Question 12). This is a positive indicator of success for the Pilot.
- They have little knowledge about baseline statistical data required by the Pilot (Question 10).

## SUMMARY OF FINDINGS

### Process

HR Mod audit reports clearly find that HR staff in departments understand the requirements under the Pilot, are adhering to the documentation requirements, and that outcomes are very positive.

Data shows that departments are documenting key aspects of Pilot examinations and candidate on-the-job performance (probationary reports).

Based on 1) the telephone interviews conducted with hiring managers completed as part of the current evaluation study, and 2) review of the results of the department survey conducted by Cooperative Personnel Services (CPS), hiring supervisors do not seem to have a good overall understanding of the difference between a Three Ranks Eligible List from the Pilot, and other eligibility lists, which are in the form of three ranks (i.e., those who are eligible from a larger ranked list), and they do not have a good understanding of the “Pilot.” This is not a negative observation; hiring managers need to understand the job-relatedness requirements and documentation needs associated with the Three Ranks examinations – and they are completing this documentation without difficulty.

Quality of the Exam Process. The procedures that are now in place are functioning to preserve “merit.” These include requirements for the following examination features:

- Specific criteria are in place for a job classification to be eligible for Limited Scores / Three Ranks (e.g., examinations for classifications that require professional licensure, certification, registration, or specialized advanced degree).
- A current job analysis or validation study must be on file and available for review.
- Exam administration must be in accordance with the validation study/job analysis recommendations (ensuring content validity).
- Exam administration must be in accordance with standard SPB policies.
- Departments are required to document the job-relatedness of every step in the hiring process. Departments are held accountable for justifying:
  - selection of applicants from an eligibility list,
  - content, format and conduct of the hiring interview,
  - review and verification of applicant qualifications,
  - selection of individuals for positions,
  - candidate performance during the probationary period.

- Departments are subject to audits / reviews of documentation and adherence to the quality controls.
- Training and technical assistance with Limited Score / Three Rank examinations is available for departments through SPB.

## Merit

Merit and Quality of Applicants. There are very strong indications of Merit in the Pilot study data. This comes from: 1) the focus group meeting with subject matter experts, 2) telephone interviews conducted with hiring supervisors for this evaluation, 3) re-analysis of data from the CPS departmental survey, and applicant survey, 4) the review of background documents, such as the HR Mod audit reports on the Pilot, and 5) analysis of probationary reports completed as part of the baseline data requirements of the Pilot.

Job Relatedness and Validity of Pilot Examinations. For an examination to be part of the Pilot, there needed to be a validation study or job analysis on file and available for review. Additionally, participating departments were required to administer the examination in accordance with the validation study/job analysis recommendations. This quality assurance step establishes a foundation of job-relatedness or content validity for all examinations in the Pilot.

Additionally, all examinations included in the Pilot were to be administered in accordance with standard SPB policies and reviewed/authorized by HR Mod. Departments were also required to document the job-relatedness of every step in the hiring process, including candidate performance during the probationary period. Subsequent audits by HR Mod indicate that departments were in compliance with these requirements of the Pilot.

## Quantity

The quantity of applicants has increased for Three Ranks Eligible List Pilot examinations, compared to prior eligibility lists for the same ranks, or other non-Pilot eligibility lists.

In a report to the Legislature in February 2010, HR Mod provided an example of how the Pilot has impacted the number of applicants available to departments for further consideration (i.e., reachable on an eligibility list): “Prior to the implementation of the 11 open, online automated exams there were a total of approximately 8,000 candidates eligible for hire in the 11 classifications . . . As of January 10, 2010, there are 24,242 candidates eligible for hire . . .”. Additionally, this HR Mod report indicated “Examinations administered under the Pilot are producing larger numbers of candidates eligible for immediate hire, thereby enhancing departments’ ability to find and hire individuals best suited to perform specific jobs within their respective organizations.”



HR Mod reported to the SPB in March 2010 that seven of the Pilot eligibility lists included a total of 16,994 total candidates (*Staff Counsel, Associate Governmental Program Analyst, Staff Counsel III Specialist, Staff Services Manager I, Staff Counsel IV, Staff Services Manager II Supervisory, and Environmental Scientist*). These seven classifications represented consortium examinations (*Associate Governmental Program Analyst, Staff Services Manager I, Staff Services Manager II Supervisory, and Environmental Scientist*) and examinations that require professional licensure, certification, registration, or specialized advanced degree (*Staff Counsel, Staff Counsel III Specialist, and Staff Counsel IV*). Presently over 36,000 candidates are on the Three Ranks Pilot eligibility lists.

Data from the CPS department survey that was re-analyzed for this evaluation clearly indicates an increase in the number of applications received for the Three Ranks Pilot approved examinations.

The focus group meeting and the telephone interviews completed for this evaluation have indicated both a very sufficient and ready supply of applicants for hiring interviews, and a large number of appointments made from Pilot eligibility lists.

Pilot examinations reflect less adverse impact than traditional examination models. This finding is based on examination data for AGPA, in a comparison of pre-Pilot and Pilot applicant flows (i.e., analysis of bottom line hiring data). This is resulting in a more diverse workforce, which is evidenced by more hires for minority candidates.

### Timeliness

Pilot examinations are significantly streamlined, compared to department specific, dated eligibility lists. This is directly a result of the use of T&E exams (or variations thereof), rather than such exam models as qualifications appraisal interview panels (QAPs), and the use of continuous rather than dated eligibility lists. That is, improvements related to timing are not a function of limited ranks, but are a direct result of streamlining the exam process.

Regarding timeliness issues associated with the Pilot, the focus group noted that the length of time required of department staff to go from a vacancy to a certified list of eligibles has dramatically decreased with Three Ranks examinations (again, due to continuous lists, self-certification and the T&E exam format). Time factors no longer negatively impact hiring by departments.

The length of time required for a hiring supervisor to go from a certified list of eligibles to an appointment has increased slightly, due to the additional documentation requirements and the extra effort needed for review of (minimum) qualifications. Overall, time requirements for Pilot exams received a very favorable review by the focus group.

