



CENTRE FOR INTEGRITY  
IN THE DEFENCE SECTOR

# HUMAN RESOURCE MANAGEMENT TOOLKIT

for the Public Sector

2022



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## FOREWORD

In April 2021, the Centre for Integrity in the Defence Sector (CIDS) and NATO Building Integrity (BI) partnership published the *Glossary of Human Resource Management in the Public Sector* and, now, the same team presents the *Toolkit for Human Resource Management in the Public Sector*. These two documents represent two sides of the same coin – the Glossary aims to define specific terms and concepts while the Toolkit aspires to show how they can be operationalised in practice. Both documents are designed to bridge gaps: the former addresses gaps in knowledge and understanding, the latter focuses on narrowing the gap between principles and practice.

The European Union (EU) has noted that the past two decades have led to a significant expansion of the body of knowledge about national public administration reforms. The process reached one of its major milestones with the publication of Principles of Public Administration (developed by Support for Improvement in Governance and Management, SIGMA in 2014) – a framework document which gives domestic authorities a sufficient basis to take their reforms in the right direction.

However, for domestic solutions to be effective they need to address real needs and issues in addition to retaining conformity with international principles. In other words, adherence to international principles is necessary but not sufficient for the envisaged changes to be effective. Domestic authorities are still required to come up with solutions that will fit the specific context and will adequately respond to the actual needs. This is where CIDS saw an opportunity to come up with a publication that offers a compendium of examples, insight and ideas – which hold relevance and practical value especially for countries where processes of democratic change and institution building are still under way – while being compatible with international principles.

We would like to thank our partners in NATO, especially Alice Wilhemi, for their valuable and constructive contribution in reviewing the draft Toolkit. We also benefited from the suggestions from the Human Resource Management (HRM) experts and professionals Aleksandra Rabrenovic, Dubravka Prelec, Neven Aksamija and Onahti Cerkez, as well as CIDS' senior officials Svein Eriksen and Annette Hurum. In addition, we would like to extend our appreciation to our colleagues in the partnering institutions in both the Western Balkans and Ukraine for their feedback that encouraged us to complete this work. We thank them all for their great efforts.

Finally, I would like to thank the main author of this toolkit, Mr Damir Ahmetovic.



Per A Christensen  
Oslo, June 2022

## INTRODUCTION

The idea of an HRM Toolkit was born a few years ago when it became apparent that CIDS' work in the area of HRM had led to the development of a number of different HRM tools and instruments. At the same time, it was obvious that there is a scarcity of guidance materials that pull together good practices and provide direction. Hence, we thought that a compilation of certain guiding ideas and principles for the individual HRM functions, supplemented with a number of tools that hold relevance and certain practical value, might be useful for those public servants that manage people. The aim is very simple: produce content that will provide guidance and direction (or in some cases simply inspiration) for those that drive the process of development of HRM procedures and practice. In addition to public servants who hold managerial positions, this publication is also intended for HRM practitioners as well as policy makers and even researchers interested in the practice of HRM in the public sector.

Many of these instruments have been used in countries where CIDS is implementing its projects (i.e. the Western Balkans and Ukraine) and their application has proven to be useful. For instance, the defence ministries of both Bosnia and Herzegovina and Ukraine have used a functional-analysis questionnaire. This has led to the development of baseline documents (i.e. a situational analysis) that subsequently shaped the content of CIDS' activities in these countries, including the development of strategic HRM documents (e.g. HRM Policy in Bosnia and Herzegovina and HRM Strategy in Ukraine).

The publication is divided into ten sections/chapters that follow the basic logic of HRM practice in the public sector. It starts with a section on functional analysis, which focuses on the need to properly diagnose the respective HRM system's state of affairs, and ends with a chapter that deals with organisational culture – an aspect of HRM that is often overlooked despite being one of the root causes of poor internalisation<sup>1</sup> of reforms. In between, we offer sections on typical HRM functions, including HRM planning, job descriptions (and how to develop them), recruitment and selection, employee induction, performance management, professional development and professional integrity. Each section follows the same format: introduction to the topic, its significance, the way it works in practice and who does what. Finally, each section features a number of HRM tools/instruments that we believe are important for developing modern practices but are by no means exhaustive.

It is important to underline that the HRM Toolkit should not be seen as attempting to provide 'one-size-fits-all' solutions. Every context is different. In fact, we strongly recommend that adoption of any of the instruments be done only upon carrying out a proper analysis of its suitability in the particular context.

HRM in the public sector is an evolving field. Therefore, we believe that the Toolkit should be a 'living document' that will, in the years to come, be enriched through the introduction of upgraded versions of the current instruments as well as some all-new ones.

We are open to all suggestions or proposals. Please send them to [cids@fd.dep.no](mailto:cids@fd.dep.no).

We hope you enjoy reading this toolkit!

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<sup>1</sup> The term internalisation refers to the process presented by John Scott in his book *Internalization of Norms: A sociological Theory of Moral Commitment*. In short, the concept implies that an individual first learns about an idea or concept, then understands its value and, in the end, accepts it as his/her own opinion. CIDS' experience with public-sector reforms indicates that their implementation does not always go hand-in-hand with full internalisation.

## HRM FUNCTIONAL ANALYSIS

### What is it?

An HRM functional analysis (FA) is an approach to analysing an HRM function for the purpose of acquiring information and knowledge about its structure, the way it operates and the manner in which it relates to both the internal and external environment. Sometimes it is called an HRM System analysis or an HRM audit.<sup>2</sup>

### Why is it significant?

An FA enables senior management to better understand the HRM structure and processes. This understanding is a necessary precondition to identify potential challenges and to formulate recommendations that address them. It is a comprehensive data-collection and data-analysis exercise aimed at securing detailed information about the HRM procedures and processes.

### How does it work?

An FA provides a wealth of data that can be used for the development of strategic HRM documents (i.e. HRM strategies or policies), changing and updating of regulations, new recruitment processes, training and development, etc. Depending on the scope of the exercise (institution, sector or entire public-sector system), it is coordinated by the HRM department in the relevant institution or the central HRM body at the level of an entire public-sector system.

Before the FA process starts, it is advisable for institutions to undertake proper desk research in order to make sure that all relevant documents at national, regional and international levels are identified and consulted prior to starting the analysis. At the same time, institutions can use the process to update their knowledge of the trends, issues and challenges in the given subject.

Below are the key steps in the FA process:

1. **Determine the objectives** – why is it necessary to carry out an FA process? what do we wish to achieve?
2. **Allocate the responsibilities** – it is a comprehensive exercise and it is crucial to know who will be involved and what the task allocation will look like. In short, it is necessary to know who will coordinate the exercise; who will carry out awareness raising workshops; who will work on data collection/analysis; who will present the findings to senior management; etc.
3. **Develop data-collection tools** – usually a data-collection phase consists of desk research (i.e. all information that exists in the form of written documents including regulations, strategies, policies, reports, etc.) and structured interviews. In some instances, other data-collection methods such as surveys or focus groups can also be employed but our focus here will be on structured interviews as they are the most common in practice. Conducting interviews using open-ended questions has proven to be the best way for participants to be able to share their experiences and views of the strengths and weaknesses of the system in question. However, in order to make the interview as efficient as possible, it is important to develop a questionnaire that can be modified quickly according to the respondent's function in the institution (and the time available).
4. **Secure internal senior leadership buy-in** – without the support of the senior leadership the

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2 Definitions used in this publication are taken from the *Glossary of Human Resource Management in the Public Sector* (CIDS-NATO publication, 2021) available at: <https://cids.no/wp-content/uploads/pdf/cids-reports/0262-21-BI-GlossaryALL-6.pdf>

whole exercise is unlikely to yield the expected results. In most instances, the duty falls on the HRM department to present to the leadership the outline of the exercise as well as its potential benefits for the institution. If the leadership agrees to proceed with the functional analysis, the message should be shared with all employees so that everyone knows that the head of institution stands behind those conducting the exercise.

5. **Identify the interviewees** – a functional analysis involves two main views of the HRM procedures and practices: internal and external. Internal implies the views and opinions of those who actually work on the HRM-related work posts; external views come from those who work in areas other than HRM but who have experience in managing people and who interact with the HRM department staff on a regular basis. In line with the above, the interviewees should come from all organisational units in the institution and they should reflect a diverse set of categories i.e. managers and non-managers, gender, seniority, age, staff who joined recently as well as staff who have been with the institution for a long time, etc. The departmental heads nominate interviewees based on their competency profiles and job duties (i.e. those with most frequent contact with HRM matters should be an obvious first pick).
6. **Train the analysts** – the number of analysts to be trained is determined based on the number of people to be interviewed and the deadline set for the completion of the data-collection. Whenever possible, analysts should come from within the institution, preferably from the HRM unit. In the course of the training, analysts should be given information about HRM functions and trends as well as information and advice on how to conduct structured interviews, dos and don'ts, etc. Training should be conducted by an experienced HRM professional either from the institution itself or from the central HRM body at the level of the national public administration (e.g. Civil Service Agency).
7. **Carry out the data collection** – a schedule of interviews needs to be developed and a decision needs to be made about the venue. It is always good if an institution can allocate a room in which the interviews will take place. This is because of the potential interruptions that might occur if interviews are conducted in respondents' workplaces but also due to the fact that the presence of other work colleagues in the room may inhibit a respondent's openness. Depending on the respondent, an FA interview can last anywhere between 60 to 120 minutes.
8. **Analyse data and draft the report (including recommendations)** – data analysts are in charge of processing the findings and drafting the report. If necessary, they can get support from other qualified people in the institution.

Once the report is ready, it should be presented to the leadership of the institution and, subsequently, shared with all employees. As said earlier, the report is expected to inform management decision-making in relation to strategic HRM issues and challenges. Given below is the diagram of the FA process:

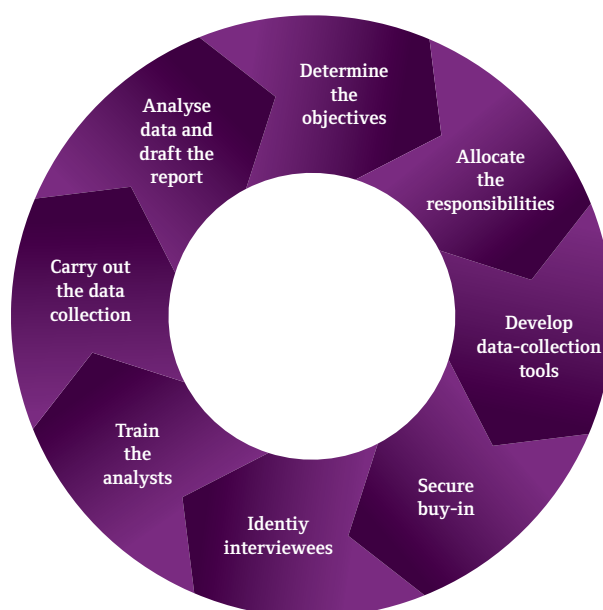


Figure 1 Functional-analysis process

## HRM Functional Analysis: Roles and responsibilities

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<b>Head of Institution</b>	<ul style="list-style-type: none"><li>• Contributes to determining the objectives;</li><li>• Assists in securing ownership and buy-in throughout the institution;</li><li>• Makes decisions based on FA findings and recommendations</li></ul>
<b>HRM Department</b>	<ul style="list-style-type: none"><li>• Allocates the responsibilities;</li><li>• Develops data-collection tools;</li><li>• Identifies the interviewees;</li><li>• Trains the analysts</li></ul>
<b>Senior managers</b> (e.g. deputy head, assistant head, secretary general)	<ul style="list-style-type: none"><li>• Assist HRM Department in allocating the responsibilities and developing FA questionnaire;</li><li>• Assist in securing buy-in</li></ul>
<b>Individual managers</b>	<ul style="list-style-type: none"><li>• Assist in identifying the interviewees</li></ul>
<b>Analysts</b>	<ul style="list-style-type: none"><li>• Carry out the data-collection activities and subsequent analysis;</li><li>• Drafts report</li></ul>
<b>Other employees</b>	<ul style="list-style-type: none"><li>• Take part in the interviews</li></ul>
<b>Outside experts</b> (this is optional and should be considered only if the institution is not able to provide such expertise internally)	<ul style="list-style-type: none"><li>• Provide support in developing the institution's capacities to carry out the HRM FA</li></ul>

### Suggested tools

[Annex 1: Functional-analysis questionnaire](#)

[Annex 2: Perception of HRM among employees \(survey\)](#)

[Annex 3: Employee engagement \(survey\)](#)



# HUMAN RESOURCE PLANNING

## What is it?

The process of matching the number and profile of staff with the future needs of the institution in order to ensure that it is staffed with the right number of people who possess the right set of competencies at the right time.

## Why is it significant?

Human resource planning is the key to ensuring that an institution has the optimal number and profile of people to effectively achieve its strategic and operational goals. Effective human resource planning enables the institution's management to know at any time how many people it needs, what the respective required professional profiles are and when their services will be needed. In addition, a HRM plan provides clarity on how to meet the needs: e.g. additional training of existing staff, internal transfers or recruitment of external candidates for the required profiles.

## How does it work?

Below is a brief description of each phase in the HRM planning process:

**Phase 1: Assessment of the organisational needs** – this is the basis for the whole process. Organisational needs dictate not only the profile and number of staff but also the priorities in their recruitment, transfer or professional development. The entire assessment revolves around two basic questions: 1) What are our tasks and responsibilities – now and in the near future? 2) Do we have enough people with the required set of competencies to carry them out in an optimal manner?

These tasks and responsibilities can be influenced by a number of factors such as sectoral strategies/policies and other similar documents, general objectives linked to national public administration reform, demands arising from the aim to join supranational bodies (EU or NATO), various other contextual factors, etc.

The activities described above are part of the demand side of the HRM planning process.

**Phase 2: Assessment of the existing workforce** – once the institutional HRM needs have been determined, the process shifts to the supply side. The aim is to assess whether the tasks and responsibilities that lie ahead can be met by the people currently employed by the institution.

The primary focus is not on the number of people but on the set of competencies they can offer, meaning the requisite knowledge, skills and personal attributes. This does not mean that the number of employees is irrelevant, it just means that numbers represent only one side of the coin (the other side being people's profiles). It is critical for institutions to have their employment processes based on the right qualifications and corresponding updated job descriptions. Inadequate job descriptions have the potential to seriously undermine the whole HRM planning process, rendering decisions on recruitment, promotions, transfers or training simply unreliable.

In addition, factors like retirements or voluntary separations can also greatly affect the supply side of the HRM planning. In that sense, the HRM department should be able to provide information about the number of people who will retire in the next period as well as a projection about the number of employees that could leave the institution in the future. Such information and projections are critical for successful HRM planning. In this context, exit interviews often provide very reliable data about why people leave.

This information can then also be used to predict who the individuals are that could potentially leave the institution in the near future (a sample Exit Interview form is given in Annex 6).

Some supply gaps can be filled via recruitments while others can be resolved by providing additional training or education to those staff members already in place who show potential and willingness to absorb new knowledge and skills. Of course, in some instances internal reshuffling using some form of transfers can also be a solution to workload demands.

Heads of units and immediate supervisors are normally best placed to decide how existing and future gaps should be addressed.

**Development and implementation of the HRM Plan** – developing a plan means arranging the data and conclusions from phases 1 and 2 into an independent document. As mentioned earlier, managers should collect input data for the human resources plan. However, the compilation and the final processing should be done by the Human Resource Management Department (but this document should not be regarded as their departmental plan).

Managers are expected to play the key role in conducting assessments during phases 1 and 2. Of course, they are not expected to do it in isolation; they should talk to their subordinates and other relevant people in the institution before they determine the demand and supply and, based on that, provide the list of their needs and the proposed way of meeting them. One way for the organisational units to define their inputs is to take part in focus group discussions organised by the HRM Department for each organisational unit separately. Departmental needs should be channelled towards the HRM department in the form of a standardised template. This will ensure both the quality and consistency of the data provided. One such template is presented in Annex 4 as an example.

The inputs received form the basis for the HRM department to develop a draft HRM Plan for the institution (see Annex 5 for a possible HRM Plan structure). The draft plan should contain a specification of all needs, a short description of the nature of those needs as well as the proposed way of meeting them. Costs envisaged must also be clearly specified, as the final plan will need to be scrutinised by the appropriate financial authority before they decide on the proposed budget allocations for each institution.

It is of critical importance that the HRM plan be communicated to other HRM functions. For instance, training needs identified as part of the HRM planning process have to be synchronised with the Training Needs Analysis (TNA) document. Finally, implementation of the plan should be monitored and changes should be made as and when necessary.

Synchronisation of planning efforts with other HRM functions and the process of implementation are the responsibilities of the HRM department.

## HRM Planning: Roles and responsibilities

<b>Head of Institution</b>	<ul style="list-style-type: none"><li>• Contributes to the assessment of the institution's HRM needs;</li><li>• Approves the final version of the HRM Plan</li></ul>
<b>HRM Department</b>	<ul style="list-style-type: none"><li>• Coordinates the exercise (initiation, facilitation of discussions on personnel needs at departmental level);</li><li>• Collects and analyses the inputs from organisational units;</li><li>• Develops draft HRM Plan;</li><li>• Monitors and evaluates implementation</li></ul>
<b>Senior managers</b> (e.g. deputy head, assistant head, secretary general)	<ul style="list-style-type: none"><li>• Lead discussion on personnel needs within their areas of work;</li><li>• Contribute substantially in defining the HRM needs and providing an adequate justification;</li><li>• Play an active role in ensuring efficient implementation of the HRM Plan</li></ul>
<b>Individual managers</b>	<ul style="list-style-type: none"><li>• Lead the discussion on personnel needs within their organisational units;</li><li>• Play an active role in ensuring efficient implementation of the HRM Plan</li></ul>
<b>Other employees</b>	<ul style="list-style-type: none"><li>• Contribute to identifying HRM needs within their native organisational units</li></ul>

### Suggested tools

[Annex 4: Strategic HRM Planning \(Demand and Supply Assessment\)](#)

[Annex 5: Structure of HRM Plan](#)

[Annex 6: Exit interview form](#)

[Annex 7: Assessment of managerial competenciesw](#)

## JOB DESIGN AND JOB ANALYSIS

### What is it?

Job design is the process of defining the content (i.e. tasks and responsibilities) of a new job, while job analysis is about collecting and analysing data related to an existing job. From the HRM perspective, both processes have a job description as one of the main end products. Job design results in the development of an initial job description while job analysis leads to its subsequent updates and refinements.

### Why is it significant?

Job design is central to an employee's commitment to their work. If an employee finds a job to be meaningful and challenging, he/she will be motivated to do his/her best in performing it. On the flipside, if a job is repetitive, narrow and unchallenging, even an incumbent who was initially enthusiastic may gradually lose motivation and disengage. Individual disengagement would then negatively affect the performance of other employees in the same organisational unit and, in the end, it could spread throughout the institution, causing it to struggle in carrying out its mission altogether.

Job analysis is central to the process of amending job descriptions. The failure of an institution to have clear and updated job descriptions can lead to all kinds of organisational issues such as duplication of work or work in silos. It is also bound to create communication problems and to affect the quality of interpersonal relations in an institution, thus causing suboptimal performance both at individual and organisational level.

In addition, the process of producing a job analysis enables decision-makers to gain insight into a myriad of wider institutional issues such as poor legislation, an unfavourable organisational culture or suboptimal management practices.

### How does it work?

Designing a new job is an activity that first and foremost aims to meet an institution's functional needs. Public-sector work posts are funded by taxpayers' money and the introduction of a new job, apart from the need to adhere to the relevant regulations, implies an increase in budget and, therefore, has to be well justified. This is a critical decision and in Annex 8 we identify steps that should guide the process of establishing a brand new work post.

Apart from the so-called engineering part of the job design (determining duties, responsibilities, reporting lines, etc.), those who design new jobs need to take into consideration the behavioural side of the process i.e. the need for a new job to be motivating for a future incumbent. With regard to this, Hackman and Oldham identified five characteristics that a job should feature in order to be motivational for an individual: skill variety, task identity, task significance, professional autonomy and feedback.<sup>3</sup> More information on each of the five features, as well as some tips on how to use them practically, is given in Annex 9.

Once designed, a public-sector job should be subject to periodic reviews of its content. Depending on the context, this process can be done in various ways but, given the nature of public-sector jobs, probably the most fitting approach would be to perform a job analysis. Practical arrangements and steps in carrying out a job analysis are given in Annexes 10 and 11.

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<sup>3</sup> More on the Hackman and Oldham model can be found in their seminal article *Motivation Through the Design of Work: Test of a Theory*, published in 1976 in *Organizational Behaviour and Human Performance*.

Finally, job-analysis interviews often uncover issues related to the workload. Usually, respondents complain that the amount of work they handle simply surpasses the amount of time available to them. As a result, these individuals become stressed due to the constant struggle to complete all the required tasks and, in many situations, such prolonged stress leads to suboptimal performance as well as burnout, which inevitably affects their private life. Therefore, it is useful to complement a job-analysis exercise with a basic workload analysis questionnaire (see Annex 12) to properly document the responses related to these kinds of imbalances.

### Job Design and Job Analysis: Roles and responsibilities

<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Assesses and acts upon the proposals for the creation of new work posts;</li> <li>• Takes part in assessing the findings of the job analysis and takes the initiative to act upon the recommendations</li> </ul>
<b>HRM Department</b>	<ul style="list-style-type: none"> <li>• Coordinates the job-analysis exercise (training analysts, developing a timeline for the exercise, organising the job analysis, interviews + follow-up discussions);</li> <li>• Collects and analyses the inputs from the analysts;</li> <li>• Develops the job-analysis report and presents it to the senior management of the institution;</li> <li>• Plays an active role in implementing the recommendations from the job-analysis report</li> </ul>
<b>Senior managers</b> (e.g. deputy head, assistant head, secretary general)	<ul style="list-style-type: none"> <li>• Assess justification for the creation of new work posts;</li> <li>• Review new/amended job descriptions;</li> <li>• Nominate job analysts;</li> <li>• Review the content of the job-analysis report</li> </ul>
<b>Individual managers</b>	<ul style="list-style-type: none"> <li>• Provide justification for the creation of a new work post;</li> <li>• Develop initial job description;</li> <li>• Give recommendations for the selection of job analysts</li> </ul>
<b>Analysts</b>	<ul style="list-style-type: none"> <li>• Carry out the job-analysis exercise</li> <li>• Provide input for the job-analysis report</li> </ul>
<b>Other employees</b>	<ul style="list-style-type: none"> <li>• Take part in job-analysis interviews (if selected)</li> </ul>

### Suggested tools

[Annex 8: Steps in creating a new job](#)

[Annex 9: Five features of a motivational job](#)

[Annex 10: Job-analysis guide](#)

[Annex 11: Job-analysis questionnaire](#)

[Annex 12: Workload-analysis questionnaire](#)

## JOB DESCRIPTIONS

### What is it?

The main purpose of a job description is to clearly and unambiguously state the duties and responsibilities linked to a particular job. In addition, it contains a specification of a professional profile that an incumbent needs to match in order to be able to carry out the required tasks and responsibilities. A well-written job description is linked to the job not the person and it lists only regular duties and responsibilities (while those that appear on an *ad hoc* basis should be accounted for through the well-known formulation – *performs other duties as assigned by the immediate supervisor*).

### Why is it significant?

Well-defined job descriptions help managers to objectively determine the number of incumbents needed for each work post. This is because clear and consistently written job descriptions, when compared and analysed, would reveal problems relating to potential work duplication and workload imbalances. Once these problems are resolved, an institution has a much better chance of making informed decisions about the profile and number of people it really needs. In addition to HRM planning, job descriptions represent the key ingredient in decision-making linked to other HRM functions including recruitment and selection, job evaluation, monitoring and assessment of individual performance and training and development.

### How does it work?

For a job description to be well written, the following three preconditions have to be fulfilled:

- a) existence of an adequate job-description format;
- b) use of standardised job-design and job-analysis practices;
- c) engagement of trained HRM professionals and managers.

