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Self Assessment Performance Measurement Framework 2011-2012

November 2011

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Content **List**

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Abbreviations **and Acronyms**

CSOs	Civil Society Organisations
DTO	Department of Treasury Operations
HR	Human Resource
HRD	Human Resource Development
HRM	Human Resource Management
ICT	Information and Communication Technology
LGSC	Local Government Service Commission
M&E	Monitoring &Evaluation
MDAs	Ministries, Departments and Agencies
MTSS	Medium Term Sector Strategy
OHoS	Office of the Head of Service
PSA	Public Service Agreement
SEAT	State Evaluation and Assessment Tool
SLA	Service Level Agreement
SPARC	State Partnership for Accountability, Responsiveness and Capability

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Section **One**   **Introduction and Background**

This document contains the materials necessary to conduct of state level self-assessment of the current status and performance of public service management arrangements. (Note that Facilitators should read this framework in conjunction with the State Partnership for Accountability, Responsiveness and Capability (SPARC) State Self Assessment Guidelines (Self Assessment Guidelines v6 Mar11.pdf), which provide full details on the self-assessment process.)

Structure of the Assessment Framework

This assessment framework is structured in three parts:

Part A: a set of definitions which explain many of the common terms and concepts used to describe public service management functions. These definitions are intended to provide a common language to discuss the performance of the public service.

Part B: a set of self-assessment indicators and criteria which provide a framework for reviewing and assessing the performance of the public service. These are organised into seven categories(each reflecting a major aspect of public service operations. Each category is further subdivided into a number of dimensions (a total of 24), which focus on specific features of those operations. Finally, for each dimension, the framework describes a number of indicators and provides scoring criteria for each. Table 1 overleaf provides an overviewof the categories and dimensions.

Part C: A blank template to facilitate recording the score attached to each characteristic, and space to document the rationale behind the score allocated.

Using the Assessment Framework

For each characteristic, scoring criteria are provided to guide participants in the self-assessment. For example, in the category 'Organisation of the Public Service' and the dimension 'Mandates and Responsibilities', the first indicator to be scored is:

'Specific mandates and objectives of State, Federal and Local Governments in the State are clearly defined and are documented.'

This indicator can be scored A, B, C, or D, as follows:

A	Specific mandates and objectives of State, Federal and Local Governments in the State are clearly defined and are documented for all Ministries, Departments and Agencies (MDAs).
B	MDA mandates are clear and documented for each level of government in the State for 75 to 99% of MDAs – for the others there are overlaps and omissions either between MDAs or tiers.
C	MDA mandates are clear and are documented for each level of government in the State for 25 to 74% of MDAs – for the others there are overlaps and omissions either between MDAs or tiers.
D	Specific mandates and objectives of State, Federal and Local Governments in the State are not clearly defined or documented for most MDAs.

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Once each indicator has been scored, it will then be possible to consider an aggregate score for each dimension. However, the process of scoring is merely a means to an end, not an end in itself: the object of the exercise is to arrive at a common understanding of areas where the current position is satisfactory, and those where the state government may wish to prioritise improvement efforts.

Table 1: Overview of the Public Service Management Self Assessment Framework Organisation

Assessment Categories	Assessment Dimensions	Number of Dimension Indicators
Organisation of the Public Service	Mandates and responsibilities	6
	Overall macro-structure of the state and public services	4
Operational Management of the Public Service	Overall laws and policies which regulate service delivery	5
	Service planning and resource allocation	5
	Structure and functions of MDAs	3
	Public service performance management-policy and leadership	2
	Public service performance management-participation, transparency and accountability	4
	Information and administrative functions operating effectively to support the conduct of state government business	7
Human Resources Management-Policies and Organisation	Human Resource Management (HRM) laws and rules for state public servants	3
	HRM policies governing terms and conditions of service and the contract of employment between the public servant and the state	3
	Professional central human resources management	2
	Human resources records and statistics for management of public servants' employment	6
Human Resource Management-Establishment and Workforce Planning and Management.	Establishment planning, job design and grading	5
	Workforce planning	4
	Human Resource (HR) recruitment, posting, promotion and career guidance	5
Human Resource Management-Performance Management and Workforce Development	Employee performance management system	5
	Workforce development policies to ensure that public servants have the necessary skills and capacity to carry out their duties	3
	Workforce development management systems	11
Human Resource Management-Employer and employee responsibilities and relations	A code of ethics or code of conduct to govern public servants' behaviour	2
	A grievance procedure to provide public servants with a channel to express legitimate complaints	4
	Welfare services are available to support public servants	3
Human Resource Management – Pay and Pensions	Pay and allowances	8
	Payroll	4
	Pensions	7

Section **Two**   **Definition of Terms**

Accountability

The requirement that officials answer to stakeholders on the disposal of their powers and duties, act on criticisms or requirements made of them and accept (some) responsibility for failure, incompetence or deceit. Mechanisms for holding officials accountable can be inter-organisational, as between branches of government; intra-organisational, as between supervisors and subordinates; and extra-organisational, as when an organisation and its functionaries answer directly to customers or stakeholders. Accountability mechanisms can address the issues of both who holds office and the nature of decisions by those in office. Accountability requires freedom of information, stakeholders who are able to organise, transparency in decision making and the rule of law.

Budget

The process by which a government expresses in financial terms its objectives; the resources to deliver its plans; how controls and responsibilities are delegated and the yardsticks by which it will measure efficiency.

Establishment Plan

The persons or posts in ministries or departments etc. who make up a body for the purpose of administering something. A listing of posts that have been created for a ministry, department, agency etc to enable that organisation to fulfil its mandate.

Function

The particular purpose or task of a public institution mandated to it by a higher authority also a duty particular to a particular post or a particular job. A functional review is a form of efficiency and effectiveness review that examines the functions and structures of state agencies or budget entities and asks whether the functions need to be done at all, whether other agencies or actors could do them more efficiently or effectively, and what the consequences are for structure.

HRM (Human Resources Management)

The laws, regulations, policies and practices related to people in organisations: recruitment and selection; employment law and practice; HR development and training; promotion, discipline, grievance, dismissal, remuneration and reward, redundancy, retirement and pensions. HRM differs from Personnel practice in that it is more strategic and not simply procedural.

HRD (Human Resources Development)

A subset of HRM. A set of policies and processes for training and developing staff to meet the requirements of their current jobs and to underpin career development. HRD covers a broad spectrum and includes: induction, job related knowledge skills and attitudes; competency development, professional skills and qualifications, coaching,

management and leadership and succession planning. It should always be planned and resourced to meet the requirements of the ministry or organisation and its impact regularly evaluated.

ICT (Information and Communications Technology)

Effective ICT involves good policy, operating guidelines, clear rules about information management and security and levels of access permission.

Job Analysis

Examining the tasks and sequences of tasks necessary to perform the job. The analysis looks at the areas of knowledge and skills needed by the job. Note that a role is the set of responsibilities or expected results associated with a job. A job usually includes several roles.

Job Evaluation

A process to analyse and design jobs based on work activities, roles, quantitative and qualitative performance standards, behaviour and skills required.

Job grades

Should be determined by an objective evaluation process that assesses the relative worth and size of job roles in the Service along with the level of competency (technical knowledge, experience and skills) required.

Job Description

A broad statement of the purpose, scope, duties, tasks, objectives, quality standards, knowledge, skills, competencies, roles and responsibilities. Typically, it includes to whom the position reports, specifications such as the qualifications, experience, abilities and competences needed by the person in the job and salary range for the position. A job description is usually developed by conducting a job analysis.

Mandate

An institutional remit of an MDA - its reason for being; a statement of specific responsibilities and accountabilities often enshrined in legislation, the law and regulations.

An official order or authorization, usually written, given to a public organisation, person, etc to act on behalf of others. A legal authorization given to an organisation or an appointed official to act on behalf of other people; permission to govern according to declared policies, considered to be given to a public organisation by a legislature or legal ruler or leader.

Mandates should be clear, published and kept up to date. They should also be relevant and reflect the government's long term goals and priorities. Mandates are often translated into vision statements – the guiding principle that will motivate and inspire people to deliver and mission statements - a brief written statement of the purpose of a public organisation, ministry or department that guides the actions of the organisation.

MDA ('Ministries, Departments, and Agencies')

This term is used as 'shorthand' for the variety of organisations which are found in the public service. Ministries are typically responsible for the activities of a sector or major subsector of public service operations, led by a Permanent Secretary. Extra-ministerial departments (note, not departments within a Ministry) include non-ministry institutions such as Office of the Head of Service (OHoS), Auditor General, and the Office of the Governor. Agencies include a wide variety of public service organisations including agencies, parastatals, boards, commissions and Government-owned companies.

In order to ensure that assessments are based on a common understanding, it is recommended that all states undertaking a State Evaluation and Assessment Tool (SEAT) should predetermine a list of organisations which they will include as MDAs.

MTSS (Medium Term Sector Strategy)

The three year planning framework being adopted across States to create a more sustainable approach to budgeting, resourcing and service delivery plans. Sector based, three year costed activity based plans.

Performance Improvement

The concept of organisational change in which the managers and governing body of an organisation put into place and manage a programme which measures the current level of performance of the organization and then generates ideas for modifying organisational behavior and infrastructure which are put into place in order to achieve a better level of output. The primary goals of organisational improvement are to improve organisational effectiveness and organisational efficiency in order to improve the ability of the organisation to deliver its goods and/or services.

Performance Management

The process of setting organizational goals and objectives and of managing and monitoring them to ensure that public service entities know what standards they are expected to meet and how they measure up in terms of their overall effectiveness and efficiency.

A system whereby each public servant has performance objectives on which they are assessed at least once a year; where performance assessment is linked to agreed targets or service standards as a matter of policy and good practice and where there is a disciplinary system to manage poor performers in place and operating effectively.

Policy

Policy is a statement of political intent; a high level statement of purpose and 'why we are doing this?' Policy statements also describe its effects on people and how it works: the strategies, targets, objectives, frameworks action plans and budgets that will deliver it.

The policy process is a cycle that relates political goals and intentions to institutional mandates and services to citizens, stakeholders and communities. Modern practice ensures that policies are 'evidence' based i.e. derived from a tangible requirement or need; that objectives and performance standards are clearly specified and actions are taken to implement policies and to measure their impact and compare this with what the intentions of the policy. Policies and implementation plans can be adjusted based on information captured during monitoring and evaluation

Public Service Agreement

Public service agreements (PSAs) detail the aims, objectives and service delivery targets of government ministries and departments for a period of time. Such agreements also describe how targets will be achieved and how performance against these targets will be measured. The agreement may consist of a departmental aim, a set of objectives and targets, details of who is responsible for delivery and include a promise by a ministry or department that it will make particular improvements or reach particular standards, for example in health services or education. A PSA may cut across sectors e.g. children's health, nutrition, education and sport

Service Level Agreement (SLA)

A document that sets out a 'service contract' where the level of service is formally defined and responsibilities for delivery standards, time and performance are clear.

