The opinions expressed in this report are those of the authors and do not necessarily represent the views of the Department for International Development.
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## Abbreviations and acronyms

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<tr>
<td>BPSR</td>
<td>Bureau for Public Service Reform</td>
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<tr>
<td>CD</td>
<td>Compact Disc</td>
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<td>CP</td>
<td>Corporate Planning</td>
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<tr>
<td>G&amp;SI</td>
<td>Gender and Social Inclusion</td>
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<td>GL</td>
<td>Grade Level</td>
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<td>HC</td>
<td>Honourable Commissioner</td>
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<tr>
<td>HR&amp;A</td>
<td>Human Resource and Administration</td>
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<tr>
<td>HRM</td>
<td>Human Resources Management</td>
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<td>HRMIS</td>
<td>Human Resource Management Information System</td>
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<tr>
<td>KM</td>
<td>Knowledge Management</td>
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<td>KPI</td>
<td>Key Performance Indicators</td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<tr>
<td>MDA</td>
<td>Ministry, Department and Agency</td>
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<tr>
<td>MDGs</td>
<td>Millennium Development Goals</td>
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<tr>
<td>MEPB</td>
<td>Ministry of Economic Planning and Budgeting</td>
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<td>MS</td>
<td>Microsoft</td>
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<tr>
<td>MTBF</td>
<td>Medium Term Budget Framework</td>
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<td>MTEF</td>
<td>Medium Term Expenditure Framework</td>
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<tr>
<td>MTOs</td>
<td>Medium Term Objectives</td>
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<tr>
<td>MTSS</td>
<td>Medium Term Sector Strategy</td>
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<tr>
<td>OHoS</td>
<td>Office of the Head of Service</td>
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<td>OOT</td>
<td>Office of Transformation</td>
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<tr>
<td>PIB</td>
<td>Performance Improvement Bureau</td>
</tr>
<tr>
<td>PS</td>
<td>Permanent Secretary</td>
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<tr>
<td>SLP</td>
<td>State Level Programme</td>
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<tr>
<td>SMART</td>
<td>Specific, Measurable, Attainable, Realistic and Time bound</td>
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<tr>
<td>SPARC</td>
<td>State Partnership for Accountability, Responsiveness and Capability</td>
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<tr>
<td>SPIC</td>
<td>State Planning Implementation Committee</td>
</tr>
<tr>
<td>TOR</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>WG</td>
<td>Working Group</td>
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</table>
Stage 1: Corporate Planning Process: Preparation

1a  Briefing note on Corporate Planning
1b  Readiness for change checklist
1c  PowerPoint presentation: Introduction to Corporate Planning
1d  Sensitisation exercise: walk-through Corporate Planning end-to-end
1e  Model Corporate Planning Timetable

1a  Briefing Note on Corporate Planning

Background
International best practice shows that a clear structure appropriate to government business in which Ministry, Department and Agency (MDA) mandates and responsibilities are clear, are an essential prerequisite for public service management and reform. A fundamental first step in improving government performance and accountability is to create a clearer picture of [the MDA’s] mandate and its coherence with Medium Term Sector Strategies (MTSS) as the foundation for the introduction of corporate plans and objectives. Ministries are evolving and changing. The implications of this for how they organise their duties and functions and how they plan their workforce should be clear.

Concept and Definition of Corporate Planning
‘Corporate Planning is a process in which an organisation (Ministry, Parastatal or Agency) determines its objectives, priorities, structure and functions in the light of its mandate, and determines how to organise and apply its resources (human, financial etc.) to achieving its objectives and meeting its service delivery standards and targets. Specifically, a Corporate Plan guides the management and staff of the Ministry in a cohesive effort to carry out the Ministry’s mandates.’

The corporate planning process pulls together mandate, strategic direction, policy, stakeholder expectations, performance, resource allocations (financial and human), objectives and evaluation criteria. Corporate planning allows an organisation to put in place the ‘golden thread’ that links every job and job holder’s performance to its mandate. Corporate planning is a review and re-organisation process usually carried out in response to a recognised need or desire to change.

The corporate plan should be a living document. It is likely that a major review will be required every five years or thereabouts to ensure that the organisation is still in charge of its mandate and organised optimally to deliver it. The responsibility for ensuring that reviews take place could sit with Office of the Head of Service (OHoS) or any dedicated reform support unit which is in place in the state.

Corporate Planning Framework
The corporate planning model framework can be best understood by breaking it down into a number of stages beginning with a confirmation of an MDA’s mandate and ending with a detailed workforce plan. The process is summarised in Figure 1 below.
The **MDA mandate** is usually confirmed by the highest levels of government through the Constitution, a Law or other legal instrument. On the basis of its Mandate, an MDA can then develop a **Vision Statement and its Mission** which articulate the sense of direction and travel to staff and the public. This leads on to the next Stage in which the MDA identifies its **long-term strategic objectives** – the priority services and outputs it considers it should deliver over a five to ten year time horizon based on analyses of the developmental challenges confronting it. These Strategic Objectives set the scene for the formulation of more precise medium term objectives. They also offer a strategic perspective on whether the MDA will have the right volume and type of skills to deliver what is expected.

The **Medium Term Performance Objectives** take account of political manifestos, short term priorities, likely budget and other resource envelopes. They are usually set for a three to five year time horizon and revised annually to take account of new issues and implementation performance. The medium term objectives should normally be set with **performance standards** against which actual performance can be measured. They can also be used as the basis for public service agreements or **Service Charters** – contracts of service delivery commitments made by MDAs to the public.
Delivering on the medium term performance objectives and long term strategic objectives requires a mix of well-planned financial and human resources. At the objectives formulation stage the budget needed and its availability should also have been identified and agreed. The next challenge is therefore how to organise the human resources, structures and systems of the MDA. The starting point for reorganisation is to conduct **Functional, Process and Structural Reviews** which involve clarifying core functions (derived from the mandates and medium term objectives), identifying service delivery processes, and ultimately re-aligning the structure of the MDA (the departments, units etc.) so they can most effectively and efficiently deliver these functions and processes. The end point of the reviews will be clear Terms of Reference for each department, section or unit.

Once the overall structure is decided, it is then possible to look in more detail at the internal make up of each department, section, and unit etc. i.e. to produce an **Establishment Plan**. This involves identifying the key posts, drawing up job descriptions and linking the jobs to the salary grades.

The next challenge is to match the existing workforce with the Establishment plan. This will highlight those areas requiring repositioning of staff, workforce training, recruitment and right sizing, and will culminate in the preparation of a **Workforce Plan**.

Ultimately each employee will have a clear job description from which annual targets can be derived, thereby providing the basis for individual performance assessment. The workforce plan will also enable the MDA to provide individual career development and training plans for its employees.

**Corporate Planning and MDA Performance**
A Corporate Plan guides the management and staff of the Ministry in a cohesive effort to carry out the Ministry’s mandates. The ultimate goal is to enhance individual, and directorate, MDA and sectoral performance. How corporate planning fits with the bigger picture of MDA and sector performance, including public service accountability to citizens is illustrated below in Figure 2.

**Figure 2: performance and corporate planning**
Corporate Planning: Transformation and Change Management

Corporate planning is, in essence, a process of enabling the MDA to be more agile in the present fast moving world. Institutions are being constantly challenged to keep pace - change is all pervasive in terms of expectations, technologies, attitudes, politics, resource availability etc. MDAs need to recognise that:

- Change is inevitable; better to harness it than ignore it;
- Transformation is about challenge and opportunity;
- Change is about people – it requires the active participation of all personnel;
- Change is a perpetual process – requiring constant review of an MDA’s structure, systems and processes in order to achieve its mandates;
- Transformation is about ownership by all stakeholders;
- Transformation requires competent change agents to help steer the process;
- Successful change requires a clear sense of direction and visible commitment from Top Management who are able to make complex issues easy for others to understand;
- Public service transformation and change are about providing better value for citizens.

Leadership and Top Management support are crucial to the success of change management and corporate planning. The support should signal a readiness to embark on a transparent process which intends to achieve improvements in effectiveness, efficiency and service delivery. It should also signal commitment to follow through on whatever plans are produced without favour to any particular group in the process. Top Management includes the Head of Service, Commissioners, Permanent Secretaries and Directors. They need to be committed to positive transformation and change and to initiate and drive the process. The following point to success:

- A sustainable approach to corporate planning needs vision and leadership authority, both of which can only come from the Top;
- Whilst Top Management should drive the process, they should do it by facilitating, guiding and enabling rather than simply imposing;
- People need to understand the reasons and objectives of the corporate planning process and see a plan for its implementation so they know where they and their MDA are trying to go;
- Communication and openness are essential to obtaining agreement and support from people within the system;
- This all implies a need for face-to-face communication bottom-up, top-down and across the organisation, as well as traditional written guidance to staff.

Corporate planning should, if managed successfully, inject energy into the organisation.

Introducing Corporate Planning into [ ] STATE

[ ] has been nominated as the pilot MDA to test the corporate planning process. [ ] will provide technical assistance in support to instigate and deliver the following:
• A Top level Steering Group to oversee the process and endorse the pilot and plan;
• A senior Group to lead in implementing the plan in [the MDA];
• Clarification and communicating the Mandate;
• Establishing vision, mission and value statements throughout [the MDA];
• Environmental and situational scanning to inform the setting of goals and objectives;
• Establishing long term goals, objectives, strategies and performance criteria in [the MDA] (note that these should be derived from /aligned with an MTSS or similar medium term strategy for the MDA and/or sector);
• Setting medium term objectives and performance standards;
• Developing a Service Charter (note that this is not an integral requirement for the CP process but may be linked to it if this is appropriate for the MDA concerned);
• Conducting functional, structural and process reviews;
• Updating the Establishment Plan;
• Developing a Workforce Plan;
• Producing and communicating the Corporate Plan;
• Developing an Implementation Plan;
• Identifying lessons that have wider application in State MDAs.

The pilot will start in [ ] and be completed by [ ].

The Corporate Plan Format
For each MDA involved in corporate planning a Corporate Plan will be produced that summarises the results of the process – it cannot be written in a vacuum without going through the process or it will lack value and be meaningless. More importantly it will not signal the changes that may be needed to improve performance.

The Benefits to be Derived from Corporate Planning
There are a number of benefits to be derived from corporate planning.

For the State overall:

• Confidence that the purpose and organisation of MDAs has been subjected to rigorous review and made clear to Commissioners and staff;
• Better understanding and articulation of long term and medium term strategies and planning across the public services and specific sectors, in conjunction with MTSS and Medium Term Expenditure Framework (MTEF);
• Clarity about staffing across the public service and where changes may need to be made;
• The mechanism to keep MDAs under regular review.

For MDAs:

• A holistic understanding of the MDA’s purpose, structure, function and staffing issues;
• A clearer link between resources and MDA purpose and objectives;

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1 Corporate Planning
• Information about current and future jobs, staffing and skill needs;
• Individual performance targets linked to MDA performance;
• The means to better monitor performance and adjust plans.

For individuals:

• A clearer understanding about the role and function of their MDA;
• A clearer understanding about their job and how they can contribute to MDA performance;
• More personal motivation and recognition for their contribution, training and development that is related to jobs and personal capability
1b Readiness for Change Checklist

Define the Goals and Benefits
The first step in building readiness to for change is to define, understand and explain the goals and potential benefits of the reform programme. For example:

- Unclear mandates mean that the MDA may not confidently plan its budget and organise resources to deliver core services;
- Medium term objectives allow MDAs to be more strategic in their planning and better able to organise their staff and other resources;
- A clear mandate and vision can engage and inspire staff to deliver service and make a difference to citizens’ lives;
- Job descriptions derived from defined functions and underpinned by efficient processes can increase staff motivation and are the basis for meaningful performance discussions;
- A proper gap analysis of the skills needed to deliver services and meet job standards and expectations will inform the training and development plan;
- More accurate Establishment plans mean better cost control;
- Medium to long term Workforce Plans will address challenges such as an aging or under-qualified workforce;
- Instituting a systematic approach to organisational reviews and training partners such as staff in State reform and transformation bureaux will add to the skills pool and sustainable change.

Identify Existing Evidence e.g. on Mandate Reviews
If a mandate mapping exercise has been completed there will be preliminary evidence of gaps and possible overlaps. These should be communicated and used in the corporate planning reviews.

Scope and Pilot the Change Agenda
Once the need for change and the potential benefits of change have been accepted in principle the specific proposals and work plan can then be developed.

Establish a Corporate Planning Steering Group Committee or Other Decision-making Body
It will be necessary to establish a senior, state level decision-making ‘CP Committee’ or other structure with responsibility and authority for driving the reforms and effecting change. In some states a Reform Steering Committee may already exist and responsibility for CP could be assigned to this, or to a sub-committee of this. These responsibilities could perhaps be usefully outlined in a formal Terms of Reference to ensure clear accountability. The decision body should drive the pace of the work and hold those doing the review to account.

Each MDA should set up local technically-focussed bodies or working groups, with distinct CP responsibilities.

A sensitisation briefing will allow the decision making bodies to understand and contribute to the scope and implementation of CP.
Decide on the MDAs to be Involved in the Pilot

Testing any change model is a valuable way of gaining additional insight into some of the likely challenges and ways in which the process can be applied. It also means that the staff and other resources need for the review can be planned and managed.

Some of the key decisions are noted below:

- What is the precise purpose of the pilot? Will the pilot MDAs be the ‘showcase’ for others or a test bed for the methodology?
- Which MDAs will take part in the pilot and how will they be identified?
- Will the MDAs be able to absorb the demands on them – are they already at capacity for handling change from State Partnership for Accountability, Responsiveness and Capability (SPARC) or other initiatives?
- How long should the pilot CP process last?
- What mechanisms exist, or need to be established, to coordinate, manage and monitor progress and logistics during the pilot?
- Who else will be involved e.g. a Central CP Technical Support Team, Reform or Transformation Bureau staff; OHoS staff? Will they be released?
- Who will the MDAs nominate to do the work during the pilot? Will they be released from their day duties?
- What training or sensitisation needs to take place prior to the pilot launch?
- How to keep people informed and enthusiastic and maintain momentum during the pilot process?

Once the pilot phase CP has been completed and the methodology adequately followed the results should then be validated, adjusted and formalised by the senior decision-making body.

The process should be conducted in stages with quality assured at the end of each stage. It is important that each stage build on the firm foundation of its predecessor.

The formal recommendations should include a detailed work plan for proposed service-wide implementation of any changes which are to be rolled-out across the service.

Conducting the Corporate Planning: Applying the Methodology

- A team, schedule and work plan should be drawn up and agreed;
- It is necessary to set a timetable which is not too protracted, and maintain the pace of the process;
- Picking off functions or directorates may be an easier and more acceptable way in than tackling the whole MDA at once;
- There is a need for a balance between participative and extractive processes. Experience has found that it is difficult to carry out the functional and structural reviews without using an extractive diagnostic process to some extent;
- The CP change management process should include a communication strategy and awareness-raising;
• All elements of the process should be proofed against discrimination or bias by gender or exclusion of minority or socially disadvantaged or under-represented groups.