The format of a job description directly influences its contents, adds to its clarity and, most importantly, guides the thinking of those who work on its development or amendment. For instance, having a job-description format that includes a section on the purpose of the job gives potential applicants an idea of their role and place in the wider institutional context. Furthermore, the need to formulate a statement of the job purpose (i.e. the reason why a job exists at all) compels managers not only to know its contents well but also to develop a 'helicopter view' of the job's place and significance in the institution.

However, as important as it is, the existence of an adequate job-description format is not a guarantee of the relevance and adequacy of its content. In that sense, it is crucial for the content to be the product of a well-defined approach to the collection of data that is relevant for the post. This is where HRM professionals need to step in and take responsibility for shaping up the practice of job design and analysis (at institutional or wider public-sector level). In fact, in many instances, the format of the job description mirrors the approach to job design and is fully harmonised with the job-analysis questionnaire. In this way, the process of developing job descriptions is guided by the common logic while their subsequent amendment (via job analysis) becomes a matter of a relatively straightforward transfer of data from the questionnaire into the job-description form. Annex 13 features a job-description format that is fully harmonised with the job-analysis questionnaire presented in Annex 11.

Introducing an effective approach to developing and amending job descriptions requires well-designed and consistent capacity-building efforts. HRM professionals should play the key role here. They should be the source of expertise for other managers in the institution when it comes to all procedural and practical matters. Ideally, HRM departments should run periodic training sessions for managers and those assigned to be job analysts on how to design new jobs or analyse existing jobs (this role can also be played by the central HRM bodies at national level). In fact, the central HRM bodies are expected to offer comprehensive and certified training (on a train-the-trainers basis) for HRM professionals before the said professionals assume the same role in their national institutions.

### **Job Descriptions: Roles and responsibilities**

<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Reviews and approves the format of the job description (if applicable);</li> <li>• Approves the content of new or amended job descriptions</li> </ul>
<b>HRM Department</b>	<ul style="list-style-type: none"> <li>• Develops job-description format (if applicable);</li> <li>• Coordinates the process of drafting new or amending existing job descriptions in an institution</li> </ul>
<b>Senior managers</b> (e.g. deputy head, assistant head, secretary general)	<ul style="list-style-type: none"> <li>• Review and suggest changes to new or amended job descriptions</li> </ul>
<b>Individual managers</b>	<ul style="list-style-type: none"> <li>• Develop first drafts of job descriptions (for existing jobs the process involves job analysts as well)</li> </ul>
<b>Analysts</b>	<ul style="list-style-type: none"> <li>• Develop first drafts of job descriptions (in collaboration with the individual managers)</li> </ul>

### **Suggested tools**

[Annex 13: Job-description form](#)

## RECRUITMENT AND SELECTION

### What is it?

Recruitment refers to a set of activities aimed at building a pool of qualified job applicants while selection aims at evaluating those applicants with the objective of choosing the one whose competencies best match the job requirements.

### Why is it significant?

The quality of public services depends heavily on the quality of the people employed in public institutions. Therefore, recruitment and selection procedures and practices hold a central place in the overall system of HRM. Also, in practice we have seen how HRM systems can be abused by individuals and groups who, for one reason or another, use recruitment and selection as a means to advance political and other interests. Needless to say, such interests often contradict those of the citizens.

Hence, public governance structures that aspire to call themselves democratic have a duty to safeguard the effectiveness and integrity of public-sector employment. The mistakes made in this area tend to be very costly and usually have a lasting effect, and it is the taxpayers that foot the bill.

When it comes to recruitment, its significance lies in the fact that it provides a foundation for a successful selection process. In other words, if an institution fails to attract the profile of people it really needs, those in the selection panel will be left with only one objective: to choose the best candidate among the average ones. Sometimes the whole process needs to be repeated due to the lack of qualified applicants, and sometimes, those that nominally meet the requirements end up achieving poor results in the testing phase. The outcome is the same: the whole process must be repeated, causing delays in staffing and creating a host of unnecessary expenses.

As for the selection process, public-sector institutions appoint committees or panels to assess the candidates and to draw up a ranking of those who have achieved the best results. This is done by subjecting applicants to a series of tests that typically consist of written and oral examinations. The aim of these tests is to enable the selection panel members to make an informed decision when scoring the candidates on the basis of the knowledge, skills and personal characteristics that they display. Selection panels carry a huge responsibility to choose the best candidate as the failure to do so leads to a variety of performance-related problems that subsequently affect the team spirit and work atmosphere, thus destabilising the whole institution.

### How does it work?

Recruitment and selection in the public sector are expected to be based on several principles:

1. **Equal opportunity and non-discrimination** – every person that meets the basic criteria (i.e. citizenship, age, clean criminal record, etc.) must be granted an opportunity to apply and compete for public-sector jobs on a fair and just basis. A candidate's race, religion, gender identity, sexual orientation, economic status and other factors that have nothing to do with a person's ability to perform the job, should play no role in the recruitment and selection process.
2. **Transparency** – every phase of the recruitment and selection process should be open for public scrutiny. Taxpayers have a right to know why the recruitment is necessary, why the vacancy notice is placed in one media channel and not in the other, who is conducting the pre-screening of applications and how, how panel members are being appointed and by whom, how testing is being conducted, if all applicants are treated in the same way by the selection panel, etc.



3. **Merit** – the previous two principles not only contribute to safeguarding citizens' basic rights, they also help to ensure that public-sector employment is merit-based. In practical terms, merit-based employment happens when panel members select the candidate whose cumulative score after having gone through the testing procedure is the highest. It is important to add that being the highest-ranking candidate does not automatically mean that the person is indeed the best for the job. In fact, having the highest score might mean very little, if the selection criteria happen to be focused on the wrong thing (e.g. candidate's ability to demonstrate theoretical knowledge instead of skills and abilities), or if certain groups of people were excluded from the process due to unfair hiring practices (such as not inviting a diverse pool of candidates or excluding certain groups of people based on their gender, race, religion, etc., as described under 'Equal opportunity and non-discrimination' above)

However, practical implementation of the listed principles is not always straightforward. Given below is an outline of how these principles can be implemented in practice.

### 1. **Announcement of vacancies**

The role of the vacancy notice is to attract the attention of potential applicants. To do that, a vacancy notice needs to be:

- a) clear and informative;
- b) placed in the media that provide the best exposure (including to a diverse group of potential applicants);
- c) kept active for an optimal number of days.

The content of the vacancy notice has to be informative without compromising on clarity. Potential applicants should be able to find out the key information about the institution as a whole and the general benefits it offers (e.g. dynamic work environment, career opportunities). After that, the notice should spell out the purpose of the job and its main duties and responsibilities. The notice should also spell out the required profile of a future incumbent (e.g. education, years of experience and required competencies – both technical and behavioural). In addition, the vacancy notice should offer the remuneration information together with the details about how to apply (i.e. required documentation, how to submit documents, deadline date, etc.). In this way, potential applicants should have sufficient information to make an informed decision on whether to apply or not.

Apart from the need for the vacancy notice to be clear and informative, it is critical for it to reach the largest number of potential applicants. Traditional choices for the placement of vacancy notices, such as newspapers or an official gazette, are losing the battle to modern social networks such as Facebook, Twitter, Instagram or LinkedIn. These networks have become part of our daily lives, offering an unprecedented range of publicly available information, including, of course, about vacancies. Besides being very popular, especially among the younger generations, these networks offer virtually unlimited space and they usually do it for free or at a fraction of the cost charged by print media. Naturally, if an institution decides to run an internal competition, this will influence the choice of media. In such cases, depending on the legal provisions in place, the recruiters might choose internal communication channels such as the intranet, internal emailing systems or even traditional announcement boards.

Keeping the principle of equal opportunities and non-discrimination in mind, it is important to know which channels succeed in reaching a diverse set of potential candidates, and of course, to choose the respective channels accordingly. Too often, certain groups are automatically excluded or disadvantaged by disseminating vacancies through the wrong channels.

Regarding the length of the period for the vacancy notice to be active, legislators should aim to strike a balance between the need for the institution to attract a solid pool of good applicants (which could be difficult to achieve if the vacancy runs for only a short period of time) and its need to fill the post as quickly as possible in order to resume optimal work (which could be compromised if the application period is too long). As a general rule of thumb, anything less than seven days would be harmful to the principle of equal opportunities (should be applied in case of internal competitions only) while anything above two weeks could be detrimental to the interests of the public to have institutions that provide end users with timely, good quality services.

## 2. Forwarding applications and their pre-screening

Applications should be submitted using a standard application form and only the necessary documents that prove a candidate's general eligibility to work in public service as well as basic job-specific requirements (e.g. level and type of education, professional experience). Other supporting documents should be asked only from those who advance to the later stages of the competition process. Institutions should encourage submission of online applications as this option is not only more convenient for the majority of potential candidates but also much more eco-friendly.

Once applications are being received, the process known as pre-screening kicks in. This is basically a review of individual applications to ascertain whether: a) they have been received ahead of the deadline, b) they contain all the required documents and information; c) the candidates' profiles meet the requirements.

With regard to deadlines, applications sent by regular post may arrive late due to reasons that are outside of the candidate's control. In such cases, the application should be treated as valid as long as the date of sending is within the deadline. As for the profile of candidates, HRM staff only confirm whether the general criteria are met (i.e. citizenship, level of education, required years of experience, etc.). Scrutiny of the competencies and qualifications is left to the panel members during the testing phase. It is important to mention that HRM staff should submit all applications to the selection panel in two folders – one containing those that meet the criteria of the work post and another with those that don't. This is to give the selection panel a chance to review which applications didn't go through and why.

## 3. Testing procedures

Tests are administered to filter out the most suitable candidates from those that apply. Public institutions have an obligation to demonstrate that they employ a procedure that safeguards the principles of equal opportunity, non-discrimination and merit. In most instances, institutions set up a combination of written and oral tests. However, for this approach to work it is necessary to structure both written and oral tests (i.e. interview) in a way that will indeed enable panel members to assess which candidate represents the best fit for the job.

Another aspect that needs to be addressed is the risk of potential manipulation by panel members in this part of the process. To reduce the risk that may arise both from poorly structured testing procedures and potentially biased panel members, the following factors should be considered:

- *Who drafts the questions? When and how is the final selection of the test questions conducted?* To avoid questions being leaked, relevant institutions should work with experts and professionals in the field to build a large pool of questions in each vocational area (e.g. finance, procurement, legal affairs, HRM, public relations, international cooperation, etc.). If possible, and to minimise risks of manipulation and fraud, it is advisable for the final set of questions to be selected from the large pool by a computer right before the test.
- *Which testing methods are being used?* In practice, multiple-choice tests seem to be very popular as they are relatively easy to develop and very straightforward to mark. On the other hand, they are not particularly helpful in revealing a candidate's ability to meet the demands of a future job; these tests mainly indicate candidate's theoretical knowledge about a certain subject. Essay questions are, in that sense, a much better option for most public-sector jobs. If asked in a proper way, essay questions not only illustrate a candidate's knowledge about a particular topic but also give panel members an opportunity to assess a candidate's general ability to think and analyse information and also the ability to express their thoughts in a clear and organised manner. They are also excellent for testing foreign-language skills, especially when used in combination with the interview. However, some jobs are of such a nature that the best insights into a candidate's future ability are generated by administering so-called technical tests (e.g. IT and accounting jobs).
- *Are the criteria for assessing tests determined among panel members in advance?* Consistent criteria are the key to ensuring equal treatment for all candidates. Establishing criteria in advance and using them in an impartial manner is central to ensuring merit-based recruitment.

Other aspects that need consideration are related to the appeal process. Apart from the basic need to ensure that selection decisions are legally challengeable, it is crucial for the candidates to be granted access to every aspect of the testing procedure. In practice, this means that candidates who take legal action are allowed access to all written tests as well as audio-video recordings of the interview. Without such access, candidates can only appeal possible formal breaches in the selection procedure, which means that potential manipulation in the marking of written exams, or different treatment of candidates in the interview, cannot be challenged.

### Recruitment and selection: Roles and responsibilities

	Recruitment	Selection
<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Approves the start of the process</li> </ul>	<ul style="list-style-type: none"> <li>• Appoints the selection panel (or members of the panel from the recruiting institution, if the procedure is handled by the central HRM body);</li> <li>• Formally appoints the best-ranked candidate</li> </ul>
<b>HRM Department</b>	<ul style="list-style-type: none"> <li>• Coordinates the whole process (i.e. determines the structure of the vacancy notice, arranges the placement of the notice in the media, responds to questions from potential applicants, collects the applications)</li> </ul>	<ul style="list-style-type: none"> <li>• Conducts pre-screening of applications;</li> <li>• Provides technical support to the selection panel;</li> <li>• Informs candidates about the results of the selection procedure;</li> <li>• Prepares formal documents for the employment of the selected candidate</li> </ul>

Managers and other employees may also be engaged in the process either as members of the selection panel or by helping the panel prepare test questions.

### Suggested tools

[Annex 14: Competency-based selection: Tips and recommendations](#)

[Annex 15: Candidate assessment at the interview](#)

[Annex 16: Example of an essay test](#)

## EMPLOYEE INDUCTION

### What is it?

A set of activities undertaken to familiarise a new employee with the institution.

Employee induction (also called 'employee orientation') is very important for helping people settle in to the new environment. A structured, well-prepared induction projects an image of the institution as a committed, people-focused employer. Consequently, it makes a positive impact on the new employee, who feels satisfied at becoming part of the new organisation and is motivated to start making contributions to the workplace.

Having an employee-induction procedure should be part of the standard HRM practice at the level of the institution or at the level of an entire public-sector structure. Practical execution of the induction programme rests with the HRM unit and the manager who supervises the specific work post.

### Why is it significant?

**A carefully structured** induction programme helps an employee to adapt to the new work environment and start providing the expected contributions. On the other hand, poor or even non-existent induction programmes will leave a new employee with a lot of unanswered questions that could easily lead to confusion or even frustration. As a result, an employee may feel unwanted and may even decide to quit. This is why it is of major importance for the institution to administer an effective induction programme as first impressions play an important role in staff motivation and retention.

However, the process of adaptation goes well beyond the completion of the induction procedure as every organisation has its own culture that a new employee needs to adjust to before starting to feel truly comfortable with their new work environment.

### How does it work?

Induction programmes are usually organised in a modular format over a certain period. Public institutions may find it fitting to do the main part of the programme in the course of one week. For instance, it can be structured as series of five morning sessions (Monday to Friday) lasting 2-3 hours each. After that, the new employee is expected to have the basic knowledge about the workplace and institution. However, it often takes months (sometimes even years) for the person to be fully integrated into the organisational culture as it is a process that demands internalisation of organisational values, habits and customs before a person can say that he/she feels 'at home' in the new environment.

As for the actual content of the induction process, it should cover the length, timing and structure of the programme.

Regarding the length, it could be a week-long programme organised on an *ad hoc* basis. In some cases, the newcomer's previous experience will affect the length of the programme. Structure-wise, the programme should indicate the topic of each session, its duration (optional) and the responsible party. An example of an induction programme (in the form of a checklist) is given in Annex 18.

Induction programmes should be reviewed periodically and improved if necessary. One way to do this is to collect responses from newcomers using the evaluation questionnaire (Annex 19).

## Employee induction: Roles and responsibilities

<b>Head of Institution</b>	<ul style="list-style-type: none"><li>• Sends a welcome message to the new employee;</li><li>• Meets the employee in the course of an induction</li></ul>
<b>HRM Department</b>	<ul style="list-style-type: none"><li>• Coordinates and leads basically all aspects of the induction process</li></ul>
<b>Immediate supervisor</b>	<ul style="list-style-type: none"><li>• Explains matters relating to work processes and organisation;</li><li>• Gives an overview of how things are done;</li><li>• Takes the newcomer to meet people in other departments</li></ul>
<b>Other staff members</b>	<ul style="list-style-type: none"><li>• Meet the employee in the course of an induction and provide help to the newcomer (if requested)</li></ul>

### Suggested tools

[Annex 17: Induction process checklist](#)

[Annex 18: Induction evaluation questionnaire](#)

## PERFORMANCE MANAGEMENT

### What is it?

The essence of performance management is to get the best out of the people available. At the same time, it strives to help people's professional development so that they can achieve their full potential. As such, this HRM function benefits both the organisation and the individual.

Key elements of the performance management function are: 1) Setting expectations; 2) Monitoring performance; 3) Providing support; and 4) Appraising performance. In practice, the whole concept of performance management is often reduced to just to one single element – performance appraisal – and this is one of the main reasons why the whole exercise sometimes fails to meet expectations.

### Why is it significant?

Performance management is the key to people's motivation and optimal utilisation in the institution, which, in turn, is key to their engagement. If people's engagement levels are low, the institution is unlikely to perform well.

Also, an efficient performance-management system ensures quick identification of competency gaps, which enables managers to introduce plans to fill them. This might well be one of the greatest contributions that performance management makes to an institution.

Discussions on performance management (especially in the transitional countries<sup>4</sup>) often reveal a dilemma, as many staff members expect that the concept should have an impact on one's pay, promotion or dismissal. While it is obvious that such an impact adds to the perceived significance of performance management, the concept itself is much more than just a basis for reward or punishment. Its main value is in meeting basic human needs for attention and care. It contributes to people feeling valued and respected if they know that their work is the subject of continuous monitoring and periodic feedback on how well they are doing and how they can improve. In fact, it is often said that all one needs to do to kill a person's motivation is to ignore their work for a certain period of time.

Finally, performance management is important also as a kind of change agent. Performance management can affect the way people work, which subsequently affects the atmosphere in which they work. Setting work objectives, and monitoring, supporting and assessing employees' work performance shapes processes in the institution. For instance, it influences the nature of communication by making it more multidirectional (instead of strictly top-down). It also forges individual creativity and independence in the workplace. Furthermore, it makes efforts such as continuous professional development the norm of organisational behaviour. As a result, for an institution, a stimulating work environment is its strongest competitive advantage when it comes to attracting and retaining talented individuals.

### How does it work?

Performance management is not just a narrow HRM concept. It gets to the very core of the institution and its mission and organisational culture. Managers can use performance management to communicate their expectations regarding staff's work attitude and work results. Assessing whether the expectations have been met cannot be based on the manager's perception or whim; it has to be done in a systematic way that ensures a certain level of objectivity. Institutions do this through a formal procedure known as performance appraisal.

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<sup>4</sup> This term generally refers to countries that are in the process of embracing changes that cover the social, cultural, political and economic dimensions of life. In this publication, the term is used to denote mainly the ex-communist European countries.

Performance appraisal allows an individual to know what he/she has been performing well at and whether there is room for improvement. If done conscientiously, evaluation is a strong incentive for an individual to focus on improving their work, and thereby better contribute to the institution's established goals.

From the technical point of view, performance-appraisal practice should feature the following characteristics as a minimum:

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- **Adequate frequency** – in our experience, it is optimal for the performance appraisal to be conducted once a year, with an option of launching an extraordinary appraisal in case of severe performance issues. If too much time passes between two appraisal cycles, the whole exercise might be rendered ineffective (i.e. people would start losing motivation). On the other hand, doing it too often can be a burden for both staff and managers. Hence, performance-appraisal cycles should be well timed and applied consistently for all staff, with built-in flexibility for exceptional cases. As an example, individuals who receive negative marks should be subject of an extraordinary three-month appraisal. If they fail to improve, their employment may be terminated on the basis of receiving two consecutive negative marks.
- **Balanced criteria** – appraisal should be a combination of: a) the extent to which performance goals are being met (to learn more about how to set performance objectives, please refer to Annex 20); b) the supervisor's perception of the subordinate's work using standard criteria (attitude, teamwork, independence, creativity, initiative, etc.). Setting performance goals can be a tricky task and institutions should make sure their managers are trained to do it properly. Apart from being able to set up needs-based, realistic and attainable performance goals, managers should also be aware of the risks associated with having too many or too few of these goals. Again, the practice shows that having 3-5 goals per work post (depending on the scope and complexity of tasks and responsibilities) is an optimal approach in most instances.

As for the calculation of the final mark, the weight allocated between the two main parameters (i.e. fulfilment of performance goals and assessment of standard criteria) should follow the logic of maximising the relevance and objectivity of the exercise while protecting appraisees from potential arbitrariness. In that sense, fulfilment of performance goals is undoubtedly the most objective way of assessment but also the most demanding as it requires managers to be skilful in setting these goals. Therefore, in environments where managers are yet to reach the required level of ability to set performance goals, this parameter should be weighted at between 50 and 60%. Otherwise, it is possible to have a system that is entirely based on the fulfilment of performance goals.

- **Limited subjectivity/arbitrariness** – marks given by the immediate manager (supervisor) should be subject to review by their direct superior (i.e. manager of the supervisor).

In addition, appraisers should provide justification for giving the highest and lowest marks. In that way, managers would be compelled to ensure continuous monitoring of the subordinate's work and will think twice before making a decision about marks, knowing that their justifications will be scrutinised by the person above them.

Also, the tendency to give a mark in the middle (i.e. central tendency) should be kept in check and, if managers indeed use this option too often, an odd-number scale (e.g. 1 to 5) should be replaced with an even-number one (e.g. 1 to 4).

- **Link with other HRM functions** – performance-appraisal results should be used for decision-making purposes in other segments of the HRM system and such links have to be supported through legal provisions. For instance, performance results should play a critical role in decisions on promotion and transfer of employees as well as for the potential allocation of bonuses or rewards. Similarly, information on training and development needs should come from the process of monitoring and appraisal of performance.
- **Mechanisms for complaints and/or appeals** – considering that performance appraisal results form the basis for promotion, bonuses/rewards, professional development and termination decisions, it is necessary to grant public-sector employees a legal right to challenge their appraisals. The process should not be confined only to the procedural aspect of the performance appraisal but also the actual grading of employee's work in order to prevent various forms of misuse.

Examples of possible ways to monitor and appraise work in the public sector are given in Annexes 18 and 19, respectively. Finally, managers in the public sector must remember not to use performance appraisal to reward those who fulfil the duties and responsibilities set in the job description. Such individuals have been employed with an expectation to do good work and they receive their salaries for that. Rewards can be considered only in cases when a person's performance is extraordinary i.e. making a contribution that exceeds the expectations set in the job description.

### Performance management: Roles and responsibilities

<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Carries out appraisal of immediate subordinates (interview + assessment);</li> <li>• Responds to complaints or formal appeals linked to the procedure;</li> <li>• Gives formal approval for allocation of rewards or administration of sanctions</li> </ul>
<b>HRM Department</b>	<ul style="list-style-type: none"> <li>• Coordinates the process in all its phases (i.e. informs staff about the commencement/end of the procedure, responds to questions related to the technical side of the exercise, prepares aggregated data following the completion, makes proposals for rewards/sanctions)</li> </ul>
<b>Managers</b>	<ul style="list-style-type: none"> <li>• Carry out appraisal of immediate subordinates (interview + assessment)</li> </ul>

### Suggested tools

[Annex 19: Performance-appraisal form](#)

[Annex 20: Performance-monitoring form](#)

[Annex 21: Setting up typical performance-appraisal goals](#)



# PROFESSIONAL DEVELOPMENT

## What is it?

Professional development refers to a process of acquiring new knowledge and skills relevant to a person's career. In the public sector, people often refer to 'professional development' as 'training', which is fine as long as people understand that 'training' is just a form of 'professional development' (Annex 21 lists common professional-development methods). In addition, 'training' refers to input (i.e. the process by which we receive information) while 'development' refers to output (i.e. information transformed into knowledge or skills). In fact, one of the main problems linked to professional development in the public sector is that it is often too much input-oriented (i.e. focus on the number of training days provided) instead of being output-oriented (i.e. focus on new knowledge and skills acquired).