Service Charter

A Service Charter is a public document that informs clients about an MDA's services, outlines citizens' rights and responsibilities as well as relevant avenues for communication. It specifies standards of service delivery in the form of a series of commitments, entitlements or promises upon which customers can expect and demand quality service as a right; and to which they can have recourse when service fails.

Service Charters describe the service experience a customer can expect and contain key information about an MDA's service delivery approach and the relationship the customer will have with the agency.

A Charter has five basic elements: descriptions of the services provided by the MDA; service pledges describing the general quality of service delivery customers should expect, focusing on such elements as openness, fairness, courtesy, professionalism; service standards (or service delivery targets) for key aspects of service, such as timeliness, access and accuracy; complaint and redress mechanisms that clients can use when they feel standards have not been met; fees for services with associated costs to customers and stakeholders.

Structure

Macro-level: the size, and shape of government entities and how they organisationally relate to each other e.g. MDAs, parastatals, Commissions, local government entities. The structure should reflect the legitimate functions and processes of government, derived from policies, and strategic and operational plans and the rationale and principles underpinning it should be transparent. How the government entities relate to each other and fit together vertically and horizontally are often illustrated in an organogram.

MDA level – the way in which a government entity is organised, planned and coordinated to ensure that all its functions are appropriately distributed and work in harmony. Structure and organisation is usually depicted as an organogram showing how the units and levels in the MDA relate to each other vertically and horizontally.

Structure Statement

A published description of structure.

Workforce Plan

The systematic identification and analysis of what an organisation is going to need in terms of the size, type, and quality of workforce to achieve its objectives. It determines what mix of experience, knowledge, and skills is required and sequences steps to get the right number of right people in the right place at the right time. It is looking at what an organization needs to accomplish in a given period of time; what knowledge, skills, and experience are required to get the job done; and how large and what type of workforce is required to provide that mix of skills, knowledge, and experience. It requires a procedure to plan the size and composition of the State's future workforce; data on skills, age profiles and succession needs; clear diversity policy targets to ensure the public service is representative of the population it is there to serve.

Section **Three**   **Performance Framework for Public Service Management**

Category A: Organisation of the Public Service

Dimension 1: Mandates and responsibilities

- Specific mandates and objectives of State, Federal and Local Governments in the State are clearly defined and are documented

Score	Minimum Requirements
A	Specific mandates and objectives of State, Federal and Local Governments in the State are clearly defined and are documented for all MDAs.
B	MDA mandates are clear and documented for each level of government in the State for 75 to 99% of MDAs – for the others there are overlaps and omissions either between MDAs or tiers.
C	MDA mandates are clear and are documented for each level of government in the State for 25 to 74% of MDAs – for the others there are overlaps and omissions either between MDAs or tiers.
D	Specific mandates and objectives of State, Federal and Local Governments in the State are not clearly defined or documented for most MDAs.

- Mandates are logically organised between MDAs and government tiers for effective service delivery

Score	Minimum Requirements
A	All sectoral mandates are logically split between core policy making/regulatory Ministries, implementing parastatals and between the State and service delivering local governments.
B	75-99% of sectoral mandates are logically split between core policy making/regulatory Ministries and implementing parastatals and between the State and service delivering local governments.
C	25-74% of sectoral mandates are logically split between core policy making/regulatory Ministries and implementing parastatals and between the State and service delivering local governments.
D	There is no logical or consistent split of sectoral mandates between core policy making/regulatory Ministries and implementing parastatals or between the State and service delivering local governments.

- Legislation (other than the Constitution) and/or regulations define current mandates unequivocally.

Score	Minimum Requirements
A	Mandates are clearly defined by law or regulation in 100% of MDAs;
B	Mandates are clearly defined by law or regulation in 75-99% of MDAs;
C	Mandates are clearly defined by law or regulation in 25-74% of MDAs;
D	The laws and regulations defining mandates for most MDAs are out of date.

- Lines of coordination and accountability are clearly demarcated between functions, levels and entities

Score	Minimum Requirements
A	Lines of coordination and accountability are clearly demarcated between all functions, levels and entities, are documented and published.
B	Lines of coordination and accountability are clearly demarcated between some functions, levels and entities and are documented and published for over 50% of MDAs.
C	Lines of coordination and accountability are assumed between functions, levels and entities and are not documented.
D	There is no clear coordination and accountability between functions, levels and entities

- There is an efficient system in operation to ensure that all mandates are:
  - centrally stored,
  - regularly reviewed,
  - regularly published in various media, and
  - legitimised through updated legislation when necessary

Score	Minimum Requirements
A	There is an efficient system in operation which ensures that (a) all mandates are stored centrally, (b) updated when changes are made and are (c) readily accessible to public servants and the public in a variety of media including MDA websites. (d) There is an effective system to revise legislation where necessary.
B	There is an operational system which achieves three of (a) to (d).
C	There is an operational system which achieves two of (a) to (d).
D	There is no system to ensure that Mandates are centrally stored, updated or readily accessible or to update legislation as changes are made.

- Intergovernmental communications, cooperation and relations between tiers are operating effectively

Score	Minimum Requirements
A	Intergovernmental communication and cooperation between tiers is excellent
B	Intergovernmental communication and cooperation between tiers is good in selected areas or sectors
C	Intergovernmental relations/communication and cooperation is generally not operating effectively
D	There is hostility and lack of cooperation and communication between tiers of government

Dimension 2: Overall macro-structure of the State and public services (State and Local tiers)

- The macro-structure of government is comprehensively defined, appropriate for the achievement of objectives and to the effective delivery of services (i.e. fit for purpose).

Score	Minimum Requirements
A	The macro structure of government is comprehensively defined (vertically and horizontally), proportional to legitimate government activities and is appropriately aligned to the delivery of services (i.e. service delivery delegated to the lowest practical level).
B	The structure of government is largely functional but is undergoing changes to make it more appropriate for the achievement of objectives and delivery of services at the most effective level.
C	The structure of government is partially functional in need of major overhaul to be fit for purpose.
D	The structure of government is largely dysfunctional, not proportionate to purpose, based on political and internal criteria not the achievement of objectives and delivery of services; it does not reflect legitimate functions

- The macro-structure distinguishes the political responsibilities for policy formulation from the bureaucratic responsibilities for regulation and implementation.

Score	Minimum Requirements
A	The macro-structure distinguishes policy formulation and regulation from implementation responsibilities. These boundaries are well understood and are adhered to.
B	The role of politicians as policy makers and public servants as implementers is clearly understood with no difficulties in operation in 75% or more of MDAs.
C	The role of politicians as policy makers and public servants as implementers is clear but poorly complied with; there is overlap between the policy formulation and regulatory responsibilities and implementation functions.
D	The structure does not distinguish between policy formulation and implementation responsibilities; there is substantial evidence of inappropriate political interference in the implementation of policy and regulations.

- The structure is clearly documented, published and accessible to all stakeholders and citizens (including the principles on which it is designed).

Score	Minimum Requirements
A	(i) The structure is clearly documented including an organogram. (ii) The structure is published and accessible to all including the principles on which it is designed.
B	(i) There is a documented overall structure covering most of the service but with no organogram. (ii) The structure is published but without publication of the design principles or explanation
C	(i) Only parts of the structure are documented. (ii) The structure is available in certain offices but not published.
D	(i) There is no documented structure. (ii) The structure is largely inaccessible to the majority of public servants and the public.

- An effective procedure exists, and is used, to carry out periodic macro structural reviews and update the structure to reflect the Government's needs

Score	Minimum Requirements
A	An effective procedure exists, and is used, to carry out macro-structural reviews and update the structure to reflect Government's needs.
B	An effective procedure exists, but is not fully in use.
C	A partial or ad hoc procedure is in place to carry out macro structural reviews and update the structure to reflect Government's needs.
D	There is no mechanism in place to carry out macro-structural reviews and update the structure to reflect Government's needs.

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Category B: Operation and Management of the Public Service

Dimension 1: Overall laws and policies which regulate service delivery

- MDAs are established by laws and regulations that define services, functions and responsibilities.

Score	Minimum Requirements
A	All MDAs are established on the basis of up to date laws and regulations that define services, functions, responsibilities and operational arrangements.
B	75 to 99% of MDAs are established on the basis of laws and regulations that define services, functions, responsibilities and operational arrangements.
C	25-74% of MDAs are established on the basis of laws and regulations that define services, functions, responsibilities and operational arrangements.
D	Less than 25% of MDAs have a legal basis.

- Overall, clear and up to date sector/MDA policies exist to guide service delivery.

Score	Minimum Requirements
A	Clear and up to date sector/MDA policies exist and are documented for all key sectors to guide the delivery of government services to citizens
B	Clear and up to date sector/MDA policies exist to guide service delivery in 75-99% of sectors.
C	Clear and up to date sector/MDA policies exist to guide service delivery in 25-74% of sectors.
D	Clear policies do not exist to guide service delivery in most MDAs.

- Sector/MDA Policies are published and accessible to the public service and the public.

Score	Minimum Requirements
A	Sector policies are published and accessible.
B	More than 75% of sector policies are published and accessible.
C	Between 25% and 74% of sector policies are published and accessible.
D	Sector policies are not published.

- Understandable guidelines on laws, policies and standards are provided to all public servants.

Score	Minimum Requirements
A	Laws and policies are translated into understandable operating manuals and standards and provided to public servants as a matter of course in all MDAs.
B	Understandable guidance on laws, policies and standards is provided to public servants in 75 to 99% of MDAs
C	Guidance on laws, policies and standards is provided to public servants in only 25 to 74% MDAs.
D	Public servants are expected to interpret laws and policies without guidelines.

- Circulars on operations and management of the public service are regularly reviewed and provided to all public servants.

Score	Minimum Requirements
A	Circulars are current, regularly updated, and provided to all public servants.
B	Over 75% of circulars are current and are provided to public servants. The updating process is slow.
C	Most circulars are not current and access is limited e.g. due to poor distribution logistics or because they were distributed several years ago and have not been reissued.
D	Circulars are generally out of date and not distributed to public servants.

Dimension 2: Service Planning and Resource Allocation

- Clear guidelines and formats for the content of medium and short-term plans for MDAs exist and are in use by public servants, e.g. MTSS.

Score	Minimum Requirements
A	Clear formats for the content of plans, including both strategic and activity based plans, exist and are in use by more than 75% of MDAs.
B	Clear formats for plan contents exist but are only used by 25 to 74% of MDAs.
C	Basic plan formats exist but are used by less than 25% of MDAs. Planning tends to be ad hoc and incremental.
D	There are no clear formats for the content of medium and short term plans. The budget is the only plan.

- Effective planning and resource allocation (budgeting) procedures are documented, disseminated and in operation in all MDAs.

