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Iraq Governance Strengthening

Organizational Self-Assessment Guidebook Report

FUNDED BY USAID

Contract No. AID-267-C-11-00006

October 2012

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The Organizational Self-Assessment Guidebook

Introduction to the Organizational Self-Assessment and
Transformation Program (OSTP)

Updated October 2012



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Introduction: Using the Guidebook

The Organizational Self-assessment Guidebook is intended to be used as a resource by teams of employees from Government of Iraq organizations embarking upon the Organizational Self-assessment and Transformation Program (OSTP) with the support of the USAID Iraq Governance Strengthening Project (USAID/GSP).

The guidebook describes key elements of the self-assessment tool, introduces the concepts of excellence in public administration management in five core functional areas critical to government performance, and presents the process for implementing self-assessments in Iraqi governmental organizations.

The self-assessment concepts, frameworks and methods described in this guidebook provide the foundation for Iraqi institutions that aspire to begin the process of organizational transformation. To support an informed self-assessment, the guide outlines the principles of governmental and quasi-governmental best practices for institutions striving to reform themselves. It also outlines the ideal national framework under which effective and sustainable public sector reform can prosper. Reforming organizations must learn to embrace a Culture of Excellence in their governing functions. Such a culture is supported by three pillars of international best practice in government, which dictate that governing institutions should be: (1) citizen-centered, (2) results-focused, and (3) transparent.

The program outlined in these pages serves as a compass to guide organizations as they chart the course for ongoing success. Modern-day best practices should be discussed and understood internally as organizations pinpoint how they will (1) help achieve national goals, (2) become government Centers of Excellence (COE), and (3) transform their institution's culture into one that maintains excellence and maximizes its contribution to national goals.

This guidebook is an important working manual for institutions and organizations as they strive to develop and implement strategies to transform themselves into COEs. The criteria chapters spell out observable, objective indicators against which institutions can assess their performance and compare it to international best practices. Organizations should utilize initial and subsequent assessments to develop a systematic approach to devising and implementing "best-value" strategies for ongoing improvement. The assessment methods and materials serve as a valuable guide in this process.

This edition of the Organizational Self-assessment Guidebook builds upon previous editions by devoting more time to the self-assessment process, with step-by-step descriptions and diagrams of OSTP team activities, as well as clear definitions of the role of OSTP teams from the GoI counterpart organizations, and the role of USAID/GSP. The self-assessment content has also been supplemented with the addition of a frequently asked questions (FAQ) section and a glossary of terms.

Just as a COE organization continually strives to maintain a Culture of Excellence using international best practices, this guide will be continually improved as lessons are learned, new challenges are recognized, and new strategies are devised and implemented to reflect these lessons and meet these challenges. We look forward to your feedback as we continue to develop the guidebook and the program.

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1 What is the Organizational Self-assessment and Transformation Program (OSTP)?

OSTP is a program to support effective, positive change from within the governmental organizations of Iraq by employing elements of change management from both the public and private sectors.

Beginning with the philosophy that “change comes from within,” change teams (or OSTP teams) formed within the target organization first use interviews and surveys to diagnose their organization’s strengths and weaknesses through the self-assessment program (Phases 1 and 2 of the OSTP cycle.) This diagnosis is developed into discrete actions and envisioned outcomes based on the team’s recommendations developed from the self-assessment report and other stakeholder input from within the organization during the transformation program (Phases 3, 4 and 5 of the OSTP cycle.) This process is outlined in Figure 1.

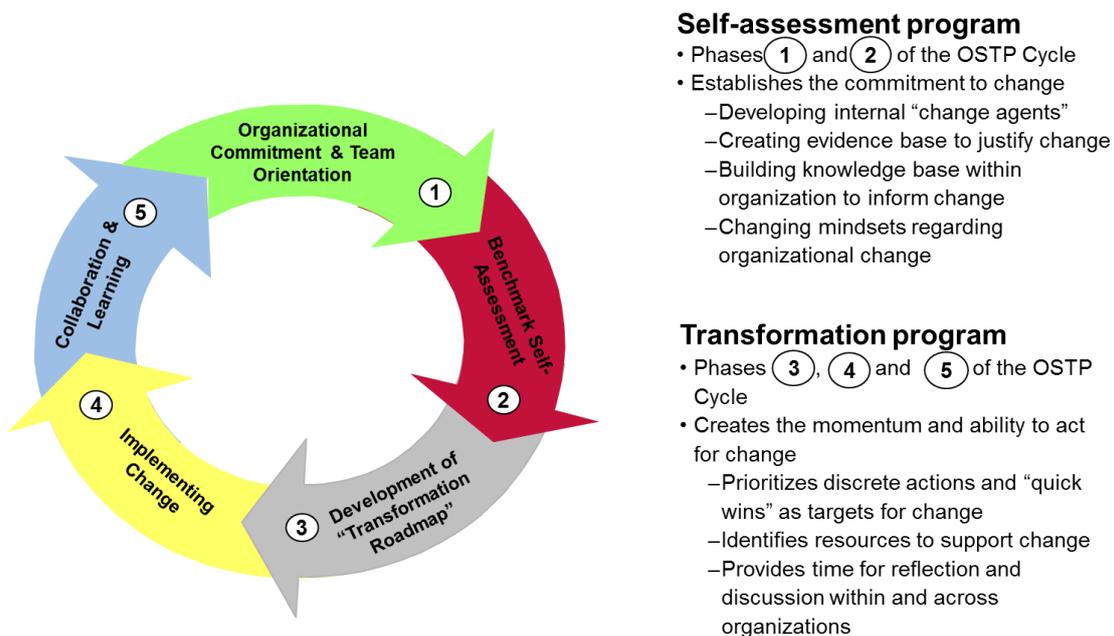


Figure 1: The five phases of the OSTP cycle

1.1 Our approach

The OSTP emphasizes facilitating transformation that is led from *within* each partner organization. By empowering a team from within the target organization as the primary diagnosticians and implementers of change, the reform effort is led by those with the most practical knowledge of the organization – the employees who work within it.

This GoI organization OSTP team is chosen from middle-to-upper-level managers of the target organization. This core of civil servants is in a strong position to support long-term organizational change, due to their relative stability as non-appointed employees of the organization and their role as implementers of policy. The OSTP team is ideally built from a cadre of managers that combine practical experience within their organization and their field of expertise with the respect of their colleagues. A strong OSTP team member

is a respected leader within her own area, who desires better performance from her organization, her colleagues and herself.

The OSTP approach addresses common elements that apply to all organizations, regardless of their individual mission and responsibilities or existing structures, such as budgeting, information management, and talent management, among others. It is our belief that by strengthening these systems any organization can perform better, regardless of their core functions. OSTP focuses on establishing a Culture of Excellence and continuous improvement in the systems that support the organization. Strength and integrity in these systems help to create a buffer to counteract potential negative impact of individual personalities and politics and create a better, more effective work environment.

The OSTP is designed to be only one part of overall improvement. What OSTP brings is a means of evaluating organizational management systems that are common to most government organizations. It is not a “one-size fits all” answer for all the problems organizations may face. Some organizations may find it useful to integrate other standardization, evaluation or assessment programs more specific to their technical activities, such as ISO or Balanced Scorecard, as is appropriate.

The OSTP approach focuses on the best utilization of an organization’s existing resources. However, by working with multiple organizations and facilitating collaboration and cross-fertilization of ideas and initiatives, the OSTP approach is an extremely valuable tool for leveraging myriad government and/or donor initiatives.

The OSTP approach aims to assist dynamic governmental and quasi-governmental entities in embracing the three pillars of international best practice in governance. These pillars dictate that modern government should be: (1) citizen-centered, (2) results-focused, and (3) transparent. This “Model of Government Excellence” is discussed in greater detail in Section 4. The foundations of these pillars and of international government best practice stem from the global trend in which governments are adopting appropriate private sector practices for powerfully effective governance. OSTP guides organizations on how to embrace these pillars, adopt a Culture of Excellence, and achieve constant and ongoing improvement in their performance.

1.2 Vision for the OSTP program in GoI organizations

We envision that participating Iraqi governmental organizations will have OSTP teams fully capable of performing self-assessments within their organizations to inform and drive improvement initiatives through the transformation program, with the support of USAID/GSP. These teams will have demonstrated significant improvement in their organizational capacities and performance. In addition, a system to institutionalize ongoing improvement will have been created with the active support of these teams. This system will also enhance employee understanding of the three pillars of international best practice in government: to be citizen-centered, results-focused and transparent. This vision will be achieved in most provincial governor’s offices, and possibly other GoI organizations, by the completion of USAID/GSP. It is envisioned that these GoI organizations will be prepared to continue their leadership of OSTP as it expands in both depth and breadth of organizational coverage.

1.3 Requirements for beginning OSTP in GoI organizations

Specific prerequisites are in place to enlist the support of organizational leadership for the OSTP and its goals. These requirements are designed to solicit the support of top leadership, as well as ensure the continued commitment of resources to support the OSTP, e.g., the time and attention of the GoI OSTP teams.

Prior to beginning OSTP, the USAID/GSP team has secured the commitment of organizational leadership to the goals and vision of the program. The overall structure of the program has been presented, so leadership of the organization understands the requirements and products of the program.

The target organization has selected a team of 10-15 participants and has committed a minimum of 25% of their work time to the completion of OSTP. The organization has approved the participation of the team in orientation and analysis workshops, as scheduled in coordination with USAID/GSP. The USAID/GSP OSTP Team have worked with the GOI organization's OSTP team leader and the broader organizational leadership to select either the whole or a part of the organization that is prepared and appropriate for the OSTP process.

To aid in preparing the organization for OSTP, the USAID/GSP OSTP team will work with the organization's OSTP team to facilitate their drafting and implementation of a communication strategy to inform the organization's employees of the planned OSTP self-assessment, and make very clear why it is being conducted.

1.4 Your role in OSTP

If you are holding this guidebook in your hands, you are most likely a new member of a GoI OSTP team, or a GoI leader considering OSTP implementation. We have specific expectations for GoI organization OSTP team members. In exchange, we are prepared to help create a dynamic, collaborative environment for your organization to achieve improvement. These expectations are outlined in Figure 2.

What we need from you	What you will receive from us
<ul style="list-style-type: none"> <input type="checkbox"/> Active participation in the process as a criterion team member <input type="checkbox"/> Respect for the process and for each other as team members, participating in a non-hierarchical process to field the best thinking from all members, regardless of tenure or title <input type="checkbox"/> Open minds based on evidence-based thinking to move away from “sacred cows” and doing things “because that’s how we do it around here” <input type="checkbox"/> Communication about your expectations and limitations to arm your colleagues with as much information as possible to get the job done <input type="checkbox"/> Excitement about making your organization a better place to work and achieve positive results! 	<ul style="list-style-type: none"> <input type="checkbox"/> Opportunity to participate in the process as a criterion assessor / change team member <input type="checkbox"/> Supportive environment, where ideas and outcomes are judged, not people <input type="checkbox"/> Willingness to hear new ideas and to understand why they will or won’t work <input type="checkbox"/> Open discussion regarding what your organization can and cannot do, based on Iraqi law <input type="checkbox"/> Support as you identify concrete actions to make your organization better for all its employees and stakeholders!

Figure 2: Expectations for the OSTP self-assessment process

Team members are identified by the leadership of GoI organizations based upon their past performance to meet specific characteristics outlined by the USAID/GSP OSTP team.

These include:

- Self-starting, entrepreneurial team players
- High degree of respect from colleagues and peers
- Strong communication skills
- Demonstrated expertise in one or more of the following areas
 - ⇒ Legal/regulatory reform
 - ⇒ Human resources
 - ⇒ Program management/operations
 - ⇒ Information technology systems/applications, including e-government
 - ⇒ Information management/communications/public awareness
 - ⇒ Financial management
 - ⇒ Training/teambuilding
 - ⇒ Monitoring and evaluation
 - ⇒ Strategic planning
 - ⇒ Business process management
 - ⇒ Other technical specialties

Based upon your current interests, your past experience and your demonstrated abilities, you will be asked to specialize in one of our five criteria areas (e.g., leadership, people, knowledge, processes and finance). This specialization will be your main area of focus during the assessment and transformation programs. However, we ask that you acquire a general background of all the criteria areas to make you a stronger participant, as these areas have significant overlap and interconnection.

GoI organization OSTP teams are generally formed with 10-15 members, who provide support to each other during the process of collecting and analyzing information. Depending on the size and structure of the organization, the initial OSTP team may be assembled from different departments or offices, or focused in one area. This decision is based upon a combination of strategic priorities of leadership, legal and logistical considerations, organization capability and stability, and organizational size. In general, for organizations such as governors' offices, we recommend applying OSTP to the entire organization, rather than a subset. The USAID/GSP OSTP team has worked with your organization's leadership to determine the most effective solution based upon these factors.

GoI organization OSTP team members will be expected to work with the USAID/GSP OSTP team to produce the Self-assessment Benchmark Report and, based upon these findings, develop and implement the organizational transformation program (Phases 3,4 and 5 of the OSTP cycle), including the creation of a "Roadmap for Transformation" and a Transformation Action Plan. They will also serve as primary "ambassadors" of OSTP to their organizations, and serve as liaisons between the organizations and USAID/GSP.

2 Beginning the Self-assessment program

The self-assessment program (Phases 1 and 2 of the OSTP cycle – see Figure 1) is focused upon creating and testing a performance benchmark for organizational management for each organization. The results of this benchmarking exercise are to be used by the target organization as evidence of the need for prioritized change initiatives (to be developed in the transformation program (Phases 3, 4 and 5 of the OSTP cycle – see Figure 1).

During the self-assessment program, the focus is on observation and documentation of the presence, implementation and effectiveness of basic management tools and systems. The team has been assembled to conduct a diagnostic of their organization's systems and processes. They are identifying strengths and weaknesses in how their organization is run, using international management standards as a basis for comparison. Once this has been conducted, the question of "What to do now?" is addressed in the transformation program (Phases 3, 4 and 5 of the OSTP cycle).

We recognize the sensitivity of the results of this diagnostic. The material created in the Self-assessment program is designed for internal use by the target organization only. USAID/GSP will not share any identifiable information with any other entities without first consulting the GoI organization that conducted the assessment. In the interest of improving and developing OSTP, USAID/GSP may use sanitized information from the reports for training purposes or to identify areas of common difficulty to support and facilitate larger reform efforts, such as national law reforms, etc. However, this work will be done only in partnership with partner organizations, with full transparency as to the sharing of information.

The USAID/GSP project abides by a strict confidentiality policy regarding OSTP self-assessment outcomes. The USAID/GSP OSTP office reserves the right to keep OSTP outcomes for use within the GPS project, as a source of information to help our technical advisors to direct aid effectively to target organizations. However, OSTP outcomes will not be distributed outside of the USAID/GSP project, unless permission is granted by the

target organization. As a donor-funded organization, USAID/GSP is subject to reporting requirements by its primary donor, USAID. However, no identifiable information from the OSTP Self-assessment Benchmark Report will be released to anyone outside USAID/GSP without the permission of the target organization that produced the report.

The Self-assessment Benchmark Report does not evaluate specialized technical elements of organizations. It is designed to be only one of the tools that the organization's leaders use to run their organization effectively. Managers may want to supplement the OSTP self-assessment with other standards that are more specific to their technical requirements.

2.1 *Expectations for participants*

The GoI organization OSTP team members are the primary actors of the OSTP self-assessment. They receive a briefing on governmental best practices, based on the OSTP Model of Government Excellence (see Section 3). This briefing is not intended to create technical subject matter experts, but rather to build the awareness of what is possible within government and to provide concrete examples of what has worked for other governmental and private sector organizations, so GoI organization OSTP team members can help adapt this thinking to the Iraqi context, as is appropriate for their specific organization.

Throughout the program, participants will be asked to question if their systems support the pillars of good governance: to be citizen-centered, results-focused and transparent. Participants are asked to open their minds to the potential within their organizations, their government and their nation.

Questions are encouraged! We are looking for active participants who are ready to adapt the self-assessment to their organizations. We are available to answer these questions and help participants make the most of their experience with the OSTP and deliver lasting positive change for their organizations.

In some cases, it may make sense for the participants to go through orientation at the same time as another organization. This is an opportunity to build professional networks and develop a fuller perspective of how concepts of the self-assessment translate to other organizations. We ask participants to seize these opportunities. Of course, no sensitive information regarding performance will be discussed during these meetings.

This confidentiality policy extends to all participants in OSTP. Just as the USAID/GSP OSTP team will not reveal information regarding the self-assessment outcomes of your organization or any other organization, we ask you to maintain respect for the sensitivities of your organization. By being invited to join this program, you have been entrusted by your organization to maintain honesty and integrity in support of positive change in your organization. We ask that you keep private information you hear about your organization or other organizations. The data collected is only for use within the given organization.

We also ask participants to maintain professionalism and respect for their peers from their own organization, and their colleagues from USAID/GSP. Part of this professionalism and respect includes consideration of the time put into the program. This expectation means that every reasonable effort will be made to begin and end workshops on time and that cell phone calls and other interruptions will be kept to a minimum. We are keenly

aware that the external environment does not always permit adherence to strict guidelines; however, we ask participants to make every reasonable effort to participate to their fullest.