## Why is it significant?

According to the OECD, public-sector institutions face a challenge to provide more public services with less public spending.<sup>5</sup> Efforts to respond to these pressures have led, among other things, to the development of new and more efficient work processes and services. Central to the success of these processes are continuous, systematic and demand-driven learning and development activities. In addition, younger generations of public servants expect to have dynamic jobs that offer opportunities for learning and the acquisition of new experience. Not being able to provide these opportunities might be an incentive for public servants to choose a different employer (especially those whose skills are attractive in the labour market). Professional development is not only a precondition for successful administrative reforms, it is also an important factor in the competition to attract and retain talented professionals.

## How does it work?

Public servants are acquiring new knowledge and skills practically on a daily basis. Solving a new problem, responding to an unexpected request or resolving a tricky situation in a meeting, all of these are common experiences in the work environment of a public servant and are instances of new learning. However, these are examples of informal learning. Once we shift to formal ways of professional development, certain approaches need to be applied.

First and foremost, undertaking some form of professional development is not an end in itself. It should be taken up in response to institutional and individual needs (as long as they have relevance for the institution). Therefore, the process starts with a thorough and objective needs analysis. If this is being done superficially or not being done at all, chances are that the professional-development efforts would be much more of a cost than an investment. Some suggestions regarding the manner in which the needs analysis can be carried out are given in Annexes 21 and 22.

Second, once the needs have been identified, managers and staff should discuss how those needs can be addressed (i.e. what form of delivery/development programme would be most suitable). For instance, if it is formal training that is needed, it has to be clear what kind of outcome is expected (e.g. improving public-speaking skills), what content is the most fitting for the specific purpose (e.g. limited theoretical lessons; emphasis on practical exercises and simulations tailor-made for the public sector) and what delivery style is preferred (e.g. interactive workshop).

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5 *Improving Public Sector Efficiency: Challenges and Opportunities*, Curristine T., Lonti Z. and Joumard I., *OECD Journal on Budgeting*, Vol. 7 No.1, 2007, p. 4

Third, in the context of public-sector institutions, certain principles and standards need to be adhered to as part of the implementation of development activities. For instance, if an institution intends to enhance the capacities of its staff to develop technical assistance projects, it will have to follow the principles of public procurement in order to acquire the specified services. It is crucial for this process to be transparent and to guarantee equal opportunities to all bidders. Furthermore, the quality of the potential provider of the required services should meet certain quality standards (i.e. accreditation, references).

Fourth, all development activities and their impact should be evaluated properly (see Annex 23). Competency-wise, have the instructors been up to the level expected? What about their style? Has the length of the course been appropriate with regards to the content that it aimed to transmit? Also, it is very important for managers to evaluate the impact that the newly acquired knowledge or skills produce at the workplace (see Annex 24). The best indicator of success would be an improvement in the quality of the work in the period following the professional-development effort.

Finally, for the whole system of professional development to function, it has to be the subject of a comprehensive and well-organised effort. Plans for professional-development activities, or 'training plans' as institutions often prefer to call them, should be simple documents that in a clear and accurate way list what needs to be done, why, how and by whom. A sample structure of a training plan is given in Annex 25.

### Professional development: Roles and responsibilities

<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Provides input for the needs analysis by highlighting the goals of the institution;</li> <li>• When requested, provides input for the institution's professional-development policy</li> </ul>
<b>HRM Department<sup>6</sup></b>	<ul style="list-style-type: none"> <li>• Coordinates the process in all its phases (i.e. carries out needs analysis, develops the institution's training plan, develops technical specifications for tendering procedures (if required), outsources and negotiates with potential training providers), provides support in the evaluation of training;</li> <li>• Periodically, develops a training and development policy for the institution</li> </ul>
<b>Managers</b>	<ul style="list-style-type: none"> <li>• Provide input for:               <ul style="list-style-type: none"> <li>• the needs analysis</li> <li>• development of the training plan</li> <li>• development of technical specifications for tenders;</li> </ul> </li> <li>• Carry out training impact evaluation</li> </ul>
<b>Other staff members</b>	<ul style="list-style-type: none"> <li>• Provide input for the needs analysis</li> </ul>

### Suggested tools

[Annex 22: Methods of professional development](#)

[Annex 23: Training-needs analysis form \(level of organisational units\)](#)

[Annex 24: Training-needs analysis form \(level of institution\)](#)

[Annex 25: Training evaluation form](#)

[Annex 26: Training impact analysis form](#)

[Annex 27: Structure of the training plan](#)

<sup>6</sup> In some institutions the function of professional development is located in an organisational unit separate from the rest of the HRM functions. In such cases, the content related to the HRM department is also fully applicable to the separate professional-development unit (often called the training and development unit).

# PROFESSIONAL INTEGRITY

## What is it?

Professional integrity is the quality of upholding appropriate ethical behaviour at work. Individuals with strong professional integrity display uncompromising adherence to moral and ethical principles and values such as honesty and honour.

Public servants have an obligation to uphold very high standards of honesty and ethical behaviour as they are entrusted with the duty and responsibility to protect public interests. Therefore, loyalty to their superior is superseded by loyalty to the state or public interest and their level of honesty is measured by, among other things, the level of their professionalism and the ability to speak truth to power.

## Why is it significant?

Professional integrity is the basis of a professional and meritocratic public service. If the integrity of public servants is compromised, the very mission of the institution is at risk. However, building and maintaining high standards of professional integrity is beneficial from several other perspectives. For instance, an institution that nurtures high levels of professional integrity among its staff will be in a much better position to retain talented individuals. People appreciate working in an environment where honesty and ethical principles are respected; it creates a positive and stimulating work atmosphere that allows professionals to focus their energy on things that are truly important.

## How does it work?

Building integrity (BI) is a process. It requires dedication and consistent efforts from all employees but, due to their decision-making authorities, managers have a more prominent role to play. They are the ones that should introduce and facilitate efforts to change the practice and slowly drive the process towards reaching the level when it can be proclaimed that integrity has become an integral part of the organisational culture.

From the technical perspective, BI efforts should be recognised as a separate sub-function of HRM. Depending on the size of the institution, BI could be housed in a separate organisational unit, such as, for example, 'Ethics and Integrity'. As for the content of the BI unit's work, here are some suggestions:

**Introduce integrity plans and periodic self-assessments** – these exercises bring content and consistency in BI efforts (see Annexes 26 and 27).

**Monitor adherence to the principles of equal opportunity and non-discrimination** – these units should be the natural first stop for all staff members who have experienced or witnessed unequal treatment or discrimination.

## Work on building an organisational culture founded on ethics and integrity

Organise workshops, focus-group discussions and/or round tables on topics like freedom of expression (including of dissenting opinions), a culture of teamwork and solidarity, attitudes towards issues or individuals that compromise the public interest, ways to withstand illicit orders, building a culture of learning from mistakes, etc.

Organise small in-house events to honour staff members' honesty and ethical work.

**Work with leaders and managers** to make them aware that their own values, actions and practices are more telling of their dedication to building integrity than even the highest number of motivational talks.

**Professional integrity: Roles and responsibilities**

<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Provides leadership in building/maintaining an organisational culture based on professional integrity</li> </ul>
<b>HRM Department</b>	<ul style="list-style-type: none"> <li>• Coordinates activities related to the BI objectives (i.e. development of integrity plans, organisation of self-assessments, organisation of BI events);</li> <li>• Receives and acts upon complaints about integrity-related issues</li> </ul>
<b>Managers</b>	<ul style="list-style-type: none"> <li>• Provide input in the development of integrity plans;</li> <li>• Carry out activities prescribed by the integrity plans;</li> <li>• Play an active role in the self-assessment process and in the organisation of BI events</li> </ul>
<b>Other staff members</b>	<ul style="list-style-type: none"> <li>• Provide input in the development of integrity plans (via immediate supervisor);</li> <li>• Carry out activities related to self-assessments and the organisation of BI events</li> </ul>

**Suggested tools**

[Annex 28: Assessment of corruption risks at individual work posts](#)

[Annex 29: Assessing the state of the Building Integrity function](#)

# ORGANISATIONAL CULTURE

## What is it?

Organisational culture refers to the way people commonly perceive things and behave in an organisation. It is a collection of values, habits and expectations that influence the behaviour of staff members.

As with 'culture' generally, organisational culture is never static, it changes over time. People that work in institutions change it as they change the way they behave. As such, organisational culture can be subject to deliberate and targeted change (e.g. to better align it with the circumstances) but the process takes time and requires tenacity as well as a range of well thought-out efforts before the change is achieved. Unfortunately, due to the famous negativity bias, human beings tend to adopt negative changes faster than positive ones, so destroying a positive culture happens much faster than transforming a negative one.

## Why is it significant?

When it comes to employing the principles that guide the work of public servants, national and organisational culture play a much bigger role than laws, procedures or people's individual technical abilities. The experiences of post-communist countries show that regulations can be manipulated (without an obvious breach!) while the most valuable competencies can end up being unused. If people are not ready for the change that is envisaged, if they are not convinced that a proposed change is good for them, there is a likelihood that they will do little to implement the change. This is why famous management thinker Peter Drucker, when speaking about the relationship between strategy and culture, pointed out that *culture eats strategy for breakfast*.

## How does it work?

Whether an institution is trying to transform or maintain its culture, here are three practices that can be used to effect the desirable change:

**Management of people** – the way institutions take decisions on recruitment, promotion or learning and development will influence the way people behave. For instance, selecting candidates based on their behavioural competencies allows institutions to employ a person whose profile (which involves personal values) is in line with the efforts to transform or maintain the current organisational culture.

**Behaviour of senior managers** – senior managers can forge a culture of creativity or a culture of control; they can affirm a culture of purpose and consistency or of ad hoc decisions and arbitrariness. It is important to note that managers also have a strong influence on the other two processes mentioned here (i.e. selection of staff and socialisation).

**Socialisation** – the process of adaptation to the new environment, during which newcomers are taught about '*how things are done around here*'. Those that accept the existing values and norms are pronounced as 'good' and 'acceptable'; those that show resistance are referred to as 'unadaptable' or even 'rebels'.

It is important to underline that institutions that display elements of organisational culture that are not compatible with the basic values of democracy and good governance run the risk of betraying public interests. In order to mediate this risk, it is especially important for institutions to strengthen their integrity by ensuring, *inter alia*, protection of public servants' professional independence, elimination of arbitrary decision-making, protection of whistleblowers, existence of effective complaints mechanisms and other similar measures.

Culture in public-sector organisations can be altered through regulations or codes of conduct, which specify what is acceptable behaviour. It can also be influenced by individuals who have been exposed for a certain period of time to specific values, beliefs and practices (e.g. individuals who have studied or worked in foreign countries) that they find beneficial and, therefore, make an effort to spread in the workplace.

Institutions can employ other more specific measures and actions to align their culture with their objectives but whatever they do, they should be prepared to accept that the changes will require shifts in the mentality of people and such changes usually take time and effort.

### Organisational culture: Roles and responsibilities

<b>Head of Institution</b>	<ul style="list-style-type: none"> <li>• Provides direction and leadership in building/maintaining an organisational culture</li> </ul>
<b>HRM Department</b>	<ul style="list-style-type: none"> <li>• Coordinates concrete activities (i.e. organisation of surveys, presentation of data, organisation of workshops and team-building events, etc.)</li> </ul>
<b>Managers</b>	<ul style="list-style-type: none"> <li>• Play an active part in the activities designed to transform/forge the organisational culture;</li> <li>• Channel messages to their subordinates about institutional values, expectations, aspirations, etc.</li> </ul>
<b>Other staff members</b>	<ul style="list-style-type: none"> <li>• Take part in concrete activities;</li> <li>• Make efforts to alter their behaviour; resist the temptation to return to the old ways</li> </ul>

### Suggested tools

[Annex 30: Assessment of the features of organisational culture](#)

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## ANNEX 1

### HUMAN RESOURCE MANAGEMENT (HRM) – FUNCTIONAL ANALYSIS QUESTIONNAIRE<sup>1</sup>

#### PART A: GENERAL HRM

##### SECTION 1: HR UNIT

A.1.1. Does your institution have an HR Unit?	Yes	No
If not, who is in charge of Human Resource Management?		
A.1.2. Does the unit cover HRM work only? (in some cases the HR Unit handles other functions as well e.g. legal, general affairs)	Yes	No
If not, please indicate which other functions are joined with HRM?		
A.1.3. How many staff are employed in the HRM Unit? Please indicate their titles (starting with the most senior one).		
1. 2. 3. ...		
A.1.4. To whom does the HRM Unit report?		
A.1.5. Do you believe that the current reporting arrangement is optimal?	Yes	No
If not, please indicate how would you arrange it?		

<sup>1</sup> This is an amended version of the document that has been developed back in 2004 as part of the EU-supported project *System Review of Public Administration Institutions in Bosnia and Herzegovina*.



<b>A.1.6.</b> Is there a separate office space/room for HRM-related work?	Yes	No
---	-----	----

**SECTION 2: HR PLANNING**

<b>A.2.1.</b> What sort of HR planning do you do?	Yes	No
Long-term 3–5 years		
Medium-term 1–3 years		
Short-term – annual plan		

<b>A.2.2.</b> What areas do you cover in these plans?	Yes	No
Objectives for the planning period		
Targets, outputs and outcomes expected over the period		
Priorities for the period of the plan		
Ongoing staffing requirements		
Ongoing staffing budget requirements		
Proposed changes to staffing structures, work allocation, etc.		
Proposed new posts		
Proposed increased staffing budget		
Training and development proposals and budgets		
Proposals and budgets for particular activities e.g. recruitment and selection		
Schedules/budgets for particular annual procedures e.g. performance appraisal		
Specific issues, problems or needs to be addressed during the period		
Provision for information and communication technology		
Other items:		

<b>A.2.3.</b> Is there a standard planning form or procedure?	Yes	No
---	-----	----

<b>A.2.4.</b> Is there a planning timetable (annual cycle)?	Yes	No
---	-----	----

<b>A.2.5.</b> What does the planning process involve?	Yes	No
Assessment of achievements/outstanding needs and problems from previous planning period		
Assessment of needs for the coming period		
Identification of operational priorities		
Consultation with staff/staff representatives		
Consultation with external and partner organisations		

<b>A.2.6.</b> Who contributes to the plan?	Yes	No
All staff		
Section heads		
Department heads		

Senior managers		
Finance staff		
External bodies		
Other:		

<b>A.2.7.</b> Who is in charge of drafting the plan?

<b>A.2.8.</b> Who approves the draft plan?

<b>A.2.9.</b> Is the plan monitored?	Yes	No
If so, how and by whom?		

<b>A.2.10.</b> What do you do with the results of monitoring?

<b>A.2.11.</b> How do you report on the achievement of objectives included in the plan?

### SECTION 3: PERSONNEL RECORDS

<b>A.3.1.</b> Do you have a personal file for each employee?	Yes	No

<b>A.3.2.</b> What is kept in the file?	Yes	No
Employee's personal data – e.g. name, date of birth, address, civil status, nationality, next of kin		
Identity documents		
Details of education, certificates		
Copies of references		
Employment contract		
Job description (including job specification)		
Salary details		
Sickness record		
Leave record		
Details of any disciplinary measures		

Details of performance appraisals		
Details of training and development needs and activities undertaken		
Other items		

<b>A.3.3. How are personal files kept?</b>	Yes	No
Hard-copy files		
Computer files		
Cloud server		

<b>A.3.4. Who maintains and updates the files?</b>	Yes	No
Heads of department		
HR staff		
Staff members themselves		
Other:		

<b>A.3.5. Where are personal files kept?</b>	Yes	No
In the HR office		
In the department where the employee works		
In the finance department with payroll information		
In a central records office		
Other:		

<b>A.3.6. How is the security of personal files ensured?</b>	Yes	No
They are kept in a safe		
They are in a securely locked filing cabinet/room		
Keyholders are strictly limited		
Computer records are password protected		
Other:		

<b>A.3.7. Who has access to an employee's personal file?</b>	Yes	No
Human resources staff		
The line manager of the employee		
Senior manager(s)		
The employee him/herself		
Other(s):		

<b>A.3.8. How is access to personal files controlled and recorded?</b>	Yes	No
Access to hard-copy files is under HR staff supervision		

Access is limited to specified people		
Computer files can only be accessed by HR staff and relevant information extracted		
Other:		

#### SECTION 4: MANAGEMENT INFORMATION AND SUPPORT

<b>A.4.1. What sort of management information do you provide?</b>	Yes	No
Absence rates		
Reasons for absence		
Statistics on staff turnover		
Statistics on age distribution		
Statistics on gender		
Staffing costs		
Costs of particular activities e.g. recruitment and selection		
Problems with recruitment, e.g. conversion rates from applications to posts filled		
Overtime levels and costs		
Disciplinary actions taken		
Competency shortages		
Training needs		
Training and development activities undertaken		
Grievances/complaints/appeals from staff		
Feedback from exit interviews		
Other:		

<b>A.4.2. How do you collect information?</b>	Yes	No
From forms returned by line managers e.g. weekly attendance		
From individual staff members		
From nominated staff in departments/units/sections		
From the union/staff representatives		
Other:		

<b>A.4.3. To whom do you provide information?</b>	Yes	No
Senior management		
Middle managers		
Central civil service institutions (e.g. Civil Service Agency)		
Union		
Other:		

<b>A.4.4.</b> How frequently do you provide information?	Yes	No
Only when asked		
Weekly		
Monthly		
Quarterly		
Annually		
Never		
Other:		

<b>A.4.5.</b> In what format(s) is the information presented?	Yes	No
Verbal reports		
Written reports		
Electronically		
Other:		

<b>A.4.6.</b> How is this information used to improve practice?

<b>A.4.7.</b> What sort of support do you provide for managers?	Yes	No
General advice on implementing procedures		
Drafting job descriptions		
Help with work allocation		
Advice on disciplinary cases		
Help with setting individual performance objectives		
Help with performance assessment interviews		
Assistance to identify training needs		
Training for specific procedures e.g. interviewing skills		
Other:		

## SECTION 5: ORGANISATIONAL STANDARDS

<b>A.5.1.</b> Is there a code of conduct that applies to all employees?	Yes	No

<b>A.5.2.</b> Who is in charge of developing and enforcing it?

<b>A.5.3. What does it cover?</b>	Yes	No
Standards of behaviour e.g. not bringing the institution into disrepute (i.e. positive representation)		
Dress code		
Punctuality (observing working hours)		
Attendance		
Confidentiality and use of information		
Whole time service – other paid work allowed/forbidden		
Acceptance of gifts		
Conflict of interest		
Matters that constitute disciplinary offences		
Other:		

<b>A.5.4. Are all employees aware of the Code?</b>	Yes	No
If not, could you explain why not?		

<b>A.5.5. How do they know about the Code?</b>	Yes	No
Every employee is given a copy		
Copies are posted on the relevant institutions' websites		
A copy forms part of the contract of employment		
HR staff explain the Code to employees		
Line managers explain the Code to employees		
Other:		

<b>A.5.6. What areas do you think should be covered by the Code but are missing?</b>

<b>A.5.7. How are managers informed of their roles and responsibilities in Human Resource Management procedures and practice?</b>	Yes	No
They are detailed in their job descriptions		
HR staff explain roles and responsibilities to managers		
Written guidance is provided to managers by HR staff		
Managers are trained in HR procedures and practice		
They are not separately informed		
Other:		

A.5.8. What roles do managers have in HR procedures?	Yes	No
Developing staffing plans and budgets		
Undertaking job analysis/Drafting job descriptions		
Taking part in selection processes		
Induction of staff		
Monitoring probationary periods		
Developing individual performance objectives for staff		
Undertaking performance evaluation/appraisal interviews		
Disciplinary actions		
Assessment of staff training needs		
Training, coaching or mentoring staff		
Staff transfers		
Dismissal of staff		
Other:		

**PART B: EMPLOYMENT PRACTICE****SECTION 1: RECRUITMENT AND SELECTION**

38

<b>B.1.1. Who authorises the creation of a new post?</b>	Yes	No
Head of institution (where the post resides)		
Deputy head of institution		
Finance Ministry official		
Head of Department		
Head of Section		
Head of HR Unit		
Central civil service body (i.e. Civil Service Agency)		
Other:		

<b>B.1.2. Who authorises recruitment to replace leavers?</b>	Yes	No
Head of institution (where the post resides)		
Deputy head of institution		
Finance Ministry official		
Head of Department		
Head of Section		
Head of HR Unit		
Central civil service body (i.e. Civil Service Agency)		
Other:		

<b>B.1.3. Are any of the following undertaken/prepared before the recruitment process?</b>	Yes	No	If 'yes', by whom
Functional analysis (of the work area)			
Job analysis (of the particular post)			
Job description			
Job specification			
Selection criteria			
Recruitment and selection timetable			
Other:			

<b>B.1.4. Where are the jobs advertised?</b>	Yes	No
In daily newspaper(s) – hard copy		
In different language newspapers		
On radio/TV		
In specialist publications		
On notice boards		
On websites		



In internal bulletins/newsletters		
Other:		

<b>B.1.5. Who prepares the job advertisements?</b>	Yes	No
Civil Service Agency		
HR Unit		
Senior managers		
Line managers		
A combination – please specify		
Other:		

<b>B.1.6. What do job advertisements contain?</b>	Yes	No
Job title		
Outline of job description – roles and responsibilities		
Outline of job specification – what is being looked for in candidates		
Job location		
Salary and benefits		
Application process information		
Closing date for applications		
An equal opportunities statement		
Other:		

<b>B.1.7. Who sets up the selection panel?</b>	Yes	No
Head of institution		
HR Unit		
Civil Service Agency		
Senior managers		
Line managers		
A combination – please specify		
Other:		

<b>B.1.8. How many people are usually on a selection panel?</b>

<b>B.1.9. Who is on the selection panel?</b>	Yes	No
The head of the unit in which the post is located		
A specialist in the field of the post being recruited		
Independent expert/specialist in the field		

A representative of the HR Unit		
It varies – please specify		

<b>B.1.10.</b> Is the selection panel set up to be representative of -	Yes	No
Gender		
Age		
Political groups		
Particular skills and experience		
Other:		

<b>B.1.11.</b> Are the selection panel members trained for the task?	Yes	No
--	-----	----

<b>B.1.12.</b> How is the panel trained and by whom?	Yes	No	By whom
Procedural information is provided			
Written practice guidance is provided			
Training courses are provided			
Interview skills training is undertaken			
Panel members have a period of supported “induction” or “probation” with an experienced mentor			
Panel members are coached by experienced practitioners			
Other:			

<b>B.1.13.</b> Do you use a standard application form?	Yes	No
--	-----	----

<b>B.1.14.</b> What is asked for on the application form?	Yes	No
Personal data – name, address, age, date of birth, etc.		
Educational qualifications		
Work experience		
An explanation of how the candidate meets the selection criteria		
A description of particular, relevant competencies (i.e. knowledge, skills and personal traits) and experience		
Referees		
An assessment tool – e.g. questions to be answered or a piece of written work to be submitted		
Other:		

<b>B.1.15.</b> How can people obtain the application forms?	Yes	No
In person from a central point		
In person from one of several locations		
Online		

By post		
Other:		

<b>B.1.16. How are requests for application forms and completed applications received, recorded?</b>	Yes	No
Requests for application forms are not recorded		
All requests for application forms are recorded		
All requests for application forms are recorded with details such as name, address, gender of the applicant		
All completed applications submitted are recorded		
All completed applications are given a candidate reference number		
All application forms are kept secure and confidential		
Other:		

<b>B.1.17. What information and material is provided to candidates?</b>	Yes	No
Job description		
Job specification		
General information about the institution		
Annual report and/or similar documents		
Selection process details		
Details of the selection criteria to be used		
Sources of further information e.g. a contact name, a website		
Other:		

<b>B.1.18. What information and material is provided to the selection panel?</b>	Yes	No
Job description		
Job specification		
Selection criteria		
Application forms		
Guidance on conducting a selection process – shortlisting, interviews and other assessment processes		
Copies of agreed interview questions		
Recording/scoring/interview reporting sheets		
Other:		

<b>B.1.19. Who sets the selection criteria?</b>	Yes	No
Relevant legislation		
Line managers for the job concerned		
Selection panel		

A combination – please specify		
HR Unit		
Other:		

<b>B.1.20. How is shortlisting done?</b>	Yes	No
By HR staff		
By line managers for the job concerned		
By the selection panel		
A combination – please specify		
Other:		

<b>B.1.21. How are candidates informed of shortlisting decisions?</b>	Yes	No	By whom
By letter			
By telephone			
By e-mail			
In person			
Other:			

<b>B.1.22. How are people invited to the final selection process?</b>	Yes	No
By letter		
By telephone		
By e-mail		
In person		
Other:		

<b>B.1.23. What selection methods are used?</b>	Yes	No
Classic job interview		
Competency-based interview		
Written tests (e.g. situational judgement tests)		
Assessment centres		
Other:		

<b>B.1.24. How is the final decision made?</b>	Yes	No
Candidates are assessed against selection criteria alone on the basis of evidence from the selection process(es)		
Candidates are given scores for the criteria		
Views of panel members are taken into account		
The background of candidates is taken into account		

Other:		
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<b>B.1.25.</b> Who makes the final selection decision?	Yes	No
The selection panel		
Head of institution		
Central HRM institution		
Other:		

<b>B.1.26.</b> Does the appointment have to be formally confirmed? By whom?	Yes	No	By whom

<b>B.1.27.</b> Are there instances of appointments being done by disregarding the ranking of candidates?	Yes	No
If yes, please elaborate.		