Score	Minimum Requirements
A	Detailed planning and budgeting procedures (including the budget call circular) are documented disseminated and in operation in all MDAs.
B	Basic planning and budgeting procedures and a budget call circular are documented appropriately and in use.
C	Planning procedures are in place and documented but not enforced or coordinated. The budget call circular is minimal and often late.
D	There are no planning procedures documented or in operation and a minimal Budget Call Circular is the only procedural document used for resource allocation.

- MDAs have current medium term strategic plans based on relevant up to date data analyses which are used to guide key activities and outputs.

Score	Minimum Requirements
A	All MDAs have current medium term strategic plans based on up to date and relevant data analyses which are used to guide key activities and outputs.
B	75 to 99% of MDAs have current medium term strategic plans based on up to date and relevant data analyses which are used to guide key activities and outputs.
C	25-74% of MDAs have current medium term strategic plans based on relevant data analyses which are used to guide key activities and outputs.
D	Most MDAs do not have medium term strategic plans based on relevant data analyses.

- MDAs have scheduled and costed activity plans (e.g. MTSS) based on realistic budget envelopes.

Score	Minimum Requirements
A	(i) All MDAs have detailed, costed activity plans (3 year). (ii) These are based on timely and realistic budget envelopes. e.g. MTSS

Score	Minimum Requirements
B	(i) More than 75% of MDAs have detailed, costed activity plans (3 year).
	(ii) The plans are based on fairly realistic budget envelopes. e.g. MTSS
C	(i) 25 to 74% of MDAs have detailed, costed activity plans (3 year).
	(ii) These are based on 'MDA guestimated' budget envelopes. e.g. MTSS
D	(i) Most MDAs do not have detailed or costed activity plans.
	(ii) They simply role the budget forward incrementally.

- Effective mechanisms (systems and procedures) are in place to monitor and evaluate the performance of strategic and activity plans.

Score	Minimum Requirements
A	Effective mechanisms exist and are in use to monitor and evaluate the performance of MDA strategic and activity plans.
B	Effective mechanisms are in place and in use in 75 to 99% of MDAs to monitor and evaluate the performance of strategic and activity plans.
C	Effective mechanisms are in place and in use in 25 to 74% of MDAs to monitor and evaluate the performance of strategic and activity plans.
D	Effective mechanisms are in place and in use in less than 25% of MDAs to monitor and evaluate the performance of strategic and activity plans

Dimension 3: Structure and functions of MDAs

- The functions and structures of MDAs are aligned to core mandates, strategies and plans for optimum service delivery.

Score	Minimum Requirements
A	The functions and structures of all MDAs are aligned to core mandates, strategies and plans for optimum service delivery.
B	The functions and structures of 75 – 99% of MDAs are aligned to core mandates, strategies and plans for optimum service delivery.
C	The functions and structures of 25-74% MDAs are aligned to core mandates, strategies and plans for optimum service delivery.
D	The functions and structures of less than 25% of MDAs are aligned to core mandates, strategies and plans for optimum service delivery.

- There is an effective system in place to support MDAs in reviewing their functions, processes and structures.

Score	Minimum Requirements
A	There is an effective system in place with guidelines to support MDAs in reviewing their functions, processes and structures.
B	There is a partial system in place to support MDAs in reviewing functions, processes and structures but there are no clear guidelines.
C	There is a basic system in place to support MDAs in reviewing their functions, processes and structures but it has inadequate capacity to fulfil this task.
D	There is no system to support MDAs in reviewing their functions, processes and structures.

- MDAs have up to date organograms which are published and accessible to public servants and the public.

Score	Minimum Requirements
A	i) All MDAs have up to date organograms.
	ii) Organograms are automatically published and accessible to all public servants and the public as a matter of policy.
B	(i) 75-99% of MDAs have up to date organograms.
	(ii) Organograms are not published but are copied and freely available throughout the MDA.

C	(i) 50-74% of MDAs have up to date organograms. (ii) Organograms are only accessible to a few public servants within the MDA.
D	(i) Fewer than 50% of MDAs have up to date organograms. (ii) Organograms are not published or readily accessible.

Dimension 4: Public Service Performance Management – Policy and leadership

- A Public Service Performance Management policy is in place based on current good practice, and is published and operational.

Score	Minimum Requirements
A	A central Public Service Performance Management policy Is in place based on current good practice which is published and fully operational.
B	There is no central Public Service Performance Management policy in place although between 25% and 75% of sectors or MDAs have their own discreet policies to set and measure performance targets and publish reports.
C	There is no central Public Service Performance Management policy in place although up to 25% of sectors or MDAs have their own discreet policies to set and measure performance targets and publish reports.
D	There is no performance management policy of any kind.

- Responsibility for performance management across government is clearly defined within an agreed management framework.

Score	Minimum Requirements
A	There is a focal MDA or other structure (e.g. OHoS or central planning agency) effectively driving performance management across government with an agreed management framework in sectors and MDAs.
B	There is a focal MDA or other structure (e.g. OHoS or central Planning agency) which is meant to be driving a system of performance management across government but the system is only partially operational.
C	There is no focal MDA or other structure driving performance management but some MDAs are trying to drive performance management in their own sectors.
D	There is no impetus or urgency given to performance management by any specific central agency or MDAs.

Dimension 5: Public Service Performance Management – participation, transparency and accountability

- Procedures are in use for facilitating effective public participation in planning and monitoring of service performance.

Score	Minimum Requirements
A	There are suitable procedures in place and used systematically by most MDAs to facilitate public participation in planning and monitoring of service delivery, e.g. Systems to allow consultation over plans, budgets and service delivery reviews.
B	There are suitable procedures in place and used systematically by around 50% of MDAs to facilitate public participation in planning/budgeting and monitoring of service delivery.
C	There are ad hoc procedures in place for facilitating public participation in planning or service planning and review but they are not used regularly.
D	Suitable procedures for facilitating public participation in planning and monitoring of service performance do not exist.

- Procedures exist and are used to publish performance management information, and make this accessible to the public.

Score	Minimum Requirements
A	Procedures exist and are used systematically and regularly to publish performance management information, and make this accessible to the public.
B	Procedures exist and are used by about 50% of MDAs to regularly publish performance management information, and make this accessible to the public.
C	Procedures exist and are used by about 25% of MDAs to regularly publish performance management information, and make this accessible to the public.
D	There are no procedures to publish performance management information, and make this accessible to the public.

- Service Charters and/or Service Level Agreements are used to specify service standards that MDAs will provide to the public or other MDAs respectively.

Score	Minimum Requirements
A	There are Service Charters or Service Level Agreements in 75 to 100% of MDAs for services which they will provide to the public.
B	There are Service Charters or Service Level Agreements in 50 to 74% of MDAs for services which they will provide to the public.
C	There are Service or Service Level Agreements in 25 to 49% of MDAs for services which they will provide to the public
D	There is no mechanism in place to specify service standards which MDAs will provide to the public.

- Public Service Agreements, Service Level Agreements, Service Charters and standards, are subject to regular review and updating with participation of clients and CSOs.

Score	Minimum Requirements
A	Public Service Agreements, Service Level Agreements and service standards, are subject to regular review and updating in more than 75% of MDAs.
B	Public Service Agreements, Service Level Agreements and service standards, are subject to regular review and updating in more than 50-74% of MDAs.
C	Public Service Agreements, Service Level Agreements and service standards, are subject to regular review and updating in more than 1-49% of MDAs.
D	There are no PSAs, SLAs, Service Charters or standards instruments in place.

Dimension 6: Information and administrative functions operate effectively to support the conduct of State government business

- Modern registry and document management procedures are in place which reflect good practice and are operated as intended.

Score	Minimum Requirements
A	Modern registry and document management procedures are in place which reflect good practice and are operated as intended.
B	Modern registry and document management responsibilities and procedures are in place but are not effectively operated as intended.
C	Registry and document management responsibilities and procedures are somewhat out of date and their operation is less than effective.
D	Registry and document management responsibilities and procedures are generally dysfunctional.

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- Up to date policies and procedures govern information security and dissemination and are operated as intended.

Score	Minimum Requirements
A	Up to date policies and procedures governing information security and dissemination exist and are operated as intended.
B	Up to date policies and procedures governing information security and dissemination exist but are not generally operated as intended.
C	Policies and procedures governing information security and dissemination are generally out of date and not well operated.
D	There are no policies and procedures to govern information security and dissemination in place.

- Key government documents (policies, laws, regulations, etc) are collated, maintained and made accessible to public servants and the public.

Score	Minimum Requirements
A	Key government documents (policies, laws, regulations, etc) are collated, maintained and made accessible to public servants and the public as matter of policy and good practice.
B	Key government documents are collated, maintained and made accessible to public servants and the public in selected areas or sectors only.
C	It is intended that key government documents be collated, maintained and made accessible to public servants but the system is largely dysfunctional.
D	There is no agreed system for key government documents to be collated, maintained and made accessible to public servants and the public.

- Information and communications technology (ICT) is used effectively in support of administrative systems.

Score	Minimum Requirements
A	Information and communications technology (i.e. internet, e mail, MS Office, databases etc) is in place and used effectively in support of administrative systems in almost all MDAs.
B	Information and communications technology (i.e. internet, e mail, MS Office, databases etc) is in place and used effectively in support of administrative systems in 75-99% of MDAs.
C	Information and communications technology (i.e. internet, e mail, MS Office, databases etc) is in place used effectively in support of administrative systems in 25-74% of MDAs.
D	Information and communications technology (i.e. internet, e mail, MS Office, databases etc) is generally not in place or used to support of administrative systems in most MDAs.

- There are clear ICT policies and rules which reflect modern best practice.

Score	Minimum Requirements
A	There are clear and comprehensive ICT policies (covering hardware, software, connectivity etc.) and rules which reflect modern best practice.
B	Ad hoc ICT policies and rules are in place in some MDAs.
C	There are no ICT policies or rules in place but there is strong recognition of the need for them and plans are underway to prepare them.
D	There is no ICT policy or rules to guide MDAs or public servants or citizens.

- A professional central ICT management function manages and maintains ICT facilities, and monitors compliance with policies and rules.

Score	Minimum Requirements
A	A professional central ICT management system manages and maintains ICT facilities, and supports and monitors MDA compliance with policies and rules.
B	A professional central ICT management system exists to manage and maintain ICT facilities,

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Score	Minimum Requirements
	but it does not monitor MDA compliance with policies and rules.
C	A professional central ICT management system is planned or under development.
D	There is no professional central ICT management system.

- Staff are able to use ICT effectively and in accordance with policies and rules.

Score	Minimum Requirements
A	Most relevant staff are trained, have access to, and are able to use ICT effectively in accordance with policies and rules.
B	Approximately 50 to 75% of staff are trained, have access to and are able to use ICT effectively in accordance with policies and rules.
C	Some staff has received some ICT training but less than 50% have access to ICT or are able to use it effectively.
D	There is no mechanism to ensure that relevant staff have access to ICT and its use is very limited.