2.2 Role of the USAID/GSP OSTP Team

As the GoI organization OSTP team develops the Self-assessment Benchmark Report, it can rely upon the USAID/GSP OSTP team for consultation and advice.

The USAID/GSP OSTP team conducts orientation workshops to transfer knowledge and skills to participants. When GoI OSTP teams return to their organizations and begin data collection, they can depend upon the USAID/GSP OSTP team to provide ongoing support and technical guidance on an on-call basis. Once data has been collected, USAID/GSP will facilitate a GoI organization OSTP team discussion and workshop to finalize information and analysis for the report. The final report will be produced, published and distributed by the USAID/GSP OSTP office, in close collaboration with the GoI organization OSTP team. The relationship is outlined in Figure 3. The relationship between the OSTP teams is envisioned as a partnership, with each team contributing to the completion of the Self-assessment Benchmark Report.



Figure 3: Relationship between USAID/GSP and GoI OSTP teams

2.3 Timeline of activities and deliverables

The self-assessment process is not an overnight exercise. This program requires the commitment of dedicated, hard-working individuals in order to be a success. The program is divided into one prerequisite stage and four phases. These phases include an orientation workshop, data collection, a data analysis workshop and report production. The specific activities and timelines for each phase are outlined in Figure 4.

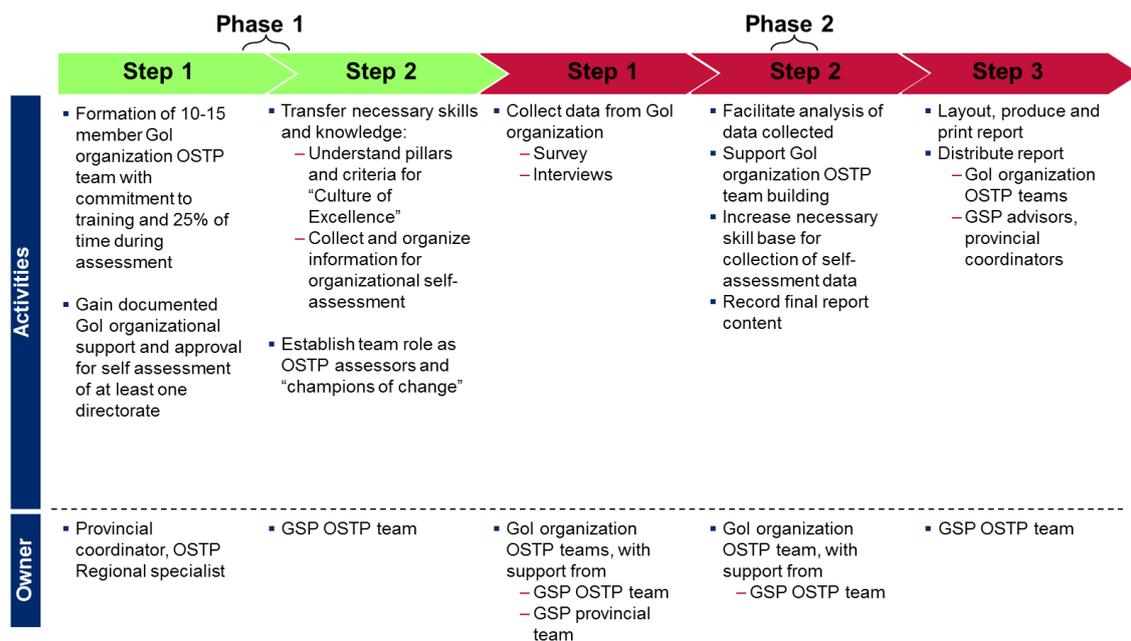


Figure 4: Self-assessment process focuses on building capacity within the GoI organization (Phases 1 and 2 of the OSTP cycle)

Each of these activities supports the creation of both a meaningful Self-assessment Benchmark Report and a GoI organization OSTP team that is prepared to work as agents of positive change within their organizations.

The ownership of the activities shifts from the USAID/GSP OSTP team to the GoI organization OSTP team as material specific to the organization is developed. This shift permits the GoI organization OSTP team to take greater responsibility and ownership as writers of the Self-assessment Benchmark Report, resulting in increased quality of both the report and the team.

The target timelines for completion of the Self-assessment process are as follows: Phase 1 Step 1: two weeks-one month; Phase 1 Step 2: one-two weeks; Phase 2 Step 1: two-three weeks; Phase 2 Step 2: two weeks; Phase 2 Step 3: one week. These targets are just that: targets for how long the work will take. These timelines are based on the experience of supporting USAID/GSPOSTP teams in GoI ministries since 2006.

3 Overall framework: OSTP Model of Government Excellence

3.1 *The Impact of Organizational Transformation*

A powerful, responsible government can have a significant positive impact upon the societies it governs. In achieving this impact, good governance can help create a “virtuous cycle” by strengthening supporting players in the society.

3.1.1 Government (and its employees) as public servants

The government should take the lead in this symbiotic shared vision and joint approach. To lead effectively, it should earn and keep the trust of both citizens and the private sector by showing that it is working in their best interest. Such trust will come as the government transforms itself into a powerful, efficient, and effective force, increasingly embracing appropriate private sector practices in pursuit of excellence in its policy, regulatory, and service roles¹ in fulfillment of national goals.

3.1.2 Informed citizens as stakeholders in their nation’s government

As citizens of a country see meaningful improvement in the front-line services they access daily, such as driver’s licenses, trash pickup, and access to clean water, their expectations are raised. These citizen-customers are then in a better position to demand and use increased transparency as a means to evaluate responsible citizen-centered, results-oriented management of their country’s resources. By creating this change, citizens move from being passive recipients of government services (or lack thereof) to being active stakeholders in how their government is run, reinforcing the ideals of strong governance.

3.1.3 Strong private sector in partnership with government

Modern development economics increasingly recognizes the importance of both good governance and an acutely competitive private sector. Gone are the days when an adversarial and almost exclusively regulatory government-private sector relationship was considered ideal. Today, a crucial element for sustained economic growth and prosperity is the government’s ability to move beyond a regulatory role to create an enabling business environment in partnership with the private sector. This strengthened private sector can then support government through increased employment of the country’s citizens and an overall increase of the tax base. In addition, as a funding resource for and consumer of government services, private business has an active interest in the continuation of good governance.

¹ These are the three primary roles of government. Powerful governance integrates public and private sector input into policy formation. It creates an environment where compliance increasingly replaces regulation. Government service functions match the levels of quality found in the private sector. Often, these services are carried out by the private sector.

3.1.4 Robust individual governmental and quasi-governmental institutions

The collective capability of government ministries and other governing bodies to work together — and in partnership with citizens and the non-governmental sector — to accomplish desired national outcomes is crucial to Iraq’s accelerated economic growth, stability, and national prosperity. Working cohesively, Iraqi government institutions can accomplish far more than the sum of their parts. For this to happen, it is essential for each institution to clearly understand its individual role in accomplishing national objectives. For maximum effect, government agencies — the institutional engines of governance — should transform themselves into Centers of Excellence.

3.2 International Best Practice in Governance

This section describes the fundamental concepts of current international government best practice. We begin with an overview of the concepts behind this standard. We then present this information within the program’s context, detailing the OSTP Model of Government Excellence, the Culture of Excellence, the three pillars of government best practice, and the five criteria of a successful government organization. Finally, we provide examples showing the synergies between the pillars of government best practice and the program’s self-assessment criteria.

The standard combines three key elements: (1) best practice in international public sector reform, (2) management best practice in the information age, and (3) Iraq-specific factors.

3.2.1 Best Practice in International Public Sector Reform

Spearheaded by New Zealand, the fundamentals of this model are espoused by the Organization for Economic Cooperation and Development (OECD). Countries such as the United States, Dubai, Australia, Singapore, Canada, Finland, and France are actively following modified versions of this approach. Fundamental elements to this governmental approach include:

- Government focused on its core roles
- Proliferation of quasi-government agencies
- Outcomes-based management
- Strong monitoring and evaluation of outputs and outcomes
- Greater autonomy and accountability for managers
- Incentives aligned with performance
- Treating citizens as owners and clients
- Powerful stakeholder partnerships
- Flexible human resource regulations
- Transparent public procurement
- Performance-based budgeting

3.2.2 Management Best Practice in the Information Age

Best practice theories, paradigms, and practices in management come and go. Each brings new lessons that are retained as one theory fades and the next emerges. Recent ideas that have shaped management in the information age include Total Quality Management, Learning Organizations, Management by Objective, and the Balanced Scorecard approach.

Common elements of these theories are reshaping organizations of all types as they seek to confront the challenges and opportunities of the information age. These include:

- Principle-based, visionary leadership
- Flattened hierarchies
- Empowered employees
- Ongoing improvement
- Constant learning and innovation
- Management by objective
- Heightened focus on quality
- Information and knowledge
- Evaluation and action

3.2.3 Iraq-Specific Factors

To increase the prosperity and well-being of its citizens, the new Iraqi government is attempting to pursue a strategy that will lead to stability and opportunity. There are initiatives underway within the GOI to improve public service delivery, enhance stability and create economic opportunity for all of Iraq's citizens. Specific reform and capacity building efforts currently being pursued include programs to promote process standardization, to improve budget coordination and execution, to develop information technology and knowledge management systems for finance and other sectors, and to introduce results-based monitoring, evaluation and implementation. All of these GOI initiatives, along with numerous complementary projects sponsored by the international donor community, represent critical first steps toward realizing the aspirations of the new Iraqi government and polity.

In many cases, however, outdated institutions, practices, laws, and regulations that govern governmental and quasi-governmental institutions will inhibit Iraq's government institutions as they strive to improve. The OSTP teams are aware of some of these factors through our ongoing work in Iraq. In developing the program's standards, our team has considered and will continue to consider the unique aspects of the Iraqi situation. The objective has been and will be to develop a standard that takes these realities into account without compromising international best practices. As such, the program standard is a vision of what Iraq's governmental and quasi-governmental institutions will increasingly look like as the country achieves its ambitious development goals.

3.3 The Foundations of Government Institution Excellence

A governmental organization achieving excellence in its activities is an institution recognized for its superior and ongoing operating effectiveness in the business of government. It understands its role in the greater government structure, and has institutionalized a *Culture of Excellence* that embraces the three pillars of international government best practice: *citizen-centered*, *results-focused*, and *transparent*. Five criteria represent the functional areas in which an institution is assessed as to its level of accomplishment in the three pillars and, ultimately, in creating an institutional Culture of Excellence. The relationship between all these elements is illustrated in Figure 5.

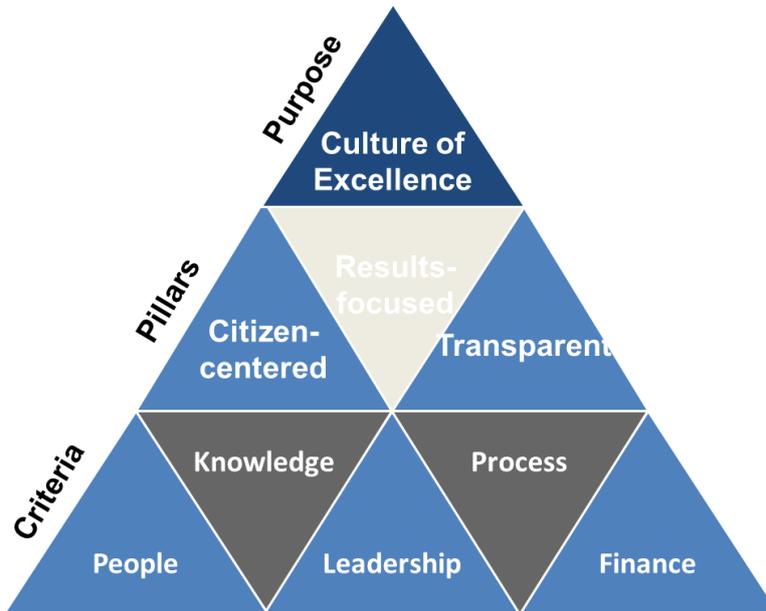


Figure 5: OSTP Model of Government Excellence

A successfully transformed government organization has achieved or surpassed the international standards for best practice in its governing functions.

International government best practice. Governments and government institutions the world over are aggressively reforming to seize the opportunities of the information age and compete in the modern global economy. Information and economic strength are the new sources of power. Information has enabled innovative governments to focus more effectively on connecting with citizens and the private sector to establish and achieve shared goals, and to improve government “products.”²

The governments of the 20th century were primarily regulators. Successful governments of the 21st century are primarily enablers. The Organization for Economic Cooperation and Development (OECD) accurately encapsulates the elements that distinguish effective modern-day governments from the more traditional governments of the 20th century.³ Figure 6 contrasts the key features of 20th century governments with best practices of 21st century governments.

² The primary functions, or products, of government fall into one or more of three areas: (1) service, (2) regulation, or (3) policy.

³ Kiernan, Mathew (1996) (Organization for Economic Cooperation and Development).

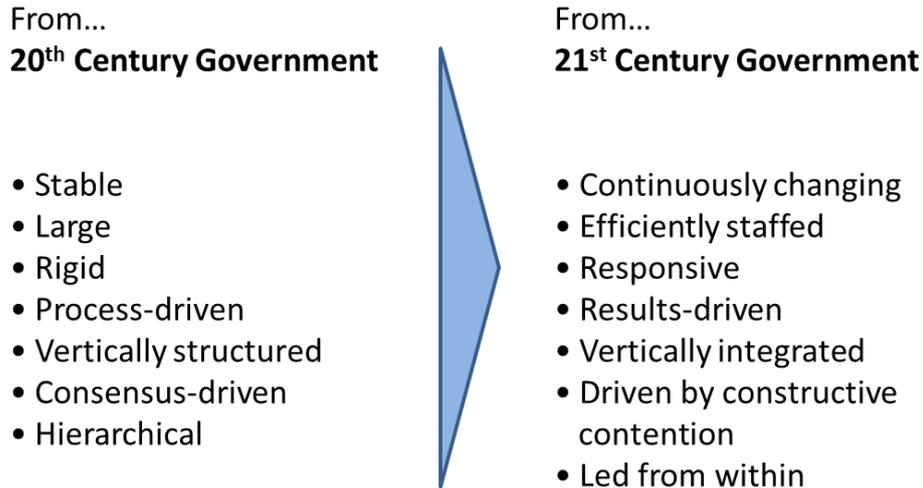


Figure 6: Features of traditional government versus features of modern-day governance

3.4 Framework for Excellence: An Iraqi Perspective

The bulk of OSTP activities support trendsetter organizations as they transform themselves into organizations that embrace the pillars of international best practice in governance, and strive to be acknowledged as government Centers of Excellence.

For assessment and transformation program activities to achieve maximum impact in realizing the vision of the program, they should be supported by a national mandate for public sector reform. This mandate should include proactive, demand-driven strategies to improve the enabling environment, the rules and regulations under which governmental and quasi-governmental institutions operate. Appropriate incentives should also exist to encourage excellence at all levels, at all times. Each of these roles is being debated to some degree in Iraq. The OSTP primarily supports institutions in improving their performance and striving for organizational transformation. Figure 7 outlines the ideal national framework for public sector reform and is followed by a description of each fundamental role.



Figure 7: The national framework for excellence

National mandate for public sector reform. The international best practice standards for the public sector are outlined in Section 3, which details a Culture of Excellence and the three pillars of international best practice in government. A government must have demonstrated top-level commitment to these principles to adopt bold public sector reform and transform government institutions into powerful enablers of national development. In Iraq, the mandate for public sector reform is clear. The Government of Iraq (GoI) has outlined a national strategy that envisions governmental and quasi-governmental institutions acting to improve stability, opportunity and prospects for the future. This is directly in-line with international best practice. As with all strategies, implementation is the key. The program detailed in this manual provides an effective strategy for government organizations committed to implementation to establish their organizations as centers of government excellence, and to set the standard for others to emulate and follow.

Enabling environment. The enabling environment for excellence refers to the legal environment under which governmental and quasi-governmental institutions operate. While macro-level policies and regulations governing these institutions facilitate parity and guard against graft, the same regulations can prove counter-productive. The rigidity they impose can restrict public sector managers and employees from achieving citizen-centered results.

Examples of how this occurs are widespread. The lack of a clear mandate can blur an accurate and impartial assessment of employees, making it difficult to recognize underachievers and overachievers. Draconian human resource requirements make it difficult to demote, promote, transfer, or fire personnel. Pay scales are inflexible and

based largely on time-in rather than merit. Political considerations can distort a wide range of decisions, ultimately at the expense of results. Government managers in general do not have the flexibility afforded to their regional or global public and private sector counterparts to do what it takes to get the job done.

Governments of the 21st century must actively seek to mitigate the negative effects of excessive bureaucratic constraints to management. They must attempt to give leadership and management of government organizations as much flexibility as possible to accomplish desired outputs and outcomes. While recognizing the need for a degree of standardization, governments should constantly re-examine macro-level policies and regulations to trim bureaucratic constraints and empower organizational management. Modifications should be driven by a constant dialogue between those setting the rules and managers of government organizations having to abide by them.