**Need for a Champion**

It is absolutely clear that the process cannot move forward in an MDA unless there is at least one, and preferably several, champions at a very senior level. These people have to have the intellectual capacity to understand the process; have to see the potential benefits and want to achieve these, and be prepared to manage the organisation to implement change.

**Potential Roles of Reform Agencies**

It is essential in the partnership working to make use of existing or new central reform agencies (Performance Improvement Bureau (PIB), Office of Transformation (OOT); Bureau of Public Service Reform (BPSR)). A trained central resource is vital to ensure the manageability of the process for each MDA, and is the best guarantee of sustainability since, ultimately, the state reform agencies are likely to take responsibility for rolling out CP for the state. Careful briefing, some training and working with the agencies, hand-holding and coaching should be an integral part of the SPARC support to CP.

However, this requires careful planning and some caution because:

• The roles and direction of these agencies may be contested, making it difficult for them to act authoritatively;
• The agencies may have other duties and be reluctant or unable to release staff, putting undue strain on the timetable for completing the CP;
• The agencies may lack the capacity (both in terms of staff numbers and the skills) to carry out the work;
• Lack of significant technical or organisation development expertise means that these agencies run the risk of delivering poor quality work, and confuse or even damage perceptions of the process.

**Agreeing and Implementing the Results**

**Approval**

It is expected that once the CP pilot has been completed the senior decision-making body would prepare a formal report on the recommendations arising from applying the CP framework and proposing any roll out for approval by the Head of Service and or Executive Council as appropriate.

Once approved, preparations for further implementation can begin.

**Planning**

Needless to say adequate planning prior to implementation is essential and a clear work plan and timetable should be agreed in advance.

**Budget**

There may be budget implications in conducting a corporate planning review. Sensitisation workshops; training the CP team; producing workshop materials; communications (e.g.
phone cards); printing and delivering documents (letters, interim reports) etc., should be planned for. Further costs of implementing structural and functional changes should not be underestimated. The cost of new legislation or regulations, or new accommodation, facilities or equipment to establish the new systems and processes must be included in the budget.

**Coordination**

With any large change initiative it is helpful to identify a core group of individuals who are able to support effective implementation of the new arrangements. Such a group of change agents may be defined as a Change Management Team, continuously supporting and monitoring the completion of relevant activities and milestones.

**Phased Implementation**

Full scale roll out of any change is likely to cause confusion, lead to questions and require significant time, on-going communication, reinforcement and resources. As such phased implementation of any new arrangements might be more practical.

**On-going Review and Improvement**

It should not be assumed that once new structures and other arrangements have been put in place they will continue to meet the service requirements indefinitely. The Corporate plan is a living document and will need to change as the MDA and its operating environment change. On-going review and monitoring will need to take place to address any implementation challenges and ensure continuous improvement.

**Government Support and Championing Change**

It is worth remembering that successful implementation of any proposed reforms will depend to a large extent on the State government’s continued willingness to:

- Drive and effectively manage the implementation timetable;
- Support the concept of more efficient and effective organisation and good practice service delivery;
- Provide encouragement and reassurance from top management that senior officers should embrace the proposed changes and act as Change and Reform Champions;
- Conduct on-going and auxiliary work post implementation to support the continuous improvement of organisational change and development.

Expectations should therefore be carefully managed and responsible stakeholders held to account.

**Managing Change**

The process of public sector reform is challenging, difficult, and stressful for staff, and has the potential to become politicised. In order to minimise these negative effects, careful consideration needs to be given to the process of managing change. Good practice in managing change will include the following:

- Establishing a steering group and decision making body to oversee the process and communicate with staff, including trade unions;
Establishing an implementation team and providing training for team members where necessary. The implementation team should include specialist expertise;

Developing and consulting on the process and procedures to be followed before these are finalised. Consultation should include elected representatives, managers and staff. Consideration should be given to whether any wider consultations (for example with service users) are necessary. It may be important to obtain the opinion of a legal adviser e.g. where changes to mandate or employment conditions are involved;

Publishing the agreed process and procedures so that all staff are aware of them, including a timetable showing key milestones, sequencing of functional reviews, decision points etc;

Encouraging all players to stick to the timetable and plan and to turn up for meetings;

Having a clear communication plan. Keeping stakeholders and decision makers informed e.g. the body of Permanent Secretaries (PS), Executive Council members, staff and staff representatives. Using a variety of communication methods: workshops, newsletters, staff newspapers, intranet if available, state media, Public Relations (PR) as appropriate;

Establishing a regular communication process to keep elected representatives, staff and other stakeholders informed about progress. This should also include establishing a communication channel by which staff comments can be fed back to the steering group and implementation team (for example, via comments boxes).

In preparing the plan, careful consideration should be given to the overall timescale. A common mistake is to leave the process open-ended, or to allow too much time, thus extending the period of uncertainty unnecessarily. Sufficient time should be allowed for preliminary review activities and overall decision-making on new organograms and staffing. Once those decisions have been taken, implementing the changes should happen as swiftly as is consistent with due process.

The following have proved useful in CP analysis in the early adopter MDAs:

- Setting up a decision making ‘Core Group’ that comprises the senior staff who will lead the CP work in their own Directorates and functions areas and who can conduct ‘peer reviews’ of the findings and recommendations at each stage in the CP;
- The Core Group collectively can take an overview of CP as it applies to the MDA. This group should ideally be led by the Permanent Secretary and be the decision making and approval governance body;
- Time for consultants to work closely with the MDA: to brief, to demonstrate, to facilitate the analysis at each stage; to work with each directorate and with the Core Group overall;
- A schedule of activities to guide the process and set the pace; loss of momentum is demotivating;
- Recognising that different stages can take different times to complete: some can be done very quickly; others may need to be visited more than once; some may even be skipped if time spent on them would be nugatory;
- Deploying the right skills at the right stage and time;
• Constant support from the SPARC team: engaging with the MDA at the top level; reviewing and advising the consultants; maintaining momentum; sharing experience and expertise; recording and managing information.
PowerPoint Presentation: Introduction to Corporate Planning
This presentation is an example which can be used to develop a locally-specific presentation.

A PowerPoint version is available on the Fountain at: SPARC Power Point presentation on Corporate Planning overview for 2013 Toolkit stage 1 - June 2013
Corporate Planning – MDAs ‘fit for purpose’

Corporate Planning is a way of helping MDAs ensure they are ‘fit for purpose’; that they are:

- Equipped with the right structure, staff and resources to carry out the duties required by their mandate
- And with the appropriate systems, processes and infrastructure to achieve the objectives and or service delivery standards required by an overarching strategic (e.g., sector or state) plan

Corporate Planning - MDAs ‘fit for purpose’

Corporate Planning is a process in which an organisation analyses its Objectives, Priorities and Development strategies in the light of its mandate and determines how to organise and apply its resources (human, financial etc) to achieving its objectives and meeting its service delivery standards and targets.

A Corporate Plan guides the management and staff of the MDA in a cohesive effort to carry out the MDA’s mandates.
Why do Corporate Planning?

The corporate planning process pulls together:
- mandate, strategic direction, policy,
- stakeholder expectations,
- performance, objectives and evaluation criteria.
- resource allocations (financial and human)

Corporate Planning allows an organisation to put in place the ‘golden thread’ that links every job and job holder’s performance to its mandate. The corporate plan should be a living document and should be reviewed every 4-5 years.

The model and its connections

Corporate Planning Model:
- Clarify MDA Mandate
- Vision & Mission Statements, Define Long Term Strategic Objectives
- Set Medium Term Performance Objectives and Service Standards
- Carry out Functional Review
- Systems & process Review, Structural Review
- Re-align: Functions and Departmental Objectives
- Prepare Establishment Plan, Job Analysis and Job Descriptions
- Develop Workforce Plan: Staff Recruitment, Repositioning, Succession and Development
- Individual Performance Targets based on Job Descriptions

Connections:
- Policy Review - HE Governor’s Agenda
- Lagos State Development Plan
- Medium Term Sector Strategy (MTSS)
- MDA Performance Reviews
- MDA Service Charters
- HRMIS
- Annual Employee Performance Assessments (SPADEV)
What an MDA needs to do for Corporate Planning to succeed:

- Recognise that Corporate Planning is about change, transformation and working smarter
- Top Management leads and drives it and provides the resources to support it
- Ensure communication: top-down, bottom-up and across the organisation
- Be willing to examine, question, listen and learn
- Make tough decisions – co-designing the future

What are the benefits?

For the MDA

- a holistic understanding of the MDA’s purpose, structure, function and staffing issues
- a clearer link between resources and purpose and objectives
- information about current and future jobs, staffing and skill needs
- individual performance and development linked to MDA performance
- the means to better monitor performance and adjust plans
What are the benefits?

For individual members of staff:

- a clearer understanding about the role and function of the MDA
- a clearer understanding about their job and how they can contribute to performance
- more personal motivation and recognition for their contribution
- training and development that is related to jobs and personal capability.

What are the benefits?

For the State overall:
Clear MDA mandates, functions, processes and structures reduces ambiguity, establishes clear boundaries and decision-making and determines cost-effective methods for conducting governance business.
Confidence that the purpose and organisation of MDAs has been subjected to rigorous review and made clear to Commissioners and staff
Better understanding and articulation of long term and medium term strategies and planning across the public services and specific sectors, in conjunction with MTSS and MTEF
Clarity about staffing across the public service and where changes may need to be made
Mechanism for continuous review
Governance and decisions

Governance

A senior Core Group to lead in implementing the plan in each MDA – twin track; formally constituted to meet at the outset and at regular interval to review what has been done; make decisions and sign off work.

Technical team comprising state staff and expertise

Timetable
- 6 months max
1d Sensitisation Exercise: Walk-through Corporate Planning End-to-end

Overleaf is a summary template for use in sensitisation and building understanding of the whole CP process

As well as understanding the concept of corporate planning it can be useful to ‘walk through’ the component parts. The ‘End to End’ process overview is designed to help with that. The decision making group and the technical team appointed to deliver the corporate plan should work quickly through the template and identify those elements of the process which appear to be quite straightforward and those that might be problematic. In that way they can foresee and plan how to deal with some of the challenges they might face.

A note should be made of any useful documents that are identified and of actions that should be taken to facilitate the CP process, as well as who will be responsible for those actions.

Making a presentation on CP, working through the template and discussing the elements should be achievable in a half day workshop.
## CP ‘End to End’ Process Overview

**Corporate Planning - summary template for use in sensitisation and building understanding of the whole process**

<table>
<thead>
<tr>
<th>Element</th>
<th>Present or Not</th>
<th>How adequate</th>
<th>Work needed to bring to desired level; by whom</th>
<th>Problems/Challenges anticipated</th>
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<tr>
<td>Mandate</td>
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<td>Mission and vision</td>
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<td>Long Term Strategic Objectives; contribution to Governor’s ‘X’ point agenda,</td>
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<td>Element</td>
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<td>Work needed to bring to desired level; by whom</td>
<td>Problems/Challenges anticipated</td>
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<td>MDGs(^2) etc.</td>
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<td>Contribution to State Development Plan(s)</td>
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<td>Medium Term Rolling Plan or Medium Term Sector Strategy</td>
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<tr>
<td>Medium Term MDA objectives</td>
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\(^2\) Millennium Development Goals
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<th>Element</th>
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<th>Work needed to bring to desired level; by whom</th>
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<tr>
<td>List of Functions which relate to Medium Term Objectives</td>
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<td>Functions reviewed against current structure</td>
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<td>Ministry structure and organogram which relates to Medium Term Objectives, functions and processes</td>
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<td>Activity/Performance based budget which relates to Departmental functions</td>
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<td>Performance criteria for existing functions, internal M&amp;E³ etc.</td>
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<td>Map of the processes which deliver an outcome to clients or customers</td>
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<td>Comprehensive Establishment Plan which lists all posts by Departments with a summary of grades and responsibilities.</td>
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<td>A Staff List / nominal roll by department providing details of all staff currently employed with their age,</td>
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³ Monitoring and Evaluation
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<th>Work needed to bring to desired level; by whom</th>
<th>Problems/Challenges anticipated</th>
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<td>qualifications, experience, and grade.</td>
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<td>Job descriptions/ schedules for each post which describe the responsibilities of the job, to whom it reports, the qualifications, experience and competences required and the grade and salary.</td>
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<td>A comparison of Establishment Plan versus the staff list highlighting vacancies, skill and experience deficiencies etc.</td>
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<td>An overall Workforce plan including a Training and development plan,</td>
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<td>a succession plan and an approach to repositioning and recruitment.</td>
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<td>Service Charter/service standards</td>
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**Model Corporate Planning Timetable**

Overleaf is an example of the timetable which should be developed and agreed for the whole CP process.

The plan details will vary in terms of actions, sequence and deadlines, but should be agreed with the state decision-making body before the main CP process begins.

**Corporate Planning - example activity plan**

<table>
<thead>
<tr>
<th>Stage 1 Preparation</th>
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<tr>
<td>Assemble documents: MTSS, mandates, laws, organograms etc.</td>
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<td>Identify and mobilise internal technical team</td>
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<td>Communication strategy and plan</td>
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<td>Agree and establish CP Steering Group; TOR⁴</td>
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<td>Establish MDA Core Group and TOR to lead the CP</td>
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<td>Formally agree plan and timetable</td>
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<td>Sensitisation - senior staff</td>
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<td>Sensitisation and communication - staff et.</td>
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<td>Apply readiness for change checklist</td>
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</table>

⁴ Terms of Reference

**Stage 1 Interim Report - plan, deliverables, deadlines, responsibilities**
Corporate Planning - example activity plan

Stage 2: Mandates, Vision, Mission, Objectives
Establish vision mission and value statements; use existing sources
Agree and communicate vision mission and value statements
Establish long and medium term objectives
Directorate and unit LT objectives and KPIs\(^5\) agreed and documented
Stage 2 Interim Report - mandates, vision, mission, and MTOs\(^6\)

Stage 3: Functions, structures and processes
Establish technical and expert team
Review functions and clarify core services
Align structure to functions
Revise organograms
Map processes related to functions
Review processes: improve those needed; identify redundant and missing
Present and agree revised processes
Communication and implementation plan
Stage 3 Interim Report - MDA functions, structure and processes

\(^5\) Key Performance Indicators
\(^6\) Medium Term Objectives
Stage 4: Establishment and workforce planning
Identify technical team
Review current establishment plan, posts and staff details
Create new establishment plan
Establishment plan submitted
Develop workforce plan [use toolkit methodology]
Workforce capability forecast related to vision and objectives
Quantify workforce flows in/out and through [MDA]
Conduct personnel 'audit'
Carry out comparative analysis - staff info with establishment plan jobs
Identify gaps and succession priorities
Draft job [and job family] descriptions
Draft and submit plan to reposition redundant staff/skills
Submit workforce plan
Identify capability gap
Revise staff training and development plan
Establishment and workforce plans and implementation plan
Stage 4 Interim Report - establishment and workforce plan

Stage 5: Implementation plan and handover
CP process recommendations compiled
Transition plan
Implementation plan
Communication strategy and plan
Progress reviews plan
Governance /decision group formal sign off
Final Report - recommendations, implementation plan, lessons learned

√
Lessons learned and implemented (KM\(^7\))
Lessons learned and transfer to other MDAs/ states
CP guidance and process updated
Lessons for work streams and SLPs\(^8\)

Developing Service Charter - can be done in parallel if required
Establish technical team
Service Charter policy and guidance adopted
Service Charter policy roles and function adopted/ adapted
Service Charter drafted/reviewed and agreed
Service Delivery Unit set up and staff trained
Service Charter disseminated to staff and stakeholders
Service Improvement plan in place

\(^7\) Knowledge Management
\(^8\) State Level Programmes
Stage 2: Corporate Planning Process: Mandates, Mission, Vision, Medium Term Objectives

2a Checklists and examples for setting Mission, Vision and Values
2b Guidance and template for development of Medium Term Objectives
2c Guide to producing Service Charters

2a Checklists and Examples for Setting Mission, Vision and Values

Mandates
A Mandate states why the MDA exists – what it has been mandated to do. ‘Mandates’ have to be legally defined or at least officially gazetted through a Governor’s order. Experience has shown that:

- Mandates may not reflect all that an MDA has been charged with doing;
- Some responsibilities may have been transferred elsewhere;
- Some activities and duties may have become redundant;
- These changes may or may not have been recorded officially. In reviewing and clarifying mandates any changes proposed should be put forward as recommendations and a request they be approved for adoption.\(^9\)

Vision
The vision statement should set a clear view of what the MDA aims to be, its identity and what it stands for. They should be focused enough to guide decision making yet flexible enough to accommodate individual initiative and changing circumstances. Visions can be future focused and aspirational. They should inspire people to be engaged in making the vision real, and can stimulate change. They are more than slogans or bumper stickers and are as much about insight as far sight. Visions will fail if they are: too specific, too vague, unrealistic, only cover part of the organisation, irrelevant, too difficult to understand or present a picture of the past extrapolated into the future, not shared, not compelling.