<b>B.1.28.</b> Are there instances of staff being employed without an open recruitment and selection procedure being conducted?	Yes	No
If yes, please elaborate.		

<b>B.1.29.</b> How, and by whom, is the decision communicated to the successful candidate?	Yes	No	By whom
In writing			
By telephone			
By e-mail			
In person			
Other			

<b>B.1.30.</b> Is there an appeal process in relation to shortlisting and appointment decisions?	Yes	No
To the HR Unit		
To the selection panel		
To an internal appeals panel		
To an external appeals panel		
To the Central HRM institution		
Other:		

<b>B.1.31.</b> What records are kept of the recruitment and selection process?	Yes	No
Approval to recruit		

Copy of advertisement		
Job description		
Job specification		
Selection criteria		
Completed application forms		
Shortlisting scores/decisions		
Interview questions		
Interview scores/decisions		
Interview panel notes		
Formal approval to appoint		
Other:		

<b>B.1.32. Who monitors the conduct of the recruitment and selection process?</b>	Yes	No
HR staff		
Senior management		
Line managers		
External adviser/observer		
Central HRM institution		
Other:		

## SECTION 2: JOB DESCRIPTIONS

<b>B.2.1. Is there a standard format for job descriptions for all staff?</b>	Yes	No
--	-----	----

<b>B.2.2. Do all staff have job descriptions?</b>	Yes	No
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<b>B.2.3. What information does the job description contain?</b>	Yes	No
Name		
Employing institution		
Department/unit		
Salary – band, grade etc.		
Job title		
Reporting lines (to whom/from whom)		
For whom the postholder deputises		
Job purpose		
Job responsibilities and tasks		
Job specification		
Other:		

<b>B.2.4.</b> Are all job descriptions up to date and accurate?	Yes	No
---	-----	----

<b>B.2.5.</b> Who prepares job descriptions?	Yes	No
HR staff		
Line managers		
Individual employees with line managers		
Individual employees with HR staff		
Individual employees, line managers and HR staff in consultation		
Other:		

<b>B.2.6.</b> Who signs job descriptions?	Yes	No
Individual employees		
Line managers		
Senior managers		
Head of institution		
HR staff		
Other:		

<b>B.2.7.</b> How often are job descriptions revised/updated?	Yes	No
Annually		
When there are substantive changes to tasks, duties and responsibilities		
After performance appraisal		
When a new employee is recruited		
Other:		

<b>B.2.8.</b> Who initiates amendments to job descriptions?	Yes	No
Individual post holders		
Middle managers		
Senior managers		
HR staff		
Other:		

<b>B.2.9.</b> Who implements amendments to job descriptions?	Yes	No
HR staff		
Line managers		
Senior managers		
Other:		

<b>B.2.10. Who has copies of job descriptions?</b>	Yes	No
Individual employees		
Line managers		
Senior managers		
HR Unit		
Staff representatives		
Central HRM institution		
Other:		

<b>B.2.11. In what other HR procedures are job descriptions used?</b>	Yes	No
Disciplinary procedures		
Performance assessment		
Vacancy advertisements		
Selection/promotion		
Other:		

### SECTION 3: PROBATION

<b>B.3.1. Do you operate a probation system?</b>	Yes	No

<b>B.3.2. What activities does the probation period include and with whom?</b>	Yes	No	With whom
Introduction to the institution, department, section, team etc.			
Introduction to the job duties and tasks			
Explanation of how the job contributes to the institution's objectives			
Performance target and standard setting for the probation period			
Explanation of employment and service conditions			
Provision of a work plan for the probation period			
Training activities			
Progress reviews			
Mentoring and coaching support			
Advice on where to get information and help			
Self-assessments by probationer			
Other:			

<b>B.3.3. Who has overall responsibility for the probation system?</b>	Yes	No
HR Unit		
Line manager of the probationer		
Senior manager		
Head of institution		



Other:		
--------	--	--

<b>B.3.4.</b> How long is the probation period?

<b>B.3.5.</b> Who has to complete the probation period?	Yes	No
New starters		
Promoted employees		
Transferred staff		
Other:		

<b>B.3.6.</b> What records are kept of probation and by whom?	Yes	No	By whom
Probation work plan			
Performance targets and standards			
Copies of information provided to the probationer			
Notes of progress reviews			
Notes of self-assessments by probationer			
Other:			

<b>B.3.7.</b> How is the probation period assessed?	Yes	No
Informal assessment by line manager		
Formal assessment of target/standards achievement with line manager		
Practical tests		
Peer assessment		
Self-assessment		
Formal assessment by HR staff		
A combination of approaches – please specify		
Other:		

<b>B.3.8.</b> Is there an appeal process for those who fail the probationary period?	Yes	No

<b>B.3.9.</b> Can a probationary period be extended and, if yes, for how long?	Yes	No	How long

#### SECTION 4: INDUCTION

<b>B.4.1.</b> Do you have an induction procedure?	Yes	No

<b>B.4.2. Who has overall responsibility for induction?</b>	Yes	No
HR Unit		
Line manager of new, promoted or transferred employee		
Senior manager		
Other:		

<b>B.4.3. How long is the induction period?</b>

<b>B.4.4. How does the HR Unit plan for the arrival of the new starter, promoted or transferred employee?</b>	Yes	No
Assist the line manager to plan and prepare the induction		
Provide information to line managers on/for the new starter		
Provide information for colleagues so they can assist and support the new starter		
Make arrangements for meeting the new starter on the first day		
Provide general orientation and introduction on the first day		
Prepare an information pack for the new starter		
Make sure there is a desk, equipment and other resources available		
Get business cards printed		
Ensure phone line and e-mail address are set up		
Other:		

<b>B.4.5. What roles do the following have in induction?</b>	
Senior manager	
Line manager	
Colleagues	
HR staff	
Finance staff	
Employee	

<b>B.4.6. How do employees know where to seek help, information and advice during the induction period?</b>

<b>B.4.7. How is the induction period monitored and assessed?</b>	Yes	No
Through HR staff meeting with the employee		
Through line managers meeting with the employee		
Through feedback from the employee		
Other:		

**SECTION 5: PROMOTION**

<b>B.5.1.</b> Are there instances of promotions being done without open competitions?	Yes	No
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**B.5.2.** Under what circumstances are staff promoted without an open recruitment and selection procedure being conducted?

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<b>B.5.3.</b> When someone is promoted do they serve the probationary period?	Yes	No
---	-----	----

**B.5.4.** Who confirms promotions?

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**SECTION 6: TRANSFERS**

<b>B.6.1.</b> Under which of the following circumstances are staff transferred?	Yes	No
Change of tasks, duties or responsibilities of a work area		
Reduction of workload in a particular area		
New priorities		
Funding changes		
Redeployment to avoid redundancy		
Temporary cover		
For development purposes		
At the request of the employee		
Other:		

<b>B.6.2.</b> Are objective selection criteria used to select staff for transfer?	Yes	No
---	-----	----

If 'no', please elaborate.

--

<b>B.6.3.</b> Who makes the decision to transfer staff?	Yes	No
Head of institution		
Senior managers		
Line managers		
HR staff and managers in consultation		
Other		

**B.6.4.** What is the process for staff transfers? List the steps.

--

<b>B.6.5. How are staff consulted about a possible transfer?</b>	Yes	No
They are not consulted		
There are discussions with the existing line manager		
There are discussions with HR staff		
There are discussions with the proposed new line manager		
There are discussions involving the employee, line manager, HR staff and the union		
Other:		

<b>B.6.6. Under what circumstances may staff refuse a transfer?</b>	Yes	No
Inappropriate skills/experience for new post		
New post is a lower grade		
New working conditions are unacceptable		
New workplace is too far to travel		
Other:		

<b>B.6.7. Is there an induction process for transferred staff?</b>	Yes	No

<b>B.6.8. Is there a trial period after a transfer?</b>	Yes	No

<b>B.6.9. How is a staff transfer monitored?</b>	Yes	No
Performance objectives are agreed and assessed by the new line manager		
The line manager undertakes informal reviews with the employee		
HR staff review the transfer with the line manager and employee		
There is no monitoring		
Other:		

<b>B.6.10. What happens if a transfer is not successful?</b>

## SECTION 7: TERMINATION

<b>B.7.1. Under what circumstances have contracts of employment been terminated?</b>	Yes	No
End of fixed-term contract		
Resignation		
Dismissal		
Death in service		
Illness or disability		
Retirement		

Redundancy		
Other:		

B.7.2. What is the procedure when a contract is terminated and who is responsible?		
Task	Procedure	Responsible
What forms are completed?		
What records are kept? Where?		
How is final pay dealt with?		
How is outstanding leave dealt with?		
Who is informed when an employee leaves?		
How is the return of belongings to employees dealt with?		
Who provides references?		
Other:		

B.7.3. Can an employee appeal in the event of dismissal or non-renewal of the contract?	Yes	No
---	-----	----

B.7.4. How and to whom is the appeal made?

B.7.5. What happens to the employee's file after they leave the institution?	Yes	No	How long?
Hard-copy file retained in HR Unit			
Computer file retained in HR Unit			
Hard-copy file archived			
Computer file archived			
Files destroyed			
Other:			

**PART C: EMPLOYMENT STRUCTURES****SECTION 1: JOB CLASSIFICATION**

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C.1.1. Does the job classification meet your organisations' needs?

C.1.2. Should there be a system of job classification that is common for all types of employees? Why?

C.1.3. What, if any, are the problems associated with the current job classifications?

C.1.4. Are the current job classifications used as intended?

C.1.5. What changes to the job classification system would you like to see?

**SECTION 2: JOB EVALUATION**

C.2.1. Is the job-evaluation system for civil servants in place and is it adequate?

C.2.2. How are non-civil service jobs evaluated?

C.2.3. Should all categories of staff be covered by the same system? Why?

C.2.4. What problems are associated with the job-evaluation system?

C.2.5. What changes would you like to see to the grading systems? Why?

**SECTION 3: JOB ANALYSIS**

<b>C.3.1.</b> Do you have a job-analysis system?	Yes	No

<b>C.3.2.</b> When do you use the job-analysis system?	Yes	No
We rarely use it		
Before recruitment to update the job description		
Annually to assess all posts		
At the request of managers		
At the request of individual staff members		
Other:		

<b>C.3.3.</b> Is the job-analysis system effective in your view? Why?

<b>C.3.4.</b> What analysis criteria do you use?	Yes	No
Resources controlled		
Budget and financial control		
Decision-making		
Level of work autonomy		
Creativity, problem solving, work design		
Evaluation and analytical skills		
Contacts and representation		
Communication skills		
Other:		

<b>C.3.5.</b> How are employees involved in the analysis of their own jobs?	Yes	No
Employees are not involved		
Employees complete an evaluation questionnaire		
Employees and line managers discuss the evaluation		
HR staff and employees discuss the evaluation		
Other:		

<b>C.3.6.</b> Who actually does the job analysis?	Yes	No
HR staff		
HR staff with line managers		
A job evaluation panel		
Trained job analysts		

External job analysts		
Other:		

<b>C.3.7.</b> Is it possible to appeal against job-analysis results?	Yes	No
--	-----	----

<b>C.3.8.</b> How are changes as a result of job analysis implemented?	Yes	No
Information is sent to line management from the HR Unit		
Information is sent to the employee from the HR Unit		
The Finance Unit is informed of changes to salary by the HR Unit		
HR staff make any necessary changes to the job descriptions		
HR staff make any necessary changes to the employment contract		
Other:		



**PART D: PERFORMANCE MANAGEMENT****SECTION 1: PERFORMANCE ASSESSMENT**

<b>D.1.1.</b> Do you use the performance-assessment procedure?	Yes	No	
<b>D.1.2.</b> Do you operate an annual cycle for performance assessment?	Yes	No	
<b>D.1.3.</b> What triggers performance assessment?	Yes	No	
The annual cycle/timetable			
A request from senior management			
A request from line management			
Other:			
<b>D.1.4.</b> To whom does the procedure apply?	Yes	No	
Civil servants only			
Civil servants below a certain level – please specify			
Civil servants and certain categories of staff – please specify			
All staff			
Other:			
<b>D.1.5.</b> What happens to people not covered by the performance assessment procedure?	Yes	No	
Their performance is not assessed			
Their performance is assessed in other ways – please specify			
Other:			
<b>D.1.6.</b> Who has overall responsibility for performance assessment?	Yes	No	
Head of HR			
An HR staff member			
Head of the institution			
Senior manager(s)			
Other:			
<b>D.1.7.</b> Who is involved in the performance assessment of an individual employee and what is their role?	Yes	No	Role
Senior manager			
Line manager/supervisor			

Individual employee			
Member of HR Unit			
Peers			
Other:			

<b>D.1.8.</b> What elements of performance are assessed?	Yes	No
Achievement of performance objectives		
Team work, working relationships		
Management/use of resources		
Analysis, judgement & decision-making		
Written and verbal communication		
Quality of service and other outputs and outcomes		
Technical expertise		
Other:		

<b>D.1.9.</b> What records are kept of the performance assessment and where?	
What	Where

<b>D.1.10.</b> How is performance assessment followed up?	Yes	No
There is no follow-up		
Performance-related pay is given out where appropriate		
A commendation is sent to high-performing employees		
Warnings are issued to under-performing employees		
Training and development is provided to under-performing employees where needed		
Accelerated promotion is available to high-performing employees		
Other:		

<b>D.1.11.</b> Can employees dissatisfied with performance-assessment results lodge an appeal?	Yes	No

## SECTION 2: DISCIPLINE

<b>D.2.1.</b> Who has overall responsibility for the disciplinary procedures?	Yes	No
Head of institution		
Head of HR		

Senior managers		
Line managers		
Other:		

<b>D.2.2.</b> How are managers and employees informed of the disciplinary procedures?	Yes	No
They are not informed		
They receive written guidance		
HR staff explain the procedures when necessary		
The procedures are posted on notice boards		
Other:		

<b>D.2.3.</b> Where are standards of discipline defined?	Yes	No
In relevant legislation		
In a written code of conduct		
They are explained verbally by managers		
They are included in job descriptions		
They are included in contracts of employment		
Other		

<b>D.2.4.</b> Do disciplinary provisions apply to all staff equally?	Yes	No
If no, please explain.		

<b>D.2.5.</b> Where are disciplinary offences specified?	Yes	No
They are not specified		
In the civil-service legislation		
In a written code of conduct		
They are explained verbally by managers		
Other:		

<b>D.2.6.</b> Who forms the disciplinary board?

<b>D.2.7.</b> Who is on the disciplinary board?	Yes	No
A senior manager		
A line manager		
A member of the HR Unit		

A union/staff representative		
An independent external member		
A Civil Service Agency representative		
Other:		

<b>D.2.8.</b> Is training in the disciplinary procedure provided? If so, by whom?	Yes	No	By whom

<b>D.2.9.</b> Who is trained in the disciplinary procedure?	Yes	No
All managers		
All staff		
All disciplinary board members		
HR staff		
Union/staff representatives		
Other:		

<b>D.2.10.</b> What are the main stages of the disciplinary procedure?	Yes	No
Informal steps – discussion between line manager and employee		
A verbal warning		
A first written warning		
A second/final written warning		
A disciplinary hearing		
An appeal process		
Other:		

<b>D.2.11.</b> Who normally initiates disciplinary proceedings?	Yes	No
Senior managers		
Line managers		
HR staff		
Line managers in consultation with HR staff		
Other:		

<b>D.2.12.</b> What disciplinary measures (sanctions) are available?	Yes	No
Verbal warning recorded on file		
Written warnings recorded on file		
Suspension with pay		
Suspension without pay		
Demotion		
Dismissal		

Other:		
--------	--	--

<b>D.2.13.</b> Is the disciplinary procedure effective in your view?	Yes	No
If no, please explain.		

<b>D.2.14.</b> How often has the disciplinary procedure been used in the course of the last year?

<b>D.2.15.</b> What kind of disciplinary problems typically occur?	Yes	No
Violation of working hours		
Irregular attendance		
Inappropriate dress		
Poor work behaviour		
Suboptimal performance		
Other:		

<b>D.2.16.</b> What does the appeal process against disciplinary measures include?	Yes	No
Appeal to line management		
Appeal to senior management		
Appeal to HR Unit		
Appeal to an Internal Appeals Panel		
Appeal to an External Appeals Panel		
Other:		

<b>D.2.17.</b> What offences warrant summary dismissal?	Yes	No
Theft		
Fraud		
A prison sentence		
Assault on another person		
Other:		

<b>D.2.18.</b> What records are kept of disciplinary procedures? Where? For how long?		
What	Where	For how long


<b>D.2.19.</b> How is the security and confidentiality of disciplinary procedures and records ensured?	Yes	No
Access to information is controlled by HR staff		
Information is securely locked away		
Computer records are password protected		
Copied materials used by Disciplinary Boards and Appeals Panels are destroyed when the processes are complete		
Other:		

### SECTION 3: GRIEVANCE

<b>D.3.1.</b> Is there a grievance procedure?	Yes	No

<b>D.3.2.</b> Who has overall responsibility for the grievance procedure?	Yes	No
Head of institution		
Head of HR		
Senior managers		
Line managers		
Other:		

<b>D.3.3.</b> Under what circumstances can the employee bring a grievance?	Yes	No
Unfair allocation of work		
Unequal treatment		
Discrimination		
Harassment (including sexual)		
Lack of resources (to carry out work duties)		
Behaviour of supervisors		
Unreasonable decision by management		
Other:		

<b>D.3.5.</b> How do employees initiate a grievance?	Yes	No
In writing via the line manager		
Verbally to the line manager		
There is a form to complete and send to HR		
In writing to the HR Unit (no specific form)		
Verbally to the HR Unit		

Via union or staff representatives		
Ombudsperson		
Other:		

<b>D.3.6.</b> How is a grievance investigated?	Yes	No
Interviewing those involved		
Gathering any written evidence		
Taking statements from other people		
Other:		

<b>D.3.7.</b> Who undertakes an investigation?	Yes	No
HR Unit		
Senior management		
Line managers		
Union/staff representatives		
Independent person		
Other:		

<b>D.3.8.</b> What are the remedies when a grievance is upheld?	Yes	No
Overtake a management decision		
Compensate the employee		
Discipline the person who caused the grievance		
Reorganise work		
Change working conditions		
Improve resourcing		
Other:		

<b>D.3.9.</b> Is there a mediation process when employees have a grievance?	Yes	No

<b>D.3.10.</b> Who mediates?	Yes	No
An HR staff member		
A specially trained employee		
An external mediator		
A union/staff representative		
Other:		

D.3.11. What records are kept of grievance procedures? Where? For how long?		
What	Where	For how long

D.3.12. How is the security and confidentiality of grievance procedures and records ensured?	Yes	No
Access to information is controlled by HR staff		
Information is securely locked away		
Computer records are password protected		
Copied materials used in the procedure are destroyed when processes are complete		
Other:		

D.3.13. Is there a mechanism for employees to come forward with complaints about the following?	Yes	No
Nepotism		
Bribery		
Misuse of resources		
Misuse of influence, powers		
Other forms of corrupt behaviour:		

D.3.14. How does the mechanism work?

D.3.15. In the event of such a complaint, how is the employee protected?

D.3.16. Do you think the grievance procedures are effective from the staff point of view?

#### SECTION 4: APPEALS

D.4.1. Is there an appeal procedure?	Yes	No

D.4.2. Who has overall responsibility for the operation of the appeals procedure?	Yes	No
Head of institution		



Head of HR		
Senior managers		
Line managers		
Other:		

<b>D.4.3.</b> When can the appeals procedure be used? In relation to decisions about:	Yes	No
Recruitment and selection		
Promotion		
Termination of contract		
Performance assessment		
Job evaluation		
Disciplinary action		
Other:		

<b>D.4.4.</b> How many stages are there in the appeals procedure?

<b>D.4.5.</b> Is there an Internal Appeals Panel?	Yes	No

<b>D.4.6.</b> Who is on the Appeals Panel?	Yes	No
An HR staff member		
A senior manager		
Line manager		
An independent, external member		
A union/staff representative		
A Civil Service Agency representative		
Other:		

<b>D.4.7.</b> How are the Appeals Panel members trained for their role and by whom?	
How	By whom

<b>D.4.9.</b> What sort of appeals do they deal with?	Yes	No
Recruitment and selection		
Promotion		

Termination of contract		
Performance assessment		
Job evaluation		
Disciplinary action		
Other:		

<b>D.4.10.</b> How is an appeal lodged?	Yes	No
In writing to the HR Unit using a standard form		
In writing to the HR Unit (no specific form)		
In writing to the line manager		
Via a union/staff representative		
Other:		

<b>D.4.11.</b> How does the appeal hearing work?	Yes	No
Chairperson is appointed		
Secretary is appointed		
Employees can be represented by someone else (e.g. union)		
Verbal statements are heard		
Written records, evidence is presented		
Written statements are received		
Witnesses are called		
Each side can question the other		
Panel members can question all participants		
A written decision is presented by the panel within a set time		
Other:		

<b>D.4.12.</b> Is there an external appeals procedure?	Yes	No
--	-----	----

<b>D.4.13.</b> List the steps in the external appeals procedure?
1.
2.
3.
...

<b>D.4.14.</b> How many appeals have you had in the last year?

<b>D.4.15.</b> What was the nature of the appeals you had?

<b>D.4.16.</b> In your view, are employees satisfied with the appeals procedure?

<b>D.4.17.</b> What records are kept of appeals procedures? Where? For how long?		
What	Where	For how long

<b>D.4.18.</b> What remedies are there when an appeal is upheld?	Yes	No
When a selection process is deemed unfair the appellant is offered the next suitable post that becomes available		
Redoing/changing job evaluation		
Redoing/changing performance assessment		
Changing decision on renewal of contract		
Overturing disciplinary action		
Other:		

**PART E: STAFF SUPPORT****SECTION 1: INFORMATION**

66

<b>E.1.1. What sort of information is provided to staff?</b>	Yes	No
Relevant regulations		
Other relevant documents (e.g. strategies, policies, etc.)		
Copies of all HR procedures		
Telephone directory		
Information about health, safety and security		
Information on financial procedures such as expenses claims		
Rules of confidentiality		
Rules on the use of equipment, computers, e-mail		
Other:		

<b>E.1.2. Who is responsible for providing information to staff?</b>	Yes	No
HR staff		
Immediate supervisor		
Employee (information is in shared folder)		
Other:		

<b>E.1.3. How is information provided?</b>	Yes	No
Induction kit		
Staff notice board		
Electronically through all-staff e-mails		
Other:		

<b>E.1.4. Do staff have sufficient information in your view? If not, what else should be made available?</b>

<b>E.1.5. What information is gathered from staff?</b>	Yes	No
Problems experienced		
Things that do and don't work		
Unfulfilled needs e.g. for training and development		
Suggestions for improvements to working practices		
Levels of staff satisfaction		
Other:		

E.1.6. Who collects information from staff and how?	
Who	How

## SECTION 2: WELFARE

E.2.1. What sort of welfare support is provided for staff?	Yes	No
Advice		
Information		
Childcare assistance		
Medical services		
Counselling		
Hardship payment		
Paid or unpaid compassionate leave		
Separate leaving compensation		
Other:		

E.2.2. Who is responsible for welfare?