Category C: Human Resource Management- Policies and Organisation

Dimension 1: HRM Laws and Rules for State public servants

- There are clear, comprehensive and up to date state HRM laws and regulations which govern public service employment, rights and obligations, etc., and which reflect relevant federal requirements (e.g. National Gender Policy).

Score	Minimum Requirements
A	Apart from Civil Service Rules and circulars, there are clear, comprehensive and up to date [HRM] laws, rules and regulations which govern public service employment, rights and obligations, etc., and reflect relevant federal requirements.
B	The State has added comprehensive laws and regulations to the Civil Service Rules and circulars.
C	The laws and regulations are as published in the State/Federal CS Rules and circulars
D	There are no [HRM] laws, rules or regulations which govern public service employment, rights and obligations, etc.

- Laws, rules and regulations are published and accessible to all public servants and the public.

Score	Minimum Requirements
A	Laws, rules and regulations are published and accessible.
B	Most laws, rules and regulations are published but not as accessible as they could be.
C	Few laws, rules and regulations are published or made accessible.
D	Laws, rules and regulations are not published.

- HRM laws, rules and regulations are enforced, and effective sanctions imposed in cases of default.

Score	Minimum Requirements
A	The laws, rules and regulations are enforced and effective sanctions imposed in cases of default.
B	The laws and regulations are generally enforced and effective sanctions imposed in most cases of default.
C	The laws and regulations are weakly enforced and effective sanctions are rarely imposed in cases of default.
D	The laws and regulations are generally not complied with.

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Dimension 2: HRM policies governing terms and conditions of service and the contract of employment between the public servant and the State.

- There are clear, comprehensive and up to date HRM policies which cover general terms and conditions of employment.

Score	Minimum Requirements
A	There are clear, comprehensive and up to date HRM Policies which cover general terms and conditions of employment.
B	There are comprehensive HRM Policies which cover general terms and conditions of employment, but they have not been updated within the last 5 years.
C	There are HRM Policies which cover general terms and conditions of employment but they are not comprehensive or up to date.
D	There are no clear, comprehensive and up to date HRM Policies which cover general terms and conditions of employment.

- HRM policies, guidelines and rules are published and accessible.

Score	Minimum Requirements
A	HRM policies, guidelines and rules are published and accessible to all.
B	HRM policies, guidelines and rules are published but not readily accessible.
C	HRM policies, guidelines and rules were originally published but few copies are now accessible.
D	HRM policies, guidelines and rules are not published.

- Induction is provided for all public servants to familiarise them with policies, guidelines and rules.

Score	Minimum Requirements
A	Up to date and timely induction is provided for all public servants to familiarise them with policies, rules and guidelines.
B	Induction is provided for most public servants to familiarise them with policies, rules and guidelines but it is often provided several months after joining.
C	Induction is provided for some public servants and it does not adequately cover policies, rules and guidelines.
D	There is no induction provided for public servants.

Dimension 3: Professional central human resources management

- Human resource management functions (for example, training, performance management, workforce planning) are properly defined and allocated to appropriate structures (especially within the Office of the Head of Service, Civil Service Commission, Local Government Service Commission (LGSC))

Score	Minimum Requirements
A	Human resource management functions are properly defined in all sectors and tiers of government and allocated to appropriate structures (especially within the Office of the Head of Service, Civil Service Commission, LGSC and other MDAs with responsibility for pan-public service HR functions).
B	Human resource management functions are properly defined and appropriately allocated in the Office of the Head of Service, Civil Service Commission, Establishments and Pensions, LGSC but generally not in MDAs
C	Human resource management functions could be more clearly defined and more appropriately allocated in the 'central' HR functions and in MDAs
D	There are no properly defined Human resource management functions in place in the State public services.

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- The HRM system is staffed by competent and appropriately qualified human resource managers.

Score	Minimum Requirements
A	The HRM system is staffed by competent and appropriately qualified human resource managers in the 'central' and MDA HR functions.
B	Over 50% of HR posts are staffed by competent and appropriately qualified HR managers.
C	Between 25 and 49% of HR posts are staffed by competent and appropriately qualified HR managers.
D	Fewer than 25% of HR posts are staffed by competent and appropriately qualified HR managers.

Dimension 4: Human Resources Records and Statistics for management of public servants' employment.

- There is a comprehensive HR Database with up to date and accurate Individual personnel records including personal information, education, qualifications, and experience and performance data.

Score	Minimum Requirements
A	There is a comprehensive and computerised HR Database with up to date and validated individual personnel records including personal information, education, qualifications, experience, and performance data covering 100% of staff.
B	There is a comprehensive HR Database with up to date and accurate individual personnel records including personal information, however the system lacks certain key information for HR planning and management.
C	There is a fairly comprehensive HR Database with individual personnel records including personal information, but it does not cover all staff and includes invalid records
D	There is a basic HR staff list with individual personnel records but this is not validated or up to date.

- Effective review and revision mechanisms exist to ensure the currency and accuracy of individual personnel records.

Score	Minimum Requirements
A	Review and revision mechanisms exist and are applied systematically to ensure the currency and accuracy of individual personnel records in all MDAs, sectors and tiers of government
B	Effective review and revision mechanisms exist in 75-99% of MDAs to ensure the currency and accuracy of individual personnel records
C	Effective review and revision mechanisms exist in 50-74% of MDAs to ensure the currency and accuracy of individual personnel records
D	Effective review and revision mechanisms exist in fewer than 50% of MDAs to ensure the currency and accuracy of individual personnel records.

- Individual personnel records are maintained securely and access is restricted to authorised personnel.

Score	Minimum Requirements
A	All individual personnel records are maintained securely and access is always restricted to authorised personnel.
B	In 75-99% of MDAs personnel records are secure and access is restricted to authorised personnel
C	In 50-74% of MDAs personnel records are secure and access is restricted to authorised personnel
D	In under 50% of MDAs personnel records are secure and access is restricted to authorised personnel.

- Public servants have regular controlled opportunities to review information held on their personnel records and request evidence-based corrections to factual errors.

Score	Minimum Requirements
A	All public servants have regular controlled opportunities to review information held on their personnel records and request evidence-based corrections to factual errors.
B	Public servants can request and are allowed access to their personnel records to review information held on them and correct factual errors.
C	Public servants have limited opportunities to review information held on their personnel records or to request evidence-based corrections to factual errors.
D	Public servants do not have access to information held on their personnel records.

- Personnel records are linked to, and reconciled with payroll records.

Score	Minimum Requirements
A	There is a working system in place whereby personnel records are regularly and accurately linked to and reconciled with payroll records across the whole of State government.
B	Personnel records are accurately linked to and reconciled with payroll records at irregular intervals.
C	Personnel records are partially and irregularly linked to and reconciled with payroll records
D	Personnel records are seldom or never reconciled with payroll records.

- Statistical information about the composition of the workforce, disaggregated by sex, age, and other measures of gender and social inclusion, is regularly generated.

Score	Minimum Requirements
A	There is a computerised process in place and operational which regularly produces accurate statistical information about the composition of the workforce.
B	Statistical information about the composition of the workforce is available on request.
C	Statistical information about the composition of the workforce is not regularly generated and is limited in content
D	There is no production or circulation of workforce data.

Category D: Human Resource Management - Establishment and Workforce Planning and Management

Dimension 1: Establishment Planning, job design and grading

- There is a clear system with guidelines for establishment planning which is effectively and efficiently operated.

Score	Minimum Requirements
A	There is a clear system with guidelines for establishment planning which is effectively and efficiently operated in all MDAs and across government.
B	There is a clear system with guidelines for establishment planning which is effectively and efficiently operated in more than 50% of MDAs
C	There is a partial system for establishment planning which is operated in 25-50% of MDAs
D	There is no clear system or guidelines for establishment planning, or a system exists but is not in use.

- Posts/Jobs are designed for the functions and work volumes of the service.

Score	Minimum Requirements
A	Posts/Jobs are designed for the functions and work volumes of the service in each MDA.
B	Posts/Jobs are designed for the functions and work volumes of service in 75-99% of MDAs.
C	Posts/Jobs are designed for the functions and work volumes of service in 25-74% of MDAs.
D	Posts/Jobs are designed for the functions and work volumes of service in under 25% of MDAs or jobs are not designed but simply designated by the Scheme of Service.

- Each post has a detailed description that includes: a) a statement of the purpose of the post; b) the duties to be carried out; c) the tasks involved; d) objectives to be achieved; e) quality standards to be met; f) competency (technical knowledge experience and skills) required; g) roles and responsibilities, and h) accountabilities.

    And

    Each post is assigned a grade through an objective process of job evaluation that assesses the relative worth and size of job roles in the service along with the level of competency (technical knowledge, experience and skills) required.

Score	Minimum Requirements
A	In all MDAs each job has a detailed job description that includes all 8 of the elements (a-h) and is assigned a grade through an objective process of job evaluation.
B	Each job has a job description that includes at least 6 of the elements (a-h) and is assigned a grade through an objective process of job evaluation.
C	Each job has a job description that includes at least 4 of the elements (a-h) and is assigned a grade through an objective process of job evaluation.
D	Job descriptions include 2 or less elements (a-h); the Scheme of Service is regarded as the only job description and the mechanism to assign grades.

- The grading structure and criteria are published and accessible to all public servants

Score	Minimum Requirements
A	The State public service grading structure and criteria are published and accessible to all public servants.
B	The grading structure and criteria are published but only accessible to 50-99%% of public servants.
C	The grading structure and criteria are published and accessible to under 50% of public servants.
D	The grading structure and criteria is not published and is largely inaccessible to public servants

- Procedures exist and are used to regularly review, posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements.

Score	Minimum Requirements
A	An effective mechanism exists and is used to review regularly review posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements.
B	An effective mechanism exists but reviews have not been carried out for over 10 years.
C	An effective mechanism exists but the capacity of the State government to conduct such exercises is now too low to operate it.
D	There is no effective system for reviewing posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements.

Dimension 2: Workforce Planning

- MDAs have workforce plans which are formulated in the light of accurate and up to date workforce statistics.

Score	Minimum Requirements
A	All MDAs have workforce plans which are formulated in the light of accurate and up to date workforce statistics.
B	75-99% of MDAs have workforce plans which are formulated in the light of accurate and up to date workforce statistics.
C	50-74% of MDAs have workforce plans which are formulated in the light of accurate workforce statistics
D	Fewer than 50% of MDAs have workforce plans which are formulated in the light of accurate and up to date workforce statistics, or there is no workforce planning process in place.

- Workforce plans take account of (a) workforce skills, (b) age profiles, (c) national gender policy requirements, (d) market conditions, (e) talent (f) succession requirements and (g) realistic budgets.