## CONCLUSIONS

1. The Three Ranks Pilot Study has been successful.
2. The procedures established are well understood by department HR staff.
3. The examination processes under Three Ranks have merit.
4. The examination processes under Three Ranks have resulted in a greater quantity, and more diverse pool of candidates available to departments on eligibility lists.
5. Pilot examinations are streamlined, and have resulted in a large reduction in time for departments to obtain lists of eligible candidates to fill vacancies.

## RECOMMENDATIONS

As a result of this evaluation, it is recommended that the State Personnel Board takes steps to:

1. Adopt a new exam rule allowing Limited Scores.

This new rule should be a “limited score” rule rather than a “limited rank” rule. As stated by HR Mod: “The exam score is what is limited in number: one failing score, and three passing scores. The list itself may have more than three ranks because of the addition of credits such as Veteran’s preference points or career credits.” (HR Mod, April 15, 2010).

The new exam rule should not be permanent for any department or classification, but instead should be a tool that can be used to accommodate any number of examination planning needs.

2. Establish policy and procedure for application of the Limited Scores Rule to specific classifications / examinations.

This new policy and procedure should parallel the requirements of the Pilot, such as a job analysis or validation study, documentation of the job-relatedness of all exam steps through hiring, and documentation of probationary performance of those hired.

3. Establish and implement a permanent SPB audit function for Limited Score examinations.

This audit function should continue to collect documentation for all existing approved Pilot examinations, and for any future Limited Score examinations.

## Attachment 1. Reports and Background Documents Reviewed

Date	Document Description
8/15/08	SPB PINKIE. Announcing the Three Ranks Pilot, specified the requirements for inclusion in the Pilot Study.
10/29/08	SPB PINKIE. Three Ranks Pilot, Additional Information.
3/10/09	HR Mod Report to the Legislature
4/14/09	Three Rank Eligible List Pilot Study Progress Report
4/23/09	SPB PINKIE. Three Ranks Eligible List Pilot Study. This pinkie supercedes and rescinds the two prior ones.
2/4/10	HR Mod: Three Ranks Eligible List Pilot Study Progress Report / Compliance Audit Report.
2/16/10	HR Mod Report to the Legislature, Human Resources Modernization Project; Annual Project Report.
3/16/10	HR Mod Report to the Legislature.
4/7/10	HR Mod: Three Rank Eligible List Pilot Study Compliance Audit Report, December 2009 - February 2010
4/15/10	HR Mod Memo Building on the Three Rank Eligible List Pilot Study. Note: recommends SPB adopt new Rule on 3 ranks (scores).
4/29/10	SEIU 1000 comments to SPB on Three Ranks Pilot
5/4/10	SPB Meeting Agenda, including a list of speakers, comments and letters.
5/11/10	Memo from SPB to all state agencies: Notice of hearing on Three Ranks Pilot – to be held 6/10/10.
6/6/10	SPB Meeting Agenda with summary of CPS study scope of work.
6/8/10	Memo from Exam Supervisors' Forum to SPB re Three Ranks Pilot.
6/10/10	SPB Meeting Agenda with 3 Ranks assessment.
8/2/10	Letter from SPB to SEIU, with report: Responses to General Selection Comments and Questions (also see 4/29/10 communication from SEIU).
8/3/10	SPB Meeting Agenda.
9/7/10	SPB Meeting Agenda with CPS progress report.

Date	Document Description
9/13/10	Memo from SPB to all state agencies announcing that CPS will conduct the 3R evaluation.
10/5/10	SPB Meeting Agenda.
11/16/10	SPB Meeting Agenda.
12/7/10	SPB Meeting Agenda, CPS Evaluation Report was presented.
12/10	CPS Three Rank Eligible List Pilot Study Evaluation Final Report.
12/10	CPS Three Ranks Applicant Survey.
12/10	CPS Three Ranks Department Survey.
1/4/11	SPB Meeting Agenda.
2/5/11	SPB Meeting Agenda.
2/23/11	CPS' reply to the upcoming (2/25/11) HR Mod criticism of the CPS Report.
2/25/11	HR Mod's response to the CPS Report.
4/6/11	HR Mods 2010 Annual Report to the Legislature.
6/29/11	<p>Memo from HR Mod, re: Final Report and Archive of HR Mod Project  This includes 10+ related documents, memos, etc., including:</p> <ol style="list-style-type: none"> <li>4. HR Modernization Project Status Overview (table of data sources)</li> <li>5. Taking HR to a New Level, 3/07</li> <li>6. Right People in the Right Jobs, 3/07</li> <li>7. Mission Statement, Goals, and Objectives: The Right People in the Right Jobs at the Right Time, 1/09</li> <li>8. HR Modernization Automated Integrated System – Feasibility Study Report, 1/08</li> <li>9. Letter / Reports to Legislature re: HR Mod – Annual and Semi-Annual Project Reports, 3/10/09</li> <li>10. Memo re: Statewide training, 4/29/09</li> <li>11. Letter / Reports to Legislature re: HR Mod – Annual and Semi-Annual Project Reports, 2/16/10</li> </ol>

## Attachment 2. Data Sources Reviewed

File Date	Data Description	Data Format	Source of Data
1/31/09	3R Hires	Excel	HR Mod
1/31/10 through 1/31/11	3R Pilot Study Required Statistical/Probation Report Information; 812 total probation reports / files submitted across participating departments, with a total of 5,550 individual records	Excel	HR Mod
9/9/10	3R Exam Type. Exam information; classification/exam, class code, 3 rank category, exam developed by (e.g., TV&C), Exam type, List Type.	Excel	HR Mod
10/9/11	3R Hires for 1) Environmental Scientist and 2) Associate Governmental Program Analyst, Class Code, Accession Date, Hire Date, Expires Date, Department.	Excel	HR Mod
1/21/10	3R Hires; by department, classification, date approved for 3R, # of hires as of 1/31/09, # of promos in place as of 1/31/09, # of A02 to A01 appointments.	Excel	SPB
9/20/11	3R Exam Appeals	Excel	SPB
9/20/11	3R Applicant Survey Raw Data	Excel	CPS
9/20/11	3R Department Survey Raw Data	Excel	CPS
10/4/11	Bottom Line Hiring Data Report; ES 21 exam reports Pre-Pilot	Printed	SPB
10/4/11	Bottom Line Hiring Data Reports; AGPA reports across 6 exams Pre-Pilot	Printed	SPB
10/4/11	Bottom Line Hiring Data Reports; AGPA summary for 6 exams Pre-Pilot	Printed	SPB
10/28/11	Bottom Line Hiring Data Reports; AGPA ApFlow report during Pilot	Printed	SPB
10/28/11	Bottom Line Hiring Data Reports; AGPA ApFlow hiring summary during Pilot	Printed	SPB

## Attachment 3. Analysis of the CPS Department and Applicant Surveys

CPS Department Survey. The Department Survey administered by CPS resulted in a total of 708 responses. From this data set respondents were identified who answered one or more of the following questions: 2, 4, 10, 46, 51, 52, 54, 56, 58, 60, 61, and 67. This reduced the data pool to a total of 485 responses. These responses were used in the analysis shown in Table 5. Each of the questions in Table 5 is interpreted for purposes of this Evaluation, following the Table.