Create an ideal picture set in the future describing the MDA when its long term objectives have been achieved and its services successfully delivered. Ensure your vision statement is:

- Clear, short and without ambiguity;
- Gives a vivid and clear picture;
- Memorable with engaging wording;
- Realistic in terms of aspirations;
- Expressed in ‘outcome’ or ‘being’ terms rather than ‘doing’ terms.

\(^9\) This may entail an official letter to the Head of Service; a change or amendment to legislation or a revised Gazette entry
Some Examples

- To be the leading light and pathfinder for Nigerian and African Legislatures (State House of Assembly).
- To be the platform for efficient and effective land resource management that promotes equitable access, enabling environment for land delivery, land information and ability to contribute to sustainable socio-economic development of Lagos State (Lands Bureau).
- To be the world’s premier toy brands – today and tomorrow (Mattel).
- Helping people around the world, eat and live better (Kraft Foods).
- Be and be recognised as the best consumer products and services company in the world (Procter and Gamble).
- High tech solutions for farmers feeding the world (Agco).
- Our vision is to be earth's most customer centric company; to build a place where people can come to find and discover anything they might want to buy online. (Amazon).
- Amnesty International's vision is of a world in which every person enjoys all of the human rights enshrined in the Universal Declaration of Human Rights and other international human rights instruments.
- Our vision is a world in which every child attains the right to survival, protection, development and participation (Save the Children).
- To make people happy (Disney Corporation).

Mission

The mission depicts what the organisation does and how it does it. It can articulate values and beliefs and how work should be carried out. Mission statements can describe goals and objectives and how the organisation will progress in pursuit of its vision.

Essentially, your mission is focused on your purpose. The mission statement serves to clarify this purpose for people both within and outside the MDA. Try answering the question, "Why was the MDA started?" The answer will be your first try at writing your mission statement. Once you have written the mission statement, you can interrogate it with the following questions:

- Does our mission say who we are meant to serve?
- Does it say how we are meant to serve them?
- Does our mission statement fit the current environment and needs?
- Is our mission statement motivating and does it inspire employee commitment?
- Is our mission statement realistic?
- Is our mission statement specific, short, sharply focused and memorable?
- Will our mission statement be clear to everyone within and outside our organisation?
- Is our mission in line with the gender equality expectations in the National Gender Policy?
Some Examples

- To sustain profitable and responsible commercial success by marketing jeans and casual apparel (Levi Strauss).
- Power the country; protect the planet (Ministry of Energy and Climate Change).
- To deliver qualitative, affordable and equitable healthcare services to the citizenry, applying appropriate technology by highly motivated staff. (Ministry of Health).
- To provide a professional, efficient and sustainable waste management and disposal service to the generality of Lagosians, corporate bodies and Government (Local and State) in Lagos (Waste Management Authority).

Some Examples of Vision and Mission Statements

**State Auditor General**

*Vision:* “To be a role model in Public Sector Auditing providing objective and reliable information for good governance.”

*Mission:* “Sustaining public confidence by providing quality audit services delivered by skilled, ethical and highly motivated staff.”

**State Civil Service Commission**

*Vision:* To be a world class civil service that is Dynamic, Efficient and Effective

*Mission:* To render efficient services that will ensure a well-motivated and productive workforce on the basis of Equity, Justice and Fairness

**Company: Nokia**

*Vision:* "Connecting People. Our goal is to build great mobile products that enable billions of people worldwide to enjoy more of what life has to offer. Our challenge is to achieve this in an increasingly dynamic and competitive environment. Ideas. Energy. Excitement. Opportunities. In today's mobile world, it feels like anything is possible—and that's what inspires us to get out of bed every day."

*Mission:* "Build a new winning mobile ecosystem in partnership with Microsoft. Bring the next billion online in developing growth market. Invest in next-generation disruptive technologies. Increase our focus on speed, results and accountability"
**Company: Coca Cola**

**Vision:** "Our vision serves as the framework for our Roadmap and guides every aspect of our business by describing what we need to accomplish in order to continue achieving sustainable, quality growth.

People: Be a great place to work where people are inspired to be the best they can be.

Portfolio: Bring to the world a portfolio of quality beverage brands that anticipate and satisfy people's desires and needs.

Partners: Nurture a winning network of customers and suppliers, together we create mutual, enduring value.

Planet: Be a responsible citizen that makes a difference by helping build and support sustainable communities.

Profit: Maximize long-term return to shareowners while being mindful of our overall responsibilities.

Productivity: Be a highly effective, lean and fast-moving organization."

**Mission:** "Our Roadmap starts with our mission, which is enduring. It declares our purpose as a company and serves as the standard against which we weigh our actions and decisions.

To refresh the world. To inspire moments of optimism and happiness. To create value and make a difference."

**Company: Toyota**

**Vision:** "To be the most successful and respected car company in America."

**Mission:** "To attract and attain customers with high-valued products and services and the most satisfying ownership experience in America."

**Value Statement**

Values are guiding principles. They articulate the cultural and other aspects of the way things are done in an organisation and are often the ‘corporate glue’ binds people together.

A value statement should address 3-5 core values which define the character of the MDA. The value statement clearly indicates how the MDA does business and what attitudes and outcomes its clients (internal and external) should expect as they deal with its people and transact business with it. It should also show clearly
to its people what behaviours, attitudes and performance are expected from them. Each core value should be well thought out, clarified and communicated by the senior management team so that all categories of people in the MDA see what it means and how it should translate in their job behaviours.

The following are examples of values: ambition, competency, individuality, equality, integrity, service, responsibility, respect, dedication, diversity, improvement, enjoyment/fun, loyalty, credibility, honesty, innovativeness, teamwork, excellence, accountability, empowerment, quality, efficiency, dignity, collaboration, stewardship, empathy, accomplishment, courage, wisdom, independence, security, challenge, influence, learning, compassion, friendliness, discipline/order, generosity, persistence, optimism, dependability, flexibility, ethical, impartiality, fairness, professionalism.

Some Examples

- ‘Aim High, Reach Out and Pull Together’ (Ministry of Energy and Climate Change, UK).
- ‘Our first responsibility is to our customers’ (Johnson and Johnson).
- ‘We want a company that people are proud of and committed to, where all employees have an opportunity to contribute, learn, grow and advance based on merit not politics or background. We want our people to feel respected, treated fairly and listened to and involved. Above all we want satisfaction from accomplishments and friendships, balanced personal and professional lives and to have fun in our endeavours’ (Levi Strauss).
- ‘Commitment to equitable treatment and elimination of discrimination in all its forms at all organizational levels and throughout all programs.’ (Cornell University Cooperative Extensions University).
2b Guidance and template for development of Medium Term Objectives

Clarifying Goals and Objectives

The results chain

Illustrative Examples:

1. A Water Corporation

Long term goal (strategic objective): Access to clean water for all citizens of the State by 2020.

Medium term objective: to supply 745m gallons per day by 2020; 622 by 2017; 317 gallons per day by 2015.

- By the end of August 2013, Government will have committed the necessary long-term financial resources to deliver the Corporation’s strategy for delivering access to clean water for all citizens by 2020.
- By the end of August 2014, Government will have established an operational, independent Water Corporation Board with powers to: employ its own workforce; decide staffing numbers; decide the terms of conditions of service of its workforce; enter into contracts and partnerships as an independent statutory body within Government; and borrow money.
- By the end 2015 the Water Corporation will be “fit” for the purpose of delivering the overall objective. In particular it will have the necessary leadership and management capacity in place; the appropriate “business orientated” culture and the necessary, flexible, efficient and effective workforce and financial resources necessary to deliver its plans effectively.

Note: the long term goal (strategic objective) and medium term objective cannot be achieved without collaboration with other MDAs e.g. physical planning and infrastructure; the activities and inputs require major organisational changes, including devolved responsibility for finance and Human Resource Management (HRM).
2. A Ministry of Health

Long term goal (strategic objective): to reduce the number of deaths in childbirth and the infant mortality rate for children under 5 by xx% in 5 years.

Medium term objective: to increase the number of women registering with Government skilled birth attendants for their antenatal care and then the proportion of those women who go on to use Government health facilities for their deliveries.

- By the end of [year 1] have established a credible baseline and distribution of the number of women registering with Government skilled birth attendants and the proportion of those having their deliveries in Government health facilities.
- By the end of [year 2] have increased the number of women registering with Government SBAs by xx% and the proportion of women using Government health facilities for deliveries by yy%.
- By the end of [year 3] have increased the number of women registering with Government SBAs by aa% and the proportion of women using Government health facilities for deliveries by bb%.
- By the end of [year 4] have increased the number of women registering with Government SBAs by MM% and the proportion of women using Government health facilities for deliveries by NN%.

Note: good quality information and baseline data is essential in measuring progress in achieving this objective.

3. A Commercial Utility Company

Long term goal (strategic objective): to be recognised as the industry leader for customer service.

Medium term objectives.

- To maximise sales and profits.
- To recognised as an industry leader for efficiency.
- To meet regulatory outputs through effective management and the development of our assets.
- To empower and motivate our people and our partners.
- To promote the reputation of the organisation and meet expectations of our environmental and social responsibilities.

Performance monitoring: ‘SMART’ (Specific, Measurable, Attainable, Realistic and Time-bound) measures for each objective; each measure owned by a director and cascaded to staff; reviewed monthly by the Board; performance appraisal linked to achievement.
‘Score card’ measures: %age customer satisfaction; %age employee satisfaction; rating in the Environment Index; %age of positive and factual media coverage; suppliers’ rating of the Organisation’s performance; %age of stakeholders agreeing that the Organisation meets social obligations.

Crafting Medium Term Objectives
Strategy answers four questions: where are we now; where do we want to get to and how can we get there; and in what time-frame? Strategic objectives articulate the standard and volume of services that will be provided; who the service users and beneficiaries will be and what they will value; the relative strengths of the assumptions the organisation is making about the world and context in which it is operating (including the political, economic, social, technological, legal and environmental forces at play and the strengths weaknesses, opportunities and threats faced) and the resources, including staff and capability that will be required for success. As the world changes strategic objectives are a means by which organisations can keep up or even get ahead.

Why set objectives?

- People get so wrapped up in their current activity or problem that they can lose sight of their objectives.
- If people cannot see clearly what they are working towards they will become demotivated or less productive than they should be.
- Capacity to deliver services is increased when the purpose and goal are clear;
- In the ‘activity trap’ people will go to great lengths to avoid facing the reality of their situation; the work becomes a means of distracting their attention from unpalatable reality; being busy becomes the goal.

The advantages of working to clear objectives include:

- Organisational goals and medium term objectives allow senior staff to see ‘the bigger picture’ and to integrate their function with it;
- Responsibility and the level of risk involved is known; responsibility and risk taking can be delegated to lower levels;
- Medium term objectives help in making strategic decisions about service delivery, functions, organisation and processes;
- Team members know what is expected of them and they are able to measure their performance and results in relation to shared and common objectives.

Managers and directors who know what is expected of them can communicate better with staff and professionals including in gaining responsible collaboration and participation.
**Goals, Long and Medium-term Objectives and KPIs template**

**Corporate Planning: Clarifying Purpose, Establishing Objectives and Success Indicators (KPIs)**

<table>
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<tr>
<th>No.</th>
<th>MDA Mandate(s)</th>
<th>Contribution to State plans or Goals and MTSS</th>
<th>Long Term Strategic Objectives (Purpose / Why)</th>
<th>Strategies to achieve; including other players (How)</th>
<th>Medium-term Objectives (3-5 years)</th>
<th>How success will be measured (KPIs)</th>
<th>Accountability (Department or Unit)</th>
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**Aims of the exercise:**

- To set objectives for the MDA – ensure that the objectives are SMART;
- To ensure that such objectives are aligned to the MDA’s ministerial mandates i.e. can objectives enable the delivery of the mandate and core services?
- Establish how success will be measured, i.e. determining KPIs (quantity and quality);
- Ensure Gender and Social Inclusion (G&SI) issues e.g. accessibility to services, equal treatment are considered;
- Ensure all aspects on MTOs are included: technical and sector specific; institutional (legislation, regulation); organisational (structural and functional changes); HRM (skills capability and deployment); governance and accountability.

**Note** – this exercise may take several hours and need to go through a number of iterations until the purpose and objectives are clear.
Note that the production of Service Charters is not an integral requirement of the CP process, and in many situations it would introduce too much complexity for the MDA. But guidance is included here for those situations where an MDA is ready to, or has already begun to, work on service delivery initiatives which need to be linked to the CP process.

Essential Components of a Service Charter

1. Introduction/Background
   a. Description of the organisation’s mandate.
   b. Statement of the purpose of the charter document.

2. Vision Statement
   A statement of desired future that the organisation aims to attain through its services; could have a timeframe.

3. Mission Statement
   The mission statement should clearly but briefly state the purpose/objectives of the MDA.

4. Details of Customers
   A comprehensive list of customers or clients.

5. Service Provision and Delivery
   a. List of services provided by the MDA.
   b. Statement of specific standards which customers can expect from each service listed.
   c. Standards of service should include,
      - Quality of relationship with customer, e.g. friendliness, helpfulness, respect, courtesy, impartiality.
      - Quality of service provision, e.g. clarity, accuracy, responsiveness, availability.
      - Timeliness of service delivery, e.g. promptness, speed of response to clients (correspondences, telephones, processing applications/licences, booking appointments, waiting times).
   d. Special Needs Provision,
      - Take into consideration customers with special needs e.g. elderly, blind, people with disabilities, pregnant women, children, etc.
   e. Clear description of performance monitoring and reporting arrangement.