Score	Minimum Requirements
A	Workforce plans take account of all elements (a-e) for all MDAs and the public service as a whole.
B	Data on 3 of the elements (a-e) are routinely collected and used to inform workforce plans.
C	Data on 1 or 2 of the elements (a-e) are routinely collected and used to inform workforce plans.
D	Workforce plans do not take account of any of the elements (a-e) or there is no workforce planning process in place.

- Workforce plans are designed to achieve representation and diversity policy targets.

Score	Minimum Requirements
A	For all MDAs and the public service as a whole clear diversity policy targets are in place and are used in workforce planning to ensure the public service is representative of the population it serves.
B	In 75-99% of MDAs workforce plans are designed to achieve representation and diversity policy targets.
C	In 50-74% of MDAs workforce plans are designed to achieve representation and diversity policy targets.
D	In fewer than 50 % of MDAs workforce plans are designed to achieve representation and diversity policy targets.

- Workforce plans are published and accessible to public servants.

Score	Minimum Requirements
A	Workforce plans are available, published and made accessible to all public servants.
B	Workforce plans are published and made accessible to 75-99% of public servants.
C	Workforce plans are published and made accessible to 50-74% of public servants
D	Workforce plans are not published and are accessible to fewer than 50% of public servants, or there is no published workforce plan beyond the annual personnel budget.

Dimension 3: HR Recruitment, posting, promotion and career guidance

- All recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.

Score	Minimum Requirements
A	All recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.
B	75-99% of recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.
C	50-74% of recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.
D	Fewer than 50% of recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.

- Principles, procedures and merit criteria for recruitment, posting and promotion are published and accessible to all public servants in a career progression policy.

Score	Minimum Requirements
A	Principles, procedures and merit criteria for recruitment, posting and promotion are published and made readily accessible to all public servants in a career progression policy.
B	Principles, procedures and merit criteria for recruitment, posting and promotion are usually published but not made readily accessible.
C	Principles, procedures and merit criteria for recruitment, posting and promotion are not published and are difficult to access.
D	There are few laid down principles, procedures and merit criteria for recruitment, posting and promotion.

- Each public servant receives a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both parties and is written in accessible language.

Score	Minimum Requirements
A	Each public servant receives a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language.
B	75-99% of public servants receive a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language.
C	50-74% of public servants receive a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language.
D	Fewer than 50% of public servants receive a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language.

- An appeals procedure enabling public servants to request a review of recruitment, posting, or promotion decisions is operating and accessible to all public servants.

Score	Minimum Requirements
A	An appeals procedure enabling public servants to request a review of recruitment, posting, or promotion decisions is operating and accessible to all public servants.
B	An appeals procedure enabling public servants to request a review of recruitment, posting,

Score	Minimum Requirements
	or promotion decisions is operating and accessible to 75-99% of public servants.
C	An appeals procedure enabling public servants to request a review of recruitment, posting, or promotion decisions is operating and accessible to 50-74% of public servants.
D	An appeals procedure enabling public servants to request a review of recruitment, posting, or promotion decisions is operating and accessible to fewer than 50% of public servants.

- Career guidance and planning advice is available to all public servants.

Score	Minimum Requirements
A	Career guidance and planning advice is available to all public servants.
B	Career guidance and planning advice is available to 75-99% of public servants.
C	Career guidance and planning advice is available to 50-74% of public servants.
D	Career guidance and planning advice is available to fewer than 50% of all public servants.

Category E: Human Resource Management - Performance Management and Workforce Development

Dimension 1: Employee performance management system

- There is an objective employee performance management system for employees which managers are trained for and obliged to operate.

Score	Minimum Requirements
A	There is an objective performance management system for all employees which managers are trained for and obliged to operate in all MDAs.
B	There is an objective performance management system for employees which works in most MDAs although managers may require further training.
C	There is performance management system for employees but it is not based on up to date job descriptions and targets, and managers are not trained in its use.
D	The performance management system for employees has largely become dysfunctional and is operated on an ad hoc basis largely to meet promotion requirements.

- Individual performance assessment is linked to agreed targets or service standards and involves at least an annual assessment.

Score	Minimum Requirements
A	In all MDAs performance assessment is linked to agreed targets or service standards as a matter of policy and good practice and involves at least an annual assessment.
B	In more than 75% MDAs performance assessment is linked to agreed targets or service standards and involves at least an annual assessment.
C	In 50-74% of MDAs performance assessment is linked to agreed targets or service standards and involves an annual assessment
D	In fewer than 50% of MDAs is performance assessment linked to agreed targets or service standards and involves an annual assessment.

- Results of performance assessments are available to respective employees, are properly filed and added to the HR database.

Score	Minimum Requirements
A	In all MDAs results of performance assessments are available to individual employees and are properly filed and added to the HR database.
B	In 75-99% of MDAs results of performance assessments are available to individual employees, are properly filed and added to the HR database.
C	In 50-74% of MDAs results of performance assessments are available to individual employees are properly filed and added to the HR database.
D	In fewer than 50% of MDAs results of performance assessments are made available to individual employees, properly filed and added to the HR database.

- There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion.

Score	Minimum Requirements
A	There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion operating in all MDAs.
B	There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion operating in more than 50% of MDAs.
C	There are limited rewards and sanctions for good and poor performance but performance has little effect on promotion.
D	There are no rewards and sanctions for good and poor performance and performance has no effect on promotion.

- Operation of the system is monitored by the central human resources management function, and remedial action is taken when necessary.

Score	Minimum Requirements
A	The performance management system is systematically managed by the central HR function who takes action as necessary to keep the system on track.
B	The performance management system is monitored by the central HR function but no remedial action is taken.
C	The system is not monitored as well or extensively as it should be.
D	There is no monitoring by any central managers nor remedial action taken.

Dimension 2: Workforce Development Policies to ensure that public servants have the necessary skills and capacity to carry out their duties

- A current Workforce Development Policy exists which sets out the Government's principles, objectives and approach for skills and capacity development.

Score	Minimum Requirements
A	A current Workforce Development Policy exists which sets out Government's principles, objectives and approach for skills and capacity development for the public services.
B	A Workforce Development Policy exists but is not comprehensive in setting out Government's principles, objectives and approach for skills and capacity development.
C	There is simply a set of training guidelines rather than a strategic Workforce Development Policy.
D	There is no current workforce development policy.

- The Workforce Development Policy includes: a) priority training areas, b) criteria and targets for HRD planning and budgets for training and development, c) organisational arrangements, d) criteria for selection of trainees, e) criteria for use of HRD providers, f) recommended best practice for training and learning methodologies, g) recommendations for the Monitoring & Evaluation (M&E) of HRD.

Score	Minimum Requirements
A	The policy includes all elements a-g
B	The policy includes at least 5 elements a-g
C	The policy includes at least 3 of the elements a-g
D	The policy includes none or only 1 or 2 of the elements a-g.

- The policy is published and accessible to all public servants who know who is responsible for what in implementing the policy.

Score	Minimum Requirements
A	The policy is published and accessible to all public servants who know who is responsible for what in implementing the policy.
B	The policy is published and accessible to 50-74% of public servants who know who is responsible for what in implementing the policy.
C	The policy is published but public servants cannot easily access it.
D	The policy is not published and few public servants are aware of it.

Dimension 3: Workforce development management systems

- There is a central properly resourced, professional HR development function.

Score	Minimum Requirements
A	There is a central properly resourced, professional HR development function that is in operation across government.
B	The central HR development function is operational but could be more effective.
C	The central HR development function is under-resourced and restricted in its capability to approve HR development plans and advise MDAs.
D	The central HR development function is seriously inadequate.

- There are sufficient appropriately qualified dedicated training and development managers or departmental training officers.

Score	Minimum Requirements
A	There are sufficient appropriately qualified dedicated training and development managers or Department of Treasury Operations (DTOs) in each of the State government MDAs.
B	75-99% of MDAs have sufficient, appropriately qualified, dedicated training and development managers or DTOs.
C	50-74% of MDAs have sufficient and appropriately qualified dedicated training and development managers or DTOs.
D	Less than 50% of MDAs have sufficient, appropriately qualified dedicated training and development mangers or DTOs.

- There are properly-resourced training facilities (either in-house, or provided through contractual arrangements with appropriately qualified and credible training organisations).

Score	Minimum Requirements
A	There is a wide choice of properly resourced training facilities and credible training organisations available to the State public service.
B	There are sufficient properly resourced training facilities and credible training organisations available.
C	Plans are in place to provide properly resourced training facilities and more credible training organisation(s).
D	The choice and capability of training organisations and facilities is very limited.

- MDAs produce strategic and activity HRD plans, based on regular analyses of workforce statistics, skills gaps and training needs which form a key part of workforce plans.

Score	Minimum Requirements
A	All MDAs produce strategic and activity HRD plans, based on regular analyses of workforce statistics, skills gaps and training needs, which form a key part of workforce plans.

Score	Minimum Requirements
B	50-74% of MDAs produce strategic and activity HRD plans, based on regular analyses of workforce statistics, skills gaps and training needs, which form a key part of workforce plans.
C	Fewer than 50% of MDAs produce strategic and activity HRD plans, or plans are based on limited analyses of workforce statistics, skills gaps and training needs.
D	There are no strategic and activity HRD plans.

- Procedures for identifying training needs and selecting public servants to participate in training are made available to employees in accordance with published criteria and policies.

Score	Minimum Requirements
A	The policies, procedures and criteria for identifying training needs and selecting public servants for training are clear, published and made available to all public servants.
B	The policies, procedures and criteria for identifying training needs and selecting public servants for training are published and made available to 75-99% of public servants.
C	The policies, procedures and criteria for identifying training needs and selecting public servants for training are published and made available to 50-74% of public servants.
D	The policies, procedures and criteria for identifying training needs and selecting public servants for training are not published or are made available to fewer than 50% of public servants.

- MDAs have an annual training programme and proportionate HRD budget based on a strategic HRD analyses and reflecting the government's training policy.

Score	Minimum Requirements
A	All MDAs have an annual training programme and proportionate HRD budget based on their strategic HRD analyses and reflecting the government's training policy.
B	75-99% of MDAs have an annual training programme and a proportionate HRD budget based on their strategic HRD analyses and reflecting the government's training policy.
C	50-74% of MDAs have an annual training programme and proportionate HRD budget based on their strategic HRD analyses and reflecting the
D	Fewer than 50% of MDAs have an annual training programme or proportionate budget based on their strategic HRD analyses and reflecting the government's training policy.

- Training programmes are implemented as planned.

Score	Minimum Requirements
A	Training programmes and budgets are implemented as planned in all MDAs.
B	In 75-99% of MDAs training programmes and budgets are implemented as planned.
C	In 50-74% of MDAs training programmes and budgets are implemented as planned.
D	In fewer than 50% of MDAs training programmes and budgets are implemented as planned.