Table 5. Analysis of the CPS Department Survey

Survey Questions	Response	Frequency	Percent
Q2. As a respondent to this questionnaire, please indicate your title/role.	Hiring Supervisor	345	71%
	All others	140	29%
Q4. Once an exam was approved for the Three-Ranks process, were processes and procedures relayed clearly?	Yes	109	79%
	No	21	29%
Q10. As a hiring supervisor, was your role clearly outlined to you?	Yes	246	72%
	No	97	28%
Q46. Have you seen an increase in the number of applications received for the Three Ranks Pilot approved examinations since approval to be included in the Three Rank Pilot?	Yes	252	87%
	No	38	13%
Q51. How do you determine which candidates to assess further (e.g., invite to a hiring interview) off of a Three Rank eligible list?	Narrative response	Total rec'd = 355; usable = 300+	Approx. 60%
Q52. Do you take into account the candidate's scores or ranks obtained from the formal eligible examination in your decision on who to assess further in the selection process?	Yes	156	49%
	No	162	51%

Table 5. Analysis of the CPS Department Survey

Survey Questions	Response	Frequency	Percent
Q54. Since the Three Rank Pilot's inception, how has the quality of the candidates off the Three Rank eligible list(s) compared to candidates from eligible list(s) for the same classification(s)' previous processes?	Candidates from Three Ranks are more qualified	69	26%
	Candidates from Three Ranks are less qualified	65	24%
	Candidates from Three Ranks are equally qualified	133	50%
Q56. Do the hiring supervisors receive training on developing and conducting hiring interviews?	Yes	212	63%
	No	122	37%
Q58. Does your department place behavioral anchors on your hiring interview rating scales to assist interviewers in making assessments?	Yes	158	62%
	No	96	38%
Q60. Does your department conduct hiring interview training for your panel members prior to conducting the hiring interview for the Three Rank Pilot approved examinations?	Yes	81	28%
	No	213	72%
Q61. Are candidate's hiring interview scores resulting in a ranked list?	Yes	221	78%
	No	61	22%
Q67. As a hiring supervisor do you believe you have sufficient training to develop and/or conduct the hiring interviews for Three Rank Pilot exams?	Yes	254	83%
	No	53	17%



## Summary and Interpretation of Responses to CPS Department Survey

### Q2

The first item in the Department Survey asks respondents to indicate if they are a Hiring Supervisor or Manager other than a Hiring Supervisor (the survey listed eight other possible job titles; these were grouped for purposes of this Evaluation). Most respondents (71%) indicated that they were Hiring Supervisors.

- This indicates that respondents had first hand knowledge of the hiring interview process for Three Ranks examinations in their respective departments.

### Q4 and Q10

These two questions ask if Three Ranks processes and procedures were relayed clearly to HR staff. Both Hiring Supervisors and Managers indicated that process and procedures were relayed clearly.

- This is an indication of **Quality** for the process; misunderstanding could lead to unreliable results.

### Q46

A full 87% of respondents indicated that the Three Ranks process has resulted in an increase in applications.

- This is a strong indication of **Quantity**; departments perceive that the numbers of applicants has increased under the Three Ranks process.

### Q51, Q58 and Q61

Q51. Most respondents provided a narrative description of what steps are taken for further review of candidates prior to a hiring interview (>60%). Typical responses included such comments as: "...experience or education needed for a particular assignment" or "...qualifications based on their applications."

Some responses were not usable, because they did not answer the question, but simply provided such comments as: "...invite to a hiring interview" or "...performed by internal HR staff."

Q58. Respondents indicated that most (60%+) departments use behavioral anchors on hiring interview rating scales to assist interviewers in making assessments. This is a positive indicator of quality examining.

Q61. Hiring interviews seem to mostly result in a ranking of candidates prior to extension of job offers (78% affirmative responses).

- Q51, Q58 and Q61 provide further indications of **Quality** for the Three Ranks process; departments are continuing to assess the qualifications of candidates, thereby refining the selection process.

#### Q52

Half of the respondents take into account the candidates' scores or ranks obtained from the formal eligible examination in the decision on who to assess further in the selection process.

- This is not a direct indication of quality, yet it does indicate that departments are generally considering the rank information in their hiring decisions.

#### Q54

Respondents were evenly split on the question of candidate quality, pre and post Three Ranks: 26% said they were now more qualified, 24% said they were now less qualified, and 50% said they are equally qualified.

- This clearly indicates no marked change in perceived quality of candidates due to the changes accompanying the Three Ranks process.

#### Q56, Q60 and Q67

Question 56 asks if supervisors are trained to develop and conduct hiring interviews. Question 60 asks if panel member training occurs prior to conducting Three Ranks hiring interviews. Most respondents indicated they were trained, but most also indicated that panel member training does not occur before the Three Ranks hiring interviews.

- This should not be interpreted as a need for further training for hiring supervisors. This is indicated by responses to Questions 67, where 83% of hiring supervisors expressed that they have sufficient training to develop and/or conduct the hiring interviews.

Summary. The Department Survey provides good evidence of perceived Quality among hiring supervisors and department managers (respondents). These same respondents clearly believe that the Quantity of applicants has increased as a result of the Three Ranks process. The issue of Timeliness is not addressed in the Department Survey.

#### Survey Questions Not Addressed

The CPS Department survey included 72 questions (Q2 to Q73). Many of these are not relevant to the Three Ranks Pilot Evaluation of Quality, Quantity and Timeliness. Table 6 provides a summary of all 72 questions, with comments summarizing which questions are addressed in the present evaluation.