Iraq has taken some positive steps in this regard. Various studies and initiatives have begun to identify some of the predominant constraints to the environment under which government organizations operate. Senior level committees exist to examine ways to create a more effective enabling environment. However, Iraq still has a long way to go in pushing through necessary reforms and empowering government agencies with an enabling environment for excellence.

Incentive programs. Successful organizations take calculated risks, recognize and reward results, support innovation, and promote what works and those who make it work. Traditional governments, bureaucratic and regulatory in nature, have generally failed to create such an environment. All too often they have embedded disincentives to innovation, risk, and improving the status quo—the very factors which lead to successful businesses. Government of the 21st century must reverse this trend, creating environments in which citizen-centered and results-focused innovation flourishes throughout an organization. To do this effectively, organizations must provide adequate incentives, encouraging individuals and groups to strive for excellence at *all* levels of the organization. By rewarding successful individuals and teams, organizations provide an opportunity for recognition and merit-based advancement, setting an example that motivates individuals throughout the organization.

Incentives can come in various forms, both financial and non-financial. Financial incentives include paying managers bonuses based on their ability to accomplish previously agreed upon outputs and/or outcomes (appropriate for higher ranking members of civil-service, and only within a mature results-based budgeting system). Non-financial incentives include public recognition of individuals and/or teams for outstanding performance. Competitively accessed educational opportunities can serve as a powerful incentive. Structured correctly, they can help government agencies recognize and motivate individuals, enhance the skills base of future leaders of the government bureaucracy, and achieve immediate results.

Such incentives are vital to overall public sector reform. They provide a powerful tool for organizations seeking to institutionalize the necessary reforms to achieve international best practice standards. The OSTP will actively attempt to support the creation of appropriate incentives in this regard.

3.5 Culture of Excellence

“Culture” is the collective result of the way most people in an organization think, act, and feel about each other, about customers and suppliers, about products and services delivered, about the organization, about the community, about everything. Developing a culture that embodies excellence is essential to maximizing an organization’s value and positive impact on stakeholders. It can be expressed in a set of shared values adopted throughout the organization, with a focus on:

- Delighting customers
- Effective processes
- Measuring the right outputs
- Stakeholder partnerships
- Continuous improvement
- Mistake-proofing
- Care for the environment
- Recognition and rewards
- Emphasis on results
- Inspirational leadership
- Teamwork
- Empowerment and accountability
- Communication
- Transparency and trust
- Ownership of quality
- Benchmarking
- Clarifying objectives
- Linking outputs to outcomes

In the 21st century, the one constant is change. Organizations of all types ought to continually innovate and improve to confront ever-changing challenges and seize increasingly multifaceted opportunities. Complacency is a competitive disadvantage. The transformation of governments into powerful facilitators of stability and economic growth can only come about through the existence of a Culture of Excellence. In confronting global challenges, individual accomplishments are quickly marginalized without an institutionalized framework of constant innovation, learning, and improvement. Individual leaders, while vital as champions of change, cannot single-handedly effect the ongoing transformation necessary for sustained prosperity. For increased national competitiveness to establish sustainable roots, improvement should come at all levels, at all times. Organizations must continually innovate and learn. They need to constantly review and revise what they do and how they do it. They must do more with less. They must learn to learn.

Government agencies that achieve this are well placed to meet the challenges of today. Such institutions are qualified Centers of Excellence (COEs)

3.6 Pillars of Government Best Practice

Citizen-centered, results-focused, and transparent government are the three pillars of best practice in modern governance. The roots of these pillars lie in the adoption of appropriate private sector practices for powerfully effective governance. The most

efficient and successful governments today are implementing numerous self-improvement strategies with a focus on these pillars.

3.6.1 Citizen-Centered Government

Citizen-centered government entails a renewed focus on citizens as the ultimate beneficiaries of government. Government must listen to citizens and their businesses, and take their suggestions into account when designing and implementing public policies. Citizen-centered governance recognizes the government's dual mandate toward citizens, treating them simultaneously as stakeholders in government operations (as voters and taxpayers) and as clients of government services.

Citizens are subjected to government regulations and policy decisions. However, they are also owners and/or employees of private sector institutions — the engines of wealth creation, economic growth and increased prosperity for any country. Citizens deserve value for their tax contributions as well as efficient access to government services. They deserve a clear description of policy and regulatory decisions enacted and enforced by government, as well as the opportunity to voice their opinions when these decisions are being made. These elements permit citizens to take their rightful place as full stakeholders in their societies.

Citizen-centered governance creates better government policies by tapping wider sources of information, perspectives, and potential solutions. This is particularly important in today's increasingly complex world, with greater policy interdependencies and time pressures. Effective citizen-centered governance also strengthens public trust. By enabling and encouraging citizen input, and integrating that input into the decision-making process, governments can reduce the public's disenfranchisement from public institutions.

There is no magic formula for accomplishing citizen-centered governance. One strategy involves flattening hierarchies and trimming bureaucracies, emphasizing front-line employees who deal with the public, and ensuring that these employees are well trained and retained. Bureaucracies produce systems of rules, policies, and procedures that attempt to anticipate every outcome and to provide for their resolution in a manner that embodies perceived fairness for everyone. Sustaining a citizen-centered Culture of Excellence requires a system that distributes authority as well as responsibility — not merely a vague notion of empowering individuals. Allowing a certain level of discretion in the ability of the front-line employees to respond at the “transaction level” is citizen-centered management, replacing bureaucratic uniformity.

Another way to achieve citizen-centered governance is to rely more on e-government by providing transparent, easily accessible government services on the World Wide Web. Citizen-centered e-government focuses on the use of the internet to empower citizens, and allows them to access services, request customized information, or understand government procedures when they need them — not just when the government wants to provide them. Effective application of information technology can improve an agency's performance by providing increased access to public information, reducing duplication, and enabling a better, more integrated coordination of efforts with other agencies.

Another important element of citizen-centered government is ongoing client consultation. Identifying and maintaining a dialogue with key stakeholders is essential to ensure client

needs and expectations are met. Customer satisfaction, information, and feedback should become the basis for improving the way organizations carry out their responsibilities. Staff participation and involvement in decision making is essential at all levels for this to work effectively.

To establish an effective citizen-centered government that supports a Culture of Excellence, institutions must focus on the needs and obligations of five primary partner-beneficiaries:

- *Public*: Requires rapid access to quick and comprehensive services, either online or through empowered decision making employees
- *Business*: Requires clarity of rules, regulations, registrations, and opportunities, as well as inclusion of stakeholders in regulatory/policy issues that impact them
- *Investor*: Requires stability, transparency, consistency, and awareness of opportunities
- *Inter-governmental*: Requires that agencies communicate effectively with each other regarding shared goals and/or areas where they interact with the same or similar citizen-clients
- *Intra-agency*: Requires continued streamlining of functions for rapid, improved services and decision-making

Institutions should clearly understand the policy, regulatory, and service functions they perform, the individuals and groups impacted by decisions related to these functions, and the trade-offs they are making in pursuit of institutional objectives and government goals. They should also instill a focus on citizen-centered government in the organization's culture at all levels, at all times.

Below are examples of how the citizen-centered pillar is reflected in each of the criteria for self-assessment:

- *Leadership*: Citizen-centered leadership recognizes the institution's dual mandate toward citizens, and molds the institution into one that provides maximum value to the collective population.
- *People*: Having citizen-centered human resources means empowering frontline government employees to respond rapidly and consistently to the needs of the organization's clients.
- *Knowledge Management*: Citizen-centered knowledge management includes providing internet access to government services, regulations, and policies.
- *Processes*: Citizen-centered processes make it easy for the "customers" of government services to interface efficiently and effectively with government functions.
- *Finance*: Citizen-centered finance requires transparent planning and implementation processes which grant primacy to stakeholder and client interests, and which are monitored for results and accountability against these interests.

3.6.2 Results-Focused Government

Results-focused governance requires government organizations to focus on achieving tangible goals. It is about making government work better and cost less. It involves clearly understanding the institution's mission, vision, and values, aligning organizational objectives to support them, and best utilizing resources to achieve stated goals and make the vision a reality.

Results-focused governance emphasizes tangible outputs and measures the contribution of these outputs toward achieving desired outcomes. It necessitates a comprehensive approach focused on the accomplishment of organizational goals and objectives. It requires a systematic method for achieving these goals, with clear performance measures and reporting so that management staff, elected officials, and the public can assess the organization's success in accomplishing its mission. When national goals and/or the role of an organization in achieving those goals are not perfectly clear, the governing institution must publicly stake out both its understanding of national goals and its role in achieving them. This enables institutional oversight, clarifying the organization's role in the "big picture."

Results-focused government can take many forms. Beyond creating and maintaining government performance measures, it requires a process for using information for maximum value. Successful transformation into an effective results-focused institution requires both "bottom-up" and "top-down" strategies.⁴ Based on a review of best practices in multiple governing agencies, results-focused government entails:

- Setting broad goals or outcomes that your customers care about
- Establishing measures of performance toward those broad goals
- Benchmarking your progress against yourself and against others
- Surveying customers as part of your measurement system to find out if they are satisfied
- Including stakeholders through performance partnerships
- Asking for funds focused on results through performance-based budgeting
- Allocating resources with a focus on results through performance-based grants and contracts
- Tying personnel systems to results through performance-based agreements and pay
- Evaluating programs through performance audits
- Reporting results through report cards, data maps, and other methods
- Using results to make continuous improvements — i.e., to manage
- Encouraging staff to find ways to minimize redundancy and streamline their efforts, promoting both process transformation and improved morale
- Seeking a healthy balance between work and private lives, which is vital to maintaining a productive, creative work environment
- Promoting open communications and information sharing within the organization
- Granting staff appropriate autonomy to develop and deliver effective outcomes
- Promoting personal development and skills enhancement
- Continually evaluating departmental performance in terms of outputs

Below are examples of how the results-focused pillar is reflected in each of the criteria for self-assessment:

⁴ These approaches are opposites in terms of most of their attributes, but not in terms of objectives. A "bottom-up" approach should accompany a "top-down" approach for four reasons. First, "top-down" reengineering is a management-driven process that is not necessarily consensus-seeking. Reengineering can be alienating if not accompanied by a "bottom-up" process that enables employees to feel like stakeholders with something to gain as well as to lose. Second, viewing a system through its "output" can reveal needed structural changes that extend well beyond transactional refinements. Third, many staff feel overworked and under-appreciated. However, most recognize that some of their workload stems from overly bureaucratic policies or processes. Fourth, both "top-down" and "bottom-up" analytic perspectives are required to inform process transformation.

- *Leadership*: Results-focused leadership means making tough decisions on the core results the organization intends to achieve, and maintaining a focus on those results.
- *People*: Results-focused human resources entail empowering staff and holding them accountable to achieving tangible, predetermined output targets.
- *Knowledge management*: Results-focused knowledge management captures organizational knowledge and makes it available at the right time and place for more informed decision making.
- *Processes*: Results-focused processes streamline procedures for more efficiency, and capture and hold bureaucratic procedures to strict cost-benefit scrutiny.
- *Finance*: Results-focused finance ensures that every sovereign unit of currency spent goes to support a clear national objective, no matter how far removed.

3.6.3 Transparent Government

Transparent governance requires a renewed focus on government openness. It is about making reliable, relevant, and timely information about government agencies available to other government institutions, and to the general public. Transparency is an essential element of accountability as citizens and stakeholders demand increasing results from civil servants and government agencies. It revolves around the principles of public rights and government obligations.

Public Rights The public “owns” the government. Thus, government information created by government employees or compiled at government expense as part of their official duties, regardless of the format in which it is published, should be in the public domain, except when explicitly withheld by law. The public has a right to access this information. This right is essential to ensuring that the public has the opportunity to monitor and participate in the full range of government activities.

Government Obligations The government has an obligation to provide broad, timely, and equitable public access to reliable and authentic information. It should not merely allow but also encourage public participation in the democratic process by promoting use of government information through proactive dissemination efforts. The government also has an obligation to guarantee the preservation of government information for future generations.

Both financial transparency and process transparency are fundamental elements of a fully transparent government organization. Financial transparency enables program assessment and serves as a deterrent to corruption. Process transparency is vital to delivering efficient government services, making fully informed regulatory and policy decisions, and ensuring open and fair government procurement.

3.6.4 Financial Transparency

Program assessment. Access to information about government programs and agency performance is critical because accountability can only be served if the public can find out what benefits the program and/or agency is providing. As taxpayers, citizens are the rightful “owners” of government. They have a right to know and to scrutinize how the government is spending their taxes. The cost of a program in relation to its accomplishments is a crucial element in gauging the program’s success or failure. Programs with appropriate and measurable results indicators enable transparent, full cost

accounting, making it possible for citizens and government decision makers to scrutinize government programs.

Armed with appropriate results indicators and accurate program cost information, the government can make better decisions on where to best spend scarce resources, and citizens and stakeholders can have their say in these decisions. Ultimately, this enables decision makers to fund those programs and strategies that work, and to reduce and/or eliminate inefficient or ineffective programs. Without full financial transparency, program evaluations are often inaccurate and decisions made regarding these programs are less than optimal.

Anti-corruption Eliminating or controlling corruption is one of the greatest challenges of the contemporary world. Corruption undermines good governance, fundamentally distorts public policy, leads to the misallocation of resources, harms the private sector, and particularly hurts the poor. Controlling it is only possible with the cooperation of the state, civil society, and private sector.

A free flow of official information is a vital safeguard against corruption in government. The economic costs of corruption are well known. There is the increased cost of government services, as well as the wasteful shifting of resources from productive to non-productive activities, such as influence peddling and bribery. Secrecy in government makes corruption and rent seeking flourish. It gives government officials and rent seekers alike wider room to maneuver and greater ability to cover any evidence of corruption. In contrast, transparency exposes the vested interests involved, leads to the identification of corrupt officials, and eventually develops a more level playing field among economic actors.

3.6.5 Process Transparency

Government services. Access to government services should be clear and transparent for citizens and investors. Investors should not have to weave through bureaucratic red tape to register businesses, invest money, and propel economic growth. Likewise, all services offered by the government should be efficient, with clear and streamlined processes both for officials administering the services and for the public accessing the services.

Regulatory and policy decisions. Transparent regulatory and policy decisions are essential in promoting effective and fair distribution of services and economic efficiency and growth. Transparent information on official rules, policies, programs, and resource allocation enables the government organizations and individuals, individual citizens, and private sector organizations to make sound long-term decisions. The availability of official information also helps generate more knowledge about key regulatory, policy, and development issues, not only by researchers and academic institutions, but also by the private sector and the public at large. Maintaining a transparent decision-making process promotes constructive and informed debate between and among government and stakeholders. This helps build consensus on policy design and objectives, and ensures more informed government interventions supported by a solid, broad-based constituency. Government transparency is fundamental to creating an enabling environment for economic and public stability and success.

Procurement. Government agencies must procure vast quantities of goods and services to carry out their activities. Governments around the world are increasingly streamlining their operations and activities, focusing on core functions and outsourcing/supervising

those government services that can be most effectively provided by the private sector. To ensure a level playing field and encourage competition among potential suppliers, it is essential that government agencies carry out procurements in a fair and transparent manner. Failure to do so can have devastating consequences, leading to worse value for money spent by the government, and a stifling of competition that ultimately supports less competitive businesses and creates an environment of mistrust.

Below are examples of how the transparency pillar is reflected in each of the self-assessment criteria:

- *Leadership*: Transparent leadership means regular, open, and honest communications with the organization's stakeholders and the general public.
- *People*: Having transparent human resources means establishing clear expectations on employee performance, providing regular feedback to employees with regard to their performance, and promoting individuals based on merit.
- *Knowledge Management*: Transparent knowledge management includes capturing and sharing information both internally and externally.
- *Processes*: Transparent processes provide clear procedures for both employees and clients, and allow for public scrutiny of government resource allocation.
- *Finance*: Transparent finance entails an open and fair budgeting and execution cycle which the public can participate in and monitor directly or through appropriate public sector agencies.

3.7 The Five Performance Criteria of Public Administration and their Interrelationships

The OSTP self-assessment gauges an organization's adoption of the three pillars of international best practice in governance based on five criteria. By reaching the best practice standard in these criteria, an organization can achieve and sustain a Culture of Excellence.

In developing a framework to assist government ministries and entities in Iraq to attain sustained excellence, the OSTP stresses the individual roles of the five criteria of excellence: (1) Leadership, (2) People, (3) Knowledge, (4) Processes, and (5) Finance. Considering each criterion separately helps us to understand the nature and importance of each one, the sub-criteria that together determine excellence in that criterion, and the factors indicating the level of achievement in each of the sub-criterion. A robust understanding of each criterion is essential to enable an organization to develop and implement strategies to achieve excellence within its own operations. The sub-criteria and factors for each criterion are outlined in Section 4.

The five dimensions, however, are closely interrelated and interdependent. Achieving success in applying one dimension's contribution to excellence depends in part on the successful application of each of the other dimensions' excellence-contributing Sub-criterion and factors. A culture of overall organizational excellence stems from organization-wide synergies realized via the integration/interaction of performance in each separate dimension of excellence. Understanding these inter-relationships, therefore, is essential for an organization to succeed in achieving a Culture of Excellence in its operations. Such synergies ensure that pockets of excellence within the organization support each other through symbiotic relationships. Through synergistic relationships

between the criteria, the impact of excellence in each of the criterion on the whole of the organization becomes greater than the sum of its parts.