E.2.3. How are employees informed about welfare provision?	Yes	No
They are not informed		
By HR staff when a problem arises		
Managers inform staff about welfare provision		
Information is provided in a staff handbook		
Union/staff representatives provide information		
Other:		

E.2.4. How is the confidentiality of employees receiving welfare support protected?

E.2.5. Is there a separate budget for welfare purposes?

**SECTION 3: TRAINING AND DEVELOPMENT**

<b>E.3.1.</b> Who has overall responsibility for training and development in the institution?

<b>E.3.2.</b> What is the role of the following in training and development?	
HR Staff	
Senior managers	
Other managers	
Individual employees	

<b>E.3.3.</b> Is there a specific training and development budget?	Yes	No
If no, please explain why not.		

<b>E.3.4.</b> Who holds and spends the training and development budget?

<b>E.3.5.</b> Is there an annual staff-development procedure?	Yes	No
If no, please explain why not.		

<b>E.3.6.</b> Who does the staff-development procedure cover?	Yes	No
All employees		
Civil servants only		
Support staff only		
Specific occupational groups		
Other:		

<b>E.3.7.</b> At what level are training needs identified?	Yes	No
Organisation-wide		
Department		
Unit		
Section		
Work group		
Individual		
Other:		

<b>E.3.8.</b> How are training needs identified? List the main steps.
1.
2.
3.
...

<b>E.3.9.</b> Who identifies training needs?	Yes	No
Central civil service institution		
Senior management		
Line managers		
HR staff		
Individual employees		
Dedicated training officer		
External advisers		
Other:		

<b>E.3.10.</b> Is training-needs identification effective in your view? How could it be improved?

<b>E.3.11.</b> What on-the-job training is provided?	Yes	No
Coaching		
Mentoring		
Demonstrations		
Workshops		
Distance or e-learning		
Other:		

<b>E.3.12.</b> What external training is provided? Please give examples of the range

<b>E.3.13.</b> Is the impact of training evaluated? By whom?

<b>E.3.14.</b> Who most frequently attends training?	Rank
Senior managers	
Middle managers	
Supervisors	
Specialists	

Particular professions e.g. economists, lawyers	
Support staff	
Other:	

**E.3.15.** Is training effective in your view? What could be done to improve its effectiveness?

--

**E.3.16.** What are the most important outstanding training needs in your organisation?

--

**E.3.17.** What is the process for managers or individuals to access or request training?

--

**E.3.18.** How are employees informed of training opportunities?

--

**E.3.19.** How are people selected to attend a particular training activity?

--



## ANNEX 2

### PERCEPTION OF HUMAN RESOURCE MANAGEMENT PRACTICE AMONG EMPLOYEES

#### Survey Questionnaire

The main objective of the survey is to provide an insight into employees' perception of the quality and adequacy of the human resource management practice in the institution. The survey is comprised of two parts: 1) general satisfaction with employment in the institution; 2) satisfaction with the main HRM functions.

The survey is completely anonymous and takes up to 20 minutes to complete.

#### 1. General satisfaction with employment in the institution

Mark the selected column with an 'X'.

Grading description: (1) fully agree, (2) agree, (3) no opinion, (4) disagree, (5) fully disagree.

Statement	1	2	3	4	5
I am free to express my opinion at work without fearing possible negative consequences					
I am satisfied with my job					
I do not wish to change my job, unless that would mean a significant upgrade to my current remuneration package					
I am satisfied with the quality of inter-personal relations, both in my organisational unit and generally in the institution					
I am satisfied with the quality of cooperation between organisational units within the institution					
I have full confidence in the competence of colleagues employed in the HRM unit					
I receive timely and accurate information from the HRM unit					
HRM procedures are consistently applied in my organisational unit					
My direct superior is committed to motivating employees and maintaining good interpersonal relations					
In treatment of subordinates, my direct superior tries to "keep the peace" at any cost					
My direct superior has the characteristics of a leader					

## 2. Opinion on the quality of the main HRM functions

Mark the selected column with an 'X'.

Grading description: (1) fully agree, (2) agree, (3) no opinion, (4) disagree, (5) fully disagree.

Statement	1	2	3	4	5
Planning of HR needs is continuous and detailed					
A more serious approach to HR planning would lead to quicker recruitment for vacant positions					
Job descriptions are updated regularly					
For some positions there is a gap between what is really done and what is foreseen by the position title and description					
Regulation that defines internal organization is complicated and discourages managers from amending job descriptions more often					
The selection process relies heavily on formal papers/certificates as proof of qualifications					
Selection panel members are well trained for their work					
Selection processes are fully based on standardized criteria taking into account both a candidate's expertise and competence					
Current performance-assessment practice fails to meet expectations					
The biggest problem in assessing individual performance is the reluctance of managers to give objective marks (to "keep the peace")					
The assessment I get helps me in advancing my career					
I have enough opportunities to attend high-quality training courses					
Training courses are often attended by those who are loyal to their superiors, not necessarily those who actually need them for work					
Training priorities are determined after carrying out a thorough needs analysis					
The level of staff discipline in the institution is satisfactory					
I sometimes experience pressure to carry out instructions that are not in line with the public interest					
My working environment is discriminatory against women					

Thank you for your time.  
HR Department

## ANNEX 3

### EMPLOYEE ENGAGEMENT SURVEY

Employee engagement refers to the level of commitment to reaching and maintaining high ethical and professional standards.

The purpose of this survey is to collect data about the extent to which employees are committed to doing their job and the extent to which they internalise the mission and values of public-sector work.

The survey is completely anonymous and takes up to 20 minutes to complete.

#### 1. Degree of employee's engagement

Mark the selected column with an 'X'.

Grading description: (1) fully agree, (2) agree, (3) no opinion, (4) disagree, (5) fully disagree.

Statement	1	2	3	4	5
Overall, I feel good about working in my institution					
I would recommend my institution to other job seekers as a potential employer					
I feel proud and upbeat about coming to work					
It is a joy to work with the people with whom I work					
I find my work to be meaningful; I can see my contribution to the institution's larger goals					
My work and work results are recognized and appreciated by my superiors					
I feel I am supported as a professional by my superiors					
Our organisational culture is based on values and norms that forge meritocracy, professionalism and integrity					
Our leaders are role models of professionalism and integrity					
My work is challenging enough for me					
I feel I can exploit my full potential here					

I see clear career opportunities for me here					
I see myself working here for many years to come					

**2. Recommendations/suggestions to raise engagement levels**

<p>In my opinion, the main strengths and weaknesses of this institution are:</p> <ol style="list-style-type: none"><li>1.</li><li>2.</li><li>3.</li><li>...</li></ol>
<p>If I had a chance to change things around here to boost employees' work commitment, I would do the following:</p> <ol style="list-style-type: none"><li>1.</li><li>2.</li><li>3.</li><li>...</li></ol>

Thank you for your time.  
HR Department

## ANNEX 4

### STRATEGIC HUMAN RESOURCES PLANNING FORM – DEMAND AND SUPPLY ASSESSMENT

**Demand Assessment** – a projection of current and future staffing needs. It is important to anticipate not only the number of people needed (i.e. staff assessment) but also their profiles (i.e. competency assessment). This activity should be carried out at the level of the department. Department managers are in charge of gathering data from their subordinate staff before filling out this table.

Each question should be answered in a sound and concise manner and for each question a level of urgency should be determined. Questions marked with '4' are to be addressed immediately while those marked with '1' are regarded as non-urgent (now and in the medium term).

#### Urgency Levels:

- 1 It is not an issue/problem right now (and will likely stay like that over the next 3–5 years);
- 2 Issue is not problematic at the moment (but needs to be monitored as it has the potential to become a problem);
- 3 Issue could cause problems now or within the next 12 months;
- 4 Issue needs to be addressed immediately.

Questions	Justification / Comments	Urgency Level (1, 2, 3, 4)
Do you envisage new tasks/ responsibilities for your organisational unit over the next period (1-3 years)? What are those tasks?		
Are you anticipating any budget changes? If yes, how will this impact your staffing requirements?		
Based on organisational objectives and priorities, will there be a need to restructure your department/ organisational unit? Do you foresee a need to eliminate and/or create new jobs?		
Will your present work processes need to be modernised? Do your current job descriptions need to be changed?		

**Supply Assessment** – identifies institution’s available staffing resources – both now and in the future. Supply assessment focuses on the current staffing levels by identifying all the personnel actions that can impact future staffing levels (e.g. retirements, resignations, terminations, promotions, demotions, transfers, etc.). As with the demand assessment, the focus is on both the required number of people and competencies.

**Urgency Levels:**

- 1 It is not an issue/problem right now (and will likely stay like that over the next 3–5 years);
- 2 Issue is not problematic at the moment (but needs to be monitored as it has the potential to become a problem);
- 3 Issue could cause problems now or within the next 12 months;
- 4 Issue needs to be addressed immediately.

Questions	Justification / Comments	Urgency Level (1, 2, 3, 4)
What does the current workforce profile look like (i.e. age, gender)? What are the evident risks from the profile (i.e. ageing workforce)?		
Which posts are critical to your service? Are they operationally critical or strategically critical? Will they be difficult to fill?		
Do you have any issues with retaining the “right” employees? Why do people leave your department (or institution in general)? Are specific skills being lost?		
Do you have any issues with recruiting the right people? Are you happy with the quality of your applicants?		
How effective is your succession planning? Do you have delays in filling the jobs of those staff members who retire?		
Do you think that staff motivation in your department is at a desirable level? If your answer is negative, please elaborate.		

How are success and achievement recognised within your department?		
What level of involvement do employees have in the planning and decision-making for your department's future activities?		
What are the key development needs for the different staff groups in your department?		
What competency gaps exist within your department?		
What career paths/opportunities exist for staff?		
Do managers have the appropriate skills to manage performance issues?		
Are there any performance issues within your department and what impact is this having on day-to-day work?		

## ANNEX 5

### Strategic HRM Plan – Sample structure

#### 1. Introduction

##### 1.1. Purpose and objectives

Provide a brief explanation of what this document is trying to achieve, including the objectives of the plan.

#### 2. Strategic HR vision

Add a brief overview of the vision for your institution and the impact it will have on the personnel.

##### 2.2. National and sectoral priorities

Make a connection between strategic documents at national and/or sectoral level and the impact it may have on the demands for staff.

#### 3. Assessment of institutional tasks and challenges

Describe the mandate of the institution and highlight the projected changes in the nature and scope of tasks, responsibilities and challenges.

- What are your current and future tasks and responsibilities?
- What is the impact of integration processes (e.g. EU and NATO integrations) on your institution?
- Does your institution meet its objectives? Can you cope with the challenges?
- Are there ways to perform better with the employees you currently have and if yes, how?

#### 4. Assessment of HR needs and priorities

Describe the current situation in terms of demand for competencies and numbers and the ability of your current workforce to meet those demands. Make a projection of the impact that the demands are likely to have on the workforce in the short, medium and longer term.

#### 5. Measures to bridge competency gaps

List the actions that will be taken to resolve imbalances in the demand and supply of staff.

#### 6. Monitoring and revising the plan

Provide a brief explanation of the arrangements put in place to monitor and, if necessary, revise the plan.



**Suggested personnel data**

- Employee numbers (by organisational units, number of envisaged employees vs. number of actual employees)
- Analysis of absences
- Gender analysis
- Age analysis
- Staff turnover rates (include data from exit interviews)

# ANNEX 6

## EXIT INTERVIEW FORM

Name:	
Job Title:	
Org. Unit:	
Start Date:	
Start Date In Position:	
Separation Date:	
Other positions held within the Institution:	

### Reasons for separation

Insert 'x' next to the preferred option.

**Voluntary**

- Other job
- Personal reasons
- Other .....

**Involuntary**

- Reorganisation
- Retirement
- Other .....

**Employee's comment:**

**Interviewer's comment:**

**Questionnaire**

1. What are the main reasons for your decision to leave the institution?

.....  
.....  
.....

2. What did you like most about your job?

.....  
.....  
.....

3. What are the main problems you encountered while performing your duties?

.....  
.....  
.....

4. Did you come across any rules/regulations/procedures that proved to be an obstacle for you to carry out your duties in an efficient manner? If yes, please list them.

.....  
.....  
.....

5. Would you consider applying again for the same job in this institution?

.....  
.....  
.....

6. Would you recommend the work here to other people?

.....  
.....  
.....

7. Was there something that we could have done to retain you?

.....  
.....  
.....

## ANNEX 7

### ASSESSMENT OF MANAGERIAL COMPETENCIES

#### Methodology

The purpose of this methodology is to enable an objective assessment of the competency levels among managers based on the requirements set for each managerial level in the institution. The main objectives of the exercise are:

- a) to identify possible competency gaps;
- b) to develop individual training programs (to bridge the gaps);
- c) to enable objective and merit-based decisions for possible staff transfers and promotions.

The competency assessment will be carried out in two parts:

1. Assessment of technical competencies (i.e. knowledge of the relevant regulations, foreign-language skills and communication abilities);
2. Assessment of behavioural competencies (i.e. leadership, result-orientation)

#### 1. Technical Competencies – Written Test

For technical competencies, the assessment process will rely on a written test consisting of the following three parts:

- Part I – Knowledge of relevant regulations and best practices  
This test is designed to show whether the manager has a sound knowledge of the regulations that govern his/her daily work and, in addition, to provide an insight into his/her knowledge of best practices and/or trends in a specific area.  
  
20 multiple choice questions (0.5 points for each correct answer); 30 minutes; conducted in a group
- Part II – Ability to use written English in daily work  
This test will provide an indication of the manager's proficiency in using English language in his/her daily work.  
  
20 multiple choice and fill-in-the-blank questions (1 point for each correct answer); 30 minutes, conducted in a group

NOTE: Spoken English skills will be tested during the assessment of behavioural competencies.

- Part III – Problem-solving skills and communication skills  
This test is designed to examine the manager's ability to come up with a solution for a concrete job-related problem and to present it in a convincing manner.

Single essay-type question (max. 20 points); 30 minutes; conducted in a one-on-one setting.

Total duration of the assessment is 90 minutes and should be carried out on a single day.

## 2. Behavioural Competencies – Interview

Behavioural competencies will be assessed by an independent panel through interviews with both higher- and lower-level managers. Individuals will be assessed against a set of proposed behavioural competencies.

Panel members will ask managers to provide examples from their past work experience which demonstrate the presence of a particular competency. Lower-level managers will be assessed against a set of three key competencies while higher-level managers will be asked questions in relation to a total of four competencies.

The table below describes the main elements of the interviewing process:

<b>Objective of the Interview</b>	To objectively assess the extent to which individual managers have the behavioural competencies necessary for optimal work performance.
<b>Composition of the Panel</b>	The Panel should comprise experienced and competent staff members. Composition-wise, it should bring together two (2) experienced staff members) + one (1) from the Central HRM institution.
<b>Interview proceedings</b>	<ul style="list-style-type: none"> <li>• Interviews should be conducted in the local language except for the part which is designed to assess managers' spoken English;</li> <li>• Each manager will be asked the same set of standard questions + job-specific questions;</li> <li>• Panel-members will use a standard rating sheet (see example towards the end of this section);</li> </ul>
<b>Venue and duration of the interview</b>	Venue: Duration: up to 30 minutes per person

### Scoring, Assessment and Corresponding Measures

Each test will account for 50% of the final mark: the technical competency test carries 50 points (10 pts for the knowledge test and 20 pts for the English language and problem-solving tests respectively) and so does the behavioural competency test.

The proposed scoring system and the corresponding measures are as follows:

Score	Assessment	Measures
<b>Below 50% of the total score</b>	<i>Unsatisfactory</i> – overall capacity to perform the job is below the minimal requirement.	Transfer/demotion should be seriously considered.  Alternatively, the person must show a swift improvement; close mentoring from the immediate supervisor required.  Next assessment in six months.
<b>50%– 64% of the total score</b>	<i>Satisfactory</i> – overall capacity to perform the job is just above the minimal requirement.	The person should show certain improvements; performance monitoring from the immediate supervisor required.  Next assessment in one year.
<b>65%–79% of the total score</b>	<i>Good</i> – overall capacity to perform the job is sufficient for most tasks.	The person should try to improve or, at least, to retain the level of competencies.  Next assessment in one year.

<b>80%–94% of the total score</b>	<i>Very good</i> – overall capacity to perform the job is sufficient.	Resume regular activities. Next assessment in three-year period.
<b>95% and above</b>	<i>Outstanding</i> – overall capacity to perform the job is exceptional.	Resume regular activities. Next assessment to take place in five-year period.

## Logistical Activities

Prior to the commencement of the process, members of the Interview Panel should attend a half-a-day workshop to discuss the various practical matters related to the assessment of the competency-level among managers.

Logistical aspects of the organisation of the entire proceedings should be the responsibility of the HRM Department in close cooperation with the staff engaged directly as a support to the top leadership of the institution (i.e. Minister, Director, Secretary general).

## List of Competencies Required for Managerial Work Posts

### 1. Leadership

Motivating people to achieve high performance in working towards the team and organisation's goals.

#### 1.1. Creating a positive work environment

Creates a positive work environment where staff are motivated to do their best.

#### 1.2. Goal setting

Sets clear, meaningful, challenging but attainable group goals and expectations.

#### 1.3. Leading by example

Is an excellent role model – leads by example.

### 2. Planning and Organising

The ability to plan, organise, coordinate and monitor activities and work tasks for self and team members.

#### 2.1. Effective planning

Plans the best use of available resources – produces good activity and departmental plans that are understood by staff and that identify necessary resources and skills.

#### 2.2. Holding members to account for their work results

Holds team members to account for achieving the results that have been agreed.

#### 2.3. Ensuring meeting of deadlines

Takes early action to deal with issues that affect deadlines to ensure delivery on time.

### 3. Strategic Direction (for senior managers only)

Setting the strategic direction of the organisation in response to the needs of the government and citizens, and ensuring its delivery.

#### 3.1. Strategic planning

Develops strategic plans to ensure the organisation's future success.

#### 3.2. Monitoring of strategic plans

Monitors plans to achieve strategic objectives.

#### 3.3. Taking responsibility for meeting strategic objectives

Takes responsibility for ensuring the strategic objectives are met.

**Competency Assessment Form**

Name:	Organisational Unit:
Work Post:	Date:

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Competencies	Points (0-5)
<b>1. Leadership</b> Motivating people to achieve high performance in working towards the team and organisation's goals.	
<b>1.1. Creating a positive work environment</b> Creates a positive work environment where staff are motivated to do their best.	
<b>1.2. Goal setting</b> Sets clear, meaningful, challenging but attainable group goals and expectations.	
<b>1.3. Providing support to subordinates</b> Makes himself/herself available to listen to subordinates and provides them with advice/opinion.	
<b>1.4. Leading by example</b> Is an excellent role model – leads by example.	

Competencies	Points (0-5)
<b>2. Planning and Organising</b> The ability to plan, organise, coordinate and monitor activities and work tasks for self and team members.	
<b>2.1. Effective planning</b> Plans the best use of available resources – produces good activity and departmental plans that are understood by staff and that identify necessary resources and skills.	
<b>2.2. Holding members to account for their work results</b> Holds team members to account for achieving the results that have been agreed.	
<b>2.3. Ensuring meeting of deadlines</b> Takes early action to deal with issues that affect deadlines to ensure delivery on time.	

Competencies	Points (0-5)
<b>3. Strategic Direction</b> (for top managers only) Setting the strategic direction of the organisation in response to the needs of the government and citizens, and ensuring its delivery.	
<b>3.1. Strategic planning</b> Develops strategic plans to ensure the organisation's future success.	
<b>3.2. Monitoring of strategic plans</b> Monitors plans to achieve strategic objectives.	
<b>3.3. Taking responsibility for meeting strategic objectives</b> Takes responsibility for ensuring the strategic objectives are met.	

<b>Total score:</b> <b>(max. 50 pts)</b>	
---	--

Panel member signature: .....

## ANNEX 8

### STEPS IN CREATING A NEW JOB

#### 1. Identify the gap that the new job will bridge

- ⇒ Clarify the nature of the problem that the institution is facing. What are the causes of the problem? Is the problem temporary or permanent?
- ⇒ Explain why the creation of a new job is the best solution vis-à-vis its alternatives. Could the work be distributed among the existing staff members? Could the institution establish a temporary task and hire someone on a fixed-term basis? Could the problem be solved with additional capacity-building efforts for existing staff?

#### 2. Create a Detailed Plan

- ⇒ Come up with a job title and its proposed place in the hierarchy. Does the job entail analytical skills and/or providing advice? Does it involve managerial tasks?
- ⇒ Develop a draft job description (i.e. purpose of the job, main duties and responsibilities, reporting lines, etc.) as well as a job specification or, to put it simply, a profile of the incumbent (i.e. required education, work experience, required competencies, etc.). Information about similar jobs in some other contexts should be collected and analysed; relevant content should be used in developing the initial job description.
- ⇒ Suggest the date by which the new job should be filled. Explain why this timeline is envisaged.

#### 3. Present the idea to the immediate supervisor

- ⇒ Explain to the immediate supervisor what problem you intend to address by creating the new job.
- ⇒ Be sure to mention all the potential benefits that the creation of a new job would bring. Tangible benefits such as financial savings should especially be highlighted.
- ⇒ Ask the supervisor to be critical towards the idea of a new job but not to dismiss it without giving it proper thought. If your proposal is rejected without due consideration by the immediate supervisor, try talking to someone else in the institution, especially if you know someone among the higher-ups who might be more understanding of your proposal. Usually, a word from such an individual would make the immediate supervisor more willing to listen to you.
- ⇒ Tweak the initial proposal based on the feedback.

#### 4. Present the idea to the decision-makers

- ⇒ Focus on the problem you want to address and how it affects the institution;
- ⇒ Present the key benefits that creation of a new job will bring;
- ⇒ Show that you have thought about the way to attract a suitable candidate for the new position; if internal recruitment and/or employee transfers could be the solution, be sure to mention it. If a public competition is necessary, offer some data that shows the institution will be able to attract good candidates.



## ANNEX 9

### JOB DESIGN: CREATING A MOTIVATIONAL JOB

Designing a new job is essentially about grouping tasks and responsibilities in a logical and meaningful manner. In this process, it is of critical importance to bear in mind the need for a new job to be motivational for the incumbent. In their seminal work on Job Characteristics Theory, Richard Hackman and Greg Oldham came up with a notion that for a job to be motivating it has to possess the following five characteristics: 1) skill variety, 2) task identity, 3) task significance, 4) autonomy, and 5) job feedback.

Designing a job in a way that will ensure the presence of the five characteristics (to the extent possible, of course) is expected to produce a positive impact on the employee's work attitude and performance. However, one should not forget that wider contextual factors play an important role here. For instance, an institution that operates in an environment plagued by high-levels of centralized decision-making, disregard for meritocracy and professionalism and other forms of undemocratic practices, is almost certain to offset the positives achieved through meaningful job design. Therefore, having a democratic institution that bases its HRM practices on meritocracy and professionalism is crucial for employees to feel motivated.

The importance of designing a motivational job is in direct relationship with the hierarchical position of the job: the higher the post, the more important it is to ensure its motivational character. In that sense, a simple administrative clerk is likely to expect much less in terms of job satisfaction than those who work as policy analysts, expert advisors or senior managers. This is because the latter posts require a higher level of education and wider set of competencies, and people who can offer that usually expect a certain level of challenge in their work as well as the satisfaction of being able to contribute to the higher institutional goals.