6. Complaints/Grievance Redress Mechanism
   Clear statement of MDA assurance on feedback to convey that MDA welcomes complaints, compliments, suggestions. Clear explanation of procedure for complaints:
   - How to make a complaint, who to complain to including relevant postal, email addresses, and phone numbers. Include options (e.g. in person, comment card) and time limit to address complaint;
   - How to give feedback specifically about the Charter itself;
   - That the feedback and complaints handling process is accessible, easy to use and free;
   - That the agency records data on complaints, compliments and suggestions and this is used to help improve client service;
   - Available redress (e.g. apology, repeat service, refund, etc).
7. Customer’s Obligations
   Clear and reasonable statement of what is expected of customers:
   - To provide necessary information;
   - Attend scheduled meetings;
   - Comply with legal requirements, etc.

8. Stakeholders’ participation
   Method and frequency of participation.

9. Existing Limitations (if any)
   A Clear explanation of existing limitations and how these may affect the achievement of promised level of service provision.

10. Review
    The service charter should be a living document that evolves in line with changes that occur within the MDA. This means that MDAs must regularly review their Service Charter as improvements are made on practices, processes and procedures to ensure its on-going relevance and effectiveness. Issues to consider include:
    - Whether the service commitments and standards are still relevant, realistic or challenging;
    - Whether the current content is accurate (e.g. Change in name, mandate, profile, contact details or other information earlier provided);
    - Frequency of review (annually or every two years).

Broad Guidelines for Developing a Service Charter
In implementing the Service Charter Policy, MDAs shall be guided by the following provisions.

Formation of a Central Charter Committee by the MDA with membership drawn from various Departments.

1. The Charter Committee is to adhere to the following guidelines in formulating the MDA’s Charter:
   a. Articulate the mandate, vision and mission statement of the MDA;
   b. Prepare for stakeholder consultation;
   c. Conduct consultation with staff, customers, partners and stakeholders;
   d. Prepare first draft service charter containing specific service standards;
   e. Circulate 1st draft to stakeholders, customers and staff for comments, suggestions and assent;
   f. Submit modified 2nd draft to Management of MDA for approval and sign-off;
   g. Submit approved final draft to [ ] for endorsement to confirm conformity with standard.

2. Arrange production of service charter in different forms: booklet, fliers, pamphlets, leaflets, posters, CDs and other electronic forms including various languages, local dialects, Braille, abridged version, etc.

3. Launch Charter.

4. Publicise charter (website, media, stakeholders, all service windows, state-wide, digital displays, etc).

5. Paste abridged versions in reception area of every service window and service frontline.
Monitoring and Evaluation of Service Charter Policy

[ ] shall be responsible for monitoring the implementation of this Service Charter Policy to ensure compliance with all its provisions and directives. This involves evaluating the Charter, evaluating compliance with service standards and ensuring standards of service are improved upon from time to time.

Service Charter Evaluation

[ ] will evaluate Service Charters of MDAs to ensure that they meet the standards specified in this Policy before publication. They will monitor to ensure that Service Charters (especially the service standards) are widely published and made available to all staff of MDAs, their customers, partners and stakeholders. [ ] will also follow up on the review of Service Charters to ensure that MDAs make the revised version of the Charter available to all staff, customers and stakeholders.

Charter Compliance Evaluation

[ ] will undertake comprehensive evaluation of the services of MDAs at regular and specified intervals to determine their compliance with the service delivery standards promised in the MDAs’ Service Charters. [ ] shall ensure that every MDA is assessed at least once a year and the report presented to each MDA after evaluation. The results shall then be published so that performing MDAs are raised and praised while non-performing MDAs are named and shamed.

Service Improvement Planning

[ ] will work with evaluated MDAs to develop service improvement plans based upon the evaluation experience. The Service Delivery Units will work with the MDA management to ensure that the service improvement plans are implemented.

Sample Minimum Standards for State-wide Applicability

1. Stakeholders and relevant members of the public must be provided with:
   - Comprehensive and accurate information about the services provided Government Ministries, Agencies and Departments and through the Local Government Councils;
   - Information about how government institutions are managed, how much they cost and who is in charge;
   - Opportunity to contribute/provide feedback on the relevance and quality of services provided by government.

2. Ministries Departments and Agencies must ensure that:
   - Facilities and offices at which government services are provided to the public are properly maintained and that they
     - are clean and safe;
     - function effectively with all the necessary equipment and materials;
     - are accessible with no physical, language or other social barriers;
• Appropriate and timely responses to identified problems at any facility, whether it is an education, health, recreational or other facility;
• Hours of regular service at the facility are posted and observed.

3. Every customer that requests services from any Ministry, Department or Agency must be:
• Treated with courtesy, respect, honesty and professionalism;
• Attended to by appropriately trained staff who will listen to their request or question, ask for clarification if necessary and provide complete, accurate and precise information;
• Attended to by staff who will ensure that they receive services related to the functions of the establishment, fairly, efficiently and promptly;
• Told in advance, how much the service will cost, what standard of service to expect and how long it will take to be served;
• Provided with accurate financial transactions and given a receipt or verification of the transaction;
• Told how to obtain redress for poor service, especially where the standards of service are not met.

4. Every service windows of all Ministry Department and Agencies must:
• Have appropriate directions, via signs, notices or other means, on how to obtain service or information;
• Set up information counters that are staffed during office hours and through which information about and referrals to appropriate departments can be received;
• Provide a timely and courteous acknowledgement of their presence when they arrive at a staffed information point.

What the Service Charter Policy Means
Every Ministry, Department and Agency has been asked to make sure that:
• They attend to their customers quickly in a way that is friendly and polite;
• They treat all customers equally and deliver good quality service;
• They give customers all information about services available through their offices;
• They make sure that there is a system that allows customers to complain if they are not happy with any service;
• They tell the customer about the complaints system and teach them how to use it;
• They consult their customers from time to time to find out if customers are satisfied with government services.

How will this be done?
• Set service standards;
• Publicise their services and service standards in charters;
• Regularly improve service delivery;
• Increase stakeholder participation when planning for service improvement;
• Ensure that members of the public are informed about and have equal access to the services they deliver;
• Ensure that customers are treated with dignity and respect when they request for services;
• Ensure that organisation policies are applied fairly;
• Inform customers that they have a right to complain when services are not provided, when they receive poor treatment or if for any reason they are not satisfied with the service they have received;
• Receive and record complaints made by customers and make sure that complaints are remedied, through an apology with explanation or other suitable means.
Stage 3: Corporate Planning Process: Functions, Structures and Processes

3a  Step by step guidance to functional, structural and process reviews
3b  Guidance and templates to assist with process review
3c  Examples of simple and complex process flowcharts

3a  Step by Step Guidance to Functional, Structural and Process Reviews

Functional and Structural Review
The functions should be derived from the MDA mandate and the Medium Term Objectives that the MDA plans to achieve. They are not simply a list of current activities. Functional Review examines the functions and structures of state agencies and asks whether the functions need to be done at all, whether other agencies or actors could do them more efficiently or effectively, which functions are not being covered but should be and what the consequences of all this are for structure and staffing.

Functional review addresses the following questions:

- Are all of the mandates translated into functions\(^{10}\) and processes or are some moribund for lack of resource or other reason?
- Is the organisation carrying out the right functions, are some inappropriate, could some be dropped, should others be created, could some be outsourced or privatised?
- Who/which department or unit is responsible for undertaking the function?
- Who is the client for the function?
- For the functions retained, are these organised and set up to achieve optimum performance?
- For the functions retained, are these appropriately resourced and organised in the most cost effective manner?
- Do the structure and functions underpin clear jobs, roles and accountability?
- How can the service delivery processes be better organised to provide more efficient and effective outcomes?
- How would the introduction of new technologies such as ICT affect the functional arrangements, the organisational processes and structure?

The agreed functions should underpin structure. Where functions cover more than one agency care should be taken to ensure that duties and responsibilities are not overlapping or duplicated.

A Step by Step Approach
Adopt a step-by-step process for the functional and structural review, as follows:

\(^{10}\) Likely to be more than one function for each mandate.
1. Identify a total list of current functions in the organisation. These should be presented by department and classified – service delivery, administrative, planning, financial management, HRM etc;
2. Analyse how well the functions are being carried out, including internal functions and the monitoring and evaluation of service delivery and attempt an explanation for the level of function delivery;
3. Relate the functions to the MDA mandate and the current medium term objectives;
4. Identify which functions;
   a. Are still relevant.
   b. Could be dropped.
   c. Could be privatised or given to someone else.
   d. Should be added.
5. Analyse the current overall Ministry structure in relation to delivering on functions and MTOs;
6. Identify Departments, Units, Offices which;
   a. Perform duplicated functions and may not be necessary.
   b. Could sensibly be merged, split, lost or privatised.
   c. Need to be created to take account of new functions.
   d. Need to be strengthened to develop the capabilities to deliver function(s) that are rightly located in the department, unit or office.
7. Develop a revised structure on the basis of functional reviews and prepare organograms (one overall and one for each department or unit if necessary);
8. Produce a new list of all departments and units with their specific functions which can deliver on the departmental objectives and processes;
9. Consider the overall implications of the recommended changes; are they likely to be acceptable?
10. Prepare a report with implementation recommendations including a timetable and review dates.

Functional Analysis: a Working Example
Overleaf is an example of a Functional Analysis carried out for an economic planning and budgeting MDA. The first table lists the mandates to which the functions should relate. Subsequent tables analyse the functions carried out by each department against the mandates.
**Mandates of the Example Economic Planning and Budgeting MDA**

**Legend**

A. Mandates

<table>
<thead>
<tr>
<th>Number</th>
<th>narration</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Preparation of the state’s Development Plan and annual budget</td>
</tr>
<tr>
<td>2.</td>
<td>Ensure proper conduct of Budget Execution &amp; Reporting</td>
</tr>
<tr>
<td>3.</td>
<td>Ensure good compliance with rules and regulations in accounting procedures</td>
</tr>
<tr>
<td>4.</td>
<td>Formulate accounting policies</td>
</tr>
<tr>
<td>5.</td>
<td>Operations and control of consolidated revenues fund, capital development funds, and all other funds as specified by established laws</td>
</tr>
<tr>
<td>6.</td>
<td>Supervision of Investments of the state</td>
</tr>
<tr>
<td>7.</td>
<td>Production of annual accounts</td>
</tr>
<tr>
<td>8.</td>
<td>Managing human and material resources for the attainment of the ministry’s goals and objectives</td>
</tr>
<tr>
<td>9.</td>
<td>Application of appropriate administrative processes to facilitate robust service delivery in the ministry.</td>
</tr>
</tbody>
</table>

B. Tables

Each table represents a department and the contents are departmental functions.
## A. Office of the Permanent Secretary

Planning Department

<table>
<thead>
<tr>
<th>S/No</th>
<th>Functions</th>
<th>Mandates Fulfilled</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Serves as the Secretariat of the State Planning Implementation Committee (SPIC) – Dealing with Capital Budget</td>
<td>✅</td>
<td>Not being done now</td>
</tr>
<tr>
<td>2</td>
<td>Coordinating &amp; Supervising the implementation of the State development programmes and other development partners’ activities in the State.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Advise on initiation and coordination of the State socio-economic development planning policies of government as well as development programmes of executing agencies.</td>
<td>✅</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Review the needs and achievements of the various socio-economic development planning policies and programs of the State.</td>
<td>✅</td>
<td>Never carried out</td>
</tr>
<tr>
<td>5</td>
<td>Identify the State available resources for efficient and effective prioritization, allocation for optimum utilization and maximum benefits</td>
<td>✅</td>
<td>Never carried out</td>
</tr>
</tbody>
</table>

### C. Colours and mark

<table>
<thead>
<tr>
<th>Colour</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green</td>
<td>Actively undertaken</td>
</tr>
<tr>
<td>Yellow</td>
<td>Partially undertaken</td>
</tr>
<tr>
<td>Red</td>
<td>Not being undertaken</td>
</tr>
<tr>
<td>Yellow</td>
<td>Extra function without mandate/unlisted function</td>
</tr>
<tr>
<td>✔</td>
<td>Maps with mandate in the column</td>
</tr>
</tbody>
</table>
Planning Department

<table>
<thead>
<tr>
<th>S/No</th>
<th>Functions</th>
<th>Mandates Fulfilled</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1 2 3 4 5 6 7 8 9</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Identification of Skilled professional manpower needs of the State, the</td>
<td>✓</td>
<td>Never carried out</td>
</tr>
<tr>
<td></td>
<td>existing stock and resources available for further action aimed at</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>closing the gap between demand and the supply.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Receive and analyze project proposals submitted by executing agencies.</td>
<td>✓ ✓</td>
<td>Never carried out</td>
</tr>
<tr>
<td>8.</td>
<td>Preparation and designing questionnaires on manpower survey as well</td>
<td>✓</td>
<td>Never carried out</td>
</tr>
<tr>
<td></td>
<td>as taking part in writing survey report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Scouting round for and processing technical assistance training offers</td>
<td>✓</td>
<td>Never carried out</td>
</tr>
<tr>
<td></td>
<td>by various donor organization and tertiary educational institutions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Serving as a member to Ministerial Tenders and other Committees</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>

Statistics Department

<table>
<thead>
<tr>
<th>S/No</th>
<th>Functions</th>
<th>Mandates Fulfilled</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1 2 3 4 5 6 7 8 9</td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td>Collection and analysis of statistical data</td>
<td>✓</td>
<td>Not being carried</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>out</td>
</tr>
<tr>
<td>2.</td>
<td>Publish and disseminate data on economic and social activities in the</td>
<td>✓</td>
<td>Not being carried</td>
</tr>
<tr>
<td></td>
<td>state</td>
<td></td>
<td>out</td>
</tr>
<tr>
<td>3.</td>
<td>Presenting reports on manpower situation, for both public and private</td>
<td>✓</td>
<td>Not being carried</td>
</tr>
<tr>
<td></td>
<td>use</td>
<td></td>
<td>out</td>
</tr>
</tbody>
</table>
### Statistics Department

<table>
<thead>
<tr>
<th>S/No</th>
<th>Functions</th>
<th>Mandates Fulfilled</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1 2 3 4 5 6 7 8 9</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Making population projection for the state and other interested bodies</td>
<td>✓</td>
<td>Only some aspects carried out</td>
</tr>
</tbody>
</table>

### Finance & Accounts Department

<table>
<thead>
<tr>
<th>S/No</th>
<th>Functions</th>
<th>Mandates Fulfilled</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1 2 3 4 5 6 7 8 9</td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td>Advising the Permanent Secretary and other Departmental heads on all financial matters.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>To ensure custody and proper disbursement of Funds on behalf of the Ministry/Department</td>
<td>✓ ✓ ✓</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Supervision of Final compilation of Budget and rolling plans in accordance with Chapter 5 of Financial instructions</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Signatory to all payment Vouchers</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Responsible for effective collection of revenue due to the Ministry/Department</td>
<td>✓ ✓</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Monthly reconciliation with Ministry of Finance and Budget Department</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Answering Audit and Public Accounts Queries</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Supervision and preparation of Monthly returns</td>
<td>✓ ✓</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Serving as member of Ministerial tenders Board</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>
Process Review

Defining Systems and Processes
Defining systems and processes can involve re-engineering existing administrative systems, exploring privatisation and contracting-out options, and public-private partnerships. Systems and processes must be at least partly defined before final financial, human and other resource requirements can be determined. In practice an iterative process will be necessary.