Table 6. Analysis of the CPS Departmental Survey

CPS Departmental Survey Question		Comments
<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.</p> <p>Questions for Hiring Supervisors only include: 10, 43, 67.</p> <p>Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>		<p>Comments</p> <p>1 = This questions is addressed in the present Evaluation Study.</p> <p>2 = Best answered directly through HR Mod or other existing data sets.</p> <p>3 = Not related to Quality, Quantity and Timeliness (process question).</p> <p>4 = Cannot relate responses to Quality without knowing the classification and department.</p>
Q3.	How many examination(s)/ classification(s) in your department are approved to be included in the Three Rank Pilot?	2
Q4.	Once an exam was approved for the Three-Ranks process, were processes and procedures relayed clearly?	1
Q5.	Where did you/your staff obtain information regarding the Three Rank Pilot's processes/procedures?	3
Q6.	Did the information you obtained help you navigate the Three Rank process?	3
Q7.	Why was the information not helpful.	3
Q8.	Is it clear where to go for answers?	3
Q9.	Were your questions answered sufficiently?	3
Q10.	As a hiring supervisor, was your role clearly outlined to you?	1
Q11.	Where did you obtain information regarding the Three Rank Pilot's processes/procedures?	3
Q12.	Did the information you obtained help you to navigate the Three Rank process?	3
Q13.	Why was the information not helpful?	3
Q14.1	How many employees in the Three Rank Pilot approved exams were rejected during probation?	4
Q14.2	How many appeals or complaints related to the selection process...have been filed annually?	4

Table 6. Analysis of the CPS Departmental Survey

CPS Departmental Survey Question		Comments
<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.</p> <p>Questions for Hiring Supervisors only include: 10, 43, 67.</p> <p>Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>		<p>Comments</p> <p>1 = This questions is addressed in the present Evaluation Study.</p> <p>2 = Best answered directly through HR Mod or other existing data sets.</p> <p>3 = Not related to Quality, Quantity and Timeliness (process question).</p> <p>4 = Cannot relate responses to Quality without knowing the classification and department.</p>
Q14.3	How many withholds does your department encounter annually for the Three Rank Pilot approved exams?	4
Q14.4	How many hires have been made annually for the Three Rank Pilot approved exams?	4
Q15.1	Indicate the number of exams your department has for the criteria of: MQs require certificate, license, etc.	2, 3, 4
Q15.2	Indicate the number of exams your department has for the criteria of: Consortium exam.	2, 3, 4
Q15.3	Indicate the number of exams your department has for the criteria of: Employment of persons with disabilities, LEAP, etc.	2, 3, 4
Q15.4	Indicate the number of exams your department has for the criteria of: Exception to the first three criteria.	2, 3, 4
Q16.	If you replied exception (15.4) please describe the basis for the exception.	2, 3, 4
Q17.	Who developed the formal examination(s) for your department's Three Rank Pilot exams?	2, 3, 4
Q18.	If your department developed its own formal exams, did you utilize a self-rating, point-based T&E?	2, 4
Q19.	Which types of exams were utilized for the formal examination?	2, 4
Q20.	Was the self-rating point based T&E administered online or in paper-pencil format?	2, 4

Table 6. Analysis of the CPS Departmental Survey

<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.                      Questions for Hiring Supervisors only include: 10, 43, 67.                      Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>		<p>Comments                      1 = This questions is addressed in the present Evaluation Study.                      2 = Best answered directly through HR Mod or other existing data sets.                      3 = Not related to Quality, Quantity and Timeliness (process question).                      4 = Cannot relate responses to Quality without knowing the classification and department.</p>
CPS Departmental Survey Question		Comments
Q21.	Has the Three Rank Pilot's redesigned withhold process caused a delay in making a job offer to a candidate in your department?	3
Q22.	Please indicate the size of your department.	2, 3
Q23.	Do the majority of department funds come from special funds?	2, 3
Q24.	Does your department have a departmental exams unit?	3
Q25.	What is the size of your department's exam services unit?	3
Q26.	Which unit oversees testing/hiring?	3
Q27.	Do you have more than one departmental exams unit?	3
Q28.	Does your exams/personnel unit have at least one TVDS, PSC, or other I/O Psych staff member?	3
Q29.	How many staff meet this criterion?	3
Q30.	Where did the majority of your staff members obtain their training in the field of I/O Psychology / selection?	3
Q31.	Where does your staff obtain information regarding selection practices?	3
Q32.	Who typically develops the majority of your departmental exams?	3
Q33.	On the average, what is the number of examinations your exams unit/personnel unit oversees annually?	3
Q34.	On the average, what is the number of hires your department makes annually?	3

Table 6. Analysis of the CPS Departmental Survey

<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.</p> <p>Questions for Hiring Supervisors only include: 10, 43, 67.</p> <p>Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>	<p>Comments</p> <p>1 = This questions is addressed in the present Evaluation Study.</p> <p>2 = Best answered directly through HR Mod or other existing data sets.</p> <p>3 = Not related to Quality, Quantity and Timeliness (process question).</p> <p>4 = Cannot relate responses to Quality without knowing the classification and department.</p>
CPS Departmental Survey Question	Comments
Q35. Prior to participating in the Three Rank Pilot were job analyses typically conducted in order to develop exams?	3
Q36. Why were job analyses not completed?	3
Q37. Who typically conducted the job analyses?	3
Q38. Since participating in the Three Rank Pilot, are job analyses conducted for the exams not a part of the Three Rank Pilot?	3
Q39. Who conducts the job analyses?	3
Q40. Why were job analyses not completed?	3
Q41. Please rank order the most common types of exam instruments your department used prior to participating in the Three Rank Pilot.	3
Q42. Please rank order the most common types of exam instruments your department currently uses since participating in the Three Rank Pilot.	3
Q43. Please indicate the size of your unit.	3
Q44. Prior to participating in the Three Rank Pilot, who reviewed applications for the Three Rank Pilot approved exams in your department?	3
Q45. Since participating in the Three Rank Pilot, who reviews applications for the Three Rank Pilot approved exams in your department?	3