Details of the five job characteristics are given below, together with some tips and recommendations that should make it easier for those who work on designing new jobs to create truly motivational ones.

#### 1. Skill variety

Generally, people want their jobs not to be dull and repetitive. Unfortunately, in some instances (i.e. technical and support jobs) this is rather inevitable, but those who work on job design should try their best to create variety in the set of skills necessary to perform the work. Of course, one should be balanced in this approach as the requirements for skills must be credible i.e. founded on real needs. Otherwise, driving up the level of requirements unnecessarily will certainly make salary expectations higher (which might be difficult for the institution to match) and will make it difficult to recruit the right candidates.

Ways to increase the skill variety include:

- Introducing new equipment (e.g. smartphones or tablets with dedicated applications);
- Modernising work processes (e.g. digitalising the filing system);
- Job-shadowing opportunities (e.g. observing a senior colleague in his/her work);
- Regular learning opportunities (on-the-job and by attending specialised courses);
- Participation in working groups and work with outside project teams.

#### 2. Task identity

Task identity refers to the degree to which an employee completes a piece of work, or a task, from the beginning to the end. Identification with the whole task gives more satisfaction to the person than completing smaller pieces of work which are part of different individual projects. For instance, preparing a report on a specific topic

which involves desk research, interviews, report drafting, receiving feedback and producing the final draft is more motivating than doing just desk-research work on several different topics. This is because with the former approach an employee witnesses the final outcome, while the latter implies completion of a single activity as part of a larger process that makes up a complete task.

Therefore, when designing a job, one should make sure that:

- It offers opportunities for the incumbent to work on chunks of work that have some sort of final outcome;
- If the work is part of a larger project, the incumbent should be given the chance to be aware of his/her contribution to the final product.

### 3. Task significance

If an employee feels that the work is significant for the institution, his/her motivation will grow. Therefore, when designing a job, it is important to pay attention to the impact that the job has on others inside or even outside the institution. In other words, the link between duties and the impact they have should be clearly visible. If this link cannot be made visible enough in the job description, then the supervisor should step in and illustrate this link. Ultimately, the objective is for the employee to feel that his/her work is being noticed and that the quality of his/her performance affects others.

Regular performance-monitoring activities should be sufficient to enable managers to speak with their subordinates about the kind of work they do and how their work benefits the institution.

### 4. Autonomy

Autonomy refers to the level of independence that an employee enjoys in carrying out his/her tasks. More autonomy brings more freedom and more freedom means greater motivation. True, there are some environments in which the organisational culture is not at all democratic and in which people accept being micromanaged in the knowledge that less decision-making autonomy means less risk of error. However, it is much closer to genuine human nature to enjoy a feeling of autonomy in exercising one's work duties.

Therefore, the process of designing a new job should take into consideration the need for autonomy. This can be done by clearly highlighting the responsibilities for day-to-day activities and their outcomes. If necessary, the institution's delegation-of-authority practices should be reviewed in order to allow greater levels of decentralisation before they are reflected in the newly designed job.

### 5. Job feedback

Providing employees with feedback on how well they are doing at work is absolutely crucial for their long-term motivation. Rather than being limited to annual performance-appraisal interviews, this feedback should be periodic and, depending on the circumstances, can be both formal and informal.

When designing a job, it is important to factor in the need for job feedback to ensure that an incumbent has periodic one-on-one sessions with his/her supervisor. This can be done in a formal office setting with both sides taking notes or in the cafeteria over a cup of tea; the important thing is for the supervisor-supervisee communication to be regular and open.

In the end, every employee should be able to rely on his/her intrinsic motivation. Institutions ask for this when conducting the selection process but having intrinsic motivation can be a tricky thing. Sometimes, people display a great degree of eagerness and motivation during competition proceedings or in the first few months at new job but, later on, they have difficulty sustaining it. This is why employers have a duty to provide external motivation as well and to do that they need to make sure that jobs acquire the above-mentioned core characteristics in the design phase. These characteristics should then lead to higher individual motivation and ultimately to better performance.

## ANNEX 10

### CONDUCTING A JOB-ANALYSIS EXERCISE: A BRIEF GUIDE

#### What is job analysis and what is its main purpose?

Job analysis (JA) refers to the process of systematically collecting (and subsequently analysing) data about work posts with the primary aim of improving the quality and relevance of job descriptions (JD).

#### What are the main benefits of doing a job analysis?

If carried out competently and thoroughly, job analysis enables an organisation to have relevant and up-to-date job descriptions.

Job analysis is helpful in uncovering various potential problems related to work posts. Such problems may include:

- mismatch between the written job duties and those actually performed in a work post;
- insufficient/excessive workload (i.e. scope and complexity of duties and responsibilities defined pose a problem either by not being challenging enough for the incumbent or by being too demanding);
- mismatch between the job title and the actual content;
- inconsistencies in the scope/complexity of duties and responsibilities set for the same or similar work posts (i.e. heads of department, specialists, etc.).

Job analysis also gives analysts an insight into various issues related to the organisational structure. For instance, duplication of functions or sub-optimal coverage of a particular work process can often be uncovered.

#### Who conducts the job analysis and when?

Overall responsibility for the job-analysis exercise rests with the HRM department. They are in charge of organising and implementing the exercise and it is the HRM manager who prepares the job-analysis report.

However, the process of conducting structured interviews (especially in larger organisations) is often left to a group of **trained analysts**. This increases the chances of getting the most out of the interviews as the analysts will be familiar with a particular functional area. Usually, each organisational unit nominates one or more people who are given thorough training in job analysis. This training may be delivered by HR staff members or, depending on the circumstances, by an outside expert.

The work of these trained analysts is coordinated and monitored by the HR Department.

#### How is job analysis conducted?

##### a) Defining the scope of job analysis

Institutions that embark on conducting a job analysis often decide to include all jobs/work posts. However, depending on the circumstances, the scope of the job analysis can be narrower. For instance, some institutions may decide to analyse only managerial jobs, only civil-service jobs, or even jobs from a single functional area (e.g. legal, procurement, etc.).

The decision about the scope of the JA exercise rests with senior leadership but the recommendation should come from the HR department.

### **b) Defining methodology**

Depending on the circumstances, a JA can be carried out in several different ways. For instance, analysis of jobs in a production company can be carried out using a combination of methods such as observation and logbooks. In this way, an analyst collects data about the most important issues dealt with by a particular work post.

However, such an approach is not suitable for jobs in a public administration. This is because the majority of jobs in the public administration focus on tasks such as strategic planning and policy making, provision of advice, development of regulatory instruments, provision of legal opinions, development of analytical documents, organisation of events, etc. These jobs are not routine or repetitive and, as such, analysing them through observations or even by recording a pattern of activities would not produce the desired results.

Therefore, the method for analysing jobs in the area of public administration has to allow for a comprehensive structured discussion with actual incumbents. For the discussion to be comprehensive, all aspects of a job should be examined, starting with the very purpose of the job, its main duties and responsibilities, and frequent contacts (both internal and external), and ending with the required professional profile of the incumbent.

Furthermore, in order to enable a structured discussion/interview, a standard questionnaire which should be used to guide the discussion.

### **c) Nominating analysts**

There are two main points to remember when it comes to selecting prospective analysts: a) the person must be well acquainted with the work processes; b) the person should possess solid work experience and have a good professional reputation.

Knowledge of the work processes is important because some incumbents tend to exaggerate the significance of a job while others tend to withhold information. Only analysts with good knowledge of the whole functional area (and the job itself) will be able to steer the discussion and eventually derive an objective input. In addition, an analyst should be someone with solid work experience (min. 3 years) and an impeccable record as a competent and honest professional. Besides giving the whole exercise the necessary credibility, such persons will face much less resistance from those who oppose the exercise or have a lukewarm attitude towards it.

The number of job analysts depends on the scope of the analysis and the time available. In regular circumstances, a single analyst should be able to do 3-4 interviews per day.

Analysts should be nominated by the heads of the highest organisational units in an institution, based on recommendations received from the mid-level managers (i.e. heads of smaller organisational units).

### **d) Delivering training for job analysts**

Nominated analysts should attend a day-long training course on how to conduct a job analysis. This training should be designed to familiarise the prospective analysts with the purpose of the exercise and to give them a step-by-step guide on how to carry out the JA interviews. In the course of the training, analysts should have a chance to conduct mock interviews using the actual JA questionnaire.

Depending on the circumstances, JA training can be carried out by an HR department (provided that such expertise exists internally). Alternatively, JA training can be conducted by outside experts using the Training of Trainers approach (i.e. HR staff trained together with the group of designated analysts) as it strengthens the institution's internal capacities and gives more sustainable results.

### **e) Conducting JA interviews**

Past experience shows that good preparatory work is crucial for a good and informative interview. Here, the most important thing is to make incumbents fully aware of the purpose of the JA exercise and its requirements. No staff member should be surprised to learn that his/her post will be analysed and none should be asking the analyst questions about the exercise on the day of the JA.

It is critical for the incumbent to feel like he/she can speak about his/her job duties and responsibilities freely without making an effort to stay within the remits of the current job description. The very purpose of the exercise is to collect data about actual duties and responsibilities in the work post. Possible mismatches between the duties and responsibilities found in the current job description and those listed by an incumbent during the JA interview will provide management with a clear indicator that there is a need for change. The same can be said about the data concerning the professional profile (i.e. education, work experience, competencies) of the person who is supposed to perform the listed duties and responsibilities.

From the technical point of view, JA interviews should be conducted in a one-on-one setting. This means that large offices with many people present should be avoided as an interview location. An incumbent should be given a chance to speak freely and without any interruptions. The best solution is to have a dedicated room where all interviews will take place. Past experience shows that the minimum time required for an interview is 60 minutes, but analysts should be prepared to have discussions lasting between 90 and 120 minutes.

### Forming and tasking the Work Group for JA

Analysing and interpreting the data collected via a job analysis is arguably the most critical part of the whole exercise. It is at this stage that all issues which surfaced during the JA interviews are examined and acted upon. For instance, if a particular incumbent states that his/her job requires a minimum of three years of work experience, and such opinion contravenes the requirements found in the current job description, it is of critical importance that the analysts decide whether or not it is appropriate to change the work experience requirement. Naturally, the final JA report should contain the list of all issues debated as well as justifications for the actions taken (or not taken).

Considering the scope and complexity of issues that may arise at the level of an institution, it is recommended that an interdepartmental working group (WG) be created consisting of 5–10 experienced professionals. The tasks of this group would be to:

- analyse data collected via the job analysis and compare it with the data found in the current job descriptions;
- suggest changes to the text of current job descriptions as and when new data calls for that (new data can come from the JA questionnaires or can be obtained via additional consultations with relevant individuals);
- formulate recommendations for the senior management regarding the structural and functional aspects of the organisation.
- Structural changes refer to various new arrangements at the level of an organisation and such changes may include: increase/decrease in the number of work posts, possible splitting or merging of work posts, transfer of work posts from one organisational unit to another, etc.
- Functional changes occur within a specific work post and may involve: change in the title of a work post, introduction of new duties/responsibilities within a work post, change in the required competency profile, etc.
- produce a final report for the senior management.

Members of the working group are free to consult with any individual from the institution in which the JA exercise is taking place if such consultations are deemed necessary (in order for the WG to reach an informed decision).

### Developing the final JA report

Members of the working group are required to produce a final report on the JA exercise for the senior management of the institution. It is expected that the management will use the recommendations listed in the final report to initiate the required structural and functional changes.

The overall time required for the completion of the JA exercise depends on the following factors:

- size of the institution (i.e. the number of work posts to be analysed);
- competence of the job analysts;
- efficiency in the work of the WG;
- commitment of the senior management.

In normal circumstances (i.e. the fact that the exercise is being conducted for the first time), an institution with around one hundred jobs will need an estimated 4–5 months to complete the exercise.

## Conclusions

A job-analysis exercise is key to updating job descriptions. Only relevant and well-written job descriptions can form the basis for HR decisions in areas such as workforce planning, recruitment and selection, performance appraisal and training and development. In addition, job-analysis exercises provide an opportunity for job holders to identify weaknesses in the current system and to suggest ways to improve work processes or to make the organisational structure more efficient.

Therefore, if the exercise is to succeed, it must have firm support from the leadership of the institution. It is only with such support that those involved in the process will feel motivated to maximise the benefits of the exercise. Naturally, doing it for the first time means that errors will be inevitable but every subsequent effort will surely yield better results.

## ANNEX 11

### JOB ANALYSIS QUESTIONNAIRE

#### 1. Basic Data

Department:	
Unit:	
Job title:	
No. of employees employed at this post:	

#### 2. Information about the person interviewed:

Name:	
Immediate supervisor (enter the post only):	
Number of supervised posts and incumbents:	

#### 3. Purpose of the Job

Please describe in a clear and concise manner the purpose of your job. Your input should explain the reason why your job was created in the first place and what its significance is for the organization. What is your job's main contribution to the institution?

Do not describe how you perform your tasks. Avoid statements like: 'realisation of the department's activities ...', 'realisation of the Minister's activities ...', 'managing the department's activities ...'.

--

**4. Main areas of work**

Please group your work activities into several main areas of work. Make an indication of the percentage of time spent on each area of work.

In describing particular areas please use terms like “making decisions about ...”, “providing opinions about ...”, “monitoring of ...”, “management of ...”; “advising ... on ...”, etc. You can choose a more activity-based or more result-based style of writing. The second is preferable, though both are acceptable, but whichever you choose should be used consistently.

Rank	Main Areas of work	Percentage of time spent
1.		
2.		
3.		
4.		
5.		
<b>Total:</b>		<b>100%</b>

**5. Typical activities within each area of work (from section 4)**

Main areas of work consist of several typical activities that an incumbent performs in the job. Please bear in mind that activities listed here must correspond to the data given in the previous section. Try to link each activity to a specific output (e.g. collecting and analysing data in order to prepare reports.)

The number and nature of described tasks/duties will show the responsibility, diversity and character of the job. The number of tasks/duties performed in the job does not automatically allow us to make assumptions about the overall importance of the job. Some jobs only cover a few tasks but these are important and time-consuming. Do not provide a full description of how you perform particular tasks.

Area of work	Typical activities within each main area of work



Area of work	Typical activities within each main area of work



## 6. Contacts

Please, describe the frequency and purpose of contacts you have (within and outside of the institution) and the level of contacts. When you interact with others, do you normally represent your department, office or institution? If so – how?

Internal contacts – within institution:		
Name of the org. unit that you have contacts with	Purpose	Frequency (daily, weekly, monthly)

External contacts:		
Name of the institution that you have contacts with	Purpose	Frequency (daily, weekly, monthly)

## 7. Professional profile of the incumbent (education, work experience and competencies – knowledge, skills and personal characteristics)

Please specify the requirements for this job:

- a) Education and work experience
- b) Competencies

This part should describe the minimum qualifications required to perform the job well.

The respondent is not necessarily expected to confirm the requirements set out in the current job description; instead, the purpose of this section is to examine the existing requirements critically and to ensure they are realistic.

Level and type of education, years of work experience required	
Required technical/specialist knowledge and skills	

<b>Desired technical/ specialist knowledge and skills</b>	
<b>Required personal competencies</b>	

The following table contains a competency framework that will complement the requirements for the post. Based on your own personal opinion and experience in this job, please indicate how important you think it is for a staff member in your position to be able to perform well each of the competencies listed. If you wish to include other competencies that you feel are critical for the job, please do so in the space provided.

<b>Competency Title</b>	<b>Very important</b>	<b>Important</b>	<b>Not important</b>
<b>1. Communication</b> (Receiving, processing and transferring clear and precise information in oral and written form, using appropriate language, within his/her own organisation/institution and with external organisations/institutions).			
<b>2. Team work</b> (Creating and maintaining productive working relations inside the team; recognising individual contributions. Coordinating assignments between team members. Maintaining and developing appropriate networks across government and their institution).			
<b>3. Leadership</b> (Establishing favourable working environment, encouraging, motivating and developing people, with the aim of achieving high-quality work, inspiring people with his/her clear sense of vision and purpose).			
<b>4. Continuous improvement</b> (Ability to evaluate the quality of employees' work, keeping in mind natural and gained skills and knowledge. Planning and enabling continuous improvement of their, as well as of his/her own professional knowledge and skills, with the aim of achieving high-quality work results. Taking positive steps to improve the quality of the services offered by their unit/institution).			
<b>5. Information analysis, strategic planning and decision-making</b> (The ability to maintain an overview of the current situation. Foreseeing the long- and short-term perspectives of the Institution's mission and business plan, based on information collected from a range of sources. Making well-reasoned and sound decisions).			
<b>6. Tactfulness</b> (The ability to deal with others in difficult situations without offending them)			

Additional competence #1			
Additional competence #2			

**8. Additional information about the interviewee:**

How long have you been working in this position?	
Is this your first job in the institution?	
If the answer is NO – please state in which positions you have worked previously?	
If the answer is YES – please name the institution and job at which you worked previously?	
Date of completing the questionnaire:	
Name of the analyst:	
Signature of the analyst:	

**9. Comments and suggestions**

This section is reserved for the comments and/or suggestions that an employee may have in relation to his/her work post. Comments and suggestions may be related to any aspect of the post, including the necessary/desirable job requirements as well as possible problems related to the duties and responsibilities. While it is not mandatory for the employee to make a comment or suggestion, they should feel free to contribute ideas if they wish.

## ANNEX 12

### WORKLOAD ANALYSIS QUESTIONNAIRE

The aim of this questionnaire is to determine the workload level for those positions that are a subject of the job analysis.

It is of utmost importance that you give realistic and substantiated answers to the questions. Attempts to deliberately exaggerate or minimise the problems related to the level of your workload are likely to result in wrong conclusions regarding the staffing needs of the institution. Furthermore, it may increase the risk of strife and discord among the employees and, in some cases, may even jeopardize the health of individuals.

Final recommendations in relation to potential workload issues will also take into consideration information collected about similar jobs in other institutions.

**1. Has your workload increased over the past year?**

- Yes
- No
- I do not know

**2. Have you had to do overtime over the past year due to your workload?**

- Yes
- No

**3. If you believe that you need to extend your work hours in order to complete your assignments, please specify how much overtime you need (on a daily basis):**

- Less than 10 minutes
- Between 10 and 30 minutes
- More than 30 minutes
- More than 60 minutes
- More than 90 minutes

**4. Does your workload have a negative impact on your private life?**

- Yes
- No

If 'Yes', please give an example (optional).

**5. Have any of the reasons listed below affected your workload:**

- institution's inability to fill vacant positions
- additional duties and obligations
- inefficient use of human resources
- inability of others to perform their duties satisfactorily
- inefficient procedures
- unrealistic deadlines

**6. Do you think your workload affects your health?**

- Yes
- No
- Not sure

**7. Have you had to take sick leave in the past year due to an excessive workload?**

- Yes (specify the number of days:.....)
- No

**8. Which of the following statements best describe your situation:**

- Generally speaking, my workload is tolerable.
- Sometimes it is difficult for me to complete all of my assignments during work hours.
- My excessive workload is a major source of stress for me.
- It would be easier for me to tolerate an increased workload if I were paid extra money.
- Bearing in mind the overall situation in the country, I consider myself privileged to have this job and I do not find it difficult to make an extra effort when required.

**9. Do you think that some of the following improvements could alleviate the problem of excessive workload?**

- Better communication among colleagues, including cross-divisional communication.
- Better work atmosphere.
- Greater willingness from colleagues to stand in solidarity with those who have more work and help them in some way.
- A different management style by my immediate supervisor.
- Payment of overtime.

**10. In your opinion, what needs to be done in order to eliminate or at least alleviate the problem of excessive workload?**

## ANNEX 13

### JOB DESCRIPTION FORM

1. Institution:
2. Work post/Category:
3. Organisational unit:
4. No. of incumbents:
5. Reports to:
6. Purpose of the work post:

--

7. Duties, responsibilities of the work post<sup>1</sup>:

Areas of Work	Time allocation (in %)	Main Duties and Responsibilities in each Area

## 8. Contacts

Type of Contact	Organisational Unit/ Institution	Purpose	Frequency
<b>Internal</b>			
<b>External</b>			

## 9. Work post requirements (i.e. profile of the incumbent – education, work experience, competencies):

Required Education (Level and Area)	Required Work Experience (No. Of Years And Type)	Key Competencies (Knowledge, Skills and Personal Characteristics)

Incumbent

Immediate Supervisor

Head of Institution

.....

.....

.....

Date

.....



## ANNEX 14

### COMPETENCY-BASED TESTING: TIPS AND RECOMMENDATIONS

Competency-based testing is usually associated with an interview but may also come in the form of a written test. The term 'competency' refers to an individual's specific quality related to knowledge, skills and personal attributes.

Testing candidates' competencies is a popular selection method among public-sector institutions as it offers a solid insight into a candidate's future behaviour at work (based on the notion that past behaviour is the best predictor of future behaviour). In addition, given the ever increasing commercialisation of tertiary education (especially in the transitional countries), institutions can rely on competency tests to help them separate candidates who can back up their formal qualifications with substance from those who can't.

This document is designed to offer a set of practical tips and recommendations for both those who will ask the questions (i.e. committee members) and those who will answer (i.e. candidates). Otherwise, those who simply wish to learn more about the concept and process of competency-based selection can also consult some guides that are freely available online.<sup>1</sup>

#### Competency-Based Interviews: Tips for Committee Members

- ⇒ Make sure to allocate at least 20 minutes per candidate (30 minutes for managerial jobs).
- ⇒ Recruitments to the public sector usually generate solid interest among potential applicants. The more of those who make it to the interview, the more likely it is that the time available per candidate will be decreased. In such situations, committees will be forced to pick a couple of key competencies that they intend to probe into. This is an important decision; base it on the job description and the advice of the committee members who have the most knowledge of the job duties and responsibilities.
- ⇒ Nowadays, interview questions are often picked at random by a computer from a large pool of questions, but in many instances committee members are also asked to prepare questions themselves. In such case, questions should be prepared based on the content of the job description using the typical format for competency-based selection. Each committee member should be given a chance to prepare an equal number of questions that will then be discussed in a committee meeting prior to the interview. Questions that do not meet the required criteria should be improved or replaced. The final set of questions should be decided upon as close to the actual interview as possible (to prevent any potential leaks).
- ⇒ All candidates should be asked the same questions. Follow-up questions are acceptable but only for clarification purposes; they should not lead the candidate to answer another set of questions.
- ⇒ Competency-based selection does not need to be confined to behavioural tests. So-called technical competencies can also be assessed using oral or written tests. This is especially applicable in tests for foreign-language proficiency as the committees can decide to ask a candidate to answer one of the questions in the required foreign language. Naturally, members of the committee should be able to assess the level of proficiency but if they do not possess the required knowledge, those in charge of the testing can engage an additional committee member for this purpose alone.

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<sup>1</sup> Those who are interested may download a free pdf version of the Manual for the use of competency framework (2015) at <http://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-ENG.pdf> prepared as part of the EU-supported HRM project in Bosnia and Herzegovina.