Process Mapping and Review
Processes are a sequence of logically related activities, tasks or procedures leading to an outcome or service. They can cover a number of people in different departments. They are independent of function. For example, the accounts function does a credit check on a new customer as part of the procurement process. How someone is recruited, inducted and deployed in the Civil Service is a process that involves several departments, functions and MDAs. In mapping processes it is useful to identify the chain of current activities – the ‘As is’ picture and then redesign it to show how it could be done better – the ‘to be’ picture.

Refining Core Processes: ‘As is’ and ‘To be’
The purpose of mapping the process chain is to allow the MDA(s) to objectively view core processes and identify:

- The validity of the process and each step along the way;
- Whether the sequence of the process is consistently undertaken;
- Whether the process has been documented and set out in an accessible ‘manual’;
- Whether there are too many steps in a process and which ones might be redundant;
- The value that is added by each step in the process to the overall activity and particular how this benefits the end user;
- How long the process takes and whether it could be made shorter;
- How many people are involved in the process and the extent to which they are all necessary;
- Who makes the decisions along the route and whether these are being carried out at the appropriate level of authority;
- Whether all or part of the process should be handled by another, including non-government, agency.

Final and agreed processes should be capture in operating manuals or guides for staff. These should be reviewed regularly to endure they are kept up to date or amended in the light of process changes such as revised service standards or the introduction of ICT.

A Step by Step Approach
Adopt a step-by-step process for the process review as follows:

1. Identify a total list of current processes in the organisation. These should be presented by department and classified – service delivery, administrative, planning, financial management, HRM etc.;
2. Agree shortlisting criteria with the MDA managers to identify a limited number of the key processes that impact most significantly on the service delivery;
3. For each shortlisted process;
   a. List the different activities, sequence and dependencies.
   b. Record decision points.
   c. Pay particular attention to branched processes.
   d. Create an ‘As is’ process flowchart.
4. Analyse how well the processes are being carried out, and identify;
   a. Unnecessary, duplicated or redundant activities which could be dropped.
   b. Activities which could be merged.
   c. Missing activities which need to be added.
   d. Whether necessary separation of functions is in place.
   e. Whether reorganising branched processes would result in improved efficiency.
5. Develop a revised ‘To be’ process on the basis of the process analysis.
6. Prepare a new flowchart and list the changes to workflows which it would require.
7. Consider the overall implications of the recommended changes; are they likely to be acceptable?
8. Prepare a report with implementation recommendations including a timetable and review dates.

**Characteristics of Excellent Processes**
Processes are the means by which quality services and results are produced. Those that are excellent:

- Are systematically designed and managed and consistently undertaken;
- Are innovatively improved to meet customer demands and increase value;
- Produce well designed and well developed goods and services that meet customer needs and expectations;
- Enhance customer relationships.

Every process has a customer or user and a supplier; these can be internal or external to the organisation. Each person along the service delivery chain from designer or policy maker to service user is both a customer and a supplier. Value should be added to the chain at each stage: supply, process or customer. At each stage there is opportunity to improve – e.g. making it faster, easier to handle, fit better together, maintain or update.

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**A Working Example: Description of a Functional and Process Review Workshop**

The review began with an inception workshop where the Working Group (WG) members were exposed to the objectives, rationale and the theoretical underpinnings of process review. The models and templates that will guide the review were also shared and discussed with the Group. Thereafter the WG was broken into different working groups along the lines of the various departments of the MDA. Each team was presented with the key functions of
the department that they represent which was culled from the report of the functional review and there was a plenary brainstorming to ascertain whether those functions were aligned to the realisation of the any of the mandates of [ ]. Each group armed with the centrally agreed relevant functions and the review guidelines went to work.

The participants discussed extensively, appraising all the functions, determining if and whether they mapped properly with their mandates and considering how well they were being performed as well as the level of their performance. Functions not being carried out in full or in part were assessed to identify the reason (e.g. lack of resource, underfunded, unimportant politically). Overlapping or duplicated functions were identified and addressed. Some could be explained by the creation of new parallel government agencies which led to processes being abandoned.

Questions posed:

- Are the departments of [ ] capable of performing the tasks required to deliver on their mandates?
- And to do that in a timely manner?
- Is the Department able to complete the process and functions to the required standard?
- If either or both is not possible then what are the reasons?
- If there is an apparent skills shortage then what further training might be appropriate?
- Are there any structural or organisational shortcomings or inconsistencies that constrain performance?
- Are there overlaps or conflicts with functions and processes carried out by other MDAs?

What are the results and benefits?
Building on the earlier functional review, [this] should provide further evidence to enable the formulation of recommendations for:

- Structural/organisational change to enhance the MDA’s performance through increased ability to respond to functions and their associated processes; and
- The Establishment Plan, including the workforce development strategy, that will set out staffing needs, skills requirements, training needs, and other steps to strengthen the performance of the workforce.

Participants at the workshop were led to consider the processes for carrying out every identified function for each department. For each process, it was determined whether the activity:

- Was indeed being carried out;
- Was necessary to the performance of the function;
- Was being undertaken at the appropriate desk/unit.
Participants undertook overview of the totality of processes for each function on the basis of (if any):

- Distinct formal procedure;
- Process overlaps;
- Procedural gaps;
- Policy interference or inadequacy etc.

A combination of Fish Bone techniques and Business Process Re-engineering approach were used to review the process. Each team started with delineation of the processes used in the accomplishment of a particular function (As is), analysis was then made on the identified processes pointing out areas of defect and areas of improvement from which a proposed better process that is more efficient is designed (To be). Finally there is an analytical assessment of the systemic requirement in terms of physical resources and human capabilities necessary to support the proposed process.

12 core functions were selected for process review. The findings included:

- The processes used in carrying out the core functions of the [ ] have substantial redundant steps that border on repetition and duplication of duties. The elimination of these led to about 35% reduction in the time spent on them;
- Several personnel do similar functions which, when merged, reduced the number of personnel required;
- Process bottlenecks that hinder effective implementation of functions;
  - Excessive political interference in the normal workings of public service bureaucracy especially in personnel postings, transfers and appraisal.
  - Absence of laid down policy to guide uniform implementation of the processes for discharging function of the various sections of the MDA.
  - Low staff capability and skill profile leading to delay in processes of service delivery.

The participatory nature of the Process Review is such that the WG members can undertake reviews of the other functions in their various departments units and sections. They can be useful in replicating the process across the other MDAs.

‘As is’ and ‘To be’ processes were mapped and recorded.
3b Guidance and Templates to Assist with Process Review

A process specifies the transformation of inputs to outputs. It is a network of connected activities and relationships with the purpose of satisfying customer requirements as illustrated below.

The work performed on a job moving through a process can be divided into an ordered sequence of activities with buffers representing storage or waiting points before moving to the next activity (e.g., queues, waiting rooms, etc.). A key issue in process design and analysis is classification of the process activities, crucial in identifying waste and inefficiencies in existing processes.

Classifications of Process Activities

Value adding activities

- Essential in order to meet customer expectations.
- Activities the customer would be willing to pay for.
- Involves doing the right things right;
  - Performing the right activities.
  - Doing them correctly, with high efficiency.

Business value adding activities

- Control activities.
- Do not directly add customer value but are essential to conducting business.

Non-value adding activities

- Activities the user would not be willing to pay for.

Elimination of non-value adding activities is a key first step in redesigning work processes and is often achieved through task or activity consolidation, eliminating unnecessary controls and process complexity.

Templates to help with process mapping and flow-charting are presented below.
Understanding Existing Processes - Template

<table>
<thead>
<tr>
<th>What is the existing process doing?</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>How well does it perform?</td>
<td></td>
</tr>
<tr>
<td>What are the critical issues that impact the process performance?</td>
<td></td>
</tr>
</tbody>
</table>

Describing a Process using the 5 x ‘W’ and 2 x ‘H’ Framework

<table>
<thead>
<tr>
<th>Classification</th>
<th>Sw2h questions</th>
<th>Description</th>
</tr>
</thead>
</table>
| People         | Who?           | • Who is performing the activity?  
|                |                | • Why is this person doing it?     
|                |                | • Could/should someone else perform the activity? |
| Subject matter | What?          | • What is being done in this activity?  
|                |                | • Can the activity in question be eliminated? |
| Sequence       | When?          | • When is the best time to perform this activity?  
|                |                | • Does it have to be done at a certain time or in a specific sequence? |
| Location       | Where?         | • Where is this activity carried out?  
|                |                | • Does it have to be done at this location? |
| Purpose        | Why?           | • Why is this activity needed?  
|                |                | • Clarify its purpose. |
| Method         | How?           | • How is the activity carried out?  |
| Cost           | How much?      | • How much does it currently cost? |

Process Analysis Tools – Process Flowcharts Symbols and Exercises
Flowcharts provide a graphic view of the whole picture; the process from start to finish. The conventional symbols for flow charting are set out below. The ideal picture is to reduce the steps between operation and decision. The worst thing is to improve something that shouldn’t be done at all.
Symbols to Use in Flow Charting

- Operation
- Storage
- Inspection
- Delay
- Transportation of a physical item
- Transportation of information
- Decision.

Illustration: a Simple Flow Chart

How to Flowchart the Process

- Using the illustrations above as guide, itemise existing processes for key and draw a flow chart to depict the business process ‘As is’.
- Highlight value adding activities, business value adding activities and non-value adding activities.

Re-design the process flow – the ‘To be’ recommended picture. Justify your recommendations and identify those processes that you have eliminated or merged.
Examples of Simple and Complex Process Flowcharts

Process flow charts list every step involved in the production of a good or the delivery of a service. A process chart can be used as work guides and procedural ‘audit’; can help identify waste e.g. expose unnecessary activities, people or redundant steps in the chain. Some processes are very simple some complex. Ideal processes as well as existing processes can be mapped or produced as flow charts.

A selection of flow charts from the early adopters of corporate planning is included below as follows.

**Simpler flowcharts**
- Biometric data capture.
- Allocation of office premises.
- Posting staff.

**More complex flowcharts**
- Overall planning process.
- MTSS process.
- Annual Budget MTBF$^{11}$ and MTSS linked process.
- Pre-payment project inspection process.
- Model recruitment and selection process.
- Job evaluation process.
- Performance and appraisal process.
- Tailored training and development process.

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$^{11}$ Medium Term Budget Framework
BIOMETRIC DATA CAPTURE AS IS (3 MONTHS)

1. MDA forwards names of newly recruited staff to HOS with HQ's approval.
2. HOS processes the submission from the MDA and forwards to ECOCOP for approval.
3. ECOCOP approval is forwarded back to HOS for implementation.
4. HOS proposes a draft EOR, data capture with ICT unit of AG's office.
5. HOS issues circular to MDA for data capture of the affected staff - dates, venue, time.
6. HOS directs AG's office to prepare computer sheet to print EORs in line with ECOCOP approval.
7. MDA returns complete & countersigned forms to authorizing officer for verification.
8. MDA forwards verified/countersigned forms from MDA to consultant for biometric capture.
9. Capture of staff information by consultant.
10. Payment of salary to the captured staff.

TO BE (1 MONTH)

1. MDAs forward list of newly recruited staff to HOS.
2. HOS processes the submission from the MDAs & directs AG's office to print & release forms to MDAs.
3. HOS issues circular on the date to capture candidates.
4. Completed forms returned to the HOS for verification.
5. HOS countersigns forms & forwards them to consultant for capture.
6. Staff captured by consultant.
7. Payment of salary to new staff.
**ALLOCATION OF OFFICE PREMISES AS IS (9 days)**

1. **INTENDING OCCUPANTS APPLY TO HOS** (1 DAY)
2. **HOS MINUTES TO HOD (SWD), TO FIND ANY AVAILABLE OFFICE**
3. **HOD (SWD) RECOMMENDS TO HOS OF ANY GOVT OWNED VACANT OFFICES** (1 DAY)
4. **HOD (SWD) RECOMMENDS TO HOS FOR RENTING EITHER GOVT OR PRIVATE PREMISES** (4 DAYS)
5. **HOS’s APPROVAL & LETTER TO M.O.W & INFRA** (1 DAY)
6. **MIN OF WORKS TAKES INVENTORY OF FURNITURE/EQUIPMENT AND DOCUMENTS** (2 DAYS)
7. **THE OCCUPANT IS NOW CHECKED IN BY M.O.W & INFRA**

**TO BE (4 days)**

1. **HOS RECEIVES APPLICATION & DIRECTS HOD (SWD)**
2. **HOD (SWD) REVIEWS AVAILABILITY FROM LISTING OF PROPERTY** (1 DAY)
3. **HOS DIRECTS MOW&R TO TAKE INVENTORY, CHECK IN APPLICANT, HE COPIES APPLICANT** (1 DAY)
4. **MOW TAKES INVENTORY & CHECKS IN APPLICANT** (1 DAY)
POSTING STAFF AS IS (10 days)

MDAs REQUEST FOR POSTING OF STAFF

HOS RECEIVES FOR ACTION

PS PSD RECEIVES FOR ACTION

HOD (ADMIN) RECEIVES FOR POSTING PROPOSAL

SCHEDULE OFFICER OPENS REGISTRY FOR FILING

TO BE (4 days)

POSTING REQUEST RECEIVED BY HOS FROM MDAs

PS (PSD) DETERMINES ACTION REQUIRED

SCHEDULE OFFICER PROVIDES REQUISITE DETAILS

RETURNS TO REGISTRY FOR DESPATCH
MTSS Process

STAGE 1: REVIEW AND PREPARATION

Set up MTSS Committee.
Agree ToRs, process, stakeholders, work plan with responsibilities and Table of Contents

Identify and review existing policy documents at state (SDP), federal and international levels. Agree policy priority areas and establish 3 year outputs

Gather existing information, data and performance reviews that will be used for MTSS (baseline)

Three year revenue flows (expenditure ceilings)

Identify existing contracts and budget commitments

HC approves policy priority areas

Yes

No

STAGE 2: SECTOR STRATEGY SESSIONS

Sector strategy sessions to review and agree policy outcomes based on Stage 1 above. Cross cutting and G&SI issues

Develop strategies (inputs and outputs) for the achievement of outcomes taking account of existing commitments and contracts

Determine programmes, projects and activities. Determine costs of programmes, projects and activities including overheads. Review 3 years cost of personnel

HC approves the outputs from the strategy sessions

Yes

No

STAGE 3: DOCUMENTATION AND AGREEMENT

Make alterations to sector strategies

Write MTSS in line with Table of Content agreed in Stage 1 above

HC approves policy priority areas

Implementation Plans

Pilots

Lessons learned

Monitoring & Evaluations Annual Reviews

Compile budget submissions following call circulars. Submissions based on ceilings will be used to defend budget
Process Linking Annual Budget Process with MTBF and MTSS\textsuperscript{12}

\textbf{Medium Term Budget Framework}

- Setting 3-Year Fiscal Targets
- Economic and Fiscal Update
- Fiscal Framework
- Budget Policy Statement
- Budget Call Circular
- Budget Negotiation/Defence
- Compilation of Portfolio Budget
- State Budget
- Reconciliation Statement
- State Treasury
- State EXCO
- State Assembly
- MDAs

\textsuperscript{12} Source: adapted from the World Bank manual
Pre-payment projects inspection process (Monitoring and Evaluation (M&E), Ministry of Economic Planning and Budget (MEPB))

VACANCY
Vacancies identified and appropriate steps taken to make budgetary provision and obtain approval/clearance to recruit to fill the vacancies.