Table 6. Analysis of the CPS Departmental Survey

<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.                      Questions for Hiring Supervisors only include: 10, 43, 67.                      Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>		<p>Comments                      1 = This questions is addressed in the present Evaluation Study.                      2 = Best answered directly through HR Mod or other existing data sets.                      3 = Not related to Quality, Quantity and Timeliness (process question).                      4 = Cannot relate responses to Quality without knowing the classification and department.</p>
CPS Departmental Survey Question		Comments
Q46.	Have you seen an increase in the number of applications received for the Three Rank Pilot approved exams since approval to be included in the Three Rank Pilot?	1
Q47.	What methods/mechanisms do you have in place to screen applications you receive?	3
Q48.	Does your department utilize SPB's OSS system to create certification lists?	3
Q49.	What is typically requested from SPB's OSS system when ordering certification lists for the Three Rank Pilot approved exams?	3
Q50.	What type of system/method do you utilize to create your certification list?	3
Q51.	How do you determine which candidates to assess further off a Three Rank eligible list?	1
Q52.	Do you take into account the candidate's score or rank obtained from the formal exam in your decision on who to assess further in the selection process?	1
Q53.	How does your department typically proceed if a specific candidate your department would like to assess further does not show up on the Three Rank certification list provided by SPB's OSS system?	3
Q54.	Since the Three Rank Pilot's inception, how has the quality of the candidates off the Three Rank eligible list(s) compared to candidates from eligible list(s) for the same classification(s) previous processes?	1

Table 6. Analysis of the CPS Departmental Survey

CPS Departmental Survey Question		Comments
<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.</p> <p>Questions for Hiring Supervisors only include: 10, 43, 67.</p> <p>Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>		<p>Comments</p> <p>1 = This questions is addressed in the present Evaluation Study.</p> <p>2 = Best answered directly through HR Mod or other existing data sets.</p> <p>3 = Not related to Quality, Quantity and Timeliness (process question).</p> <p>4 = Cannot relate responses to Quality without knowing the classification and department.</p>
Q55.	Who typically develops the hiring interview questions and scoring criteria for Three Ranks Pilot approved exams?	3
Q56.	Do the hiring supervisors receive training on developing and conducting hiring interviews?	1
Q57.	Who conducts the training for developing/conducting hiring interviews?	3
Q58.	Does your department place behavioral anchors on your hiring interview rating scale to assist interviewers in making assessments?	1
Q59.	How many interviewers does your department utilize for the hiring interview panel for the Three Rank Pilot approved exams?	3
Q60.	Does your department conduct hiring interview training for your panel members prior to conducting the hiring interview for the Three Rank Pilot approved exams?	1
Q61.	Are candidates' hiring interview scores resulting in a ranked list?	1
Q62.	Is your department incorporating any other selection instrument into your hiring interview for at least one of your department's Three Rank Pilot approved exams?	3
Q63.	Which types of additional selection instruments does your department incorporate into the interview?	3
Q64.	Who develops the additional selection instruments and scoring criteria?	3



Table 6. Analysis of the CPS Departmental Survey

<p>Questions for Managers other than Hiring Supervisors include: 3, 4, 14, 15, 16, 17, 18, 21, 22, 23, 24, 28, 32, 33, 34, 35, 38, 41, 42, 44, 45.                      Questions for Hiring Supervisors only include: 10, 43, 67.                      Many questions were presented to respondents based upon their response to an earlier question (e.g., Q7, Q8, Q9, Q12, Q13, etc.).</p>		<p>Comments                      1 = This questions is addressed in the present Evaluation Study.                      2 = Best answered directly through HR Mod or other existing data sets.                      3 = Not related to Quality, Quantity and Timeliness (process question).                      4 = Cannot relate responses to Quality without knowing the classification and department.</p>
CPS Departmental Survey Question		Comments
Q65.	Who administers the additional selection instruments?	3
Q66.	Are the other types of selection instruments incorporated into a candidate's total score?	3
Q67.	As a hiring supervisor do you believe you have sufficient training to develop and/or conduct the hiring interview for the Three Rank Pilot approved exams?	1
Q68.	Do you believe you are adequately prepared/properly trained to conduct the tasks expected of you in the Three Rank Pilot's selection process?	3
Q69.	Why do you believe you are not adequately trained?	3
Q70.	What steps, instructions, and/or changes could HR Mod and/or SPB do to improve/clarify your/your department's role in the Three Rank Pilot's selection process?	3
Q71.	What are the benefits of the Three Rank Pilot?	3
Q72.	What are the limitations of the Three Rank Pilot?	3
Q73.	Is there anything else you would like to relay regarding the Three Rank concept or the Three Rank's selection process?	3

CPS Applicant Survey. The Applicant Survey administered by CPS resulted in a total of 7,227 responses. From this data set respondents were identified who answered one or more of the following questions: 4, 18, 19, 25, and 31. This reduced the data pool to a total of 7,040 responses. These responses were used in the analysis shown in Table 7. Each of the questions in Table 7 is interpreted for purposes of this Evaluation, following the Table.

Table 7. Analysis of the CPS Applicant Survey

Survey Questions	Response	Frequency	Percent
Q4. Were you hired or promoted as a result of one of these examinations?	Yes	1,126	16%
	No	5,914	84%
Q19. Do you believe that the State's selection process you participated in was fair and appropriate for the job(s) you were applying for?	Yes	3,778	55%
	No	3,072	45%
Q4. For candidates who answered Yes to and Q4 (got a job): Do you believe that the State's selection process you participated in was fair and appropriate for the job(s) you were applying for?	Yes	860	79%
	No	222	21%
Q4. For candidates who answered No to and Q4 (did not get a job): Do you believe that the State's selection process you participated in was fair and appropriate for the job(s) you were applying for?	Yes	2,890	51%
	No	2,825	49%
Q31. Did the questions asked of you in the online examination(s) allow you to present your qualifications for the job(s) sufficiently?	Yes	3,516	65%
	No	1,935	35%

Table 7. Analysis of the CPS Applicant Survey

Survey Questions	Scale	Total Responses	Average Rating
Q18. How would you rate your experience with the State’s selection process?	1 to 5 (1 = very satisfied)	6,963	3.11
Q25. How clear was the process for applying for a job with the State?	1 to 5 (1 = very clear)	6,725	2.45
Q4. For candidates who answered Yes to and Q4 (got a job): How would you rate your experience with the State’s selection process?	1 to 5 (1 = very satisfied)	1,097	2.27
Q4. For candidates who answered No to and Q4 (did not get a job): How clear was the process for applying for a job with the State?	1 to 5 (1 = very clear)	5,802	3.27

Summary and Interpretation of Responses to CPS Applicant Survey

Q19, Q31

Question 19 addresses perceived fairness of the selection process. Overall, candidates were somewhat evenly split on the question of fairness (55% indicated “fair”). When this question is considered in the context of which candidates were successful (Q4) the results indicate that 79% of those who were hired or promoted perceive the exam process as fair; for those who were not hired or promoted, only 51% perceived the exam process as fair. The results of Question 31 show that 65% of applicants indicated that the online process did allow them to sufficiently present their qualifications.