- All officers have individual learning plans linked to their performance evaluations and which are used to improve specific skills and knowledge for their current post and to facilitate career progression.

Score	Minimum Requirements
A	All officers have individual learning plans which linked to their performance evaluations and which are used to identify requirements and improve the skills and knowledge of individual public servants.
B	75-99% of officers have individual learning plans which linked to their performance evaluations and which are used to identify requirements and improve the skills and knowledge of individual public servants.

Score	Minimum Requirements
C	50-74% of officers have individual learning plans which linked to their performance evaluations and which are used to identify requirements and improve the skills and knowledge of individual public servants
D	Fewer than 50% of officers have individual learning plans linked to their performance evaluations.

- Line managers actively identify training needs and request training for their staff.

Score	Minimum Requirements
A	All line managers actively identify training needs and request training for their staff.
B	75-99% of line managers actively identify training needs and request training for their staff.
C	50-74% of line managers actively identify training needs and request training for their staff.
D	Fewer than 50% of line managers are required to identify training needs and request training for their staff.

- Line managers ensure that new skills are applied in practice to improve job performance.

Score	Minimum Requirements
A	All line managers ensure that new skills are applied in practice to improve job performance.
B	75-99% of line managers ensure that new skills are applied in practice to improve job performance.
C	50-74% of line managers ensure that new skills are applied in practice to improve job performance.
D	Fewer than 50% of line managers ensure that new skills are applied in practice to improve job performance.

- Learning and training events, providers and impacts are evaluated regularly, and training plans are amended in the light of this.

Score	Minimum Requirements
A	There is a mechanism in place to evaluate all learning and training events, suppliers and impact and to amend training plans in the light of this.
B	Learning and training events, suppliers and impact are evaluated regularly but the results do not inform training plans.
C	Individual training events are partially evaluated but there is no evaluation of HRD providers or of training impact.
D	There is no evaluation mechanism in place.

Category F: Human Resource Management - Employer and employee responsibilities and relations

Dimension 1: A code of ethics or code of conduct to govern public servants' behaviour

- An up to date code of conduct/ethics or similar published document sets out the expected behaviour standards of public servants plus the disciplinary procedures/penalties to be applied where a public servant is proven to be in breach of the code.

Score	Minimum Requirements
A	An up to date code of conduct/ ethics, or similar published document, sets out the behaviour standards expected of public servants plus the disciplinary procedures/ penalties to be applied where a public servant is found to be in breach of the code. The Code is honoured by 75-100% of public servants and penalties for breach are always applied.

Score	Minimum Requirements
B	An up to date code of conduct/ ethics that sets out the behaviour standards expected of public servants is honoured by 50-74% of public servants. Penalties for breaching the code are routinely applied
C	An up to date code of conduct/ ethics that sets out the behaviour standards expected of public servants is honoured by 25-49% of public servants. Penalties for breaching the code are not common.
D	An up to date code of conduct/ ethics that sets out the behaviour standards expected of public servants is honoured by fewer than 25% of public servants. Penalties for breaching the Code are not applied.

- Transgressions are acted upon promptly and appropriately.

Score	Minimum Requirements
A	Transgressions are acted upon promptly and appropriately in all cases.
B	Transgressions are acted upon promptly and appropriately in 75-99% of known instances.
C	Transgressions are acted upon promptly and appropriately in 50-74% of known instances.
D	Transgressions are acted upon neither promptly nor appropriately.

Dimension 2: A grievance procedure to provide public servants with a channel to express legitimate complaints

- A grievance policy and procedure is published and accessible to all public servants.

Score	Minimum Requirements
A	A grievance policy and procedure is published and accessible to all public servants.
B	A grievance policy and procedure is published and accessible to 75-99% of public servants.
C	A grievance policy and procedure is published and accessible to 25-74% of public servants.
D	There is no realistic grievance policy or procedure which is published or openly available.

- The central human resources management function provides support to any public servant who wishes to pursue a legitimate grievance.

Score	Minimum Requirements
A	The central human resources management function provides support in all cases of legitimate grievance
B	The central human resources management function provides support in 75-99% of cases of legitimate grievance.
C	The central human resources management function provides support in 25-74% of cases of legitimate grievance
D	The HR function provides very little useful support to public servants who wish to pursue a legitimate grievance in only a minority of cases.

- All grievances are considered in reasonable time by an objective and independent body.

Score	Minimum Requirements
A	All grievances are considered in reasonable time by an objective and independent body.
B	In 50-99% of cases grievances are considered in reasonable time by an objective and independent body.
C	In less than 50% of cases grievances are considered in reasonable time by an objective and independent body.
D	The grievance procedures are either too slow or not handled by an objective and independent body.

- Grievance decisions are published, with reasons, and are accessible to all public servants.

Score	Minimum Requirements
A	100% of grievance decisions are published, with reasons, and are accessible to all public servants.
B	75-99% of grievance decisions are published, with reasons, and are accessible to all or most public servants.
C	Over 50% of grievance decisions are published, with reasons, and are accessible to most public servants.
D	Grievance decisions are not usually published or made accessible to all public servants.

Dimension 3: Welfare services are available to support public servants

- An up to date welfare policy, welfare benefits and a set of procedures exists and is readily accessible to all public servants.

Score	Minimum Requirements
A	An up to date welfare policy, benefits and set of procedures are in place and readily accessible to all public servants.
B	An up to date welfare policy, welfare benefits and set of procedures exists and is readily accessible to 50-99% of public servants.
C	An up to date welfare policy, welfare benefits and set of procedures exists and is readily accessible to less than 50% of public servants.
D	There is no up to date welfare policy, welfare benefits or set of procedures in place.

- The central human resources management function includes trained welfare officers who are available to assist public servants as required by the policy.

Score	Minimum Requirements
A	There are sufficient trained welfare officers available to provide help
B	There are a limited number of trained welfare officers available.
C	Plans are in place to train welfare officers but presently very few are in post.
D	There are no trained welfare officers available.

- Public servants can usually access welfare benefits to which they are entitled by the policy.

Score	Minimum Requirements
A	All public servants know what welfare benefits and support they are entitled to and are able to access them.
B	50-99% of public servants know what welfare benefits and support they are entitled to and are able to access them.
C	Generally public servants know what welfare benefits they are entitled to but access is limited.
D	Most public servants neither know their welfare benefit entitlements, nor how to access them.

Category G: Human Resource Management – pay and pensions

Dimension 1: Pay and allowances

- Salary and allowance structure(s) is (are) rational and related to accepted grade and experience criteria.

Score	Minimum Requirements
A	Salary structure(s) is (are) rational and related to accepted grade and experience criteria in the State public services.
B	Salary structure(s) is (are) rational and related to accepted grade and experience criteria in selected sectors or tiers.
C	Salary structure(s) is (are) related to accepted grade and experience criteria.
D	Salary structure(s) is (are) neither rational nor related to accepted grade and experience criteria.

- Pay policy is regularly reviewed and reflects prevailing labour market and broader economic conditions.

Score	Minimum Requirements
A	Pay policy is regularly reviewed, reflects current labour market and broader economic conditions.
B	Pay policy is reviewed periodically, broadly reflects current labour market and broader economic conditions.
C	Pay policy is not regularly reviewed; information about current labour market and broader economic conditions is not collected.
D	The pay policy is out of date and disconnected from the prevailing labour market and broader economic conditions

- The proportion of total state budget allocated to salaries and allowances is appropriate and affordable

Score	Minimum Requirements
A	The emoluments budget is appropriate and affordable.
B	The emoluments budget is appropriate and proportionate but not affordable.
C	The emoluments budget is disproportionate but affordable.
D	The emoluments budget is disproportionate and not affordable.

- Political appointees, elected representatives etc are included in the pay policy and their pay is fair and transparent

Score	Minimum Requirements
A	Political appointees, elected representatives etc are included in the State public service pay policy and their pay is fair and transparent
B	Political appointees and elected representatives have their own pay policy separate from the public service but their pay is fair and transparent
C	Political appointees and elected representatives have their own pay policy separate from public service; their pay is not fair or transparent.
D	There are no pay policies in place for political appointees and elected representatives, their pay can be decided behind closed doors.

- Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to public servants and the public.

Score	Minimum Requirements
A	Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to all public servants and the public.
B	Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to all public servants but not the public.
C	Pay policy, pay scales, allowances and criteria for determining pay are published but not accessible to public servants.
D	Pay policy, pay scales, allowances and criteria for determining pay are not published.

- Most allowances are monetised and therefore taxable in line with Federal system.

Score	Minimum Requirements
A	Most allowances are monetised and therefore taxable in line with Federal system.
B	Plans are in place to monetise most allowances in line with Federal system.
C	Few allowances are monetised and therefore taxable in line with Federal system.
D	Allowances are not monetised.

- Pay is correctly calculated and paid on time.

Score	Minimum Requirements
A	Pay is correctly calculated and paid on time in all cases.
B	Pay is correctly calculated and paid on time for 75-99% of staff.
C	Pay is correctly calculated and paid on time for 50-74% of staff.
D	Pay is correctly calculated and paid on time for fewer than 50% of staff.

- The means of payment is secure, minimises transaction costs, and is user-friendly for public servants.

Score	Minimum Requirements
A	In all cases payment is made electronically – it is secure, cost effective and convenient for all public servants.
B	Payment is made electronically – it is secure, cost effective but not always reliable [at the banks] and convenient for public servants.
C	The means of payment is not secure, is expensive and not user friendly for public servants.
D	The means of payment is out of date and inconvenient.

Dimension 2: Payroll

- The nominal role and payroll are linked, so that entitlement to pay can be verified.

Score	Minimum Requirements
A	A computerised system is in place and operating fully effectively to link nominal roll and payroll for all government entities.
B	A computerised system is in place and operating effectively to link nominal roll and payroll for 75-99% of MDAs.
C	A computerised system is in place and operating fully effectively to link nominal roll and payroll for 50-74% of MDAs.
D	There is no reliable link between nominal roll and payroll; verification of pay is a problem.

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- The payroll is clean, and is regularly reviewed to ensure that all pay entitlements are correct.

Score	Minimum Requirements
A	A computerised system is in place and operating fully effectively. The payroll is clean, and is regularly reviewed to ensure that all pay entitlements are correct.
B	A computerised payroll system is in place with minor payroll errors.
C	A system to clean the payroll is being put into effect and plans for regular checks have been prepared.
D	The payroll is not regarded as clean and is not reviewed regularly.

- The payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security procedures.

Score	Minimum Requirements
A	For all public servants the payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security procedures.
B	For 75-99% of public servants the payroll is secure and can be accessed and altered only by properly authorised persons in accordance with security procedures.
C	For 50-74% of public servants the payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security.
D	For fewer than 50% of public servants the payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security.

- Political appointees and representatives are on the payroll.