ADVERTISEMENT
CSC advertise vacancies with details person and job specifications as well as instruction on how to apply

INITIAL SCREENING
Applications are reviewed and the most suitable candidate invited for aptitude test

SHORTLIST
Candidate write aptitude test and the best five are selected to be interviewed for final selection

INTERVIEW AND SELECTION
Candidate attends interview and the most suitable is selected

ADVISING CANDIDATES ON OUTCOME OF INTERVIEW
Both successful candidates are properly briefed of the outcome of interview with specific instruction on how to appeal the panel's decision or how to finalise appointment

PROCESSING OF APPOINTMENT
Letter of appointment are issued and candidate report for duty. FAD raises 'variation order' which includes an ORACLE number which enables the insertion of name of new staff into the payroll

INDUCTION
New staff are inducted into his department and ministry during the first week of resumption

CONFIRMATION OR TERMINATION OF APPOINTMENT
Depend on the level of performance of the candidate during the probationary period, his/her appointment is confirmed or terminated.

Recommended / Model recruitment and selection process

- Invitations of HC, MEPB for pre-payment inspection of projects by MDAs
- HC, MEPB delegates authority to inspect to PS, MEPB and on to Dir, MED for action
- Dir, MED delegates inspection activity to Unit Heads
- Joint inspections conducted
- MDA Project Officer for Joint Inspection with scheduled MED Officer
- Feedback/clarifications received from MEPB management
- Post-inspection report with recommendations produced and submitted for MEPB management’s approval
- HC, MEPB approves recommendation for payment to MDA and MoF with issuance of pre-payment certificate
- Unit Heads consider supporting documents from Executing Agency – Contract TORs
- MoF pays contractor
- Contractor commences next phase of the contract
Job Evaluation Process

1. **Job Analysis**
2. **Job Description**
3. **Job Evaluation**
4. **Job Structure**

Tailored Training and Development Process

1. **Training Needs Assessment**
   - Identify subject matter of trainings
   - Identify internal & external partners
     - Approve
     - Develop training curriculum
     - Develop plan
     - Approve curriculum and plan
     - Print training curriculum and plan
     - Evaluate
     - Train by internal & external trainers

Recommended Performance Appraisal Process Chart

**SETTING WORK TARGETS AND OBJECTIVES**
These are set, agreed and documented at the beginning of each year relative to staff member’s activities and outputs as defined in the job description, and work-unit-level, departmental and ministerial or corporate level objectives.

**INFORMAL MONITORING PERFORMANCE**
Supervisors ensure that informal monitoring of work achievement against objectives takes place throughout the year.

**FORMAL INTERIM MONITORING AND REVIEW OF OBJECTIVES**
This takes place around mid-year to assess progress towards achievement of the original objectives. Overall work performance and to agree any changes required to the original objectives.

**FORMAL PERFORMANCE APPRAISAL**
Formal review of achievement of set objectives. This involves on-to-one discussion between the appraisee and appraiser, completion of forms (e.g. SPADEV) and award of performance rating.

**ADMINISTRATION OF APPRAISAL RESULTS**
HR unit of FAD ensures that formal and informal appraisal results are properly kept and made available for use the ministry, CSC, OHOS and other government agencies.

**SETTING WORK TARGETS AND OBJECTIVES**
Once the current performance rating has been made there is immediate discussion about the objectives for the next year.
Stage 4: Corporate Planning Process: Establishment and Workforce Planning

4a Step by step guidance on establishment and workforce planning
4b Guide to Job Evaluation
4c Model template for Job Description
4d Records for workforce planning - the HR database
4e Guidance on capacity building and training
4f Ideas to address immediate workforce gaps and shortages

4a Step by Step Guidance on Establishment and Workforce Planning

Determining Human Resource Requirements

This involves the preparation of organograms (organisation charts) on the basis of the systems and processes which have been selected. The organograms should be built from zero, and represent managers’ ideal numbers and levels of posts and skills to operate the defined systems and processes. In order to produce the organograms, managers must have: (1) identified the different types of tasks which must be carried out, and grouped these together into manageable roles – each of which would constitute one type of post; and (2) estimated the total volumes of service to be delivered, which will indicate how many of each type of post will be required. While this process must be driven by service managers, it can be supported by specialist professional human resource management advice, either provided from central establishment functions or external expert consultants. Once the human resources requirements have been established, managers must seek approval for the new establishment (which will not necessarily be automatic in the context of employment policies in the public sector). The budget must also include the costs of the new structure and staffing levels, as well as any costs of migrating from the existing to the new structure and staffing levels.

The potential benefits of establishment and workforce planning in the state include:

- **Increased capability and capacity**: the ability to meet citizen and government demands and expectations, while building trust in the on-going delivery of outputs;
- **Improved outcomes**: the ability to maintain and improve the quality and effectiveness of services while having the capacity to change to meet changes in citizen and government needs;
- **Increased value for money**: the ability to reduce costs of operations associated with delivering services to the community;
- **Improved decision-making**: the ability to make service delivery and investment decisions that take into account the workforce capacity and capability required to deliver successful outcomes;
- **Increased public value**: the ability to increase the level of citizen confidence in MDAs’ capacity to deliver effective, efficient services that meet their needs and expectations.
Establishment and workforce planning involve three distinct stages:

- **Define an Establishment Plan for the MDA:** specifically, the composition of the required workforce in terms of posts, jobs, and skills required to respond to the structure, functions and processes proposed and adopted (i.e. what staff do we need to do the job?);
- **Analyse the Existing Workforce and Identify Gaps:** specifically match the current numbers, experience, competences and demographics of the existing MDA staff with the needs and identify the shortages in terms of staff, numbers, grades or competences which must be addressed. (For an example of workforce analysis see the tool kit);
- **Prepare a Workforce Plan:** which sets out how the MDA will get the right people, with the right skills, in the right jobs (identified in the Establishment Plan) at the right time to enable the MDA to deliver its goals, strategic objectives and service delivery targets (i.e. what staff do we have and how can we better utilise them?).

**Stage One: Define an Establishment Plan for the MDA**

In the public service ‘Establishment Plan’ is the list of posts approved for an MDA or a Department or other sub-component of the MDA that is intended to enable the MDA or sub-component to effectively and efficiently undertake its functions. The Establishment Plan lists each post by its title and grade. While the Establishment Plan defines all approved posts, whether filled or vacant, the Nominal Roll provides a list of the staff that have been appointed and are in-post at any one point in time. The two should not be confused.

The Establishment Plan should define the posts and disposition of staff needed to enable the MDA to undertake its responsibilities and meet its strategic objectives. This involves the following steps:

- Review the functions and structure of the MDA or each department to be included in the process. Create a list of posts that fit the functional and structural needs. This is not a routine task but one that requires some analysis of the skills needed to fulfil functional responsibilities and the correct hierarchy of seniority that will provide sufficient spread of ‘workers’ and ‘supervisors’;
- List all posts in the existing structure of the MDA with their grades, required qualifications, experience level and competences. (Do not confuse this with the nominal roll for the MDA or Department or attempt to seek the information from the payroll which will only list those who are in post.) Some existing posts may not be necessary and some new posts may well need to be created;
- Review the job descriptions (if they exist) for the existing posts which will continue. Existing job descriptions may need to be revised, and some new ones may need to be created;
- Create new job specifications\(^\text{13}\) and grades for the new posts that have been created. Once the job specification has been approved then a fuller job description must be developed for every new post;
- Consider gender equality and social inclusion;
- Produce a final Establishment Plan for each department or unit which identifies all of the posts, their job descriptions and job specifications.

The format of an Establishment Plan is shown below.

**The Revised Establishment Plan for Reorganised MDA**

<table>
<thead>
<tr>
<th>Ministry of ____________________________</th>
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<tbody>
<tr>
<td>ESTABLISHMENT PLAN</td>
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</table>

Department/Unit ____________________________________________

<table>
<thead>
<tr>
<th>Title of Post</th>
<th>Grade</th>
<th>No of Posts in Dept/Unit</th>
<th>Main Tasks and Responsibilities</th>
<th>Qualifications</th>
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</thead>
<tbody>
<tr>
<td>Head of Department</td>
<td>16</td>
<td>1</td>
<td>Overall performance of the Department, setting goals and performance targets etc.</td>
<td>Masters, 10+ years relevant experience etc.</td>
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<td>Deputy Head of Department</td>
<td>15</td>
<td>4</td>
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<tr>
<td>Principal Education Officer</td>
<td>12/13</td>
<td>7</td>
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<tr>
<td>Administration Officer</td>
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<td>14</td>
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<td>Etc.</td>
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Each Establishment Plan must be designed for a particular department or unit and the Establishment Plan for every department will almost certainly be different from all others. The only possible exception to this will be some administration units, which will have identical or very similar duties no matter in which department they are located. The practice of creating identical post hierarchies (for example Department Head x 1, Dept Head

\(^{13}\) A job specification includes a list of the tasks, or functions and responsibilities of a position. Typically, it also includes to whom the position reports, specifications such as the qualifications, experience needed by the person in the job etc; further information and an example job description are provided below
x 2, Principal Officer x 4, Senior Officer x 8 and so on) irrespective of the nature of the tasks being undertaken should be abandoned.

Stage Two: Analyse the Existing Workforce and Identify Gaps
The second stage of the process is to analyse the existing workforce and compare with the Establishment Plan to identify the ‘fit’ between the two. It is to be expected that many of the existing staff can be assigned to the new posts, but there will undoubtedly be some posts for which no officer with suitable experience or expertise is currently employed in the MDA, and some officers whose competences do not readily match any of the required posts.

The workforce analysis involves the following steps:

- Prepare a Staff List showing all personnel currently employed by the MDA department, their age, qualifications, gender, experience, grade and performance record if existing (see below for a suggested format). In many parts of the Nigerian Civil Service a critical factor is the aging of the workforce that threatens to create skills and experience gaps in more senior decision-making roles. A sudden absence of experienced staff will detrimentally impact upon an MDA’s performance;
- Identify the skills required to effectively undertake the new responsibilities (from the Establishment Plan);
- Conduct a personnel and skills audit – do current staff have the necessary qualifications and experience to effectively undertake their job responsibilities? Where new responsibilities are proposed then the capacity of existing staff to undertake these new responsibilities must be analysed too. Where staff lack required skills or those that possess skills are inadequate an MDA cannot perform the functions and services expected of it. A ‘skills gap’ can only be closed by either employing new staff with required skills or providing training to existing staff;
- Compare the Nominal Roll with the Establishment Plan to highlight vacancies, staff duplication, new staff requirements, skill and experience gaps;
- Account should be taken, especially in MDAs providing direct public services, of the projected size and nature of future demand for the services provided and the implication of these demands for numbers and skills of staff. With increasing population size a quantitative increase in demand is inevitable but also changing social attitudes and education may bring about changes in the service quality demanded.

A template for staff profiling which can be used to gather data for workforce analysis is given below.
Staff Profile Format for Workforce Analysis

MINISTRY OF ____________________

STAFF PROFILE CHART

Please complete this table for all staff in the Ministry.

<table>
<thead>
<tr>
<th>S/N</th>
<th>Name (in full)</th>
<th>Job title/position</th>
<th>Grade Level</th>
<th>Gender</th>
<th>Date of Birth</th>
<th>Academic qualifications (degree, Specialty, institution &amp; dates)</th>
<th>No. of years in State Public Service</th>
<th>Formal training received in last 3 years (State Specific Titles)</th>
<th>Personal development undertaken in the last 3 years (State Specific Programme Title)</th>
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A Working Example: and Findings of a Live Workforce Analysis Exercise

Objectives

The parameters of analysis were:

- Staffing Distribution by Departments;
- Age;
- Experience;
- Gender;
- Qualifications;
- Specialities.

The analysis was based on the staffing information of the ministry provided to SPARC by the Office of the Head of Service.

Methodology

Working with soft copy of the list, we used Pivot tables to take count of various parameters. The counts were then subjected to percentage analysis. Charts were drawn to illustrate the findings and inferences were thereafter drawn. Data was collected and analysed presenting the results in tables and charts for each of the following:

- Number of Departments and Staff Population in Each;
- Staff Distribution by Cadre;
- Staff Distribution by cadre in the Departments;
- Age Distribution of Staff;
- Age Distribution of Staff within GL 14 07 and above;
- Length of Service;
- Relative Experience of Staff from GL 07 and above;
- Staff Qualifications;
- Qualifications of Staff from GL 07 and above.

Steps in Workforce Analysis

The steps involved were as follows:

- Analysis of what is on ground in terms of staffing (workforce available);
- Identification of the current and future civil service needs required to deliver strategies, mandates and services;
- Identification of gaps between the supply (what is on ground) and demand (what is required).

Findings

- Age.
  - The staffing profile is ageing one with over 80% of the staff older than 45 years.
  - Succession was a dire challenge.

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14 Grade Level
Experience (Length of Service).
- The staff were experienced with some 84% having been in employment in the public service for longer than 20 years.
- Just 4% of the staff on GL 7 and above had spent less than 20 years in service. This suggests that there has been virtually no recruitment into the MDA over the past 20 years.

Gender,
The staffing population was badly skewed in favour of the male gender. Just 6 of a total population of 187 staff were female, two of whom were below between 30 and 40 years of age and had spent 8 and 17 years in service. Three were between 40 and 50 and had spent 22 to 28 years in service. One was 56 years and had spent 24 years in service. Two of the women were on GL 06, one was on GL 07 while one was on GL 08. The two others were each on GL 10 and 12.

Qualifications,
The aggregate qualifications of the staff in the ministry are poor, hardly fit for modern setting and demands of the mandates. The majority of the staff holds only lowly rated certificates and diplomas. A significant number of the lower level staff are illiterate.

Specialties.
The level of specialisation and available skills of staff are not robust enough for the requirements of the various technical functions and responsibilities mandated to the MDA.