- Overall, Q19 and Q31 provide indications of **Quality** for the Three Rank process as perceived by applicants.

Q18 and Q25

Question 18 asks about applicant satisfaction with the exam process. Question 25 asks about clarity of the application process. For both of these items, the average response across respondents was mid-scale; somewhat satisfied with the process and the process was somewhat clear. Satisfaction increases for those who were hired or promoted.

Summary. The Applicant Survey provides indications of perceived Quality among applicants (respondents). The issues of Quantity and Timeliness are not addressed in the Applicant Survey.

#### Questions Not Addressed

The CPS Applicant Survey included 37 questions (Q1 to Q37). Many of these are not relevant to this Evaluation of the Three Ranks Pilot.

It is important to note that applicants were not asked to indicate which exam(s) they had taken, the rank or score they achieved from this exam, or about their experiences with hiring interviews. Question 1 states: “We understand that you were an applicant for one or more of these exams . . . You do not need to select an examination from the drop down list. Please just review the list to ensure you have taken at least one of these exams . . . “ Contrary to these instructions 3,319 of the 7,227 applicant respondents have data recorded in column 1, under Q1, with numbers that correspond to those in the survey (46% indicated a job; multiple jobs were not indicated for any respondents). Survey questions 33, 34, 35, and 36 dealt with “department” exams, but this term was not defined for candidates, and could have referred to non-Three Rank exams or to hiring interviews from a Three Ranks list.

## Attachment 4. Participants in Focus Group Meeting at SPB on 10/10/11

Regena Caton, Department of Justice

KC Campbell, California Housing Finance Agency

Margo Cooper, Manager, Department of Consumer Affairs

Liz Davies, Department of Parks and Recreation

Terri Deane, Board of Equalization

Susan Gehrman, Board of Equalization

Lisa Jeffers, Health Care Services

Maria Luna, Department of Fish and Game

Mary Jo Schall, Department of Water Resources

Terri Trim, Department of Fish & Game

Diana Vandre, Department of Insurance

## Attachment 5. Telephone Interviews With Hiring Supervisors; 10/12/11 through 10/19/11

QUESTION	RESPONSES
1. WHAT IS YOUR JOB TITLE / Classification	<ul style="list-style-type: none"> <li>• Staff Services Manager I (7)</li> <li>• Staff Services Manager III</li> <li>• Supervising Deputy Attorney General (2)</li> <li>• Accounting Administrator II</li> <li>• Business Taxes Compliance Supervisor II (3)</li> <li>• Assist Deputy Director for Administration CEA I</li> <li>• Administrator I</li> <li>• Administrator II</li> </ul>
2. Do you know the difference between a Three-Rank Pilot Study Eligibility List and other eligibility lists?	<ul style="list-style-type: none"> <li>• YES (12)</li> <li>• NO (4)</li> </ul>
3. Have you conducted Three Ranks Eligible List Pilot Study hiring interviews?	<ul style="list-style-type: none"> <li>• YES (15)</li> <li>• NO (1)</li> </ul>
4. For which job classifications have you conducted these hiring interviews?	<ul style="list-style-type: none"> <li>• Accountant Trainee</li> <li>• Associate Governmental Program Analyst (AGPA)</li> <li>• Business Taxes Representative (Tri-Agency Collector)</li> <li>• Compliance Representative (Tri-Agency Collector)</li> <li>• Deputy Attorney General III</li> <li>• Staff Counsel</li> <li>• Staff Services Manager I</li> <li>• Staff Services Manager II (Supervisory)</li> <li>• Staff Services Analyst (<i>Not a Pilot Exam</i>)</li> </ul>

QUESTION	RESPONSES
<p>5. If yes, please estimate how many interviews you have completed, or how many jobs have been filled from interviews with which you were involved.</p>	<ul style="list-style-type: none"> <li>• Hired 5 people/interviewed 42 (1<sup>st</sup> recruitment had 151 applications, for the 2<sup>nd</sup> recruitment kept the same candidate pool so we didn't have to re-interview people we spoke with initially.)</li> <li>• Around 12 positions / interviewed 3-5 for each position (about 40 overall)</li> <li>• Seven or eight jobs filled</li> <li>• Two jobs/16 interviews total</li> <li>• Had one position available/did 5 interviews (decided to go with internal candidate)</li> <li>• 5 jobs filled</li> <li>• A year ago, 5 jobs filled/30-40 applicants interviewed. Later, did 30-40 interviews for 3-4 positions; now interviewing about 27 for 3 jobs open currently.</li> <li>• 3 jobs filled / 6 candidates interviewed</li> <li>• 15 jobs filled</li> <li>• 8 jobs filled (2)</li> <li>• 1 job / 8-9 candidates interviewed</li> <li>• Sat in on 12 interview for 2 positions</li> <li>• around 200 jobs filled</li> <li>• 1 job</li> <li>• About 2, 500 interviews to fill 300-400 full time jobs, over the last 3 years</li> </ul>
<p>6. For each job filled, about how many candidates did you interview?</p>	<ul style="list-style-type: none"> <li>• Hired 5 people/interviewed 42 (1<sup>st</sup> recruitment had 151 applications, for the 2<sup>nd</sup> recruitment kept the same candidate pool so we didn't have to re-interview people we spoke with initially.)</li> <li>• Around 12 positions / interviewed 3-5 for each position (about 40 overall)</li> <li>• Seven or eight jobs filled</li> <li>• Two jobs/16 interviews total</li> <li>• Had one position available/did 5 interviews (decided to go with internal candidate)</li> <li>• 5 jobs filled</li> <li>• A year ago, 5 jobs filled/30-40 applicants interviewed. Later, did 30-40 interviews for 3-4 positions; now interviewing about 27 for 3 jobs open currently.</li> <li>• 3 jobs filled / 6 candidates interviewed</li> <li>• 15 jobs filled</li> <li>• 8 jobs filled (2)</li> <li>• 1 job / 8-9 candidates interviewed</li> <li>• Sat in on 12 interview for 2 positions</li> <li>• around 200 jobs filled</li> <li>• 1 job</li> <li>• About 2, 500 interviews to fill 300-400 full time jobs, over the last 3 years</li> </ul>