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There are a multitude of synergies between the criteria. Figures 8 and 9 contain illustrative examples of how each of the criteria can support the three pillars and each other in order to achieve a Culture of Excellence.

Criteria	Citizen-centered Pillar	Results-focused Pillar	Transparency Pillar
Leadership	Making decisions that recognize the dual mandate toward citizens	Keeping a focus on core outputs, objectives, and outcomes	Maintaining regular, open, and honest communications with stakeholders
People	Empowering front-line employees to respond to client needs	Holding empowered staff accountable to achieving output targets	Establishing clear expectations and providing regular feedback on employee performance
Knowledge	Providing increased opportunity for citizens to understand/influence government policies and regulations, and to access government services	Allowing for timely and more informed decisions	Increasing awareness and utility of information, both internally and externally
Processes	Cutting the red tape of government functions	Holding bureaucratic procedures to strict cost-benefit scrutiny	Creating clear procedures for both government employees and clients
Finance	Budgeting resources and prioritizing expenditures according to the citizens' most urgent needs	Monitoring expenditures against their contribution to a specific national goal	Making public all public budgets and expenditures

Figure 8: Relationship between criteria and the three pillars of government best practice

	Leadership	People	Knowledge	Process	Finance
Leadership		Promoting individuals into leadership positions based on merit	Encouraging active knowledge sharing and ensuring that employees closest to the transaction level have the knowledge needed to make informed decisions and rapidly follow up on customer requests	Recognizing that employees closest to a process have the best ideas/information on how to improve the process, and encouraging innovation and experimentation to support ongoing improvements at all levels, at all times	Setting and holding employees to the highest standard of financial transparency and accountability
People	Providing more effective all-around employees, freeing up leadership to lead		Creating greater overall expertise and more informed decisions by better capturing and transferring knowledge	Rewarding ideas, initiative and innovation that support continual process improvements in the way the institution serves its clients	Providing trained and qualified human capital to manage financial resources effectively
Knowledge	Enabling more objective decision making by capturing better data on organizational and program impact	Increasing retention and satisfaction of preferred employees by involving, empowering, and communicating opportunities to them		Providing a positive feedback loop through which stakeholder comments result in tangible improvements in the way the institution serves its clients	Supporting improved decision making at all levels through enhanced awareness of the costs of each action, and sharing best practices
Process	Creating clear lines of responsibility and resource accountability	Establishing a transparent system for employee evaluation, feedback, and promotion	Providing clear procedures for collecting information, creating knowledge, and disseminating that knowledge for internal and external use		Delineating a transparent and accountable system for budgeting and expenditure
Finance	Empowering leadership with management tools to perform cost-benefit analysis for improved decision making	Providing clear incentives for improving performance and making good, ethical decisions	Reserving resources to improve organizational capacity to achieve goals and share best practices across the organization	Promoting transparency through distribution of resources and monitoring of results/outputs per each input	

Figure 9: Reinforcing relationships among the five criteria of government best practice

4 What Excellence Looks Like: Characteristics of High-Performing Organizations

So far, we have discussed the top two levels of the OSTP for model for government excellence: the purpose and the three pillars that support the Culture of Excellence. Underlying these essential elements for excellence are 5 functional areas. These areas are discussed in our 5 criteria:

1. Leadership
2. People
3. Knowledge
4. Processes
5. Finance

In the following sections, we discuss the importance of each of these areas, how they each support the three pillars of governance and how they each support each other. We also break down the 5 criteria into sub-criteria and factors. These pieces are the operational elements for discussion and analysis within the Self-assessment program to support meaningful change in the Transformation program.

These sections also include descriptions of how each criterion, sub-criterion and factor are implemented in the “Culture of Excellence.” These examples of “what excellence looks like” are intended to provide an image to team members of how excellence can be integrated into organizational strategy and operations in any organization. The examples are the current ideal for organizational excellence and provide a target for organizations striving for excellence.

It is important to note that these examples will evolve as organizations evolve. What was excellence 10 years ago may be obsolete management history now. The climb to excellence does not end, as long as there is opportunity to find a better way. These examples are a starting point for your organization as it forges its own path to building a “Culture of Excellence.”

Each section ends with a list of potential sources for information for that criterion. Job titles may vary from organization to organization; however, these positions or their equivalent indicate members of the organization who may have special insight or access to information that can aid the team in its collection of evidence for the Self-assessment process. These positions are suggestions. They are a good place to start based on the experience of the OSTP developers.

4.1 Leadership

The Leadership criterion examines the organization's ability to mobilize and direct resources and successfully contribute to citizen-centered, results-oriented national goals.

An organization's leadership determines its character – its goals and priorities, its values and culture, its standards and quality. It is responsible for defining not only *what* the organization does but also *why* and *how* it does it, and directs the organization's actions according to those definitions. In the public sector, the leadership is the chief interpreter of the organization's obligations to the country and its citizens, and ultimately responsible for fulfilling those obligations.

Excellent leadership never forgets, or allows the organization to forget, that the first priority of a public institution is to advance the collective good. It plans every aspect of the organization's strategy around this priority, understanding that it entails not only delivering maximum benefit but also making efficient use of scarce resources, in particular taxpayer funds. It recognizes that public service, like excellence, is an ongoing process rather than a concrete result, and guides the organization down an unending path of continuous improvement. It embodies the organization's standards of public integrity, striving to achieve objectivity in its decision-making and provide equal access to government for all citizens.

The same qualities that characterize modern good governance according to international best practices also describe good leaders – they are enabling rather controlling, flexible rather than rigid, and focused on achieving goals rather than following procedures. They are motivators and role-models who encourage staff to strive for excellence by demonstrating it themselves and enabling staff to follow their example. They incorporate the three pillars of government best-practices into decisions and actions they take on behalf of the organization, examining each choice to determine whether it is citizen-centered, results-focused, and transparent.

Leadership is crucial at all levels of the organization, not just the top of the organizational hierarchy. The best leaders are those that create an organization that continues to thrive and improve after the head of the organization leaves. Such organizations are not dependent on the presence or actions of one individual. This distinction is what separates good leaders from great leaders.⁵

Strong, forward-thinking leadership is a necessary ingredient for true reform. Excellence cannot be achieved if reform is undertaken half-heartedly or in isolation from the rest of the organization's work. Best practices adopted by an organization will be lost if not maintained through continuous efforts to improve. Reform must be woven directly into the organization's vision, culture, and objectives, adopted by all and reflected in every action. This is the responsibility of the leadership – to set the direction for the organization and inspire people to strive to achieve it. If the leadership is not wholly committed to achieving excellence, then the organization is not committed. For an organization with excellent leadership, however, overall excellence is well within reach.

⁵ Collins, 'Good to Great': level 5 leadership

4.1.1 Supporting the Three Pillars of Good Governance through Leadership

Aspects of Citizen-Centered Leadership. Citizen-centered leadership understands the true meaning of the term “public servant,” and promotes organizational values that have this concept at heart. It prioritizes the needs of its customers – citizens, the private sector, and other government institutions – over the organization’s needs and interests. In an organization with citizen-centered leadership, employees at all levels have an accurate understanding of the impact of their work on the nation in general, and can also identify those key stakeholders who are main customers of the organization’s goods and services. Ultimately, the organization measures success not in terms of functions performed, items produced, or targets met, but by assessing the extent to which the organization has contributed to improving the quality of life for citizens.

Aspects of Results-Focused Leadership. Results-focused leadership understands that processes, systems, policies, regulations, and strategies are a means of achieving goals – they are not the goals themselves. An organization with results-focused leadership is innovative, creative, and proactive in designing and developing its tools to best serve the organization’s aims and produce desired results. It constantly monitors, assesses, and updates the way in which it works to maximize the use of its human, financial, material, and technological resources. It promotes this focus on results among all employees at all levels throughout the organization, and empowers them to take the initiative and suggest ways to maximize benefits with minimal cost and effort. It understands and is willing to take appropriate risks. It treats other organizations not as competitors but as opportunities to form mutually beneficial relationships. It is willing to sacrifice control to maximize results.

Aspects of Transparent Leadership. Transparent leadership acknowledges that public institutions are owned by citizens, and ultimately accountable to them. An organization with transparent leadership has sincere respect for the public’s right to scrutinize how the organization spends taxpayer funds and makes use of national resources. It actively attempts to promote public access by developing transparent systems for managing human and financial resources that ensure accountability, collecting and developing accurate and relevant information about organizational performance, and enabling its communications department to disseminate this information in an accessible format. Employees at all levels take seriously the organization’s obligation to provide equal access government goods and services to all citizens regardless of social, economic, religious, political, or personal differences. Transparent leadership understands the critical role that government procurement plays in the national economy, and encourages fair, vibrant private sector competition by choosing the best partners to supply goods and services through an open and transparent competitive process.

4.1.2 Sub-criteria and Factors that Support Excellence in Leadership

A number of elements support excellence in leadership. The relationships between these elements are shown in Figure 10. Objective, observable evaluations of these elements support the assessment of the level of leadership in an organization. In the following section, we outline the importance of each of these elements and provide a description of how top-performing organizations employ these elements to support a Culture of Excellence.

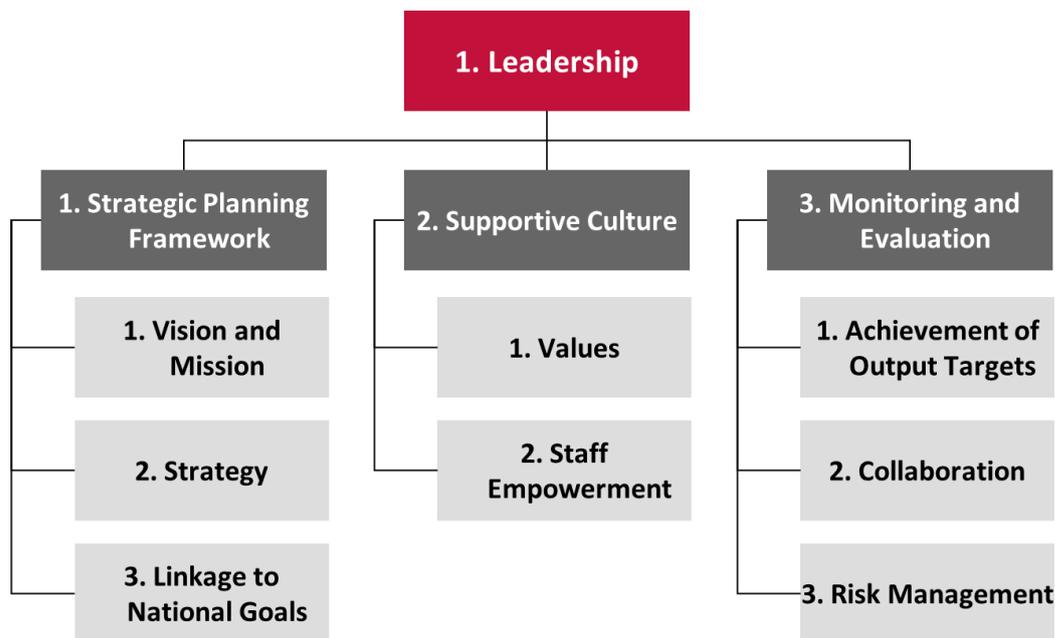


Figure 10: Relationships among leadership elements

Sub-criterion 1: Strategic Planning Framework

- Why it is important.** This Sub-criterion examines the organization's strategic planning framework, including its vision, mission, and strategic plan. It assesses to what extent the organization's vision and mission act as effective guides for the organization's policies and actions. It assesses the effectiveness of the design, review, implementation, and utilization of the strategic plan. It also assesses whether the leadership has correctly identified the national goals to which it contributes, and to what extent the vision, mission, and strategic plan are in line with these goals.
- What excellence looks like.** The organization's strategic planning framework – its vision, mission, and strategic plan – are well understood throughout the organization and actively inform decision-making. It has been conceived through an ongoing, participatory process, and accurately and clearly defines the organization's purpose, stakeholders, and goals. It is a living, breathing document that has buy-in at all levels of the organization. It places citizens at the center of the organization's work, identifies tangible targeted outcomes, and outlines a transparent, realistic strategy for fulfilling the organization's purpose and achieving goals.

Factor 1: Vision and Mission.

- Why it is important.** Defining why the organization exists helps staff understand how their own individual and team roles contribute to achieving output targets and citizen-centered, results-oriented national goals. The vision acts as a roadmap to guide the organization, offering a clear, succinct expression of what the organization wants to become. The mission statement identifies the organization's essential purpose (i.e. key roles, responsibilities, and objectives) and outlines how it intends to fulfill this purpose.
- What excellence looks like.** The organization's vision and mission statements correctly identify the national goals to which the organization contributes, focus staff attention on the organization's central purpose(s), and guide the

organization's efforts. The vision is a succinct, high-level, well conceived statement of what the organization strives to become. It is the organization's ideal future. It is complemented by an accurate, detailed mission statement that outlines the organization's essential role and purpose, including the specific national goals it serves and its broad strategy for achieving that purpose according to the principles of the vision. The vision and mission are readily available and well-distributed internally and externally as a demonstration of the organization's intention to fulfill them. The vision and mission were designed in a systematic way and with wide staff participation. They are understood and embraced throughout the organization, well known to and accepted by stakeholders, and approved by the minister, governor or other relevant authority.

Factor 2: Strategy.

- *Why it is important.* A well developed strategic plan helps the organization achieve goals by translating those goals into specific, measurable targets and outlining the actions and timeframe for accomplishing them.
- *What excellence looks like.* The organization's strategic plan is a comprehensive, realistic guide for implementing the vision and mission. The organization translates the goals of the vision and mission into a set of objectives, outputs, and action plans that are clearly linked to stakeholder interests and national goals. The strategic plan is supported by other planning documents, such as action plans, work plans, and/or annual plans that elaborate on specific objectives that are Specific, Measurable, Achievable, Realistic, and Time-bound (SMART). All planning documents focus on tangible outcomes targets, which become more specific at each lower levels of the planning framework. The strategic plan is assessed annually and completely rewritten at least once every three years, while the "support" planning documents are subject to formal review and revision on a more frequent basis. Lessons learned from these reviews are acted upon, resulting in changes in activity and/or approach. Critical analysis of the strategic plan provides data for tough decisions that are regularly made and acted upon. Like the vision and mission, the strategy is devised in consultation with staff and understood and embraced throughout the organization. Employees understand how their departments and individual jobs fit into the organization's strategic plan and action/work/annual plans. The plan has the approval of the organization's executive officer and key stakeholders.

Factor 3: Linkage to National Goals.

- *Why it is important.* To fulfill its purpose, the organization must understand the national goals, identify the particular goals that the organization supports, and define the relative priority of each goal to the organization. The organization must also have a thorough understanding of how its outputs contribute to or influence these goals.
- *What excellence looks like.* The organization's strategic planning framework is based on an accurate, thorough understanding of the national goals that the organization supports, as well as the impact – both positive and negative – of its work on those goals. The organization has studied the national goals and confirmed with relevant authorities that they have correctly understood these goals. Where national goals are not clearly presented the organization actively seeks to clarify these goals up the chain of government command. Employees at

all levels can state what these national goals are, and can demonstrate how their work contributes to the achievement of these goals.

Sub-criterion 2: Supportive Culture.

- **Why it is important.** This Sub-criterion examines the organizational culture. It assesses the leadership's effectiveness in setting and reinforcing suitable core values for the organization and empowering staff to achieve their potential in order to enhance the organization's ability to achieve its mission and strategic goals.
- **What excellence looks like.** The organization's staff sees the organization's goals as its own, has sufficient qualifications to perform their duties and functions, and is motivated to constantly improve its performance to better contribute to achieving national goals. The organization's leadership promotes excellence by routinely and transparently acting according to the organization's core values and using the three pillars of government excellence as a guide for decision-making. Managers are aware of their role in promoting the organization's core values and goals, and seek to understand the roles and duties of employees who report directly to them in order to help create a work environment that is supportive of their efforts.

Factor 1: Values.

- *Why it is important.* The organization's values are those ethical standards, personal values, and work attitudes that the organization wants to encourage among staff. These values enhance the organization's ability to achieve its vision, mission, and goals by fostering a Culture of Excellence among staff.
- *What excellence looks like.* The organization's leadership, management, and staff share a set of clearly defined, organizational values that foster cooperation, openness, excellent performance, continual improvement, and customer service. They serve as a compass for those times that employees must act without supervision and provide a code of ethics for individual behavior. These values broadly include ethical standards, personal values, and work attitudes that the organization wants staff to adopt both individually and collectively. Specifically, these values can include personal integrity, continuous learning, knowledge sharing, and a focus on citizen service. These values are discussed openly and have been internalized by employees throughout the organization, who demonstrate them in their everyday work.

Factor 2: Staff Empowerment.