### Competency-Based Interviews: Tips for Candidates

- ⇒ Expect to get open-ended questions. These questions typically start with: *Tell us about a situation when...* Also, depending on the amount of time available, the selection committee may decide to focus on probing into one or a maximum of two competencies.
- ⇒ As an applicant, you are expected to present a specific example that will show the committee members that you are a serious contender for the job. You will not have too much time so try to prepare well. You should rehearse at home but it is important not to overdo it in order not to sound too artificial. Be calm and focused and, importantly, do not use jargon.
- ⇒ The committee may use a hypothetical scenario to see whether you are capable of reacting fast to offer solid potential solutions. In this situation you should improvise to a certain extent, but the best thing to do is listen to your gut feeling and tell them how you would really react.
- ⇒ When preparing, remember to consult the central HRM bodies; their websites will usually offer some useful information. For instance, public-sector jobs usually have common or generic competencies in addition to the job-specific ones. Learn about the generic competencies and try to prepare for possible questions on those. In addition, the job advertisement will list the competencies needed for the particular job (if it does not, ask for the list), so you can use them to prepare for the interview.
- ⇒ Give examples that are genuinely yours. Committee members may ask follow-up questions which will compel you to expand on your story. If your story is invented, you may find yourself in a situation that will show that you are making it up. If you have no personal experience to rely on, be honest and admit it and then explain that you will base your answer on what you would do if faced with that specific situation.
- ⇒ When you answer the question it is crucial to give the impression that you are systematic and coherent. To achieve that, HRM experts suggest using the STAR technique:
  - **Situation** – explain the context/circumstances to the committee members (e.g. Why is it relevant? When and where did it happen?).
  - **Task** – Describe your challenge.
  - **Action** – Describe what you did to overcome the challenge or to resolve an issue.
  - **Result** – Emphasise the result/outcome and clearly indicate your role in it.
- ⇒ When responding to the questions be thoughtful and precise. Don't be afraid to take a moment before answering (or until you find the best term to express yourself). Don't make your answers too short, but make sure you are speaking about something that is relevant – be careful not to drift into something that you are familiar with but is irrelevant to the question asked.
- ⇒ If the committee offers you an opportunity to ask a question, take it. Of course, you should not ask more than one or two questions but this is a good opportunity to show that you have prepared for the interview and that you seriously want the job. Usually, people ask about development opportunities, use of specific technologies, access to information, etc.
- ⇒ Competency-based tests can be administered in written form as well. The purpose of the written test, as well as the logic in creating questions, is the same as that of the interview. Also, the STAR technique still applies when answering the question. However, written tests usually allow more time for answering. This provides candidates with a chance to be even more systematic and concise in answering the questions.

## Typical Competency-Based Questions

### Question #1

Tell us about a time when your communication skills improved a situation.

Targeted Competency: Ability to communicate well

### Question #2

Give an example of a time you identified a new approach to a workplace problem.

Targeted Competency: Problem-solving skills

### Question #3

Describe a situation when you had to overcome a number of obstacles to achieve an objective.

Targeted Competencies: Problem-solving skills, result-orientation

### Question #4

Give an example of a situation where you had to deal with a conflict

Targeted Competencies: Ability to communicate well, flexibility, ability to work under pressure

### Question #5

Give us an example from your past experience where you demonstrated strong ethical principles.

Targeted Competency: Personal integrity

### Question #6

Give us an example which demonstrates that you are capable of retaining your professional independence if challenged.

Targeted Competency: Ability to act in a professionally autonomous manner

### Question #7

Give us an example from your past experience where your analytical skills led to a positive outcome.

Targeted Competency: Analytical skills

### Question #8

Tell us about an instance when you managed to assist your colleague or subordinate in getting new knowledge/skills.

Targeted Competencies: People development skills, teamwork

### Question #9 (relevant for managerial jobs)

Tell us about an instance when your work planning and organisation skills led to a positive outcome.

Targeted Competencies: Ability to plan and organise work

### Question #10 (relevant for managerial jobs)

Give us an example from your past experience where you demonstrated your leadership qualities.

Targeted Competency: Leadership ability

# ANNEX 15

## CANDIDATE ASSESSMENT FORM FOR A JOB INTERVIEW

Candidate:	Institution:
Work Post:	Date:

Rating scale: 1 – Unsatisfactory; 2 – Satisfactory; 3 – Good; 4 – Very good.

Assessment criteria	Marks
Professionalism	
Motivation	
Communication skills	
Analytical thinking/Problem-solving skills	
Additional criteria	

Total points (sum of all marks divided by number of criteria): .....

Summary of observations	
Candidate’s key strengths:	Candidate’s main challenges:

Panel member signature: .....

### Guide to Scoring

Criteria	Scoring
<b>Professionalism</b>	<b>1</b> Objectionable behaviour (i.e. too casual, lacks respect for the panel members, inappropriate vocabulary).
	<b>2</b> Both behaviour and demeanour are just acceptable.
	<b>3</b> Displays good professional and respectful behaviour (i.e. talks politely, shows respect for the panel members).
	<b>4</b> Very good professional behaviour and manners (i.e. measured, polite, eloquent, adaptable).
<b>Motivation</b>	<b>1</b> Shows little enthusiasm for the job; very limited knowledge of the institution and its role in the public administration.
	<b>2</b> Displays some awareness of the institution's role; demonstrates some enthusiasm for the job.
	<b>3</b> Sound knowledge of the institution's role in the public administration; gives the impression that he/she really wants the job.
	<b>4</b> Excellent knowledge of the institution's role in the public administration; gives the impression that he/she will excel in the job.
<b>Communication skills (written and verbal)</b>	<b>1</b> Communication skills are below the expected level; candidate encounters obvious difficulties in expressing an opinion.
	<b>2</b> Communication skills are at a basic level; candidate encounters some difficulties in expressing an opinion.
	<b>3</b> Sound communication skills; candidate encounters no difficulties in expressing an opinion.
	<b>4</b> Excellent communication skills; candidate comes across as very well organised in written communication and is equally eloquent when expressing himself/herself verbally.
<b>Analytical thinking/Problem-solving skills</b>	<b>1</b> Poor ability to analyse the problem/situation given in the testing process.
	<b>2</b> Limited ability to analyse the problem/situation given in the testing process.
	<b>3</b> Sound analytical skills (i.e. logical reasoning, able to break the problem into different components).
	<b>4</b> Excellent analytical skills (i.e. very sharp reasoning skills, able to see the problem/situation from several angles, able to draw sound conclusions).

Total score: .....

## ANNEX 16

### EXAMPLES OF ESSAY-TYPE TEST QUESTIONS

In order for public-sector institutions to develop effective essay-type tests, they should remember that an essay question needs to meet the following four criteria (based on John M. Stalnaker's work):

1. **Responses should be composed rather than selected**
2. **Responses should consist of more than one sentence**
3. **Responses should allow subjective judgement**
4. **Responses should allow originality or authenticity**

In practice, an essay test for the post of Head, HRM Department in a public-sector institution could look like this:

1. It is often said that HRM in the public sector is 'not strategic enough', meaning that the HRM practice does not go beyond administration of personnel affairs. Do you agree with this statement? Please elaborate your answer.
2. Please compare and contrast the position-based vs. career-based recruitment systems. In your opinion, which one is more suitable for the institution and why?
3. What will be your first three actions once you assume the post of Head, HRM Department? Please list the actions based on their importance and provide an explanation for each.
4. Performance appraisal is futile unless its results affect decisions in the areas of promotion, payment of bonuses and termination of employment. Do you agree with this statement? Please elaborate your answer.
5. Please give an outline of your plan to improve standards of integrity among public servants in the institution.

In order to ensure consistency in the rating of candidates, it is necessary for the selection committee members to agree on the expected content of the responses to the above questions.

**Example:** *Please give an outline of your plan to improve standards of integrity among public servants in the institution.*

- **40% - Understanding of the concept** (shows knowledge of what integrity is all about; makes the right distinction between integrity and ethics)
- **40% - Creativity in proposing concrete activities** (proposes activities such as introduction of training plan, appointment of integrity officer, improvement of integrity mechanisms such as protection of whistleblowers, etc.)
- **20% - Clarity of presentation** (demonstrates ability to present information in a clear and comprehensible manner; shows good writing skills)

## ANNEX 17

### STAFF INDUCTION CHECKLIST

The checklist covers the actions that institutions should take in connection with the start of the employment relationship with a new employee. Although it is generic in nature, the checklist can be of relevance for all public-sector institutions (especially their HRM units) when developing a new or remodelling an existing induction procedure.

#### Prior to commencing work

Action	Responsible Party	Remarks
Communicate appointment decision	Central HRM institution or HRM unit of the recruiting institution	Candidate should be asked to formally accept the offer before the process can proceed
Confirm start date	Central HRM institution or HRM unit of the recruiting institution	Proposed start date should be suitable for both parties
Arrange who will welcome the candidate on the first day	Central HRM institution or HRM unit of the recruiting institution + immediate supervisor	
Prepare staff ID card and obtain security clearances	Central HRM institution or HRM unit of the recruiting institution + Security unit	In some cases, ID cards cannot be produced in advance as the newcomer must be photographed first
Make arrangements to ensure the office equipment and office space is in place and ready to be used (desk, chair, computer, phone, etc.)	Central HRM institution or HRM unit of the recruiting institution + immediate supervisor	Having these matters sorted out gives newcomers a positive first impression of the employer
Forward information about the newcomer to the Finance unit (i.e. payroll)	Central HRM institution or HRM unit of the recruiting institution	
Hand over induction kit (ID card, email credentials + instructions on how to access digital documents)	Central HRM institution or HRM unit of the recruiting institution + IT unit	Induction kit should contain as few hard-copy documents as possible. Information should be in digital format (e.g. shared folder, memory stick, etc.)

#### First day at work

Action	Responsible Party	Remarks
Send welcome email to the new employee	Central HRM institution or HRM unit of the recruiting institution	

Sign employment documents	Central HRM institution or HRM unit of the recruiting institution	This includes all paperwork that will ensure normal day-to-day work (from bank details to car number plate)
Present employment policies/ regulations	Central HRM institution or HRM unit of the recruiting institution	
Issue security pass	Central HRM institution or HRM unit of the recruiting institution + Security unit	
Complete tour of the institution	Central HRM institution or HRM unit of the recruiting institution	Meeting colleagues in other departments + getting to know the building (e.g. copy machine/ printer, cafeteria, toilets, etc.)

### Subsequent induction activities

Action	Responsible Party	Remarks
Conduct HRM briefing (key information about the institution, its purpose and responsibilities; organisational chart + introduction to colleagues in key posts; briefing about health and safety procedures, etc.);	Central HRM institution or HRM unit of the recruiting institution	After this presentation, the immediate supervisor takes responsibility for the candidate
Conduct performance management interview (explain the assessment process, define performance expectations)	Immediate supervisor	



# ANNEX 18

## INDUCTION EVALUATION FORM

Employee:	
Job Title:	
Org. Unit:	
Supervisor:	
Start Date:	
Induction Period:	

Were you personally welcomed by someone on your first day of work?	Yes	No
Please describe your experience briefly.		

Have you been introduced to your colleagues?	Yes	No
Please describe your experience briefly.		

Do you feel that you have received sufficient information about your new organisation and your job?	Yes	No
Please describe your experience briefly.		

Do you think that additional information would have been helpful?	Yes	No
---	-----	----

If 'yes', what kind of information?

Overall, how would you rate the support you received from the HRM unit? (1-weak, 2-satisfactory, 3-good, 4-very good, 5-excellent)	1	2	3	4	5
---	---	---	---	---	---

Please describe your experience briefly.

Overall, how would you rate the support you received from your supervisor? (1-weak, 2-satisfactory, 3-good, 4-very good, 5-excellent)	1	2	3	4	5
--	---	---	---	---	---

Please describe your experience briefly.

**Date:**.....

**Employee's additional comments:**

**Supervisor's comments:**

**Employee's signature** .....

**Supervisor's signature** .....

# ANNEX 19

## PERFORMANCE APPRAISAL FORM<sup>1</sup>

Appraisal Period:.....

### General Information

Employee:	
Work Post:	
Org. Unit:	
Institution:	
Direct superior (name and work post)	
Manager of the direct superior (name and work post)	

### Appraisal of Work Objectives

Date when the objectives were set: .....

Performance grades: 1 – Unsatisfactory; 2 – Average; 3 – Solid; 4 – Exceeds expectations.

<b>Objective 1:</b>					Deadline:
Grade:		Comment (direct superior):			
1	2	3	4		

<b>Objective 2:</b>					Deadline:
Grade:		Comment (direct superior):			
1	2	3	4		

<sup>1</sup> This is an amended version of the document originally developed in 2011 as part of the project Development of Performance Management System in the Civil Service Structures of Bosnia and Herzegovina (financed by PAR Fund)

<b>Objective 3:</b>					Deadline:
Grade:		Comment (direct superior):			
1	2				

<b>Objective 4:</b>					Deadline:
Grade:		Comment (direct superior):			
1	2				

<b>Objective 5:</b>					Deadline:
Grade:		Comment (direct superior):			
1	2				

<b>Average grade 1</b> AG1 = sum of all grades/no. of objectives)	
--	--

**Appraisal of Standard Criteria**

Please circle the grade that accurately reflects the staff member’s performance.

Criteria	Grade	Comment of the direct superior
Autonomy in performing his/her duties	1 2 3 4	
Motivation and work attitude	1 2 3 4	
Creativity and initiative	1 2 3 4	
Ability to analyse and present information	1 2 3 4	
Readiness to adapt to change	1 2 3 4	

<b>Average grade 2</b> AG2 = sum of all grades/5	
---	--

**Overall Score**

Overall score OS = (AG1 + AG2)/2	
-------------------------------------	--

**Descriptive Grades**

- Unsatisfactory performance (1.00 to 1.50)
- Average performance (1.51 to 2.50)
- Solid performance (2.51 to 3.50)
- Exceeds expectations (3.51 to 4.00)

Overall descriptive score	
---------------------------	--

**Professional Development Needs**

Type and Area of Recommended Development	Justification

**Verification of the Process**

Employee’s additional comments:

Employee’s signature .....

Direct Superior’s comments:

Direct Superior’s signature .....

Direct Superior’s Manager’s comments:

Direct Superior’s Manager’s signature .....

## ANNEX 20

### PERFORMANCE MONITORING FORM

This form is designed to facilitate the assessment of individual performances among employees. The aim is to enable a manager to substantiate the performance-appraisal grades by systematically entering information about their subordinate’s work.

Performance is monitored continuously using two main parameters: 1) outputs produced, and 2) behaviour displayed.

Outputs represent any form of accomplishment achieved during a staff member’s work (e.g. reports produced, letters drafted, ideas generated, etc.). Managers should track such instances and enter data about the quality and timeliness of these outputs.

Behaviour refers to the manner in which an employee carries out their job duties, including communication with others, flexibility, team work, positive thinking, etc. The employee’s behaviour can have a positive or negative impact at work and should also be assessed by the manager.

If there are additional points to be made they should be entered in the ‘Comments’ column. Performance monitoring is conducted separately for each performance objective.

Performance period: ..... to .....

Performance Objective #1				
<b>Outputs</b> (results that an employee produces at work)	Log date	Quality	Punctuality	Comments
<b>Behaviour</b> (the manner in which an employee carries out his/her duties)	Log date	Positives	Negatives	Comments

Performance Objective #2				
<b>Outputs</b> (results that an employee produces at work)	Log date	Quality	Punctuality	Comments
<b>Behaviour</b> (the manner in which an employee carries out his/her duties)	Log date	Positives	Negatives	Comments

Performance Objective #3				
<b>Outputs</b> (results that an employee produces at work)	Log date	Quality	Punctuality	Comments
<b>Behaviour</b> (the manner in which an employee carries out his/her duties)	Log date	Positives	Negatives	Comments

Performance Objective #4				
<b>Outputs</b> (results that an employee produces at work)	Log date	Quality	Punctuality	Comments
<b>Behaviour</b> (the manner in which an employee carries out his/her duties)	Log date	Positives	Negatives	Comments

Performance Objective #5				
<b>Outputs</b> (results that an employee produces at work)	Log date	Quality	Punctuality	Comments
<b>Behaviour</b> (the manner in which an employee carries out his/her duties)	Log date	Positives	Negatives	Comments



## ANNEX 21

### SETTING INDIVIDUAL PERFORMANCE OBJECTIVES: TIPS FOR MANAGERS

#### Why set performance objectives?

It is often said that what cannot be measured cannot be managed. It is often very difficult to measure and manage performance for jobs in public-administration institutions. The outputs that public servants produce are subject to different assessment criteria than those in, say, private companies. In short, while employees in private companies are focused on contributing to achieving a higher profit or a better market position for their companies, those employed in the public sector are focused on tasks and responsibilities whose common denominator can be defined as the protection of the public interest.

This difference in the public sector's end goal creates two separate sets of norms and values which subsequently lead to the formation of distinct work cultures that, among other things, represent different ideas of what constitutes efficiency and effectiveness. For instance, a public institution's adherence to long procedures in recruitment or public procurement may look like a waste of time to an outsider (especially to those coming from private companies), enforced standards of transparency may look 'over the top', and strict regulations regarding conflicts of interest may be seen as an impediment to attracting talent. However, if one looks at these same aspects from the perspective of the public interest, it becomes clear that thorough procedures – which may sometimes be lengthy – have a better chance of ensuring equal opportunities, while transparency and strict regulations regarding conflicts of interest ensure professionalism and integrity.

However, the fact that public-sector jobs are subject to a specific understanding of the notion of performance does not mean that performance management should be axed from the public sector altogether. Quite the contrary! Citizens' demands for efficient, effective and responsive public institutions have never been so strong. Meeting these demands will be simply impossible unless institutions find a way to get optimal results from each individual employee. Meanwhile, those employees expect to be given tasks which are interesting and challenging and they want their supervisors to provide them with feedback about how well they perform.

So, even though distinct in their purpose and mission, public-sector institutions need to find a way to measure the performance of their employees. While this may not always be a straightforward task, and the criteria used may often be very specific, differentiating between suboptimal, average and outstanding performance is critical. Otherwise, employees may come to the conclusion that identifying and managing these differences do not matter to their employers at all. If that happens, institutions will quickly realise that measuring individual performance may be challenging but not measuring it is far more dangerous.

#### Setting performance objectives: general tips and recommendations for managers

- ⇒ Before commencing the process of defining performance objectives, a manager should make sure that the duties and responsibilities linked to the job are well-written and relevant. If the duties and responsibilities are disconnected from what the institution really needs, an employee may end up meeting goals whose net contribution to the organisation is very limited.
- ⇒ A manager should apply a hands-on management style, take an interest in what subordinates do and make an effort to learn about issues and challenges they face on daily basis. This will create the basis for setting good performance objectives.
- ⇒ Allow subordinates to take an active part in the process of setting their own performance objectives. Yes, employees may be subjective but a manager who knows their work 'inside out' should be able to

filter out their subjectivity. Giving staff a chance to take part in setting performance objectives will increase their motivation to attain them.

- ⇒ Do not insist on objectives that prove to be unrealistic or simply wrong. Mistakes can happen and they are often the result of circumstances that were impossible to foresee at the time when objectives were set. Acknowledge the new circumstances, revise the objectives and carry on.
- ⇒ Do not confuse objectives with activities. Activities are the actions taken to produce certain results and are generally described using verbs e.g. filing documents, answering customer questions, writing reports. Activities represent raw material that managers turn into performance objectives by making them SMART i.e. specific, measurable, attainable, relevant and time-bound.
- ⇒ As mentioned previously, developing performance objectives is not always straightforward but the efforts to do so generally pay off in the form of staff motivation and dedication. The golden standard in setting performance objectives is to make them SMART. Practically, this means the following:
  - **Specific** – for an objective to be specific it needs to have a well-defined result.
  - **Measurable** – give an indicator of progress. How would you know that you are on course to achieve it?
  - **Attainable** – do you have what it takes to achieve the goal? Sometimes it is a set of skills and experience that is required, sometimes financial support, and sometimes you simply need sufficient time.
  - **Relevant** – it should be linked to the set of duties and responsibilities outlined in the employee's job description. In some instances, the circumstances may call for an objective to be indirectly linked to the defined duties and responsibilities but its relevance is confirmed through that fact that it feeds into broader departmental or institutional objectives.
  - **Time-bound** – quite simply, an objective that does not provide a completion deadline can hardly be considered an objective.

### Setting performance objectives: a step-by-step guide

- ⇒ A manager needs to have a clear idea of what proper performance objectives look like. One way to get this is to answer the following three questions: WHAT SHOULD BE DONE? HOW SHOULD IT BE DONE? WHAT WILL SUCCESS LOOK LIKE?
- ⇒ The first question should help in defining why the particular task should be the subject of the employee's effort. This is closely linked to the expected results. Therefore, a manager must be able to have a good vision of the outcome. Action-oriented words should be used such as develop, provide, expand, etc.
- ⇒ The second question should facilitate working out the main elements of the objective. It will address the question of what standards of quality and comprehensibility the manager aims for (e.g. writing an in-depth report on the state of HRM practice based on desk research, data-collection interviews and focus groups). It will also result in determining certain milestones and a clear deadline for each. Defining the expectations in terms of quality, comprehensibility (quantity) and timing is crucial for the subsequent measurement of objectives.
- ⇒ The third question deals with the results or, to be more precise, what it means for the objective not to be met, to be partially met or to be fully accomplished. In other words, the third question is about identifying the objectively verifiable indicators of success. For instance, the goal mentioned in the previous section could be considered as fully accomplished if the report contains all the information and analysis that had been agreed to be included and if its findings are deemed credible by senior management.
- ⇒ Following the logic described above, a possible performance objective may look like this:

*To develop a report on the state of HRM in the Ministry in the light of the high turnover rate registered in the last six months. The report should be comprehensive enough to inform future measures by the Ministry (recommendations required!). The content should rely on extensive use of graphs and tables. Milestones: PowerPoint presentation of the findings (for HRM staff only) by mid-September. Deadline: 1<sup>st</sup> October.*

- ⇒ Once the objective is set, it is advisable for the manager to double-check whether it meets the SMART requirements.
- **Specific** – the objective is clear and specific.
  - **Measurable** – the objective can be measured both in terms of the kind of content it will offer (i.e. comprehensive and informative) and the timing (i.e. deadlines for the milestone and overall completion are both set). Furthermore, reactions from senior management will give an indication of the overall quality of the report as well.
  - **Attainable** – it is attainable as all the resources needed (i.e. expert skills, access to data, time) are or should be readily available.
  - **Relevant** – the objective is defined in direct response to a problem that poses a serious challenge for the ability of the institution to carry out its duties. Therefore the relevance of the objective is ensured.
  - **Time-bound** – the objective has a clear deadline.
- ⇒ When it comes to assessing whether objectives have been met, it is useful for managers to remember that each objective should be subject to three main types of measurement:
- **Quality** – shows the kind of qualitative change that took place. Indicators of success can be feedback from (or satisfaction levels of) those who are supposed to benefit from the results or those who are sufficiently qualified and competent to assess the results (e.g. professional organisations, experts in the field);
  - **Quantity** – represented by some kind of quantifiable achievement (e.g. turnover reduced by 70% in the last six months)
  - **Timeliness** – visible by observing the timeframe within which the task(s) has been accomplished.

### Examples of individual performance objectives in public-sector jobs

#### Example #1:

To provide input for the institution's new gender policy by addressing the following issues (...) and expressing your own views on possible ways to improve gender balance and reduce discrimination. Deadline: 15<sup>th</sup> December.

#### Example #2:

To improve public speaking skills to the extent that will enable you to deliver effective public presentations and/or face media representatives in a professional and confident manner. Deadline for improvement: end of the current year.

Note: Head of Public Relations department will assist the supervisor in monitoring and assessing the progress.

#### Example #3:

To enhance legal drafting skills to the point that you will be able to draft error-free internal regulatory acts. Deadline: 15th December.

#### Example #4:

To provide heads of department with the training in the area of public procurement on how to write technical specifications. Training should address the problems with delayed tendering procedures as a result of poorly written technical specifications. Deadline: First group trained by mid-May; second group trained by mid-June.

#### Example #5:

To upgrade the current IT infrastructure in a way that will eliminate interruptions in the wireless signal across the Ministry's premises. Deadline: To be completed within 30 days.

## ANNEX 22

### METHODS OF PROFESSIONAL DEVELOPMENT

Public-sector institutions often refer to professional development as ‘training’. This is not only factually wrong – professional development is a wider concept that involves a number of methods including various forms of training activities – it is also harmful for the perception of professional development which, in this way, is reduced to a concept that is operational rather than strategic. In addition, such an approach contributes to the marginalisation of other methods of professional development.

The table below features examples of other methods of professional development, together with an indication of their nature and usability, that could be employed by public-sector institutions.