QUESTION	RESPONSES
<p>7. For the Three-Rank Pilot Study, someone was supposed to develop job-related criteria to review applications or any other step to determine who would be selected for a hiring interview. Do you know how your department selected candidates from the Three-Rank Pilot Study Eligibility List to participate in hiring interviews?</p>	<ul style="list-style-type: none"> <li>• YES (simple response - 3)</li> <li>• NO (1)</li> <li>• Yes, candidates who had used/were familiar with MediCal database were chosen to interview; then, we looked at analytical skills.</li> <li>• Yes. We do a 'back end thing' – we do a general job announcement; then based on candidates we like after interviewing them, we check to see if they are on the 3-Ranks list. If not, we have them complete the application on line until they are qualified.</li> <li>• Yes - we preview the application first, look for Education, then Past Experience, then call about 20 for first interview, then top 6-7 go for 2<sup>nd</sup> interview.</li> <li>• Yes, we gave an interview to all those who currently worked for our Department</li> <li>• Yes- had someone screen applications based on Education/skills/experience.</li> <li>• Yes - had a list of criteria above the MQs to screen, then would interview (e.g., experience in collections, extent of analysis of financial documents, experience in working with other agencies).</li> <li>• Yes, screened to basic skills sets. Took all candidates who applied, then screened by Budgeting-type education, and Skills/Experience in Budgets</li> <li>• Yes, have worked in 2 Departments and used 3 Ranks list. We weed out the stack of applications, then create an Excel spreadsheet w/duty statements, ranked the applicants based on past experience indicated.</li> <li>• Yes, followed criteria by looking at duty statement “desired qualifications” then follow ranking 1, 2, 3.</li> <li>• Yes, we developed 5 questions. Had enough candidates who got 5 of 5 correct, then whittled down to key areas identified by topics/words (i.e., customer service, report writing, statistics, research).</li> <li>• Yes, use a screening criteria based on the classification, look at education, experience, if there are any glaring errors.</li> <li>• Yes, SMEs for developed screening criteria.</li> </ul>
<p>8. The Three-Rank Pilot Study required that all candidates who participated in hiring interviews would be asked the same questions. Do you know if this occurred in your department?</p>	<ul style="list-style-type: none"> <li>• YES (16)</li> </ul>



QUESTION	RESPONSES
<p>9. It was also an important feature of the Three-Rank Pilot Study that job-related criteria were to be used during the hiring interviews. Do you know if this occurred in your department?</p>	<ul style="list-style-type: none"> <li>• Yes (16)</li> <li>• Yes, e.g. if they worked with a large caseload; had medical health related assist of any kind, medical insurance related programs.</li> <li>• Yes, we also did 2 practical exams – a writing exercise, and an Excel spreadsheet exercise</li> <li>• We used job related criteria qualifications in relation to the duty statement. For follow up interviews, we used exercises we developed / problem solving scenarios.</li> </ul>
<p>10. For any examination included in the Three Ranks Eligible List Pilot Study, the participating department(s) must provide baseline statistical data covering the last examination administered for the classification preceding the Pilot. Do you know anything about this baseline data for your department?</p>	<ul style="list-style-type: none"> <li>• NO (15)</li> <li>• YES (1), I knew we had to provide it, but didn't know what we provided</li> </ul>
<p>11. Compared to non-Three Ranks Eligible List Pilot Study exams, are candidates on Three Ranks Eligible Lists more or less qualified?</p>	<ul style="list-style-type: none"> <li>• MORE qualified (5)</li> <li>• LESS qualified (1 )</li> <li>• ABOUT the same (5)</li> <li>• DON'T KNOW - (2)</li> <li>• My only experience is with 3R (3)</li> <li>• Easier to identify the more qualified candidates</li> <li>• All really good candidates – non 3Rank lists have the same skills</li> <li>• Depends - some you can't reach because they aren't good at taking the test</li> <li>• Hard to say - have not looked at all the applications (outside candidates who do not have the required background)</li> </ul>

QUESTION	RESPONSES
<p>12. Are the candidates who are reachable on a Three Ranks Pilot eligibility list more or less diverse than those reachable on a non-Three Ranks process?</p>	<ul style="list-style-type: none"> <li>• MORE diverse (6)</li> <li>• LESS diverse (2)</li> <li>• DON'T KNOW - only experience is with 3R (4)</li> <li>• THE SAME (2)</li> <li>• Although you also get some that are not qualified</li> <li>• A positive thing - more diversity of background, more private sector backgrounds. Old exams were peculiar - if you didn't "hit" the question you were knocked out. Now has opened the field to more diverse backgrounds.</li> <li>• More diversity of education/work experience - broader opportunities. Re: race/gender - don't know.</li> </ul>
<p>13. Are there more candidates on Three Ranks lists than on other eligibility lists?</p>	<ul style="list-style-type: none"> <li>• YES (9)</li> <li>• ONLY WORKED ON 3R Lists (1)</li> <li>• Don't Know / not sure (2)</li> <li>• We were not provided with a list. We hire for AGPA, never saw the statewide list. Personnel Officer reviewed applications, gave us the names. After the selection interview, THEN were certified to see they made all the MQs</li> <li>• Before, the Dept had their own list; now it opens it up.</li> <li>• With the generic on-line questions, more qualify.</li> <li>• The numbers seemed about the same.</li> </ul>
<p>14. Is the Three Ranks exam process faster, the same or slower than other types of exams?</p>	<ul style="list-style-type: none"> <li>• No experience / not sure (5)</li> <li>• FASTER (7)</li> <li>• SLOWER (3)</li> <li>• Everyone can use the list.</li> <li>• Slower for the hiring supervisor – checking for eligibility (self-certification interpretations are different – clericals are applying for higher classifications than they should be).</li> <li>• Changed expectation of the applicant group – private sector applicants want more interaction post-interview.</li> <li>• Candidates do not have to wait for results - they instantly receive them.</li> <li>• Faster and better from a hiring supervisor's perspective – easier to work the list.</li> </ul>