- *Why it is important.* The organization can empower its staff to contribute as effectively as possible to achieving citizen-centered, results-focused national goals by motivating employees to strive for excellence and by ensuring that they have the opportunities and resources to do so.
- *What excellence looks like.* Employees at all levels are empowered to achieve their full potential. The organization has a clear system for delegating responsibilities, powers, and decision rights to those best placed to exercise them efficiently and effectively. The delegation is cost-effective – it focuses on making sure that decision makers have the appropriate knowledge for making decisions. It regularly sets timelines and reviews approval processes to ensure that they are sufficiently streamlined. In particular, those employees on the front lines who deal with the organization's clients or the general public on a regular basis have the

authority to respond in a timely, helpful manner. Sufficient financial resources are allocated to enable all staff to carry out their responsibilities, and effective accountability systems are in place to ensure that authority is properly used. Managers encourage staff to take the initiative when faced with challenges, and to be innovative and creative in seeking new ways to achieve the organization's objectives. The organization's human capital management philosophy includes actively creating opportunities for employees to realize their potential. Employees feel that management appreciates their efforts and understands (or wants to understand) the challenges they face in their work, and the organization has a well-developed system for recognizing and acknowledging excellent staff performance. In addition, a transparent, merit-based appointment and promotion process exists for staff and management at all levels to motivate staff to strive for excellence and guarantee fairness and integrity.

Sub-criterion 3: Monitoring and Evaluation.

- **Why it is important.** This Sub-criterion examines the organization's system for monitoring and evaluating its performance and contribution to national goals. It assesses how effectively the organization reviews and evaluates its performance, identifies opportunities and areas for improvement, makes decisions, and follows through on these decisions to enhance the organization's ability to contribute to national goals. It assesses how accurately the organization identifies the national goals it supports and the outputs that contribute to them, and how effectively it collaborates with other organizations to coordinate outputs to achieve these national goals. It also assesses how effectively the organization manages major risks.
- **What excellence looks like.** The organization maximizes its contribution to national goals by monitoring its strategy and actions against indicators set in its strategic plan to ensure that they are appropriate for the circumstances and flexible enough to accommodate unforeseen events. It constantly monitors its outputs, maintains productive and cooperative relationships with partner organizations, and continuously evaluates and manages risk. It conducts internal audits regularly, and is open to unbiased outside audits.

Factor 1: Achievement of Output Targets.

- *Why it is important.* The organization needs to know the extent to which it has actually achieved the output targets identified in its strategic planning framework (in terms of both quality and quantity) in order to determine how to improve performance.
- *What excellence looks like.* At any given time, the organization can accurately estimate the extent to which the objectives of the strategic plan are being met. The organization's goals and objectives are translated into a set of clear performance targets, both quantitative and qualitative, against which its performance is assessed. These targets are based on logical assumptions, using reliable information about current circumstances and past experiences. They are publicized at the beginning of the planning year, and again when they are reviewed, to individuals both within and outside the organization whose efforts contribute to meeting them. Progress toward achieving these targets is assessed annually and monitored regularly. Shortcomings are viewed as opportunities to improve performance. The organization uses information gathered from this process to continually revise its strategy to ensure that targets are met or exceeded.

Factor 2: Collaboration.

- *Why it is important.* Effective collaboration with key stakeholders is critical to achieving national goals. Government organizations work with other government organizations to achieve desired national goals, with the private sector to facilitate economic growth, and with civil society to ensure citizen-centered results. Encouraging this collaboration at various operational levels within the organization helps maximize the organization's impact on national goals by combining and aligning its efforts with those of its partners.
- *What excellence looks like.* The organization's contribution to national goals is enhanced by its proactive approach to cooperating with a variety of partners, including other government institutions, civil society organizations, private sector groups, and other key stakeholders. In managing these relationships, the organization constantly strives to ensure that national goals and citizen interests are the central focus of all collaborative efforts, taking priority over individual organizations' priorities. The organization has accurately identified its key stakeholders, understands their interest in the organization's outputs, and has developed appropriate channels of communication for soliciting their feedback on organizational performance. This communication is two-way, with the organization making a serious effort not only to gather information but also to deliver it, both in response to stakeholder requests and also when new information that is relevant to stakeholder interests becomes available. It has examined how the outputs of other organizations contribute to shared national goals, including how they overlap with its own activities, and has engaged those organizations in efforts to coordinate their outputs and increase efficiency. Where appropriate, this cooperation is managed by a formal, written agreement, and the organization participates in other structured partnerships such as working groups and joint committees. The organization also encourages staff at all levels to maintain informal contact with outside partners to facilitate the implementation of collaborative efforts.

Factor 3: Risk Management.

- *Why it is important.* Risk management helps the organization identify, understand, prioritize, and manage the major threats to its ability to produce results and contribute most effectively to national goals.
- *What excellence looks like.* The organization is willing to be innovative and to meet new challenges creatively. It has an effective strategy for managing risks that may threaten its ability to fulfill its primary responsibilities. The strategy helps the organization identify risks based on rational assumptions about the probability that a particular threat will emerge and the likely magnitude of its impact on the organization's work. The strategy is updated frequently and flexible enough to accommodate emerging threats or risks presented by new programs or policies.

4.1.3 Interrelationships between Leadership and Other Criteria

Without excellence in leadership, an organization cannot address the other areas of the COE program in a meaningful way. Excellence could be achieved in each criterion individually, but without effective leadership to direct the organization's energy in the appropriate direction, such reforms will have little impact on organizational performance or the benefit to the public.

People. Good leaders can motivate people to do their best and strive for improvement, but excellent leadership goes beyond an individual's ability to inspire others. It actively fosters organizational values, attitudes, and priorities that focus staff energy on serving citizens as well as boost cooperation and morale. It ensures that all employees are aware of the organization's objectives and their role in meeting them, and recognizes the needs to provide them with the resources, information, and authority they need to perform their jobs effectively. It also contributes to employee welfare and satisfaction by acknowledging and rewarding excellent performance, innovation, and teamwork.

Knowledge. Excellent leaders recognize the impact of shared knowledge on organizational performance, as they themselves use a tremendous amount of information about current circumstances and past experiences in their decision-making. They are also a vital source of knowledge for the organization, as they are likely to have the greatest depth of experience and are in a position to develop the broadest understanding of the organization's activities and their impact. They promote good knowledge management by ensuring that ample time, space, and resources exist to allow employees to share knowledge across departmental lines and at all levels. They lead by example, actively and openly sharing their own knowledge across hierarchical lines. They recognize the importance of well conceived strategies for internal and external communications and devote sufficient resources and human capital to these activities.

Processes. Excellent processes are designed with the aim of developing the best possible procedures to meet specific performance targets. One of the primary responsibilities of leadership is to outline clear objectives and standards for organizational performance, thus providing accurate, relevant targets for use when developing or streamlining processes. Excellent leaders also recognize that employees who work most closely with a particular process will be the ones in the best position to offer feedback about how well a process works, and encourage them to be proactive, innovative, and creative at all times to support ongoing improvement. Leadership should support prompt decision making as close to the transaction level as possible.

Finances. Organizational leadership has primary responsibility for ensuring that public funds are budgeted wisely and used effectively to produce the maximum benefit to citizens. Excellent leaders know how to gather and analyze information and experience to create a budget that allocates funds to best achieve the prioritized goals of the organization. Leadership willingly takes ultimate responsibility for the organization's overall integrity, a critical component of which is proper financial management. Excellent leaders demand and facilitate a high standard of public accountability in financial administration, and encourage the adoption of systems and values that discourage corruption and provide safe avenues for reporting suspected incidents.

4.1.4 Key Sources of Leadership Information

There are specific people in any organization that work closely with Leadership and its elements. These people can be excellent sources of information as the OSTP team collects information regarding the functioning of the Leadership systems within an organization. These people include:

- Key leadership person (e.g., Governor, Deputy Governor, Directorate General, Minister, CEO, etc.)
- Corporate Services Manager

- Personnel Manager
- Principal stakeholder and selection of other key stakeholders (e.g., consumers/users of service, key suppliers)
- Senior managers
- Random selection of managers at different levels
- Random selection of staff at different levels

4.2 People

People management channels the organization's efforts to build and maintain a supportive work environment that encourages excellent performance on both the personal and organizational levels.

An organization's human capital – its people – is its most valuable asset. An organization with excellent human capital management understands that achieving results means investing in its staff – hiring the most suitable employees and building and diversifying their skills, but also motivating them to strive for continuous improvement and ensuring that they have a secure, empowering environment in which to do so. Such an organization considers staff members to be more than just employees – they are stakeholders in the organization, people who are vital to the organization's success and who have, or should have, a sincere interest in that success.

4.2.1 Supporting the Three Pillars of Good Governance through People

Aspects of citizen-centered human capital management: Citizen-centered human capital management focuses on ensuring that employees are adequately empowered to respond to the needs of the public in a prompt, courteous, and helpful fashion. Rather than maintaining a bureaucratic set of rules and procedures that try to anticipate every situation and dictate the proper reaction, the organization recruits, selects, trains, and delegates adequate authority and responsibility to employees to ensure they have the skills and flexibility they need to serve both citizens' needs and those of the organization.

Aspect of results-focused human capital management: Results-focused human capital management recognizes that organizational performance – the extent to which the organization achieves its goals – is dependent on the performance of individual employees. The organization focuses employee attention and energy in a direction that best suits its needs by setting clear performance targets and objectives for employees, regularly assessing employee performance, and linking performance to compensation and incentives systems – including salary increases, promotion opportunities, and rewards. It also acknowledges its obligation to support employee performance by ensuring that they have the authority and resources they need to fill their roles, adequate training and development opportunities tailored to their jobs and individual needs, and a safe and supportive environment in which to work.

Aspects of transparent human capital management: Transparent human capital management recognizes the importance of fair and open policies for building a supportive work environment and maintaining employee motivation. The organization strives to eliminate bias and favoritism, as well as the perception of them, in the design and implementation of human capital policies and systems. Expectations on employee performance are clearly stated and well known, actual performance is fairly evaluated, and compensation, incentives, and various forms of career progression are all distributed in a consistent manner according to logical, clear, and primarily merit-based criteria. Accountability is clearly assigned for all responsibilities, and is delegated downward toward the “performance” level. The organization encourages open, honest dialogue

among management and staff and encourages employees at all levels to offer feedback and ideas on organizational performance without fear.

4.2.2 Sub-criteria and Factors that Support Excellence in People

A number of elements support excellence in People. The relationships between these elements are shown in Figure 11. Objective, observable evaluations of these elements support the assessment of the level of People in an organization. In the following section, we outline the importance of each of these elements and provide a description of how top-performing organizations employ these elements to support a Culture of Excellence.

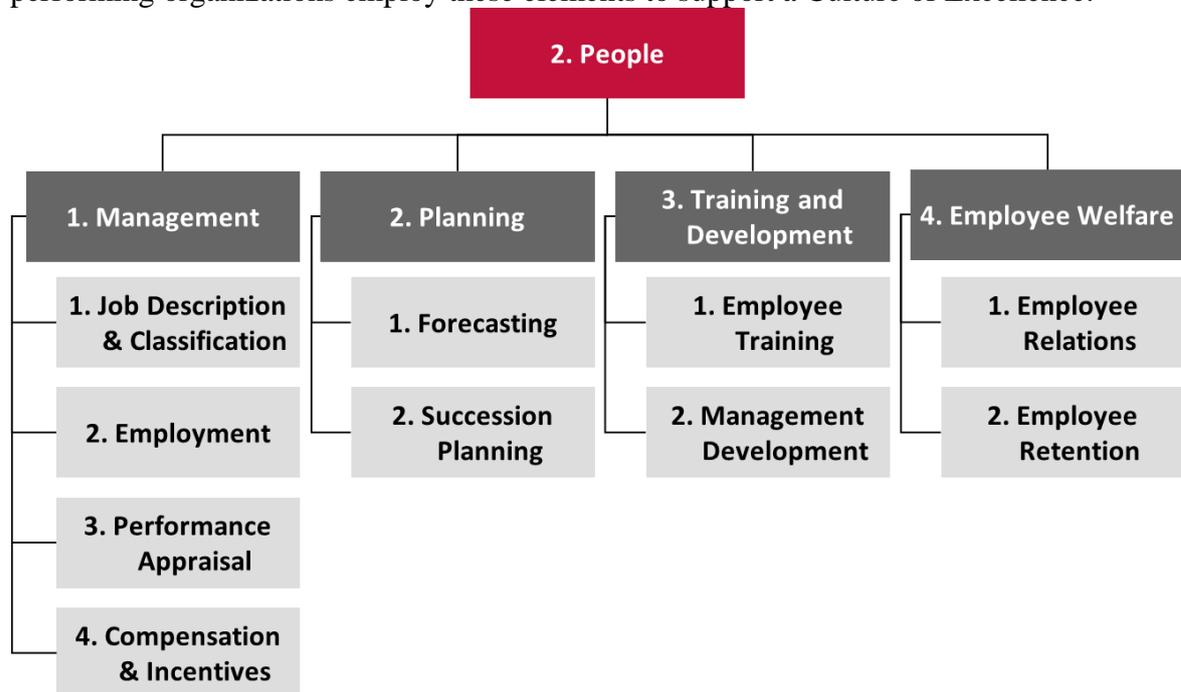


Figure 11: Relationships among different People elements

Sub-criterion 1: Management.

- **Why it is important.** Management encompasses the organization’s recruitment, selection, and placement policies, including how these policies are designed to employ qualified people in the appropriate jobs in a timely fashion. It includes the ability of the organization to use results-based job descriptions and classification tables to plan activities such as recruiting, training, and evaluating employees. It also includes the accuracy, transparency, and fairness of salary scales and job grading, compensation and rewards policies, results-based employee performance appraisal systems, and other workforce policies and practices.
- **What excellence looks like:** The organization’s workforce is of sufficient size and quality to meet organizational objectives. All employees have a thorough understanding of their function within the organization and are motivated to continuously improve their performance. Human capital is distributed in accordance with the priorities of the organization.

Factor 1: Job Description and Classification.

- *Why it is important.* Clearly written job descriptions are essential tools for recruiting and selecting employees, conducting fair and accurate performance appraisals, and identifying training needs. A fair, transparent, and accurate job

classification system that grades positions according to an overall scale is crucial to effective human capital planning, transparent salary grading, and fair recruitment and promotion.

- *What excellence looks like:* The organization has a clearly written and detailed job description for every position, outlining the purpose of the job, its main tasks and responsibilities, expected results, lines of authority, reporting channels, and the position's requirements, such as minimum experience and education and mandatory skills. The organization uses these descriptions when recruiting and selecting employees, in developing training plans, and as the basis for assessing employee performance. Employees receive their job descriptions at the start of their employment, and discuss them with their direct supervisor, so that they have a thorough understanding of their role and the organization's expectations.

The organization also maintains job classification tables that organize staff positions into categories, outline their basic functions, and rank them according to factors such as the level of responsibility, technical or professional skills required, and seniority. These tables guide the organization in promoting employees and determining salary, and are used when designing and implementing recruitment and selection policies.

Factor 2: Employment

- *Why it is important.* Excellent employment policies ensure that the organization's staffing needs are filled in a timely manner by applicants whose talents, competencies, and skills match the job requirements, and that the process is in compliance with organizational goals and objectives as well as applicable legislation.
- *What excellence looks like:* All recruitment, selection, and placement policies focus on building and maintaining a workforce whose talents, competencies, and skills meet the organization's needs. New employees are hired based on how well their qualifications match the organization's current and future needs, without bias or favoritism. The organization recruits internally when possible, minimizing the time and expense needed to recruit, orient, and train new employees and providing incentives for staff to focus on continuous learning and improvement. The selection process includes clear, logical procedures for screening candidates and assessing their credentials, such as interviews, competitive exams, and mandatory reference checks. Hiring decisions are based on fair, transparent criteria and made in accordance with all applicable legislation. The workforce is deployed according to the needs and priorities of the strategic plan.

Factor 3: Performance Appraisal

- *Why it is important.* An accurate and transparent appraisal system that measures employee performance against reasonable, tangible objectives is essential to meeting those objectives. Regular, results-based performance appraisals provide feedback that the organization can use to improve organizational performance and employee satisfaction, and also helps identify opportunities for rewarding excellent performance.
- *What excellence looks like:* The organization regularly reviews each employee's performance against reasonable, tangible objectives through a fair, participatory appraisal process. From the day they start, employees know what the organization's expectations are and the results for which they are responsible. They receive regular, structured feedback from their supervisors on their performance. The appraisal process assesses their performance against reasonable, tangible objectives based on their individual job descriptions, and they are held

accountable only for those results that are directly linked to their job functions. The organization implements the system in a transparent and equitable manner by ensuring that the purpose and procedures are well understood throughout the organization, training appraisers to manage the process effectively, and communicating appraisal results to employees in a timely fashion. The organization analyzes the results of these reviews for ways to improve organizational performance, and uses this analysis to design training programs, promote and reward excellent employees, and guide individuals' career progression.

Factor 4: Compensation and Incentives

- *Why it is important.* Transparent, equitable, and effective compensation and incentive policies improve employee productivity and boost performance quality by motivating employees to strive for excellence in achieving the organization's goals.
- *What excellence looks like.* The organization's compensation schemes and incentive programs motivate employees to strive for excellence in achieving the organization's goals. Bias and favoritism play no role in how salaries, promotions, and rewards are distributed, and employees feel that these systems are administered in a fair and equitable manner. Job grading scales and salary ranges are fair and transparent, and linked to updated job classification tables. All salaries are based on the nature of the job and the employee's qualifications and experience, and influenced by the results of performance appraisals. The organization decides staff promotions according to clear, fair policies and uses merit-based factors such as length of employment, training record, and performance standards. Various performance incentive schemes – such as employee recognition programs – are in place to reward outstanding efforts that contribute to the achievement of the organization's goals. Employees feel they have equal opportunity to earn promotions and rewards.