Method	Brief Description	Implementation
<b>Mentoring</b>	<p>An arrangement at work whereby an employee does their job under the observation and guidance of a more experienced colleague.</p> <p>The mentor’s goal is to support the employee in raising his/her level of work performance. It usually consists of three stages: establishing the relationship, seeking new understandings, and implementing and monitoring the plan of action.</p>	<p>Usually used when people take on a new role in an institution as a result of new recruitment or promotion (especially promotion from a non-managerial to managerial work post). Mentoring can also be employed when circumstances demand a quick transfer of knowledge and skills.</p> <p>Institutions should be aware of the need for such arrangements to be temporary in nature, as prolonged mentorships may lead to dependency.</p>
<b>Coaching</b>	<p>Systematic interaction between a coach and an employee to facilitate the employee’s learning, or a process of change deemed desirable from the organisational point of view.</p> <p>The essence of coaching is not so much knowledge transfer but rather unlocking the potential of the person who is being coached to learn and, in that way, effect the desired change.</p>	<p>Coaching can be an option when talented individuals can’t find a way to unleash their full potential and, in such cases, institutions may opt to assign a coach to help such individuals do so.</p> <p>Sometimes coaching is also suitable for situations in which a person has the competencies but lacks motivation.</p>
<b>Work shadowing</b>	<p>Is the process of observing a more experienced professional performing his/her daily work for the purpose of learning about the nature of job.</p> <p>Shadowing can last from a few hours to few days and represents an excellent opportunity for a newcomer to ask questions about the job.</p>	<p>When a new recruit is taken on board or when a staff member is transferred or promoted to a new job.</p>

<b>Secondments</b>	Sending an employee to work temporarily in another organisational unit or for another public institution/organisation.	Usually secondments take place as a result of the professional development needs of a particular employee, but can also be in response to the need for temporary job cover.
<b>Job rotation</b>	<p>A management technique of moving employees between different jobs or work posts.</p> <p>Generally, the aim of rotation is to expose people to different tasks and responsibilities within an institution in order to increase the level of their work engagement.</p>	In the public sector, rotations are sometimes employed as a tool for combating corruption; individuals working on corruption-sensitive posts are periodically shifted to other jobs in order to prevent the development and expansion of corrupt schemes (as a result of a prolonged stay in a single job). Job rotation cannot be used to move an employee upward or downward in the hierarchy, as such moves must follow promotion or demotion procedures.
<b>Self-learning</b>	<p>A process of acquiring knowledge and skills by oneself without any supervision.</p> <p>In the process of self-learning it is the individual who identifies what, when and how they need to learn. People who are motivated for self-learning bring added competencies to the institution (free of charge!), they set an example for other employees to follow and, in this way, they strengthen a culture of continuous learning.</p>	Use it in cases when required knowledge and skills are easily available online (no need to wait for formal training courses).

## ANNEX 23

### TRAINING NEEDS ANALYSIS (TNA) FORM – ORGANISATIONAL UNIT LEVEL

This form is designed to facilitate the identification of training needs at the level of an organisational unit. The Head of HRM (or Head of Training if there is such a unit) is in charge of conducting data-collection activities involving managers within internal organisational units. Each manager is supposed to provide input for the area he/she is responsible for. Methods of data collection may involve individual interviews or focus-group discussions.

The needs of organisational units have to be anchored in the strategic goals of the unit and those of the institution as a whole. In addition, training needs identified at the level of individuals, through the performance appraisal, should be systematised and also entered here. In this way, institutions ensure the cascading of objectives i.e. individual needs feed into departmental needs, and departmental needs feed into institutional needs.

Manager:	
Organisational Unit:	
Date of Analysis:	

Strategic Objectives of the Organisational Unit	
1.	
2.	
3.	
4.	
5.	

Key Tasks of the Organisational Unit	
1.	
2.	
3.	
4.	
5.	

Topic/Type of Training	Objective/Link to the Strategic Objective or Key Tasks	Priority Level/Budget	Proposed Attendees
1.			
2.			
3.			
4.			

5.			
----	--	--	--

**Definition of Terms**

- Type of training – in-house training, external courses, mentorship, study-visit, etc.
- Objective – what is the intended outcome of the training (or what need is intended to be addressed).
- Link to the strategic objective – indication of the strategic objective that the training will feed into.
- Priority level – indicates the urgency for particular training (e.g. Level 1 – training needed now; Level 2 – training needed within max. three months; Level 3 – training needed within a year; Level 4 – training needed within two years).
- Budget – are the financial means for training secured and from where (e.g. ministry’s budget, government budget, external assistance).
- Proposed attendees – vocational groups (i.e. legal professionals, HR professional), departmental heads, etc. Indicative number of training attendees should be included (names are not required).



## ANNEX 24

### TRAINING NEEDS ANALYSIS (TNA) FORM – INSTITUTIONAL LEVEL

This form is designed to facilitate the identification of training needs at the level of an institution. Institutional training needs are those that cut across different organisational units (e.g. language training, management training, etc.). The Head of HRM (or Head of Training if there is such a unit) is in charge of conducting data-collection activities involving senior managers (i.e. heads of senior-level organisational units in the institution). In principle, data should be collected through individual interviews with heads of organisational units but focus-group discussions can also be used.

The needs identified at the level of the institution have to be anchored in the strategic goals of the institution and, sometimes, even relevant national strategic goals. In addition, institutional needs also include an aggregated list of training needs identified at the level of organisational units (see Annex 23). In this way, institutions ensure the cascading of objectives i.e. individual needs feed into departmental needs, and departmental needs feed into institutional needs.

Strategic Objectives of the Institution	
1.	
2.	
3.	
4.	
5.	

Topic/Type of Training	Objective/Link to the Strategic Objective or Key Tasks	Priority Level/Budget	Proposed Attendees
1.			

2.			
3.			
4.			
5.			

**Definition of Terms**

- Type of training – in-house training, external courses, mentorship, study-visit, etc.
- Objective – what is the intended outcome of the training (or what need is intended to be addressed).
- Link to the strategic objective – indication of the strategic objective that the training will feed into.
- Priority level – indicates the urgency for particular training (e.g. Level 1 – training needed now; Level 2 – training needed within max. three months; Level 3 – training needed within a year; Level 4 – training needed within two years).
- Budget – are the financial means for training secured and from where (e.g. ministry’s budget, government budget, external assistance).
- Proposed attendees – vocational groups (i.e. legal professionals, HR professional), departmental heads, etc. Indicative number of training attendees should be included (names are not required).

## ANNEX 25

### TRAINING EVALUATION FORM

#### Part One.

Please provide us with your feedback on the training course by circling the option that best matches your opinion.

The rating scale: 1 = poor 2 = fair 3 = good 4 = very good 5 = excellent

1. What is your overall rating for this training course? 

1	2	3	4	5
---	---	---	---	---
  
2. What is your rating for the following aspects of the training course?
  - a) Instructor's knowledge of the subject 

1	2	3	4	5
---	---	---	---	---
  
  - b) Instructor's presentation style 

1	2	3	4	5
---	---	---	---	---
  
  - c) Usefulness of print materials 

1	2	3	4	5
---	---	---	---	---
  
  - d) Extent to which your expectations are met 

1	2	3	4	5
---	---	---	---	---
  
  - e) Quality of translation (if applicable) 

1	2	3	4	5
---	---	---	---	---

#### Part Two

Please give your opinion on the strengths and weaknesses of the training course.

3. What do you think were the main weaknesses of this training course?

4. What do you think were the main strengths of this training course?

5. Do you have any suggestions on how to improve similar training courses in the future?

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6. Any additional comments or suggestions?

## ANNEX 26

### TRAINING IMPACT ANALYSIS FORM

The purpose of this form is to determine the effects of a training course on an employee's individual work performance. The form is to be completed by the employee's manager/supervisor.

The manager is required to set training objectives in consultation with the employee. These objectives will serve as the basis for assessing the impact of the training course.

Upon completion of the training course, the manager is required to monitor the employee's performance in order to determine the improvements in their performance as a result of the training. The length of the monitoring period is defined by the manager in consultation with the employee. In principle, this period should last 3 to 6 months.

(To be completed by the manager prior to the training course)

<b>Training Objectives</b>	1.  2.  3.
<b>Date</b>	

Planned Training Period	Type/Duration of Training Prescribed

(To be completed by the manager upon assessing the employee's work performance after completion of the training course)

<b>Training Objectives</b> <small>(Enter 'X' Below The Preferred Option)</small>	Fully Met	Partially Met	Not Met
<b>Training Impact Observed</b>			

<b>Proposed Follow-Up Actions</b>	
<b>Employee's Comment</b>	

Actual Training Date

Date of Evaluation

.....

.....

Signature (Manager)

Signature (Employee)

.....

.....

## ANNEX 27

### STRUCTURE OF THE ANNUAL TRAINING PLAN

#### Introduction

- ⇒ Explain why the training plan is being created. What do you want to achieve by creating it?
- ⇒ If an institution has general training objectives, include them here because the training plan should ultimately lead to improved, i.e. more efficient, achievement of those objectives.
- ⇒ If no objectives have been set, consider developing them. As an interim solution, you can rely on an institution's strategic goals; use them as the basis for developing a training plan.
- ⇒ Mention the constraints and challenges faced in developing a training plan.

#### Background

- ⇒ Describe the roles and responsibilities of those who supported the development of the training plan.
- ⇒ Describe the types of training needs assessments conducted during the annual cycle (i.e. departmental and organizational). Include the actual forms.
- ⇒ Explain how you sourced the relevant information on training needs (e.g. performance-appraisal forms, interviews with managers, focus-group discussions). How did it go? Did you face difficulties? Have managers been cooperative? What needs to be changed in future?

#### Overview of Training Needs

- ⇒ Provide a table which gives an overview of the training needs at each level (i.e. departmental, organizational). You can also include two tables to ensure better clarity.
- ⇒ Each table should contain the following information: training topic, objective, type of training, priority level, budget, proposed attendees.
- ⇒ Provide a table listing the training that is most urgent for the institution. You can obtain the relevant information by reviewing the priority levels indicated in departmental and institutional TNA forms.

#### Overview of Required Resources

- ⇒ Nearly all training costs money. The HRM department should have a clear picture of the funds it can raise to support training. Funds can come from inside or outside the institution. Potential providers of funds include government and donor organisations.
- ⇒ Depending on the type of training, some activities require minimal or no funds at all (e.g. mentoring within the institution, self-learning, etc.).

#### Training Evaluation Arrangements

- ⇒ In order to have an idea about the practical value of the training delivered, the HRM unit should indicate the way in which it intends to evaluate the quality and impact of those activities.

## ANNEX 28

### CORRUPTION-RISK ASSESSMENT METHODOLOGY

The aim of this methodology is to assist institutions in determining the relative sensitivity to corruption of individual jobs/work posts by analysing job-related data (primarily job descriptions). The objective is to categorise work posts according to their corruption-sensitivity levels and, subsequently, to undertake measures that will respond adequately to the identified risks.

#### Corruption-risk methodology: general points

First and foremost, the methodology should be legally enforceable, preferably in the form of an adequate by-law. Individual institutions should assess their own context before deciding on ways to implement it. However, one possible way of doing is as follows:

1. A risk assessment is done once a year;
2. The evaluation is conducted by a five-member committee appointed by the head of institution for a term of three years;
3. The assessment is carried out as follows:
  - a) The HRM unit should provide the committee with the relevant internal organisation (i.e. organisational chart, job descriptions) and other related documents;
  - b) The contents of each job description (i.e. duties and responsibilities) are reviewed using six pre-defined criteria developed specifically for this exercise;
  - c) A criteria analysis is conducted through open discussions between committee members. If required, the committee may ask for assistance from actual incumbents to clarify certain issues or dilemmas. This is in order to prevent uninformed evaluations;
  - d) Following a thorough analysis, the committee takes a decision on the score that it will give for each of the six criteria;
  - e) There are two types of assessment: 1) an assessment indicating the potential likelihood that corruption could occur; and 2) an assessment indicating the potential harmful impact that the offence could have;
  - f) Ratings are on a scale from 1 to 5 ('1' indicating the lowest likelihood and minimal potential damage).
  - g) The final grade is obtained by multiplying the first grade (i.e. probability of corruption) with the second grade (i.e. extent of adverse impact). The reason for the multiplication stems from the fact that there is a possibility that the 'probability' may be relatively high but the 'adverse impact' may be limited, and vice versa;
  - h) A score of 1–25 is obtained for each of the six criteria. The scoring system suggested here can be altered to better suit the needs of the institution;
  - i) Depending on the total score, i.e. the degree of sensitivity to corruption, each job falls into one of the following five categories:
    - S1 – Minimal sensitivity (1–5 points)
    - S2 – Low sensitivity (6–10 points)
    - S3 – Moderate sensitivity (11–15 points)
    - S4 – High sensitivity (16–20 points)
    - S5 – Extreme sensitivity (21 and up)



- j) j. In order to minimize the possibility of corruption, the institution may take various measures. For example, executives in workplaces with a high degree of corruption sensitivity may be subject to a mandatory annual income/asset declaration. In addition, the institution may organize unannounced inspections by relevant internal organisational units (e.g. General Inspectorate). Designing these types of measures and prescribing sanctions for offenders should be the responsibility of the institution.

## Areas of work covered

### Facilities and public resources

*Poor management and misuse of public resources can undermine the integrity and operational efficiency of the institution. Each employee is accountable for the resources he/she uses or has access to in the course of performing his/her duties.*

The following points represent some examples of fraud and corruption risks:

- Regularly taking resources home (e.g. office supplies, stationery or office equipment) for personal use;
- Unauthorised and/or reckless use of a motor vehicle or any other piece of equipment (i.e. computer, printer, etc.);
- Unauthorised negotiating of various kinds of contracts;
- Deliberate over-ordering of resources to use the surplus for personal gain.

### Finance

*Compliance with the financial rules and regulations is mandatory for all employees. All staff directing and undertaking financial operations should be appraised against the relevant requirements stated in the law and by-laws.*

The following points represent some examples of fraud and corruption risks:

- Manipulating the financial system by approving expenditures for staff members that they are ineligible to receive (i.e. cost of transportation, separate living expenses, etc.);
- Approving invoices for private expenses or colluding to do so for others;
- Submitting a false travel or petty-cash claim and receiving a benefit to which they are not entitled;
- Falsifying, destroying or damaging receipts and other financial records.

### Human resource management (HRM)

*HRM practices are governed by the civil service and general employee provisions contained in relevant laws and by-laws.*

The following points represent some examples of fraud and corruption risks:

- Manipulating recruitment and selection procedures (i.e. appointing loyal rather than competent people to selection panels) to secure the appointment of a close friend, family member, associate (i.e. political party member);
- Giving preferential treatment to an employee for personal reasons (i.e. especially in case of promotions);
- Bullying, intimidating or discriminating against employees for personal reasons (for example, unlawful use of power in personal conflicts);
- Management taking detrimental actions against employees who report official misconduct or maladministration;

- Colluding with an applicant to apply for an advertised job and to get selected by sharing interview questions, instructing a candidate to inflate their CV, etc.;
- Management knowingly concealing the corrupt conduct of subordinate employees.

### **Information management and information technology**

*Institutions are constantly increasing their reliance on information management and information technology systems to perform their operations. It is imperative that information maintained on these systems is accurate, complete and uncorrupted.*

The following points represent some examples of fraud and corruption risks:

- A former employee obtaining confidential information and providing it to a new employer to aid his/her dealings with the former institution;
- An employee using private and personal information obtained through the performance of his/her work for private purposes (i.e. intimidation);
- Altering or deleting electronic data;
- Taking advantage of temporarily inoperative (or partially operative) information technology systems to act in a corrupt way;
- Placing malware (for example, viruses, spyware) on the institution's IT system in an attempt to damage software or information held on the system;
- Using another employee's computer and/or log-in credentials to access data;
- An IT contractor providing information about the institution's information technology system to a third party;
- Gaining access to electronic records without proper authority or approval.

### **Legal and contractual compliance**

*An institution enters into legal contracts as part of its mission and mandate.*

The following points represent some examples of fraud and corruption risks:

- Failing to declare a conflict of interest but continuing to deal with a close associate in exercising his/her functions (for example, recruitment of an employee);
- Soliciting or accepting a bribe in order to exercise, or not exercise, his/her authority in a certain way;
- Accepting or soliciting a bribe or secret commission from a tenderer to give partial consideration to them;
- Identifying too closely with the interests of a contractor, which subsequently leads to a failure to properly monitor the quality of the work performed;
- Choosing not to audit a person or business because of a relationship with that person or business.

### **Procurement**

*A public-sector institution must comply with the relevant public-procurement legislation to ensure that processes and procedures uphold the integrity of procurement decision-making.*

The following points represent some examples of fraud and corruption risks:

- Providing confidential information to a tenderer resulting in their obtaining an unfair advantage over other tenderers;
- Knowingly making payments on fraudulent procurement-related claims;
- Splitting an order to avoid limits for procurement transactions;

- Obtaining kickbacks by organising preferential treatment;
- Not declaring an existing relationship with a tenderer and seeking to unfairly influence the decision-making process.

### Proposed criteria for the assessment of work posts

Criteria	Definition
<b>Level of authority</b>	The higher the level of authority, the greater the possibility for an incumbent to act in a corrupt manner. The probability increases further if there is a weak external control mechanism and/or if there are no adequate sanctions.
<b>Access to information/resources</b>	Access to certain information may be of great value to some interest groups. Revealing such information for monetary rewards or some other type of counter-benefit may prove to be very lucrative. The same goes for access to certain resources.
<b>Level of discretionary decision-making/unclear or missing legal provisions</b>	Poorly regulated practices (or practices not regulated at all) open the door for discretionary decision-making, which can lead to an advancement of private instead of public interest.
<b>Existence of effective monitoring and control mechanism</b>	If an incumbent is aware that no effective monitoring mechanisms are in place at his/her workplace, he/she will have an additional possible motive to act improperly.
<b>Degree of exposure to undue pressure</b>	An incumbent who is protected by legal provisions is much better placed to resist undue pressure than someone who does not enjoy such protection (e.g. a civil servant is much better protected than a staff member working on support jobs or an advisor to a political appointee).
<b>Existence of rigorous sanctions</b>	If sanctions for corrupt activities are too weak, a person intent on doing such activities does not have much to worry about in the event that he/she gets caught.

### Scoring matrix and calculation

Corruption probability (CP)	Score	Potential impact (PI)	Score
Minimal probability of corruption activity	1	Insignificant impact	1
Low probability of corruption activity	2	Low impact	2
Moderate probability of corruption activity	3	Moderate impact	3
Considerable probability of corruption activity	4	Major impact	4
Very high probability of corruption activity	5	Devastating impact	5

Corruption sensitivity (CS) = Corruption probability (CP) x Potential Impact (PI)

**Classification of results and possible measures**

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Sensitivity level (SL)	Description	Measures to be taken
SL 1	1–5 points ↓ <b>Minimal sensitivity</b>	Maintain usual activities
SL 2	6–10 points ↓ <b>Low sensitivity</b>	
SL 3	11–15 points ↓ <b>Moderate sensitivity</b>	Managers of incumbents working in these posts should be aware of the corruption risks (i.e. have completed dedicated training courses) Periodic unannounced inspections (once per year)
SL 4	16–20 points ↓ <b>High sensitivity</b>	Managers to closely monitor work activities Unannounced inspections (at least twice per year)
SL 5	21 and above ↓ <b>Extreme sensitivity</b>	Managers to apply rigorous monitoring of work activities (e.g. tracking meetings held both inside and outside of the institution; reviewing work-related email correspondence) Unannounced inspections or audit exercises (several times per year); Spot checks (in relation to asset declarations)

## ANNEX 29

### ASSESSING THE STATE OF THE BUILDING INTEGRITY FUNCTION: HUMAN RESOURCE MANAGEMENT PERSPECTIVE

#### Questionnaire

The responses should be kept anonymous.

#### 1. Policies, regulations and tools

- 1.1. Are there any specific legal provisions or policies dealing with integrity building at any government level? If yes, what are those?
- 1.2. Does your institution have an integrity-building function? If yes, how is the function organised (i.e. separate unit, place in the hierarchy, number of staff)?
- 1.3. Does your institution have an obligation to prepare annual integrity plans? Who is in charge of this process?
- 1.4. Does your institution do a regular corruption-risk assessment? If yes, how is it carried out and by whom?
- 1.5. What kind of measures are taken to mitigate the risks?
- 1.6. In your opinion, are the legal sanctions strict enough to deter employees from taking part in corrupt activities?
- 1.7. In general, do you think that your institution is well-equipped to deal with the challenges in the area of integrity building?
- 1.8. Do you think there is room to improve your institution's integrity building efforts? If yes, what would you recommend?

#### 2. Procedures and practices in people management

- 2.1. Is there a risk of arbitrariness when it comes to making a decision to commence a recruitment process?
- 2.2. Are the recruitment procedures good enough to ensure merit-based selection (i.e. independent and politically neutral committees, no manipulation of the testing process, highest-ranking candidate gets appointed)? If no, please elaborate.
- 2.3. How is the transparency of the recruitment and selection process ensured? (i.e. Are the names of committee members published in advance? Are the application requirements announced publicly? Are the results of the competition made public?)
- 2.4. Can the candidates apply to have committee members removed due to a conflict of interest?
- 2.5. How widespread is the influence of party politics on recruitment and selection processes?
- 2.6. Are there clear legal provisions that protect public servants from undue pressure and/or improper instructions from higher-level officials?
- 2.7. In your opinion, how widespread is the practice of applying undue pressure to employees? Do people tolerate this or similarly abusive practices for fear that they might lose their job?
- 2.8. Do you think people are prepared to speak the truth to higher-level officials?

- 2.9. Do you think that there is a risk of corruption in the process of performance appraisal and/or bonus allocation? Please elaborate.
- 2.10. Is there a legal basis for the rotation of employees on sensitive work posts? If yes, does it happen in reality?

### 3. Integrity building and organisational culture

- 3.1. Would you hesitate to report a corrupt activity if you uncovered one (or obtained information about it) and if your anonymity was ensured? If yes, please elaborate.
- 3.2. Would it be difficult for you to report any wrongdoing on the part of your colleague? If yes, please elaborate.
- 3.3. Do you think that reporting corruption could turn into a 'hunt' against the person who reported it'?
- 3.4. Do you think it is acceptable that some people might be 'breaking the rules' because economic difficulties are forcing them to do so?

## ANNEX 30

### ASSESSMENT OF THE FEATURES OF ORGANISATIONAL CULTURE

#### Questionnaire

The responses should be kept anonymous.

Rating scale: 1 – Strongly disagree; 2 – Disagree; 3 – No opinion; 4 – Agree; 5 – Strongly agree

Statement	1	2	3	4	5
Generally, people in my institution speak with respect about their colleagues.					
Managers are respected and valued both for their competence and integrity.					
People only tell their real opinion to those they fully trust not to share it with others.					
Speaking truth to power is considered risky.					
There are topics that are taboo; things we don't discuss at all even among colleagues.					

Three things that upset our managers/leaders most are: (examples include unfavourable media coverage, inability to fulfil the wishes of the political leader, inability to advance his/her own interest, etc.)

1.

2.

3.

Statement	1	2	3	4	5
Informal interactions are influenced by people's hierarchical positions (i.e. managers tend to interact with managers).					
The stories I hear in the offices and corridors are often quite negative and toxic.					
I deliberately limit my informal interaction with others in order to spare myself from negativity.					

Expressing views different to those of the majority is unpopular.					
Showing motivation and competence at work will only get you more work.					
Loyalty to the boss is the personal characteristic that always pays off.					
Poor performance is tolerated as long as you are nice and accommodating towards the higher-ups.					
Good performance is acknowledged only if it comes from someone who is liked by the boss.					
Instructions from the boss are carried out even if they are against the interest of the institution.					
Leaders' wrongdoings are tolerated for fear that to expose them would not yield any good results and would surely be answered with swift revenge.					