Score	Minimum Requirements
A	All political appointees and representatives are on the payroll.
B	75-99% of political appointees and representatives are on the payroll.
C	50-74% of political appointees and representatives are on the payroll.
D	Political appointees and representatives have a separate non transparent payroll.

Dimension 3: Pensions

- There are clear pension policies in place, underpinned by law and being implemented for all public servants.

Score	Minimum Requirements
A	There are clear pension policies in place, underpinned by law and being implemented for all public servants.
B	There are clear pension policies in place, underpinned by law and being implemented for 50-99% of public servants.
C	Pension policies are not clear but operate for the majority of public servants.
D	Clear pension policies in place for less than 50% of public servants.

- Public servants are provided with detailed information on pensions, investment and payment options.

Score	Minimum Requirements
A	Detailed information is provided in all cases and sectors.
B	Detailed information is provided in 75-99% of cases.

Score	Minimum Requirements
C	Detailed information is provided in 50-74% of cases.
D	Most public servants are not provided with detailed information on pensions, investment and payment options.

- Fully operational contributory pension schemes are in place.

Score	Minimum Requirements
A	Fully funded contributory pension schemes are in place and operating as planned for all public servants.
B	Fully funded contributory pension schemes are in place for 75-99% of public servants.
C	Fully funded contributory pension schemes are in place for 50-74% of public servants.
D	Fully funded contributory pension schemes are in place for less than 50% of public servants.

- Pensions reflect realistic economic expectations, and percentage contributions by employer and employees are appropriate and accepted.

Score	Minimum Requirements
A	Pensions reflect realistic economic expectations and % contributions by employer and employees are appropriate and fully accepted in over 75% of cases.
B	There is a review mechanism in place to ensure that pensions reflect realistic economic expectations and % contributions by employer and employees are appropriate and accepted for 50-74% of contributors.
C	There is a review mechanism in place to ensure that pensions reflect realistic economic expectations but it is not used; % contributions by employer and employees are regarded as appropriate and accepted by less than 50% of contributors.
D	Pensions do not reflect realistic economic expectations and % contributions by employer and employees are inappropriate and unacceptable over 75% of cases.

- The pension commitments of state government are costed, affordable, budgeted for and fully paid up.

Score	Minimum Requirements
A	The pension commitments of state government are based on reliable actuarial forecasts, budgeted for and fully paid up.
B	The pension commitments of state government are believed to be costed, affordable, budgeted for and paid up.
C	It is not clear whether the pension commitments of state government are costed, affordable, budgeted for and paid up.
D	The pension commitments of state government are not costed, affordable, budgeted for or paid up.

- Pensions are correctly calculated and fully paid on time.

Score	Minimum Requirements
A	Pensions are correctly calculated and fully paid on time in all cases and sectors.
B	Pensions are correctly calculated and fully paid on time in 75-99% of cases.
C	Pensions are correctly calculated and fully paid on time in 25-74% of cases.
D	In most cases pensions are not correctly calculated or fully paid.

- Pension arrangements include fair and transparent arrangements for political appointees and representatives

Score	Minimum Requirements
A	All political appointees and representatives are included in fair and transparent pension arrangements.

B	Most political appointees and representatives are included in fair and transparent pension arrangements.
C	Few political appointees are included in pension arrangements: most have non transparent more beneficial arrangements.
D	Political appointees and representatives are not included in pension arrangements. They all have non transparent more beneficial arrangements.

Section **Four**   **Template for Recording Indicator Scores**

A	**Organisation of the Public Service**
1	Mandates and responsibilities (6)

(i) Specific mandates and objectives of State, Federal and Local Governments in the State are clearly defined and are documented for each MDA.

Score and Rationale:

(ii) Mandates are logically organised between MDAs and government tiers for effective service delivery.

Score and Rationale:

(iii) Legislation (other than the Constitution) and/or regulations define current mandates unequivocally.

Score and Rationale:

(iv) Lines of coordination and accountability are clearly demarcated between functions, levels and entities.

Score and Rationale:

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(v) There is an efficient system in operation to ensure that all mandates are: a) centrally stored, b) regularly reviewed, c) regularly published in various media, and d) legitimised through updated legislation when necessary.

Score and Rationale:

(vi) Intergovernmental communications, cooperation and relations between tiers are operating effectively.

Score and Rationale:

2	Overall macro-structure of the State and public services (State and Local tiers) (4)

(i) The macro-structure of government is comprehensively defined, appropriate for the achievement of objectives and to the effective delivery of services i.e. fit for purpose.

Score and Rationale:

(ii) The macro-structure distinguishes the political responsibilities for policy formulation from the bureaucratic responsibilities for regulation and implementation.

Score and Rationale:

(iii) The structure is clearly documented, published and accessible to all stakeholders and citizens including the principles on which it is designed.

Score and Rationale:

(iv) An effective procedure exists, and is used, to carry out periodic macro structural reviews and

update the structure to reflect Government's needs.

Score and Rationale:

B	Operation and Management of the Public Service
1	Overall laws and policies which regulate service delivery. (5)

(i)   MDAs are based on Laws and regulations define services, functions and responsibilities.

Score and Rationale:

(ii)   Overall, clear and up to date sector/MDA policies exist to guide service delivery.

Score and Rationale:

(iii)   Sector/MDA Policies are published and accessible to the public service and the public.

Score and Rationale:

(iv)   Understandable guidelines on laws, policies and standards are provided to all public servants.

Score and Rationale:

(v)   Circulars on the operation and management of the public service are regularly reviewed and provided to all public servants.

Score and Rationale:

2	Service Planning and Resource Allocation (5)

(i) Clear guidelines and formats for the content of medium and short-term plans for MDAs exist and are in use by public servants, e.g. MTSS.

Score and Rationale:

(ii) Effective planning and resource allocation (budgeting) procedures are documented, disseminated and in operation in all MDAs.

Score and Rationale:

(iii) MDAs have current medium term strategic plans based on relevant up to date data analyses which are used to guide key activities and outputs.

Score and Rationale:

(iv) MDAs have scheduled activity plans (e.g. MTSS) based on realistic budget envelopes.

Score and Rationale:

(v) Effective mechanisms (systems and procedures) are in place to monitor and evaluate the performance of strategic and activity plans.

Score and Rationale:

3	Structure and functions of MDAs (3)

(i)	The functions and structures of MDAs are aligned to core mandates, strategies and plans for optimum service delivery.

Score and Rationale:

(ii)	There is an effective system in place to support MDAs in reviewing their functions, processes and structures.

Score and Rationale:

(iii)	MDAs have up to date organograms which are published and accessible to public servants and the public.

Score and Rationale:

4	Public Service Performance Management – Policy and leadership (2)

(i)	A Public Service Performance Management policy is in place based on current good practice, and is published and operational.

Score and Rationale:

(ii)	Responsibility for performance management across government is clearly defined within an agreed management framework.

Score and Rationale:

5	Public Service Performance Management – participation, transparency and accountability (4)

(i)	Procedures are in use for facilitating effective public participation in planning and monitoring of service performance.

Score and Rationale:

(ii)   Procedures exist and are used to publish performance management information, and make this accessible to the public.

Score and Rationale:

(iii)   Service Charters and/or Service Level Agreements are used to specify service standards which MDAs will provide to the public or other MDAs respectively.

Score and Rationale:

(iv)   Public Service Agreements, Service level agreements, service charters and standards, are subject to regular review and updating with participation of clients and CSOs.

Score and Rationale:

6   Information and administrative functions operate effectively to support the conduct of State government business (7)

(i)   Modern registry and document management procedures are in place which reflect good practice and are operated as intended.

Score and Rationale:

(ii)   Up to date policies and procedures govern information security and dissemination and are operated as intended.

Score and Rationale:

(iii)   Key government documents (policies, laws, regulations, etc) are collated, maintained and made accessible to public servants and the public.

Score and Rationale:

(iv)   Information and communications technology (ICT) is used effectively in support of administrative systems.

Score and Rationale:

(v)   There are clear ICT policies and rules which reflect modern best practice.

Score and Rationale:

(vi)   A professional central ICT management function manages and maintains ICT facilities, and monitors compliance with policies and rules.

Score and Rationale:

(vii)   Staff are able to use ICT effectively and in accordance with policies and rules.

Score and Rationale:

C	Human Resource Management- Policies and Organisation
1	HRM Laws and Rules for State public servants (3)
(i)	There are clear, comprehensive and up to date State HRM laws and regulations which govern public service employment, rights and obligations, etc., and which reflect relevant federal requirements (e.g. National Gender Policy)

Score and Rationale:

(ii)	Laws, rules and regulations are published and accessible to all public servants and the public.

Score and Rationale:

(iii)	The laws, rules and regulations are enforced and effective sanctions imposed in cases of default.

Score and Rationale:

2	HRM policies governing terms and conditions of service and the contract of employment between the public servant and the State. (3)
(i)	There are clear, comprehensive and up to date HRM Policies which cover general terms and conditions of employment.

Score and Rationale:

(ii)	HRM policies, guidelines and rules are published and accessible.

Score and Rationale:

(iii)	Induction is provided for all public servants to familiarise them with policies, guidelines and rules.

Score and Rationale:

3	Professional central human resources management (2)

(i)	Human resource management functions are properly defined and allocated to appropriate structures (especially within the Office of the Head of Service, Civil Service Commission, LGSC)

Score and Rationale:

(ii)	The HRM system is staffed by competent and appropriately qualified human resource managers.

Score and Rationale:

4	Human Resources Records and Statistics for management of public servants' employment. (6)

(i)	There is a comprehensive HR Database with up to date and accurate Individual personnel records including personal information, education, qualifications, and experience and performance data.

Score and Rationale:

(ii)	Effective review and revision mechanisms exist to ensure the currency and accuracy of individual personnel records.

Score and Rationale:

(iii)	Individual personnel records are maintained securely and access is restricted to authorised personnel.

Score and Rationale:

(iv) Public servants have regular controlled opportunities to review information held on their personnel records and request evidence-based corrections to factual errors.

Score and Rationale:

(v) Personnel records are linked to and reconciled with payroll records.

Score and Rationale:

(vi) Statistical information about the composition of the workforce, disaggregated by sex, age and other measures of gender and social inclusion, is regularly generated.

Score and Rationale:

D	Human Resource Management: Establishment and Workforce Planning and Management
1	Establishment Planning, job design and grading. (5)

(i) There is a clear system with guidelines for establishment planning which is effectively and efficiently operated.

Score and Rationale:

(ii) Posts/Jobs are designed for the functions and work volumes of the service.

Score and Rationale:

(iii) Each post has a detailed description that includes: a) a statement of the purpose, b) the duties to

be carried out, c) the tasks involved, d) objectives to be achieved, e) quality standards to be met, f) competency (technical knowledge experience and skills) required, g) roles and responsibilities, h) accountabilities

and

Each post is assigned a grade through an objective process of job evaluation that assesses the relative worth and size of job roles in the service along with the level of competency (technical knowledge, experience and skills) required.