Sub-criterion 2: Planning

- **Why it is important.** This Sub-criterion examines the organization's human capital forecasting and planning procedures and policies. It assesses how accurately the organization anticipates future staffing needs and plans hiring activities to ensure that the available workforce is sufficient for meeting the objectives of the strategic plan. It also assesses the effectiveness of the organization's succession planning program for cultivating future leaders.
- **What excellence looks like.** The organization actively and accurately anticipates future workforce needs, and the continuous availability of qualified employees at all staff levels is guaranteed by well designed and implemented recruitment, selection, and training programs. Contingency plans and human capital risk management strategies are well thought out.

Factor 1: Forecasting

- *Why it is important.* Forecasting helps the organization anticipate its future workforce needs by tracking developments that may lead to the creation of new positions or vacancies in established positions. These developments include promotions, retirement, and resignation among current staff, as well as changes or additions to the strategic plan that call for new skills or a different distribution of staff.

- *What excellence looks like.* The organization takes a proactive approach to human capital management, ensuring that workforce capacity is always sufficient to meet changing needs and achieve the goals of the strategic plan. The organization assesses the qualifications and size of its staff against the priorities of work plans, compares employee qualifications to job requirements, and anticipates the impact of employee turnover, promotions, and other factors on workforce capacity and the organization's ability to meet future needs. These assessments are used to plan recruitment, selection, placement, and training activities that fill vacancies and skills gaps in a timely manner.

Factor 2: Succession Planning

- *Why it is important.* Succession planning is a method of identifying and cultivating leaders from within the organization to fill future vacancies among middle and senior management. By preparing individuals to assume leadership roles before the positions become available, succession planning programs ensure the availability of a competent workforce at the management level, ease the transition process, and minimize gaps in productivity.
- *What excellence looks like.* The organization successfully cultivates future leaders, ensuring the availability and readiness of competent individuals to fill vacancies in management and leadership positions when they arise. The succession planning program is implemented fairly and transparently, using objective criteria to choose among candidates to fill vacancies. The organization is committed to the program, allocating sufficient resources and time to it, as are participants, who are made aware from the beginning of the time and effort that the program requires.

Sub-criterion 3: Training & Development

- **Why it is important.** This Sub-criterion examines the organization's programs for enhancing the skills and competencies of employees and management staff. It assesses how accurately the organization identifies training and development needs, and to what extent these needs are prioritized to help the organization achieve results. It also assesses how effectively training and development programs are designed, implemented, and reviewed to enhance the organization's overall performance and productivity.
- **What excellence looks like.** Employees at all levels have the opportunity to develop the skills and experience they need to maximize their contribution to the organization's goals and keep pace with the changing needs of stakeholders. Training and development programs enhance organizational performance to a degree that outweighs the programs' costs.

Factor 1: Employee Training

- *Why it is important.* Well-designed and implemented employee training programs enhance overall organizational and individual performance, optimizes employee productivity, and helps ensure continuous employee satisfaction and performance improvement.
- *What excellence looks like.* The organization's training program improves overall organizational performance and boosts employee morale, and the organization can demonstrate that the benefits outweigh the cost. Training needs are assessed at the individual and group levels, using feedback from employees and the results of performance reviews to identify gaps in skills or capacity. These needs are prioritized according to the goals of the strategic plan, with the organization's

needs outweighing requests from individual employees for training that enhances their personal development without benefiting the organization as a whole. The organization offers formal training opportunities and also encourages employees to learn from each other through informal methods such as mentoring and coaching.

Factor 2: Management Development

- *Why it is important.* Well-designed and implemented management development programs enhance overall and individual performance, promote improved relations between management and staff, and help managers fill current roles as well as prepare them to meet the organization's future needs.
- *What excellence looks like.* The organization's management development program demonstrably improves both organizational performance and relationships between management and staff. The organization understands that developing managers is more like personal development than training, and designs the program to meet the needs of individual managers as well as the organization's overall needs. The program effectively addresses both current and future managerial challenges. It involves a variety of learning experiences, including formal and informal approaches. The organization ensures that participants have the opportunity to practice what they learn.

Sub-criterion 4: Employee Welfare

- **Why it is important.** This Sub-criterion examines the organization's strategies for enhancing employee satisfaction and retention. It assesses how well the organization identifies and addresses employee needs and concerns, and the extent to which these efforts help motivate employees to stay with the organization.
- **What excellence looks like.** Employees feel safe, physically and occupationally, at work. They feel loyal to the organization, comfortable expressing ideas and opinions, and motivated to be creative and innovative in achieving goals.

Factor 1: Employee Relations

- *Why it is important.* Caring programs and open communication channels improve employee welfare and maintain a healthy work environment, contributing to employee satisfaction, well-being, and motivation.
- *What excellence looks like.* The workplace is safe and conducive to achieving a high level of productivity and employee satisfaction. The organization regularly reviews workplace conditions to ensure that facilities are comfortable and employees are provided with appropriate, equipment, supplies, and resources. The organization also regularly surveys intangible aspects of the work environment, such as relationships among employees, and encourages open dialogue among managers and staff to continuously monitor and improve the organizational environment. Employees at all levels feel comfortable submitting complaints and offering feedback about workplace conditions.

The organization understands that meeting employees' personal needs can boost productivity by allowing them to focus on their jobs while at work. The organization chooses caring programs, such as transportation assistance, day care, retirement funds, and health insurance plans, according to an accurate assessment of employee needs. The programs are properly funded and implemented to ensure maximum contribution to employee welfare.

Factor 2: Employee Retention

- *Why it is important.* Maintaining a positive and supportive work environment that contributes to the well-being, satisfaction, and motivation of all staff is essential for reducing employee turnover. Retaining high-performing employees is critical to the organization's continual improvement.
- *What excellence looks like.* Employee turnover is low and employee satisfaction is high. The organization makes a concerted effort to ensure that employees feel engaged in the organization's work, involved in the decision-making process, and appreciated by management. Employees are delegated adequate responsibility and authority to allow them to do their jobs effectively, and are provided opportunities for career development and progression. The organization places a special emphasis on ensuring the satisfaction of employees in key positions and those with excellent performance records and potential, and is generally successful in retaining them.

4.2.3 Interrelationships between People and Other Criteria

Excellent human capital management supports excellence in the other four criteria by ensuring that the organization's staff is not only competent and qualified, but also dedicated to achieving the organization's aims and motivated to continuous improvement at both the personal and organizational levels.

Leadership: To be effective, leaders need to be properly qualified and experienced, and supported by a well developed workforce. Merit-based hiring and promotion policies, effective management development programs, and succession planning help ensure that the organization's leadership is capable of guiding the organization in a way that maximizes its contribution to national goals. Cultivating future leaders from within ensures that they are dedicated to organization's mission and have a thorough, accurate understanding of its values, strategy, and goals. By properly recruiting, developing, and empowering employees, the organization can free its leadership to focus on broader goals and strategies, and can ensure the organization's ongoing success after their departure.

Knowledge: Effective knowledge management demands the participation of all employees. By encouraging open communication among staff and management, providing knowledge management training, and emphasizing knowledge management activities in job descriptions and during performance reviews, the organization can encourage behavior that enhances the relevance, safety, and accessibility of knowledge assets. Training programs that are tailored to the organization's needs broaden staff expertise and contribute to the development of valuable organizational knowledge.

Processes: Processes are only as efficient and effective as the employees who implement them. Employees who are properly trained, delegated adequate responsibility and authority, and motivated to help achieve the organization's goals are better prepared to meet customer needs and deliver products and services efficiently. In a supportive, open work environment, employees who are closest to a process, and therefore have the best understanding of its shortcomings, will be more comfortable expressing their ideas for streamlining procedures and improving customer service. This enables ongoing process improvement.

Finances: Employees who are properly trained, dedicated to the organization's mission, and invested in the organization's success will be more willing and better able to prevent financial mismanagement and corruption and ensure that limited resources are allocated and utilized according to the priorities of the strategic plan. Employees who understand and embrace their roles as public servants are much more apt to ensure the maximum utility of public funds.

4.2.4 Key Sources of People Information

There are specific people in any organization that work closely with People and its elements. These people can be excellent sources of information as the OSTP team collects information regarding the functioning of the People systems within an organization.

These people include:

- Personnel Manager
- Training and Development Manager
- Planning Manager
- Public Relations Manager
- Quality Control Manager
- Financial Manager
- A random selection of staff at different management levels

4.3 Knowledge

Knowledge is vital to the functioning of any organization. For most public sector organizations, information is both a primary output and a key operational input.

The Knowledge criterion examines the organization's knowledge management systems and strategies and how they use them to collect and provide information to key internal and external stakeholders in support of performance excellence. It assesses to what extent the organization

- understands what knowledge management means and requires
- uses a sound strategy for managing and improving knowledge resources
- uses its knowledge resources effectively to achieve its goals
- distributes timely, relevant information to employees, stakeholders, and other government organizations to build trust and cooperation.

Whether used internally or distributed externally, knowledge is a difficult asset to collect and manage effectively. When first created or gained, most knowledge only exists in a format that is difficult to share or duplicate – for example, the “tacit knowledge” that exists only in an employee's mind.

To be useful to an organization or its stakeholders, that knowledge must be captured, shared, and made easily accessible to others. Information that is not carefully cultivated, turned into knowledge, and made readily available is a waste of potential. It may benefit one employee when it could benefit all employees as well as the organization's partners and the general public. Various pieces of information may exist within different individuals in the organization, but they only become knowledge once those individuals share information and codify lessons learned.

By developing and implementing an effective knowledge management system, an organization can capture the information and experiences possessed by its employees and generated by its activities, turn this information into knowledge that is available to all, and improve an organization's ability to operate more efficiently and effectively and provide better service to stakeholders.

Such a system requires more than just infrastructure and a set of procedures. It requires a continuous, deliberate, cooperative effort to develop and share knowledge. An organization with excellent knowledge management understands the need to foster an organizational culture that emphasizes the importance of knowledge and encourages employees to capture, share, and use it in the course of their work.

4.3.1 Supporting the Three Pillars of Good Governance through Knowledge

Aspects of citizen-centered knowledge management: Citizen-centered knowledge management focuses on providing timely, relevant, accurate information to citizens. The organization understands that providing this information is one of its most important responsibilities toward citizens, and delivers the information in a format that best suits the audience and makes it as widely available and easily accessible as possible.

Aspects of results-focused knowledge management: Results-focused knowledge management seeks to enhance decision-making within the organization by ensuring that relevant information is available to those who can use it, at the time and in the format that it is needed. The organization designs its knowledge management system based on its particular knowledge requirements, and integrates technology resources as appropriate to boost the system’s efficiency and ease of use. It also encourages employees to see their participation in the knowledge management system as critical to the productivity of the organization as a whole.

Aspects of transparent knowledge management: Transparent knowledge management recognizes the importance of open, honest communication for fostering cooperation among employees, building trust with stakeholders, and in preventing corruption. The organization seeks to maintain an open, two-way flow of information both internally and externally. The organization publishes and widely distributes impartial information on the organization, including the role it plays in society, the services it provides, the successes it has achieved and the areas in which it is actively striving to improve its performance.

4.3.2 Sub-criteria and Factors that Support Excellence in Knowledge

A number of elements support excellence in Knowledge. The relationships between these elements are shown in Figure 12. Objective, observable evaluations of these elements support the assessment of the level of Knowledge in an organization. In the following section, we outline the importance of each of these elements and provide a description of how top-performing organizations employ these elements to support a Culture of Excellence.

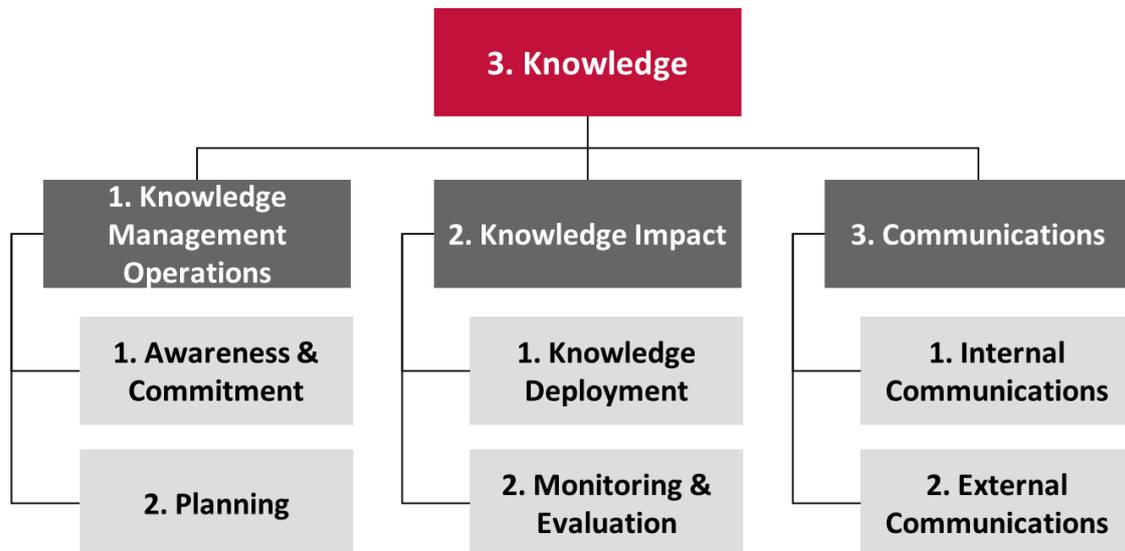


Figure 12: Relationships among knowledge elements

Sub-criterion 1: Knowledge Operations

- **Why it is important.** This Sub-criterion examines the organization’s understanding of the key elements of knowledge management. It assesses how well the organization manages its knowledge assets, including to what extent the

organization has accurately identified its vital knowledge assets, their relative priorities, where they are located, what the key risks to them are, and how they add value to its outputs.

- **What excellence looks like.** The organization has a thorough understanding of the concept of knowledge management, the elements of an effective knowledge management system, and its own knowledge assets and needs.

Factor 1: Awareness and Commitment

- *Why it is important.* For a knowledge management system to be most effective, staff at all levels must understand the concept of knowledge management (KM), and be willing and able to use the organization's KM system. Senior management must be committed to its use, and should encourage organizational behavior that supports and promotes the goals and benefits of good KM behavior.
- *What excellence looks like.* Employees at all levels within the organization understand the basic concept of knowledge management and the importance of knowledge to their jobs, those of their co-workers, and the organization's overall goals. Knowledge management is explicitly included in the organization's mission statement and strategic plan, as well as in the job descriptions for each position. The organization's managers understand and appreciate the value that each vital knowledge asset adds to its outputs. For example, they appreciate how specific knowledge about the organization's services, its clients, and their needs that resides in the minds of experienced front-line staff can be used to continually improve customer service. They also understand the value of recording key transactions and communications, documenting information and knowledge about particular issues, and maintaining detailed contact information for key contacts both within and outside the organization. Managers are committed to knowledge management and ensure that employees have the resources, time, and encouragement they need to make use of the knowledge management system and contribute effectively to the organization's knowledge management goals. The organization promotes good knowledge management behavior through training and by rewarding teamwork and knowledge sharing.

Factor 2: Planning

- *Why it is important.* For a knowledge management system to be most effective, staff at all levels must understand the concept of knowledge management (KM), and be willing and able to use the organization's KM system. Senior management must be committed to its use, and should encourage organizational behavior that supports and promotes the goals and benefits of good KM behavior.
- *What excellence looks like.* The organization has a clear strategy and appropriate infrastructure for developing and maintaining its knowledge assets. The organization has accurately identified the organization's vital knowledge requirements and their impact on the organization's work, clearly mapped out existing knowledge assets, and prioritized the knowledge that needs to be captured or created. Non-existent knowledge is held to strict cost-benefit scrutiny against the organization's strategic objectives. It has identified the potential risks to its knowledge assets, including physical threats, such as fire damage, theft, or willful tampering with information, as well as staff turnover, which results in the loss of specific institutional knowledge. The knowledge management strategy outlines gaps in the organization's knowledge assets, how it will fill these gaps, and how it will minimize risks to its knowledge. A senior manager oversees implementation

of the knowledge management strategy, and a team of designated employees supports knowledge management functions and ensures that the knowledge management system is up-to-date and easy to use. The knowledge management strategy is complemented by a communications strategy designed according to the specific goals and needs of the organization.

Sub-criterion 2: Knowledge Impact

- **Why it is important.** This Sub-criterion examines the organization's strategies for developing and using knowledge assets. It assesses how effectively the organization creates, captures, shares, and uses knowledge within it.
- **What excellence looks like.** Ideas and learning spread rapidly, relevant information is easy to locate and access, and the organization avoids recreating knowledge and solutions that already exist. Regular reviews of the organization's knowledge requirements, existing knowledge assets, and knowledge management performance result in improvements to the knowledge management system and strategy that ensure continuous access to timely, relevant information for staff at all levels.