QUESTION	RESPONSES
<p>15. After conducting your hiring interviews, is the process for hiring someone faster, the same or slower, when using a Three Ranks Pilot Study Eligibility List?</p>	<ul style="list-style-type: none"> <li>• SLOWER (1)</li> <li>• FASTER (3)</li> <li>• SAME (8)</li> <li>• No experience (2)</li> <li>• Paperwork we had to submit afterwards added an extra step. Did an Excel spreadsheet of who met criteria.</li> <li>• The same – however, we have to turn in extra information to SPB (e.g., probation dates, criteria).</li> <li>• Now the candidates ask questions - it slows down the interview, but educates the interviewer. It's changed the way I ask questions - more on point; so it is improving the process.</li> <li>• We don't have to administer the exam, but we do have to double check the candidates' qualifications. For example, Hiring Managers are trained to screen for MQs. With 20 to interview - we have a form they developed, to verify that candidates meet MQs prior to job offer. Screening candidates they plan to commit to - but not all of them.</li> <li>• Slower, but not in a bad way. There are additional steps, screening criteria to apply to applications, more demonstrative approach.</li> </ul>

QUESTION	RESPONSES
<p>16. Do you think that the Three Ranks Eligible List Pilot Study has been a success? Please explain.</p>	<ul style="list-style-type: none"> <li>• Can't say, only done once.</li> <li>• Yes, it has helped with hiring. There are candidates who can be hired at the III level instead of only at a I.</li> <li>• Yes, we have so many vacancies and we get a lot of good candidates.</li> <li>• Yes - for getting a diverse pool, however, it has slowed it down due to the number that are self-certifying and do not qualify.</li> <li>• Yes, people can continually apply vs. years in the old way. Easier access to people who qualify.</li> <li>• Yes, there are some bugs to be fixed still.</li> <li>• No - I went through it when I was promoted (feels people are qualified even if they are not in the 3 ranks).</li> <li>• Yes - advantage is candidates take the test; post positions. Responses are a broad group - we don't have to spend time looking for candidates.</li> <li>• I don't know what it is.</li> <li>• Yes.</li> <li>• Not much experience with it.</li> <li>• Hard to say definitely, since we have been in the hiring freeze for so long. Increased opportunities for candidates. It is up to the supervisors to make sure candidates qualify.</li> <li>• Yes, hiring managers have a larger pool. Candidates can take the exam 24/7 - then must sell themselves during the interview. More to choose from - most have been successful hires.</li> <li>• Yes, puts more groundwork at the Manager hiring level.</li> <li>• Depends - because it is on-line you get a wealth of candidates....but they don't have the best background. Using a normal exam we would have weeded through them.</li> <li>• Yes, because it allows more candidates to be reachable on the initial list. Increases the volume who are qualified.</li> </ul>

QUESTION	RESPONSES
<p>17. From your perspective, are there any positive attributes of the Three Ranks Pilot Study? If so, what are these?</p>	<ul style="list-style-type: none"> <li>• Liked having the criteria to document the candidates. Before, only the person interviewing them knew that.</li> <li>• Instant scoring – it opened up the test to other people not familiar with “government processes.”</li> <li>• Yes - better candidates due to large pool (old list, candidates all tested on one day. 3 Ranks they apply at their convenience).</li> <li>• More applicants, but takes more time to review.</li> <li>• Easier to get a better candidate pool.</li> <li>• Makes the hiring manager more accountable – we have to justify why this individual was selected.</li> <li>• Yes - can get good, qualified candidates (300 in top ranks, more inclusion if used the top 5 ranks).</li> <li>• More open - broader base of candidates. Saves on resources.</li> <li>• Yes - enjoy interviewing with a different perspective. Broader group of candidates. State candd only study common questions - harder to differentiate between candidates. It is an educational process for both sides of the table (interviewer and candidate).</li> <li>• Yes, more geared to the position.</li> <li>• Yes, gives us a large candidate pool. More work, but a larger pool.</li> <li>• Yes, huge cost savings to the Department.</li> <li>• Broader candidate pool, they don't have to start at the lowest level.</li> <li>• Constantly available.</li> <li>• Increased volume of candidates - easier to work with. Causes us to be more thorough in screening / forces us to be precise in this process. I would like to see doing away with all ranks, and after administering the test make it a Pass/Fail. Then the hiring manager can hire anyone who 'passes.'</li> </ul>

QUESTION	RESPONSES
<p>18. From your perspective, are there any negative attributes of the Three Ranks Pilot Study? If so, what are these?</p>	<ul style="list-style-type: none"> <li>• I thought all the candidates were certified before they were interviewed. Labor Intensive - interview the candidates, then they are certified <i>afterwards</i>; and then we lost some candidates.</li> <li>• No place for supervisory comments on the promotional process. Seems backwards - would like to comment before people apply for the promotion. But overall, it has gone really well.</li> <li>• Self-certification is not clear to candidates; causes more time for the hiring supervisor to even get to interviews.</li> <li>• We do have to wade through a lot more people – nobody is making sure the candidates are “qualified.”</li> <li>• A candidate could have excluded additional information (the hiring manager doesn’t know about). So when HR contacts them, candidates mistakenly think the Department is interested in hiring them. So then later they contact the hiring manager to ask why they were not chosen.</li> <li>• People are highly qualified in Rank 4-5-6, but we can’t hire them.</li> <li>• More paperwork – although I am more efficient as I do more. I don’t want to go back to the old way. It has benefitted the State - brings the perspective that may have been locked out before. 3 Ranks causes an adjustment in thinking.</li> <li>• Difficult - someone may rank higher, but not sure of how they would do on the job.</li> <li>• Due to the hiring freeze, have not been able to use it much. So many candidates – have to screen and weed out during interviews.</li> <li>• All the ground work – we have to do our homework, be on time for performance appraisals in evaluating staff.</li> <li>• MQ and Self Certification process – candidates overrate themselves and are removed from the list.</li> <li>• No - a little more paperwork, but not burdensome.</li> </ul>