Recommendations
The following recommendations were made:

- The ministry should itself draw up a comparable list to that provided by the OHoS to verify the situation with regard to its various departments;
- Staff who have overstayed statutory tenure should be eased out;
- Succession planning must be instituted immediately in the ministry;
- In the interim, transfer and re-posting from outside the MDA should be tried to redress the current dearth of skills;
- The approved Establishment List of the ministry should be located to enable further comparison against the actual current situation;
- Immediate skills evaluation on departmental bases should be carried out to detect areas of acute shortage;
- The dictates of performance in the public service have changed drastically and there is the need for some decisive action about acquisition of the right skills. This implies the there is a need to unfreeze recruitment at least for critical function areas of the ministry;
- The state government should consider the possibility of sourcing new and experienced skills from the private sector, if need be.
Workforce ‘Gap Identification’
Once managers have determined their ideal human resource requirements and the new establishment has been approved as described above, the next stage in the process is to compare these requirements with the actual human resources in place. This will require a review of existing staff to establish:

- The current agreed organograms: numbers, levels and types of posts;
- Actual staff complement held against the organograms: to identify both vacancies and ghost workers;
- Workforce demography: age, proximity to retirement, years of service, skills etc.

It is often best for this exercise to be carried out by human resources management specialists, whether from specialist government departments or external consultants.

Once the existing situation has been analysed, specialists should prepare a ‘gap analysis’ which will identify:

- **Posts which should remain in the existing functions**, because these continue to be necessary for future service delivery;
- **Posts which should be redeployed to new functions**, because although existing functions will cease, posts at this level and with these skills will be required in the new functions for future service delivery;
- **Posts which are redundant**, because they cannot be fitted within the new organograms;
- **New posts which are required**, because their equivalents do not exist in the current organograms.

It is very important to note that this analysis applies to posts and not people. The objective of gap analysis is to determine how to migrate from the existing to the new structure and establishment. It is not concerned with assessing the quality or otherwise of the performance of the existing post-holders.

Planning the Transition to the New Structure and Staffing
Moving from the existing to the new human resources requirements demands careful planning. There are two aspects:

- Achieving the correct establishment (see above);
- Ensuring that the performance of people in their posts is in line with the assumptions on which the new establishment was designed.

Managing the Performance of People in the New Posts
Once the new structure and staffing levels are in place, managing the performance of people in the new posts has two dimensions:

- Job Descriptions, defining expectations and assessing performance;
- Capacity Building.
Toolkit Resources 4b and 4c give guidance on job evaluation and job descriptions. Toolkit Resource 4e provides guidance on capacity building.

**Job Descriptions, defining expectations and assessing performance**

The performance management system should be based on cascading objectives and targets from the Mandate and Objectives, down to service delivery units, and individual staff. It should be reflected in a Job Description for each member of staff which sets out key responsibilities and/or performance and service delivery targets. The achievement of objectives and targets should be the subject of formal documented managerial review, at least on an annual basis. There is an important role for the Human Resources Management (HRM) function to design the system, train managers and staff in its use, and ensure that they operate it correctly and consistently.

**Monitoring and Review of the Establishment and Workforce Plan**

It is stressed that preparing an Establishment Plan and then a Workforce Plan is not a one-off activity. Periodically it will be necessary to review and revisit each Plan in order to:

- Be sure that the underlying assumptions of the Establishment Plan and staff attributes are still relevant. For example, the State may adopt a new strategic plan that introduces some changes into the priorities of the State or services being offered. Such innovations may impact upon the responsibilities and priorities of an individual MDA and call for some reorganisation or new processes which in turn need new skills or increased staffing;
- Ensure the provisions of the original Workforce Plan have actually been implemented and check whether this implementation has led to the desired changes in capacity. Periodic consultation with managers throughout the MDA will provide evidence of the achievement or failings of the Workforce Plan. Once identified, shortfalls can be addressed in a revised Plan.
4b **Guide to Job Evaluation**

## Job Evaluation Process

### Job Analysis

Job Analysis is a process to identify and determine in detail the particular job duties and requirements and the relative importance of these duties for a given job. Job Analysis is a process where judgments are made about data collected on a job’s intellectual, policy and analytical complexity; staff supervisory / managerial responsibility; budget and resource responsibility; task complexity; span of control and risks carried; relationships and accountabilities; scope for innovation and creativity.

While Job Analysis data may be collected from incumbents through interviews or questionnaires, the product of the analysis is a description or specification of the job, not a description of the person.

### Job Description

A job description sets out the main responsibilities of a job along with the skills, capabilities and attributes needed to do the job to the standard required. Job descriptions clarify work functions and reporting relationships, helping employees understand their jobs. Job descriptions aid in maintaining a consistent salary structure. Performance evaluations may be based on job descriptions. They are generally much more comprehensive than a schedule of duties or a grade description in the Scheme of Service; see overleaf for a complex and simple example.

### Job Evaluation

Job evaluation may be defined as ‘a method of determining on a systematic basis the relative importance of a number of different jobs’. It is often deemed a useful process because job titles can be misleading, either unclear or unspecific, and in large organisations it is impossible for senior managers or those in HR to know each job in detail. Job evaluation is typically used when: determining pay and grading structures; ensuring a fair and equal pay system; comparing pay rates against the internal or external market.

Job evaluation is the analysis and evaluation of work for the purpose of determining the relative value of jobs within an organisation. It may also provide valuable information for organisational analysis and for human resource planning and management strategies such as succession planning and performance management.
For a job evaluation system to be effective, care must be taken in ensuring the system is as objective as possible. It is important that each job be evaluated on the basis of current, regular and on-going work conditions and job content. It is also essential that the focus of the evaluation process be on the purpose, scope and responsibilities of work assigned to the position, and not an incumbent's personal qualities or performance. In other words the focus is on the position and not the individual(s) in the position.

As jobs are very often affected in some way by organisational change, a job evaluation system should be in place and require that departments periodically review their organisation design and structure to determine if significant changes have occurred. Any change in an organisation's structure may alter the content of a job, which may result in an adjustment in the evaluation of the job. Ideally the position description should be updated every time there is a substantial change to a position’s purpose, scope, and/or responsibilities.

Job Evaluation methodology should be applied: where there are concerns that job grades have inflated over time (a consequence for example of automatically promoting staff in situ); where there are questions about the need for job re-grading (up or down) before recruitment or where working practices and processes have made significant changes to the volume, content and value of the jobs (such as ICT and typing / secretarial jobs); where market pay rates and salary benchmarks are required. Job evaluation can also be applied to functions and cadres. More specialist techniques are required than would generally apply to defining jobs as part of corporate planning.
4c  Model Template for Job Description
A job description sets out the main responsibilities of a job along with the skills, capabilities and attributes needed to do the job well. Job descriptions clarify work functions and reporting relationships, helping employees understand their jobs. Job descriptions aid in maintaining a consistent salary structure. Performance evaluations may be based on job descriptions. They are generally more comprehensive than a schedule of duties or a grade description in the Scheme of Service.

The Content of Job Descriptions
The content of job descriptions should identify and describe:

- Core objectives and success measures;
- Intellectual, analytical and mental functions;
- Relations with others (stakeholders, staff, politicians, seniors);
- Responsibilities (people, money, results);
- Accountabilities.

Model Job Descriptions
Below are two sample job descriptions. The Budget Director Job Description is very comprehensive. A simpler version may be preferred in many situations. The second example below, for a Learning Facilitator, illustrates a simpler style but still contains much of the critical information

Sample Job Description 1: BUDGET DIRECTOR

<table>
<thead>
<tr>
<th>Title of the position:</th>
<th>Location of the job (Department &amp; Division):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director, Budget</td>
<td>Budget Department</td>
</tr>
<tr>
<td>Number of subordinates:</td>
<td>Reports to:</td>
</tr>
<tr>
<td>[ ]</td>
<td>Permanent Secretary</td>
</tr>
</tbody>
</table>

Core purpose of the job

Under the direction and guidance of the Permanent Secretary, the Budget Director conducts and develops the annual state Budget process; monitors revenues and expenses for conformance to budget; develops recommendations for adjustments. The Budget Director also coordinates detailed financial research and analysis related to the state budget, special reports and other areas as required. This position is responsible for: monitoring the budget status/ledger reports and revenues thereof; assisting MDAs and various budgeting entities for submission of accurate and viable budget proposals; supervising budget analysis, reporting, planning, coordination and evaluation. The position holder will also be required to coordinate work assigned by the Permanent Secretary.

Key performance indicators

Core, essential responsibilities/outputs of the position (KPI’s)
Role complexity:
- Budget analysis;
- Budget planning and coordination;
- Budget monitoring and compliance;
- Budget system development, implementation and enhancement;
- Formulation and implementation of policies relating to budgetary matters;
- Preparing of annual budget and supplementary budget of the State Government;
- Monitoring of budgetary control and compliance with budgetary guidelines;
- Periodic review of the financial status of MDAs or parastatals organizations;
- Periodic review of budget performance.

Task complexity
Coordinates budget process among ministries, departments and parastatals to facilitate interaction, accurate information and timeliness and assistance in the preparation of budget proposals at all stages of the process.

Directs department operations, the maintenance of services and the implementation of new programs and/or processes for the purpose of achieving organisational objectives and ensuring compliance with legal, financial and district requirements within established timeframes.

In consultation with relevant stakeholders, develops recommended annual budget calendar and format of State budget process; provides budget entities with budget information and forms.

Monitors revenues and expenses to conform to budget and recommend to the Controller necessary changes and corrections to the current year’s appropriations.

Works closely with appropriate MDAs and Economic planning department of the ministry to analyse and forecast both current and future years’ revenues and expenditures.

Assists as necessary in the preparation of financial reports, grant applications, and other reports.

Provides budget estimates with future years’ revenue and cost projections as necessary.

Maintains close liaison between the budget department and all reporting entities to facilitate the smooth and accurate flow of all financial transactions.

Oversees or carries out research projects as assigned.

Attends budgetary meetings and other meetings as necessary to fulfill responsibilities as Budget Supervisor.

Monitoring and evaluation of the process of implementing approved revenue and expenditure;
Conduct of field visits to Ministries/Agencies;
Periodic evaluation of the performance of the Capital and Recurrent Budget.
### Supervisory Complexity:
- Ensure strict adherence to State budget policies and procedures;
- Support and guide direct reports toward the achievement of their individual set objectives;
- Monitor and evaluate the performance standards of direct reports;
- Assess departmental staff’s training needs and ensure prompt bridging of identified gaps by recommending relevant training programmes.

### Leadership Complexity:
- Support and promote the implementation of budget reporting plan within the entire state;
- Participate in promoting and encourage teamwork as relates to budget preparation planning and coordination among the MDAs;
- Motivate subordinates towards the attainment of goals;
- Develop staff’s management skills through effective delegation of authority.

### Managerial complexity:
- Provide clear guidance and direction in implementing budget compliance plan in the entire state;
- Provide clear interpretation of other department’s role in gathering and disseminating information within and outside the organization;
- Exhibit flexibility in changing circumstances;
- Identify and maximize subordinates’ potentials;
- Manage and resolve conflicts.

### Creativity (improvement/innovation):
- Development and implementation of integrated and coordinated system of budget formulation, reporting and implementation;
- Continuously enhancing the state’s entire budgetary system;
- Design and develop system of tracking and capturing information relevant for budget analysis;
- Significantly upgrade self-performance in line with the overall company strategy;
- Develop creative ways of building the capacity of relevant stakeholders as relates to budget formulation, implementation and reporting.

### Vulnerabilities (control span)
- Political consideration;
- Stakeholder cooperation;
- Performance and efficiency of MDAs as regards budget activities;
- Policies and Procedure violation;
- Brand image of the organisation.

### Collaboration

### Responsibility towards:
- Direct reports: Unit Head, Budget Formulation; Unit Head, Budget Performance; Unit Head, Budget Monitoring;
- Matrix report: All MDA Departmental Heads, All Directors in MDAs saddled with budgetary responsibilities;
- Key customer: MDAs, State Executive and Legislative arm of the state;
- Relations: All departments/units in the MDA.
## Discretionary space

### Independent thought and Judgment:
- State Development plan;
- State budget policy;
- Legislative acts;
- Predetermined policies and procedures;
- Development of operational policies, guidelines and quality control;
- Government policies.

## Minimum Requirements

### Education:
- Master’s degree in Accounting, Economics, Financial Management or other relevant field of study.

### Experience:
- Minimum of 15 years of progressively responsible budget/financial experience with a proven record of advanced financial skills;
- Experience in Financial Analysis and Reporting, Computerised Systems Planning and Implementation and Project Management.

### Training:
- Financial analysis;
- Public Budget Analysis;
- Research Methodologies;
- Financial Reporting Skills;
- Budget evaluation techniques;
- Accounting and Budgeting skills.

## Competencies

### Knowledge:
- Knowledge of economic and accounting principles and practices of financial markets, banking and the analysis and reporting of financial data;
- Business and management principles involved in strategic planning, resource allocation and coordination of people and resources;
- Understanding of technical, social and institutional issues relating to the Economic and Budget ministry’s reform initiatives;
- A strong financial systems background with proven experience with financial reporting systems and computer applications such as Brio, Focus, Word and Excel, Access; as well as the ability to utilize and evaluate financial systems;
- Understanding and demonstrated working knowledge of General Accounting Standards and the Financial Accounting Standards;
- Ability to develop accounting/budgeting policies and priorities within established guidelines and manage and evaluate accounting/budgeting projects;
- Demonstrated ability to supervise office staff and coordinate projects.

### Skills / physical competencies:
- Excellent written and oral communication skills with proven ability to effectively communicate with all levels of management, government and financial officials, and public constituents;
- Analytical skills;
- Advisory skills.
**Behavioural qualities:**
- Sensitivity;
- Communication skills, both for a professional/specialist and lay audience;
- Public speaking skills;
- Articulate with above average presentation skills;
- Leadership;
- Team player.

**General working conditions (e.g. shift work, specific tools, special clothing, environmental requirements, etc.)**
- Normal hours with frequent requirement for longer hours;
- Office environment;
- Will be required to conduct off site visits;
- May be required to work extended work hours;
- May be required to travel frequently.

**Quality Standards**
- Development of State budget to timetable;
- Periodic reporting of budget performance against profile and plan;
- Effective compliance of budgetary provision;
- Ensure right information reaches the targeted audience;
- Ensure safeguarding reputation and ‘brand image’ of the organization;
- Ensure relevant stakeholders have the required skills and knowledge to understand budget findings.

**Sign-off / Approval**

<table>
<thead>
<tr>
<th></th>
<th>Permanent Secretary</th>
<th>Director Budget:</th>
<th>Director HR &amp; Admin</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date:</td>
<td>Date:</td>
<td>Date:</td>
<td></td>
</tr>
</tbody>
</table>

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Sample Job Description 2: LEARNING FACILITATOR

1. Job Title: Learning Facilitator
   Department/Unit/Section: Training Unit, Department of Administration Immediate Manager: Chief Training Officer

2. Organisation Structure
   See attached Organisational Chart

3. Key Job Purpose:
   To develop and deliver appropriate training and learning activities to ensure that public servants have the appropriate competences to achieve the objectives of Government, and to develop their careers and facilitate succession planning.