Factor 1: Knowledge Distribution

- *Why it is important.* Developing easy-to-use systems for capturing various types of knowledge and making it widely available, and allowing time and space for employees to exchange information and ideas, is key to effective knowledge management. By encouraging continuous knowledge sharing, the organization can avoid spending time and effort to create knowledge or solutions that already exist, improving efficiency and reducing costs.
- *What excellence looks like.* Employees share knowledge readily, routinely making use of systems for capturing and accessing knowledge and taking advantage of learning opportunities provided by the organization. The organization has systems for capturing both explicit knowledge, the information that already exists in a tangible format, and tacit knowledge, the expertise, insights, personal knowledge, and experience that reside mostly in people's minds. It stores this knowledge in a variety of formats, using a system that allows multiple users to access the information at the same time. The procedures for accessing knowledge are well documented, clearly designating the best resource for a particular need as well as offering alternative ways to access information. The organization's information technology system complements the knowledge management system, enhancing and simplifying access to information. The organization plans and hosts informal meetings and events, such as working groups and seminars, to provide managers and staff at all levels with opportunities for knowledge sharing across normal lines of responsibility as well as across organizational lines.

Factor 2: Review and Assessment

- *Why it is important.* Knowledge is a constantly evolving asset. To maximize the effectiveness of its Knowledge Management (KM) system, the organization must regularly review its knowledge requirements and assets, continually stress learning and innovation, and set and monitor progress toward tangible KM goals.
- *What excellence looks like.* The organization's knowledge management system is up-to-date and well used, and meets the organization's changing needs. The organization translates its knowledge management goals into clearly defined performance targets, using quantifiable measures where possible. It uses these

targets as a basis for monitoring and assessing the effectiveness of its knowledge management strategy and systems. Responsibility for meeting targets is distributed among staff at all levels, and the organization assesses the knowledge management behavior of its individual employees during regular individual performance reviews. The organization also reviews the organization's current information and communications technology infrastructure to determine its usefulness in supporting the organization's knowledge management aims.

Sub-criterion 3: Communications

- **Why it is important.** This Sub-criterion examines the organization's internal and external communications activities. It assesses how well the internal communication's strategy is designed and implemented to provide timely, relevant information to employees and the extent to which it enhances organizational performance. It assesses how well the external communications strategy is designed and implemented to help the organization convey timely, appropriate messages to stakeholders, and to what extent it enhances public confidence and facilitates public access to information, services, and products.
- **What excellence looks like.** Employees and stakeholders are well informed of the organization's activities, the challenges it faces, its successes, its shortcomings, and changes to the organization's policies or services. Internal communications activities have a tangible effect on staff motivation, cooperation, and performance. External communications promote a positive, reliable public image and build citizen trust.

Factor 1: Internal Communications

- *Why it is important.* A well designed and carefully implemented internal communications strategy can enhance organizational performance by keeping employees informed of current administrative and programmatic issues, helping them feel more engaged in their work, and promoting staff cooperation.
- *What excellence looks like.* Employees at all levels have a good understanding of the issues currently facing the organization, the work done by other departments, and the successes that the organization has achieved. The organization understands that supplying employees with timely, relevant information about internal activities, opportunities, reforms, and other issues of interest can enhance their sense of investment in the organization's success, promote staff cooperation, and help them better perform their jobs. The organization has a clear strategy to promote internal communications and this strategy is resourced and has the support of senior management. Responsibility for implementing the strategy is assigned to a specific department or team. The strategy is flexible enough to deliver consistent, regular materials as well as ensure that accurate information is made available during emergencies or unforeseen circumstances. It is supported by an action plan that assigns responsibility and outlines clear tasks and timelines for creating and disseminating communications materials. These materials are disseminated in a timely manner and in a format that is accessible to all employees.

Factor 2: External Communications

- *Why it is important.* A well designed and implemented external communications strategy provides customers and other stakeholders with timely, accurate information on government services and regulations – a key duty of any public

institution. It also helps the organization convey a positive public image and build public confidence in its work.

- *What excellence looks like.* The organization has a positive public image and a reputation for trustworthiness among stakeholders. The organization understands that providing citizens with reliable, timely information about topics within its mandate is key to building public trust. The organization has a well-staffed and highly skilled public relations or communications department that oversees all external communications activities. The organization's external communications strategy is built on a solid understanding of the organization's goals in communicating with stakeholders, the message or messages it wants to convey, the specific audience it needs to reach with each message, the various communications tools at its disposal, and the best methods for assessing its success. It is flexible enough to handle the organization's day-to-day communications needs, as well as to respond to any unforeseen circumstances or emergencies that require public outreach. The strategy is supported by senior management, and is generally well understood throughout the organization. Highly centralized communications processes ensure that the organization speaks with one recognizable voice and conveys a consistent message. The organization regularly conducts surveys of its stakeholders to ensure that its communications strategy is effective and meets both the organization's goals and stakeholder expectations.

4.3.3 Interrelationships between Knowledge and Other Criteria

Excellence in knowledge management supports excellence in the other four criteria by turning individual knowledge into organizational knowledge that is available to all employees. It supports efforts for continuous improvement by helping the organization learn from its experiences and collect information that can be used in various monitoring and evaluation processes.

Leadership: Leaders need timely, relevant, reliable information to make sound, objective decisions. Knowledge management ensures that lessons learned from past experiences and information about current circumstances are well documented in a format that is useful and easy to access. It also captures information that the leadership can use to evaluate the impact of the organization's work and ensure that programs and activities are contributing effectively to national goals.

People: Knowledge management empowers employees and makes them feel more invested in the organization's success. It creates endless opportunities for learning – employees can learn from each other directly as well as from the organization as a whole, and the organization in turn can learn from them. It enhances the effectiveness and efficiency of the workforce by giving employees access to information relevant to their jobs and providing the organization with feedback about the work environment that can be used to improve employee support systems. In addition, the process of knowledge sharing promotes cooperation and teamwork, and can contribute to a sense of shared purpose among staff.

Processes: Continuous feedback is essential for excellent process management. An effective knowledge management system includes mechanisms for gathering information about the organization's product and service delivery and customer service performance from both stakeholders and employees, as well as from the results of the processes

themselves. In an organization with good knowledge management behavior, this information is routinely analyzed and used to update and streamline processes and improve customer service.

Finances: Budgeting is a continuous process, the mechanisms and decisions need constant updating to be effective. Knowledge management can help the organization keep track of vital information and make it available to managers who make budgeting and allocation decisions on a regular basis. It also ensures that past public expenditures are well documented and available for use by those involved in budget planning. Knowledge of how and where public finances are spent supports sound decision making. It supports the matching of financial resources to prioritized goals, and acts as a safeguard against public mismanagement and corruption.

4.3.4 Key Sources of Knowledge Information

There are specific people in any organization that work closely with Knowledge and its elements. These people can be excellent sources of information as the OSTP team collects information regarding the functioning of the Knowledge systems within an organization.

These people include:

- Senior manager responsible for knowledge management
- IT Manager
- Senior Communications Manager
- Communications staff
- Key leadership person
- Random selection of managers at different levels

4.4 Processes

Developing and maintaining credibility with stakeholders is crucial to an organization's success and overall contribution. Government institutions with a reputation for consistent, solid performance earn public trust, decrease private sector risk, and encourage investor confidence, all of which pave the way for greater citizen satisfaction and economic prosperity.

Organizational credibility depends largely on the reliable, timely delivery of quality products and services – policies, regulations, and services produced by the government mean little to stakeholders until they are properly implemented and enforced, and their benefits are demonstrated.

Operational factors influence success in this area. Processes should be designed and implemented to minimize cost, effort, delay, and risk, while maximizing productivity, efficiency, and quality. Achieving success in this area is the operational key to meeting and exceeding customer needs and expectations.

An organization with excellent processes systems takes a proactive approach to process design, focusing on preventing problems before they occur and constantly reviewing the results to find ways to streamline procedures and cut red tape. It maintains open, two-way communication channels with customers to develop an accurate, evolving understanding of needs and expectations, and manages its relationships with partners and service providers to ensure that outsourced products and services are delivered according to the organization's timeline and specifications. Most importantly, it is committed to continuous improvement, always searching for ways to enhance performance and increase customer satisfaction.

The Processes criterion examines the design and implementation of processes that the organization uses to deliver key products and services. It assesses how effectively the organization:

- manages its processes to meet organizational goals
- identifies customer needs and expectations and designs processes to meet or exceed them
- gathers customer feedback and incorporates this information into process design to improve customer satisfaction
- manages relationships with suppliers and service providers to ensure efficient delivery of products and services that the organization needs.

4.4.1 Supporting the Three Pillars of Good Governance through Processes

Aspects of citizen-centered processes: Citizen-centered processes give the organization's customers easy, reliable, and equitable access to products and services. They are designed according to well-researched customer needs and expectations, and continuously updated and improved based on customer feedback. They are designed with customers in mind and in a manner that treats all citizens as valued customers. They ensure ample time for public feedback on proposed changes to public policies,

regulations, and services. They take the opinions of the public into account in their decision making.

Aspects of results-focused processes: Results-focused processes deliver quality, timely products and services and ensure smooth internal operations by using procedures that are continually streamlined and improved to make the most efficient use of time, money, and effort. They are designed using a proactive approach that emphasizes preventing problems before they occur to avoid the expense and delay associated with having to fix them during implementation. They are continually updated to accommodate changes in the organization’s resources and goals as well as customer needs and expectations.

Aspects of transparent processes: Transparent processes combat corruption and improve access to government services. They translate legislation, regulations, policies, and rules into procedures that are easy to understand and carry out, reducing opportunity for abuse or misinterpretation. The procedures for each process are thoroughly outlined. Accountability for their effective implementation is clearly assigned. Those accountable are sufficiently empowered to carry out the processes effectively.

Processes are documented internally and disseminated to the public to clearly inform customers about procedures, inputs required from them, and their rights and entitlements. Effective processes ensure trouble-free, equitable access for all citizens to products and services provided by the government.

4.4.2 Sub-criteria and Factors that Support Excellence in Processes

A number of elements support excellence in Processes. The relationships between these elements are shown in Figure 13. Objective, observable evaluations of these elements support the assessment of the level of Processes in an organization. In the following section, we outline the importance of each of these elements and provide a description of how top-performing organizations employ these elements to support a Culture of Excellence.

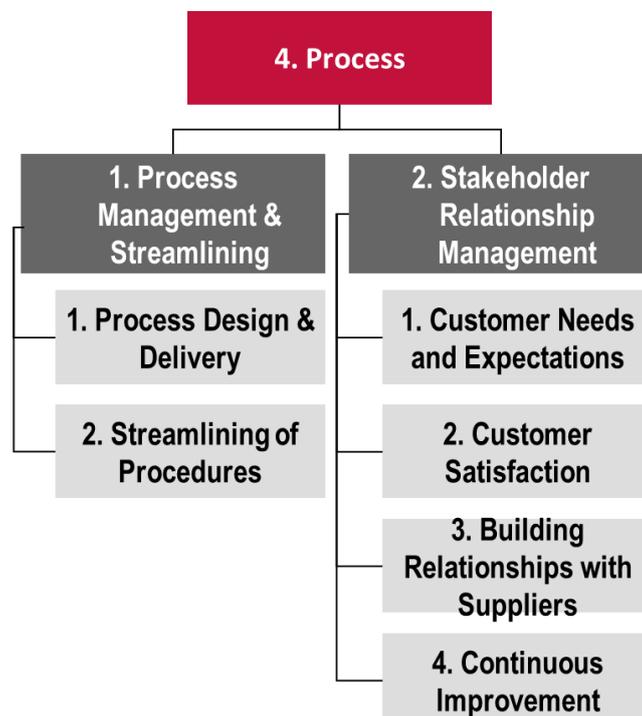


Figure 13: Relationships among process elements

Sub-criterion 1: Process Management and Streamlining

- **Why it is important.** This Sub-criterion examines how the organization designs, implements, reviews, and improves its key and support processes to ensure safe and efficient product and service delivery. It assesses how effectively the organization controls costs, implements time-cycles, integrates technology, and coordinates and tests processes to minimize duplication and cost, as well as to anticipate and prevent problems.
- **What excellence looks like.** The organization operates at maximum efficiency, performing its functions with minimal cost and effort while providing the best possible service to customers. It takes a proactive approach to process design, anticipating and preventing problems before they occur during implementation and continuously searching for ways to reduce redundant or unnecessary steps.

Factor 1: Process Design and Delivery

- *Why it is important.* By designing processes logically, testing them, and constantly monitoring their implementation, the organization can enhance its ability to deliver products and services in a timely, cost-effective way. Planning end-to-end processes comprehensively can ensure that related processes interact smoothly and without delays across both departmental and organizational lines.
- *What excellence looks like.* The organization prevents problems in process implementation before they occur, resulting in fewer corrective actions, smooth internal operations, and a high level of customer satisfaction with product and service delivery. All processes are clearly mapped out in a format that shows the inputs, procedures, and outputs for each. They are tested before being introduced, and adequate resources are allocated to produce timely, quality results. Procedures for monitoring delivery results are built into the process itself and help identify flaws in design and impediments to implementation. The organization studies the impact that individual processes have on each other, and coordinates them so that they enhance, rather than detract from, each others' effectiveness. The organization also communicates and cooperates effectively with other organizations to ensure that end-to-end processes, those that require cooperation across organizational lines to complete, are efficient and trouble-free.

Factor 2: Streamlining of Procedures

- *Why it is important.* Streamlining procedures reduces the time, effort, and costs that go into the delivery of products and services by deleting or merging steps and eliminating red tape. Effective streamlining maintains customer satisfaction by facilitating process delivery and helping the organization to achieve targeted results and meet customer needs more efficiently.
- *What excellence looks like.* The organization's continuous efforts to simplify procedures and eliminate unnecessary steps result in lowered expenditures, increased efficiency, and improved service delivery. Employees feel a sense of ownership and responsibility for the processes in which they are involved, and participate in efforts to simplify procedures and improve results. The organization encourages their contributions, and employees are recognized and rewarded for their efforts. The organization deals effectively with resistance to change, communicating with employees to ensure that they feel comfortable with the effects that procedural changes will have on their work and providing them with

adequate training and support to implement newly streamlined processes smoothly and efficiently.

Sub-criterion 2: Stakeholder Relationship Management

- **Why it is important.** This Sub-criterion examines the organization's processes for satisfying customers. It assesses the organization's ability to identify, anticipate, meet, and exceed customer needs and expectations. It assesses how well the organization understands the key elements of customer satisfaction, (e.g., efficiency, transparency, and equal access to services), and to what extent it gathers and uses customer feedback to continually identify and act on opportunities to improve customer service. It also assesses how effectively the organization manages its relationships with suppliers of goods and services.
- **What excellence looks like.** The organization has a thorough understanding of how customer requirements, supplier performance, and the organization's own operations affect each other, and effectively manages these relationships to ensure timely, efficient delivery of quality products and services and enhance customer satisfaction. Customer needs and expectations are well understood, and customer service is supported by effective staff training, adequate facilities, and mechanisms for monitoring customer satisfaction.

Factor 1: Customer Needs and Expectations

- *Why it is important.* In order to provide customers with excellent service, the organization needs an accurate understanding of customer requirements, expectations, and preferences.
- *What excellence looks like.* Customers supply the organization with continuous feedback about their needs, expectations, and preferences through communications channels provided and promoted by the organization. The organization knows who its customers are and has developed appropriate methods for soliciting and collecting their feedback. Customer complaints are addressed promptly and taken seriously, demonstrating to customers that it is worthwhile for them to provide feedback. The organization also anticipates customers' future needs and expectations to ensure that the strategic plan and key processes are updated before they become obsolete. The organization also keeps customers well informed about customer service processes and what the customer must do or provide to obtain products and services.

Factor 2: Customer Satisfaction

- *Why it is important.* Empowering staff to respond promptly and thoroughly to customer inquiries and concerns is key to customer satisfaction. Maintaining open channels of communication with customers ensures that their concerns are heard and understood, and helps the organization improve the level of service it provides.
- *What excellence looks like.* The organization maintains a high level of customer satisfaction. Processes are updated and streamlined, and the staff consistently responds to customer complaints in a prompt, courteous, and helpful fashion. Updated knowledge of customer requirements and direct customer feedback are used to design trainings and improve processes. Customer satisfaction is routinely monitored through a variety of methods, such as staff documentation of interactions with customers and the establishment of customer inquiry hotlines.

Factor 3: Building Relationships with Suppliers

- *Why it is important.* Building relationships with suppliers of goods and services is essential to effective and efficient operations. Selecting competent, trustworthy suppliers and maintaining open channels of communication with them helps ensure that the organization receives the products and services it needs in a timely fashion.
- *What excellence looks like.* The organization is willing to give up control of non-core government functions when it is determined that partners, including private sector organizations, could carry out these functions more efficiently, or cost-effectively. The organization's suppliers and service providers are efficient, conscientious, and trustworthy, and consistently deliver products and services that meet the organization's needs. The organization works with reliable partners and selects them using an impartial, completely transparent system based on clearly defined best-value criteria. The organization maintains open communication with its suppliers throughout the process, ensuring that the organization's needs and expectations are clear from the outset and that any changes to the agreed terms are thoroughly understood and promptly implemented. The organization also provides useful feedback to its partners about their performance, helping them to improve the efficiency and quality of their services.