Score and Rationale:

(iv) The grading structure and criteria are published and accessible to all public servants

Score and Rationale:

(v) Procedures exist and are used to regularly review, posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements.

Score and Rationale:

2	Workforce planning (4)

(i) MDAs have workforce plans which are formulated in the light of accurate and up to date workforce statistics.

Score and Rationale:

(ii) Workforce plans take account of (a) workforce skills,(b) age profiles, (c) National Gender Policy requirements, (d)market conditions, (e) talent and (f) succession requirements.

Score and Rationale:

(iii) Workforce plans are designed to achieve representation and diversity policy targets.

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Score and Rationale:

(iv) Workforce plans are published and accessible to public servants.

Score and Rationale:

3	HR Recruitment, posting, promotion and career guidance. (5)

(i) All recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.

Score and Rationale:

(ii) Principles, procedures and merit criteria for recruitment, posting and promotion are published and accessible to all public servants in a career progression policy.

Score and Rationale:

(iii) Each public servant receives a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both parties and is written in accessible language.

Score and Rationale:

(iv) An appeals procedure enabling public servants to request a review of recruitment, posting, or promotion decisions exists and is operated and accessible to all public servants.

Score and Rationale:

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(v)   Career guidance and planning advice is available to all public servants.

Score and Rationale:

E	**Human Resource Management: Performance Management and Workforce Development**
1	Employee performance management system (5)

(i)   There is an objective employee performance management system for employees which managers are trained for and obliged to operate.

Score and Rationale:

(ii)   Individual performance assessment is linked to agreed targets or service standards and involves at least an annual assessment.

Score and Rationale:

(iii)   Results of performance assessments are available to respective employees, are properly filed and added to the HR database.

Score and Rationale:

(iv)   There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion.

Score and Rationale:

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(v)	Operation of the system is monitored by the central human resources management function, and remedial action is taken when necessary.

Score and Rationale:

2	Workforce Development Policies to ensure that public servants have the necessary skills and capacity to carry out their duties. (3)
(i)	A current Workforce Development Policy exists which sets out Government's principles, objectives and approach for skills and capacity development.

Score and Rationale:

(ii)	The policy includes: a) priority training areas, b) criteria and targets for HRD planning and budgets for training and development, c) organisational arrangements, d) criteria for selection of trainees, e) criteria for use of HRD providers, f) recommended best practice for training and learning methodologies, g) recommendations for the M&E of HRD.

Score and Rationale:

(iii)	The policy is published and accessible to all public servants who know who is responsible for what in implementing the policy.

Score and Rationale:

3	Workforce development management systems (11)
(i)	There is a central properly resourced, professional HR development function.

Score and Rationale:

(ii)	There are sufficient appropriately qualified dedicated training and development managers or DTOs.

Score and Rationale:

(iii) There are properly-resourced training facilities (either in-house, or provided through contractual arrangements with appropriately qualified and credible training organisations).

Score and Rationale:

(iv) MDAs produce strategic and activity HRD plans, based on regular analyses of workforce statistics, skills gaps and training needs which form a key part of workforce plans.

Score and Rationale:

(v) Procedures for identifying training needs and selecting public servants to participate in training are made available to employees in accordance with published criteria and policies.

Score and Rationale:

(vi) MDAs have an annual training programme and significant HRD budget based on their strategic HRD analyses and reflecting the government's training policy.

Score and Rationale:

(vii) Training programmes are implemented as planned.

Score and Rationale:

(viii)   All officers have individual learning plans linked to their performance evaluations and which are used to improve skills and knowledge for the current post, and to facilitate career progression.

Score and Rationale:

(ix)   Line managers actively identify training needs and request training for their staff.

Score and Rationale:

(x)   Line managers ensure that new skills are applied in practice to improve job performance.

Score and Rationale:

(xi)   Learning and training events, providers and impacts are evaluated regularly, and training plans are amended in the light of this.

Score and Rationale:

F	Human Resource Management: Employer and employee responsibilities and relations
1	A code of ethics or code of conduct to govern public servants' behaviour (2)
(i)	An up to date code of conduct/ethics or similar published document sets out the expected behaviour standards of public servants plus the disciplinary procedures / penalties to be applied where a public servant is proven to be in breach of the code.

Score and Rationale:

(ii)	Transgressions are acted upon promptly and appropriately.
Score and Rationale:	

2	A grievance procedure to provide public servants with a channel to express legitimate complaints (4)
(i)	A grievance policy and procedure is published and accessible to all public servants.
Score and Rationale:	

(ii)	The central human resources management function provides support to any public servant who wishes to pursue a legitimate grievance.
Score and Rationale:	

(iii)	All grievances are considered in reasonable time by an objective and independent body.
Score and Rationale:	

(iv)	Grievance decisions are published, with reasons, and are accessible to all public servants.
Score and Rationale:	

3	Welfare services are available to support public servants (3)
(i)	An up to date welfare policy, welfare benefits and a set of procedures exists and is readily accessible to all public servants.
Score and Rationale:	

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(ii)   The central human resources management function includes trained welfare officers who are available to assist public servants as required by the policy.

Score and Rationale:

(iii)   Public servants can usually to access welfare benefits to which they are entitled by the policy.

Score and Rationale:

G	Human Resource Management: Pay and Pensions
1	Pay and allowances (8)

(i)   Salary and allowance structure(s) is (are) rational and related to accepted grade and experience criteria.

Score and Rationale:

(ii)   Pay policy is regularly reviewed reflects prevailing labour market and broader economic conditions.

Score and Rationale:

(iii)   The proportion of total state budget allocated to emoluments is appropriate and affordable

Score and Rationale:

(iv) Political appointees, elected representatives etc are included in the pay policy and their pay is fair and transparent

Score and Rationale:

(v) Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to public servants and the public.

Score and Rationale:

(vi) Most allowances are monetised and therefore taxable in line with Federal system.

Score and Rationale:

(vii) Pay is correctly calculated and paid on time.

Score and Rationale:

(viii) The means of payment is secure, minimises transaction costs, and is user-friendly for public servants.

Score and Rationale:

2	Payroll (4)

(i) The nominal role and payroll are linked, so that entitlement to pay can be verified.

Score and Rationale:

(ii)   The payroll is clean, and is regularly reviewed to ensure that all pay entitlements are correct.

Score and Rationale:

(iii)   The payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security procedures.

Score and Rationale:

(iv)   Political appointees and representatives are on the payroll

Score and Rationale:

3	Pensions (7)

(i)   There are clear pension policies in place, underpinned by law and being implemented for all public servants.

Score and Rationale:

(ii)   Public servants are provided with detailed information on pensions, investment and payment options.

Score and Rationale:

(iii)   Fully operational contributory pension schemes are in place.

Score and Rationale:

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(iv) Pensions reflect realistic economic expectations and percentage contributions by employer and employees are appropriate and accepted.

Score and Rationale:

(v) The pension commitments of state government are budgeted for, affordable and fully paid up.
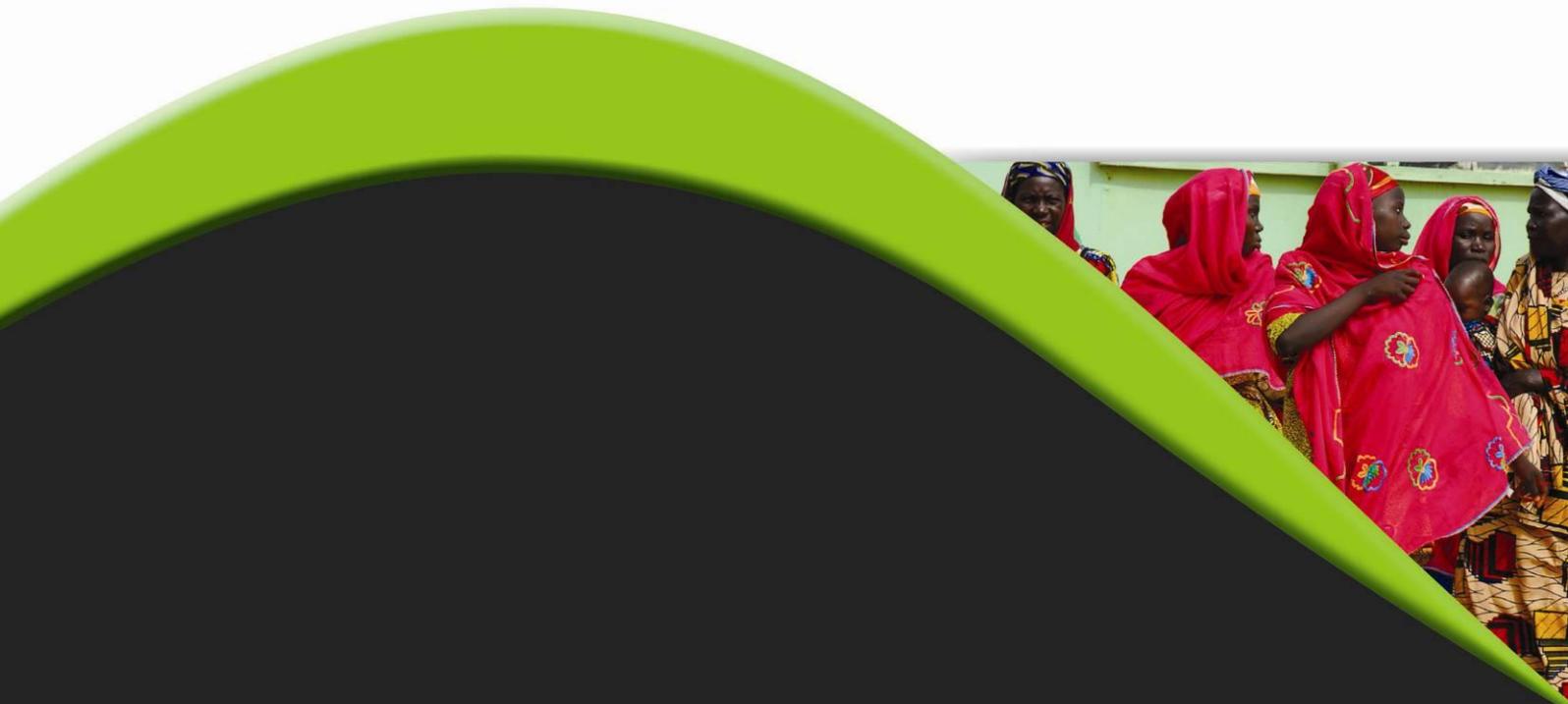
Score and Rationale:

(vi) Pensions are correctly calculated and fully paid on time.

Score and Rationale:

(vii) Pension arrangements include fair and transparent arrangements for political appointees and representatives.

Score and Rationale:

Funded by DFID

DFID Department for
International
Development