4. Main Responsibilities

<table>
<thead>
<tr>
<th>Time spent: %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carry out training needs analysis directly or through Human Resources Management and Development Focal Points to establish on-going training and development needs.</td>
</tr>
<tr>
<td>Plan, cost, and gain approval for annual and special training programmes designed to meet the training needs, incorporating specialist professional and technical training activities as well as generic administrative and managerial training.</td>
</tr>
<tr>
<td>Directly design a small number of generic administrative and managerial training activities, develop and test training materials, and carry out training.</td>
</tr>
<tr>
<td>Maintain contact with trainees, providing initial guidance and selecting trainees for suitable training activities, providing support during training, and following up trainees' progress after training.</td>
</tr>
<tr>
<td>Carry out formal and informal evaluations of training activities, to assess value for money (in terms of overall cost and effectiveness of the training), as well as assessing the impact of training on the performance of individual trainees, and increased contribution to the activities of Ministries and Departments.</td>
</tr>
<tr>
<td>Administer the career development and succession planning system, conducting personal development planning interviews; supporting other managers who are required to conduct these interviews, and ensuring that individuals’ personal development plan records are maintained.</td>
</tr>
<tr>
<td>Manage the activities of contracted trainers, developing specifications and terms of reference, identifying suitable contractors, monitoring training activities, and taking action, where necessary, to safeguard training quality standards.</td>
</tr>
<tr>
<td>Establish and coordinate the activities of a pool of trained Government of Montserrat occasional trainers to undertake in-service training activities.</td>
</tr>
<tr>
<td>100%</td>
</tr>
</tbody>
</table>

5. Key Job Criteria

1. Supervisory and Managerial Responsibility
   - Appointment and supervision of training contractors;
   - Support and coordination of the Government of Montserrat Occasional Trainers group;
   - Mentoring and advising staff members on how best to meet their personal and career development needs;
   - Support and oversight of managers operating the personal development and succession
planning system;
- Managing individual training events;
- Conducting training needs analysis and formulation of training programmes;
- Monitoring and evaluation of training activities.

2. Decisions Made
- Prioritizing training needs and allocating a limited budget to achieve the most important;
- Determining the appropriate approach to meet the prioritised needs (for example, in-service training versus external training, in-house delivery versus contracted delivery, etc.);
- Deciding on the training programme and timetable;
- Selecting trainers and training courses according to the needs;
- Evaluating and awarding contracts;
- Evaluating training activities and deciding whether and what action is necessary to maintain quality;
- Deciding what materials are needed for training;
- Determine appropriate courses of action in advising staff members about personal and career development.

3. Work Complexity

Research is required, to understand Government training needs, and options which are available for resourcing training.

Constantly updating expert knowledge is necessary, to ensure familiarity with international best practice, and new thinking in the field of training and development.

Liaison with Government Managers is an important part of the Learning Facilitator’s role, to ensure that the personal development and succession planning system operates effectively; to balance trailing requests with available resources, and to operate the pool of occasional trainers effectively.

Flexible responses will be necessary to meet unexpected demands.

6. Knowledge and Experience

- A Bachelor of Arts or Bachelor of Education Degree (A significant human resource management element in the curriculum would be preferred);
- A formal or informal qualification in training and development would be an asset;
- At least five years’ experience at managerial level, and at least two years direct experience in training and development or human resource management.
4d  Records for Workforce Planning - the HR Database

HRM - Staff Records and Database Instructions
Keeping an up to date and accurate record of the Personnel Records of all active officers in the MDA is critical if more strategic HR activities and planning are to be undertaken. This tool is not a substitute for keeping accurate and up to date personnel records to manage the legal and financial aspects of contracts of employment, but it can be a useful tool to collate and analyse information for workforce planning and capacity-building.

(Refer to the ‘Guide to Personnel Record Keeping’ document in the HRM Resource Suite 2013 edition for more information and guidance on maintaining accurate, protected and reliable personnel records.)

To assist with these activities, a simple database has been created in MS Excel (see HRM Resource 2013 CD for an electronic copy of this tool) which can be used as a first step to compile the necessary information. This is a simple and non-secure tool, which can be used as a first step towards more comprehensive records. It is not an alternative to a formal, secure HRMIS which should be the goal of all state governments. But it will allow HR practitioners to experiment and test ideas about collating and maintaining HR information, especially for workforce planning and capacity-building purposes. The notes below provide step-by-step instructions for using the database to collate and use some basic relevant information on their officers for HR purposes.

**IMPORTANT**: The spreadsheet is not a substitute for formal secure personnel records or any Human Resource Management Information System (HRMIS) based on these.

**What the Spreadsheet Can Do**
The spreadsheet allows the entry of a wide range of HR-relevant data for each officer. In some cases data is entered by typing in the cell. In many cells a ‘drop-down’ menu will appear which gives a number of options to choose from. This improves the ability to filter and sort the data according to the information to be analysed. *(The drop-down menus are not exhaustive and can be customised to specific circumstances and needs. See instructions below on how to expand and edit the drop-down menus.)*

Once data has been entered for each officer, the spreadsheet can then be interrogated by sorting and filtering by each column, using the drop-down menus in the title cell of each column.

It is a good idea to create a ‘test’ version of the spreadsheet, and enter a few fictitious records to experiment with how to use the spreadsheet and see what it can do.

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15 Full instructions on completing the HR Database Template are in the HRM Resource Suite 2013
16 Microsoft
### Guidance on Capacity Building and Training

**Capacity Building and Human Resources Development Policy**

In its broadest sense, capacity building refers to the process of enhancing an organisation’s abilities to perform specific activities so that it can better fulfil its defined mission. This will include ensuring that the organisation has the appropriate mandate, structure, processes, as well as human, financial and technical capacity to meet its objectives.

Human resources capacity building is defined more narrowly. At the individual level, it refers to the process of changing attitudes and behaviours - imparting knowledge and developing skills while maximising the benefits of participation, knowledge exchange and ownership.

At the organisational level it focuses on the overall organisational performance and capabilities, as well as the ability of an organisation to adapt to change. It aims to develop the organisation as a total system, including individuals, groups and the organisation itself. Capacity building is concerned with the future as well as the present needs of an organisation. It is an essential aspect of workforce planning and succession planning: identifying the future human resource capacity needs to ensure that the organisation is able to deal with changing demands, acquiring new knowledge and skills in good time, and systematically training officers to replace skills that are lost through normal promotion and retirement.

**Capacity Building and Training**

Capacity building is achieved through individual and organisational learning. Learning occurs when individuals and organisations develop and use new ways of working, skills, competencies, and behaviours. Training is simply a purposeful process of facilitating individual learning. This can be done in many ways, including formal off-the-job training and education, a variety of on-the-job training activities, and a range of other ways of assisting the individual to learn from their normal work activities and experiences. The table below gives some examples of the variety of activities which should be considered as training and included in any training policy.

<table>
<thead>
<tr>
<th>Formal off-the-job Training and Education</th>
<th>On-the-job Training Activities</th>
<th>Learning from Normal Work Activities and Experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Rapid knowledge and skills acquisition</td>
<td>• Good for ensuring that new knowledge and skills are applied to improve workplace performance</td>
<td>• Reinforces a continuous organisational learning culture</td>
</tr>
<tr>
<td>• Technical and professional skills</td>
<td>• Must be well-managed</td>
<td>• Depends on committed and skilful line managers</td>
</tr>
<tr>
<td>• Can be expensive</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Formal short and long training courses and events.</td>
<td>• Mentoring i.e. pairing a less experienced individual with a more experienced individual to help them develop a specific skill or</td>
<td>• Knowledge sharing i.e. regular knowledge sharing sessions to keep knowledge fresh, identify challenges and</td>
</tr>
<tr>
<td>• On-going professional development i.e.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training Activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Conferences to keep up to date with latest trends.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Coaching i.e. effective, personalised management and development support for a named individual.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Performance management i.e. the manager works with the officer to help them develop structured performance targets and objectives to help them reach their full potential and support their on-going career development.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Deployment i.e. structured job rotation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Working session i.e. informal/formal workshop designed to achieve specific objectives.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**The Training Management Cycle**

To ensure that training is correctly targeted to improve the individual’s and organisation’s capacity, interventions should be designed to address specific needs. The training cycle shown below describes the stages in the process.

![Training Management Cycle Diagram](image)

**Step 1 - Identify training needs**: these should be based on sound analysis and assessment of civil servants’ capacity improvements which are needed to strengthen organisational performance. Needs analysis can be done at a number of different levels and should then be prioritised based on the strategic objectives of the service or the individual MDA. Prioritisation is essential as it unlikely resources will be available to address all of the needs which are identified.

**Step 2 - Plan and design training**: this can involve any of the formal off-the-job, on-the-job and experiential activities described in the Table above.

**Step 3 - Deliver training**: depending on the skill/competency to be developed this can be done by someone with the relevant skills and knowledge from within the organisation or may be outsourced. (Remember, the most effective training is relevant to the day-to-day
challenges an officer is likely to face on the ground - and so training designed and delivered internally is much more likely to meet this requirement.)

**Step 4 - Evaluate training outcomes:** this should take place at several levels to assess: whether the training was well-delivered (by checking participants’ reactions); whether the trainee has applied the new knowledge or skills at work (by checking with line managers after the event), and ultimately by assessing whether the use of new skills has resulted in improved service delivery, operational efficiency, or other organisational performance improvement.

**Towards a Human Resources Development Policy**

One of the key ways that the central HRM function can encourage individual MDAs to take additional responsibility for building capacity in their MDAs and reinforcing a needs-based approach to training is through the development of a formal Human Resources Development Policy.

Generally Human Resources Development is under-resourced, which means that many civil servants have received little training or have financed their own training. At the same time, the civil service workforce has been ageing and losing experienced professional manpower without consistent recruitment of qualified personnel. A Human Resources Development policy can begin to redress the balance.

The Policy should provide:

- A long term vision and mission for human resource capacity development;
- Clear capacity development principles, guidelines and practices;
- An organisational framework for ensuring appropriate and adequate capacity development to meet the current and future needs of the service;
- A reference point for all agencies of government and other interested parties;
- Detailed guidance on the planning, developing, financing, managing and reviewing the implementation of policy.
4f  Ideas to Address Immediate Workforce Gaps and Shortages

Many MDAs have uneven age profiles in their workforces. There are serious shortages of middle managers which in turn are leading to difficulties in finding adequate personnel to promote to the most senior positions. Below are listed some ideas or strategies which can be considered to address this problem:

- Create some entry-level development schemes linked to career graded job roles to increase the number of new/young people in government;
- Develop fast track skill development programmes for certain occupational groups;
- Introduce bursaries for professional studies;
- Undertake job rotation schemes;
- Create more career pathways, with skill development and qualification release, which allow staff in front line posts to move up step-by-step into more highly skilled posts;
- Set up graduate entry schemes;
- Analyse and address the issues causing high turnover in key occupational areas e.g. doing exit interviews to identify reasons for leaving over the past 5 years (e.g. numbers leaving through compulsory retirement, voluntary retirement, ill health retirement, death in service, resignation, dismissal, contract expired, transferred out);
- Speed up and improve recruitment processes to attract better candidates;
- Set up schemes to attract mature candidates who bring experience from other sectors;
- Offer those approaching retirement opportunities to work more flexibly, reduce their hours or move to less responsible posts in order to keep them at work;
- Attract back retirees or others who have left skilled jobs;
- Ensure good employment and staff care practices so that employees want to continue to work for you;
- Improve induction practices so new recruits get a better start.
Stage 5 Corporate Planning Process: implementation Plan and Handover

5a Example of CP Implementation Plan

5a Example of Corporate Planning Implementation Plan
Below is an example of a CP Implementation Plan for a busy MDA. To implement significant changes whilst managing a large and high profile workload will be a challenge. However, if time is not found to adopt and accommodate some of the key recommendations from the corporate planning review, the MDA risks continuing to cope rather than transform into a high performing and model MDA essential to the State. The action plan proposed should not be an additional burden but an enabler; its timing should be aligned to the MDA’s work cycle and volume. Good governance and the political and senior administrative will to succeed will be key. Technical assistance in implementing the plan should be made available.
MDA Sample CP Implementation Plan

<table>
<thead>
<tr>
<th>Action</th>
<th>Lead responsibility</th>
<th>Completion date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mandate the Corporate Governance decision making body to oversee and lead the implementation of recommendations</td>
<td>HC and PS [ ]</td>
<td>July 2013</td>
</tr>
<tr>
<td>Review the recommendations to date and ensure they are covered by the implementation and action plan and that any changes to the mandate have been submitted for the Gazette</td>
<td>Decision body</td>
<td>July 2013</td>
</tr>
<tr>
<td>Ensure gaps identified in the draft CP (e.g. missing organograms, process maps) are plugged and the draft updated</td>
<td>Directors</td>
<td>July 2013</td>
</tr>
<tr>
<td>Draw up an implementation plan to include recommendations and actions agreed in Stages 1-4 of the CP including: the revised structure, functions and processes; new directorates; merged functions and directorates; move functions and jobs; determine which jobs and staff move; communicate the changes.</td>
<td>Decision body and Directors</td>
<td>August 2013</td>
</tr>
<tr>
<td>Draw up an MDA organogram</td>
<td>Decision body and Directors</td>
<td>September 2013</td>
</tr>
<tr>
<td>Agree the revised the Establishment plan</td>
<td>D HR&amp;A with Directors</td>
<td>December 2013</td>
</tr>
<tr>
<td>All Directorates to review and update objectives, functions and processes</td>
<td>Decision body and Directors</td>
<td>December 2013</td>
</tr>
<tr>
<td>All Directorates to publish organograms including all posts and job grades</td>
<td>Directors</td>
<td>December 2013</td>
</tr>
<tr>
<td>All Directorates to agree job descriptions for all staff – adopting and adapting the model job descriptions All Directorates to produce work processes and operating manuals</td>
<td>D HR&amp;A with Directors</td>
<td>December 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Lead responsibility</td>
<td>Completion date</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>-----------------------------------</td>
<td>--------------------</td>
</tr>
<tr>
<td>Agree actions to eliminate duplicated functions in and between the MDA directorates and other MDAs</td>
<td>Decision body</td>
<td>December 2013</td>
</tr>
<tr>
<td>Draw up a Strategic Plan for [ ] that is related to the State Development Plan; the Medium Term Sector Strategy and the MDA’s strategic role in CS governance</td>
<td>Decision body</td>
<td>January 2014</td>
</tr>
<tr>
<td>Agree HRM strategy for the MDA that includes recruitment and staff career development</td>
<td>Dir HR&amp;A and Decision body HOS</td>
<td>March 2014</td>
</tr>
<tr>
<td>Agree the Staff Workforce Plan</td>
<td>Dir HR&amp;A</td>
<td>March 2014</td>
</tr>
<tr>
<td>Produce tailored Staff Training and Development Plan</td>
<td>Decision body and Dir HR&amp;A</td>
<td>March 2014</td>
</tr>
<tr>
<td>Monitor CP implementation [monthly] and report to the Corporate Governance Decision body</td>
<td>Decision body</td>
<td></td>
</tr>
<tr>
<td>Update the CP on major changes or at least quarterly</td>
<td>Decision body</td>
<td></td>
</tr>
<tr>
<td>Initiate CP Improvement plan</td>
<td>Decision body</td>
<td>Mid- 2014</td>
</tr>
</tbody>
</table>
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