Factor 4: Continuous Improvement

- *Why it is important.* Excellence in customer satisfaction entails continually searching for and identifying ways in which the organization can achieve higher standards of customer service by improving efficiency, effectiveness, and timeliness.
- *What excellence looks like.* The organization not only meets but exceeds customer expectations on an ongoing basis. The organization continually searches for opportunities to update its products, services, processes, and facilities to meet changing customer demands and take advantage of new technologies or methodologies that may enhance customer satisfaction. The organization communicates effectively with customers about its improvement efforts, and involves them in the process through direct interactions such as focus groups, public meetings, field visits, and questionnaires.

4.4.3 Interrelationships between Processes and Other Criteria

Excellent processes support excellence in the other four criteria by ensuring that the organization's day-to-day customer service operations are smooth, trouble-free, and meet the changing needs of customers. It also provides a model for improving other aspects of the organization's operations.

Leadership: Excellent processes ensure that the organization can function well without constant supervision from management, freeing the leadership to focus on broader issues and long-term strategy. They also clearly assign responsibility and accountability for resources, which allows the organization to monitor how authority is delegated and ensure that those who are in the best position to make decisions are empowered to do so.

People: Process management directly affects employee performance and morale. Streamlining operational and customer service processes and allocating sufficient resources to them reduces employee frustration, promotes cooperation, and helps the organization make full use of the time and talents of its staff. In addition, by applying the

principles of excellent process management to its human capital management systems, an organization can ensure that its procedures for building and maintaining the workforce are transparent, efficient, and designed to meet the organization's changing needs.

Knowledge: Processes that have a built-in mechanism for gathering appropriate feedback can supply the organization with continuous information that is directly relevant to its goals. In addition, the organization can apply the principles of excellent process management to its knowledge management system to enhance the impact of organizational knowledge on performance. Employees at all levels are more likely to participate actively in knowledge management if the procedures are well defined, easy to follow, and designed to reflect their needs.

Finances: Processes that are well designed and streamlined reduce costs and allow the organization to make the most efficient use of its financial resources. In addition, the organization can apply the principles of excellent process management to its financial administration system to prevent mismanagement and corruption. Clear, appropriate accounting procedures assign clear responsibility for various aspects of financial management, help the organization monitor the extent to which funds are being allocated according to the budget, and generate accurate information for reports about financial performance.

4.4.4 Key Sources of Processes Information

There are specific people in any organization that work closely with Processes and its elements. These people can be excellent sources of information as the OSTP team collects information regarding the functioning of the Processes systems within an organization.

These people include:

- Research and Studies Manager
- Internal Audit Manager
- Planning and Development Manager
- Quality Customer Services Manager
- Investment Promotion Manager
- Business Development Manager
- Internal Control Manager
- Procurement and Supply Manager
- Quality Control Manager

4.5 +

Finance

Unlike private companies, making money is not the ultimate goal of most public institutions. Proper financial management is nevertheless crucial for any organization wishing to achieve any goal, and is particularly important in the public sector. Government organizations have an obligation to spend their funds wisely and account for those expenditures openly and honestly, not only because those funds come largely from taxpayer dollars but also because they are spent on behalf of citizens. As the rightful owners of government and the primary stakeholders in any public institution, citizens deserve the best possible results for their money, and have the right to scrutinize government spending to ensure that this is, in fact, what they are getting. Financial mismanagement (the wasting of funds through inept budgeting and accounting procedures) and corruption (the intentional theft or misallocation of funds) are both serious breaches of public trust, can do severe damage to an organization's reputation, and can profoundly impair an organization's ability to achieve desired societal outcomes. In addition to harming an organization's financial situation and hindering its ability to achieve goals, poor financial management at one organization can reduce stakeholder confidence in government in general, which in turn has a wide variety of economic, social, and political implications.

The Finance Criterion examines the organization's financial administration and budgeting process. It assesses how effectively the organization:

- Develops its budget and allocates funds to meet the objectives of its strategic plan;
- Designs and implements accounting systems that ensure financial accountability, prevent mismanagement, and enable the organization to make best use of available resources; and
- Analyzes its financial performance and applies lessons learned to continually update and improve budgeting and financial administration.

An organization with excellent financial administration not only develops and implements a sound, realistic, well-informed, outcomes-based budget, but also makes a concerted effort to provide stakeholders with timely access to accurate information about the budgeting process, the projects funded, and the results achieved. All of this facilitates greater public inquiry, oversight, and dialogue, and more informed decisions on the how a government agency prioritizes and seeks to achieve outcomes. Excellent organizations reduce the chance of financial mismanagement, eliminate opportunities for corruption, and channel financial resources towards the optimal means of achieving national goals.

4.5.1 Supporting the Three Pillars of Good Governance through Finance

Aspects of citizen-centered financial administration: Citizen-centered financial administration recognizes the fact that organization's funding comes from citizens, and that it comes with a specific mandate – to serve the public's best interest. It understands that the primary role of the budgeting process is as a planning and management exercise that enables the organization to meet the needs of citizens more efficiently and effectively. It plans the budget according to the best available information about citizens needs, continuously updates the budget to take into account emerging circumstances and changes, and regularly reviews its budgeting process to ensure that serving citizens remains the ultimate focus at every stage. It emphasizes public access to information

about the budgeting process as not only a public right and government obligation, but also as a channel for gathering information about citizen needs and expectations that can be used to further refine and improve overall financial management.

Aspects of results-focused financial administration: Results-focused financial administration sees maximum efficiency and effectiveness as the ultimate goals of financial management. It budgets and allocates funds, and assesses the effectiveness of this process, according to clear objectives laid out in line with strategic plan and, more broadly, national goals. It places great importance on reliable information systems, thorough accounting procedures, and strict accountability measures as essential budgeting tools. It emphasizes continual monitoring and reassessment of financial utility and outcomes. It utilizes both short and long term financial planning for recognized current and future needs. It plans for various contingencies and financial windfalls. It involves a strict alignment of financial resources with prioritized goals and regular reviews of financial effectiveness against key indicators. Perhaps most importantly, it involves making and carrying out difficult decisions on the priorities emphasized and financed by the organization based on these reviews, and reallocating funds based on factual evidence.

Aspects of transparent financial administration: Transparent financial administration respects the organization's obligation to facilitate public scrutiny of government spending. It keeps accurate, thorough records not only of the accounts, but also of the process by which the organization develops, implements, refines, and reviews its budget. It develops and employs systems that provide a continuous supply of accurate information to decision-makers to help them monitor financial management and ensure that the process is properly carried out and free of corruption. It emphasizes the regular provision to the public of reliable information that is a combination of financial data and assessments of projects.

4.5.2 Sub-criteria and Factors that Support Excellence in Finance

A number of elements support excellence in Finance. The relationships between these elements are shown in Figure 14. Objective, observable evaluations of these elements support the assessment of the level of Finance in an organization. In the following section, we outline the importance of each of these elements and provide a description of how top-performing organizations employ these elements to support a Culture of Excellence.

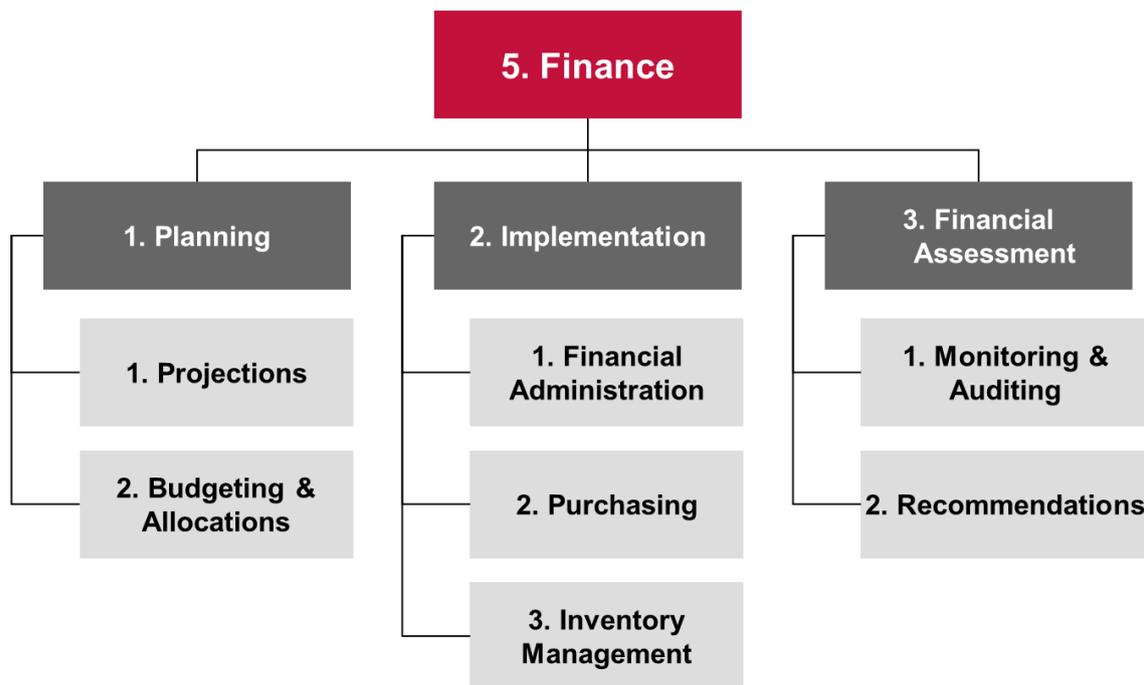


Figure 14: Relationships among finance elements

Sub-criterion 1: Planning

- **Why it is important.** This Sub-criterion examines the organization’s budget and allocation process. It assesses to what extent the organization gathers sufficient, relevant information for making sound budgeting decisions, and how effectively the organization develops the budget and allocates funds to achieve the goals of the strategic plan.
- **What excellence looks like.** Budgeting is a continuous process in which planning is always ongoing. The organization’s activities, projects, and programs are well-chosen and adequately funded to provide the best and most relevant information, goods, and services possible within the organization’s financial limits.

Factor 1: Projections

- *Why it is important.* Excellent financial management depends on the organization’s ability to make accurate projections about its activities for the coming year and beyond. Managers need reliable data about the organization’s expected revenues, well researched estimates of program costs, and a thorough understanding of the organization’s current and future goals to make sound budgeting decisions.
- *What excellence looks like.* The organization thoroughly reviews past experience, current information, and future plans to accurately predict its financial requirements for the coming year. It gathers a wide variety of data on an ongoing basis for use in budgeting decisions, including but not limited to records of past financial performance, employee feedback about the work environment, customer feedback about their needs and expectations, and information about technological upgrades that may benefit the organization. Every program, project, and activity that the organization considers is well conceived in advance, allowing managers to do an accurate cost/benefit analysis of each proposed item based on complete and reliable information prior to making funding decisions. The organization reviews

its budget on a regular basis to assess the success of previous decisions and gathers feedback for use in future budgeting cycles. It also anticipates and tracks future legislative, regulatory, and strategic changes that may impact the organization's work, and therefore its financial needs, and integrates this information into its ongoing budget planning process to ensure long-term financial viability.

Factor 2: Budgeting and Allocation

- *Why it is important.* Budgeting and allocation are an open-ended process. By developing a flexible, participatory approach to budgeting and managing and monitoring the allocation of funds on an ongoing basis, the organization can ensure that its funds are always being used in the most effective and efficient way.
- *What excellence looks like.* The organization's budgetary decision-making process is dynamic and participatory, producing a flexible budget that addresses all aspects of the organization's needs. It involves staff at all levels in gathering and analyzing information and providing feedback on budgeting options, ensuring that managers have an accurate, comprehensive, and up-to-date picture of all factors involved, including changes in organizational strategy, stakeholder interests, and technologies that have the potential to significantly affect the organization's work. The organization makes a concerted effort to keep staff informed about the budgeting process and explain funding decisions, allowing employees to participate in monitoring the allocation of funds and ensuring that the budget is properly implemented. The organization actively works with the Ministry of Finance or other relevant oversight entity to manage timelines, increase predictability, and enable more timely and informed financial management.

Sub-criterion 2: Implementation

- **Why it is important.** This Sub-criterion examines the organization's financial administration system. It assesses the effectiveness of the organization's accounting system for ensuring that funds are managed according to the priorities of the budget and for preventing financial mismanagement and corruption. It also assesses how well the organization coordinates its purchasing and inventory activities to ensure both the continuous availability of supplies and the most efficient use of cash.
- **What excellence looks like.** The organization manages its funds efficiently and responsibly. Clear, well-documented, and up-to-date systems and procedures for accounting, purchasing, and inventory management help prevent financial mismanagement and reduce opportunity for corruption.

Factor 1: Financial Administration

- *Why it is important.* A well developed accounting system designed according to internationally accepted standards is essential for preventing financial mismanagement and corruption.
- *What excellence looks like.* The organization's accounting system helps the organization achieve a high standard of financial transparency, closely monitoring the implementation of financial decisions and regularly producing accurate information about the organization's financial situation. The system conforms to internationally recognized standards and is regularly reviewed and updated to ensure that it meets the organization's business requirements. The organization implements an applied cost accounting system, enhancing the organization's

ability to produce more accurate and detailed reports comparing the cost and benefit of specific programs and budget items. All accounting procedures are clear and well-documented. Accounting staff are well trained in these procedures, and non-accounting staff have a general appreciation for the importance of proper accounting procedures and the impact that their functions have on financial management. The organization encourages and facilitates public scrutiny of its financial performance by publishing regular reports that review, in plain language, financial procedures, decisions, and results.

Factor 2: Purchasing

- *Why it is important.* A clear, well defined system for purchasing supplies from outside sources that involves proper documentation and recordkeeping helps the organization control and monitor its expenditures. Likewise, fair and transparent procurement practices ensure that the organization receives the best value for its money. It also supports the development of a vibrant and competitive private sector by reinforcing fair competition and awarding contracts on merit.
- *What excellence looks like.* The organization consistently purchases best-value goods and services from reliable suppliers. Employees are well trained in the proper implementation of purchasing procedures, which are routinely applied throughout the organization. They also understand the crucial importance of fair and transparent government procurement as a means to increase private sector competitiveness and support economic growth. The purchasing system involves clear, mandatory documentation, such as vouchers, receipts, correspondence, and other relevant forms, which help the organization to easily monitor its expenditures, track the history of purchasing decisions, and prevent fraud and embezzlement. The approval system is clear, efficient, and transparent. The organization also has procedures for documenting supplier performance, ideally within a broader government supplier-information network, and employees usually refer to these records before making subsequent purchasing decisions. The organization regularly reviews and updates its purchasing procedures to ensure that the system remains fraud-free and provides financial managers with accurate information for use in financial planning.

Factor 3: Inventory Management

- *Why it is important.* Proper inventory management is critical to ensuring that the organization always has adequate supplies on hand to carry out its functions. It also helps the organization prevent unnecessary expenses and manage available funds wisely.
- *What excellence looks like.* The organization's inventory management is both cost efficient and effective, ensuring that the organization always has adequate supplies on hand to carry out its functions. Inventory is carefully monitored to reduce losses arising from mishandling or expiration, prevent unnecessary purchasing, and provide early warning when supplies run low. The organization's purchasing schedule is flexible, allowing the organization to plan purchases according to expected cash flow levels and the fluctuations in the price of certain commodities. The organization guarantees the physical safety of its inventory as well as the security of its investment in that inventory by using effective storage methods and ensuring that its property insurance policy covers inventoried items.

Sub-criterion 3: Financial Assessment

- **Why it is important.** This Sub-criterion examines the organization’s system for reviewing and improving its budgeting and accounting activities. It assesses the effectiveness of the organization’s monitoring and evaluation system for providing continuous, critical feedback about budget performance. It also assesses how well the organization applies lessons learned when updating budget priorities and revising the budgeting process.
- **What excellence looks like.** The organization’s budgeting process and financial management practices are continually improved through ongoing monitoring of financial performance, regular auditing of results and practices, and the cooperative efforts of financial administrators and managers to learn from past experiences.

Factor 1: Monitoring and Auditing

- *Why it is important.* Constant monitoring and regular auditing of the organization’s financial administration is a necessary safeguard against corruption and the embezzlement of public funds. Effective monitoring and auditing systems assess organizational performance using relevant indicators and compare actual outcomes with forecasted results to provide managers with information that can be used to update priorities and improve budgeting and funding allocation systems.
- *What excellence looks like.* The organization maintains a high level of vigilance over its financial administration, allowing it to take prompt corrective action to fix budgeting problems, gather accurate information for use in future stages of the budgeting process, and prevent corruption and financial mismanagement. To properly assess the performance of its budgeting process, the organization sets key indicators that focus on how well customer service goals are being met. These indicators are designed to help the organization to do an accurate cost-benefit analysis by assigning a “value” to outputs that can be compared to the financial resources that went into producing them. To reflect the true value of the organization’s outputs, the indicators measure both the quality and the quantity of the goods and services the organization was able to provide during the period under review. At the end of each budget cycle, the organization thoroughly reviews these indicators, and also compares its projected budget figures to the actual expenditures and revenues. Results of these reviews are published in comprehensive budget reports. Information gathered from these review processes are used to help managers plan future budget cycle and improve the organization’s financial administration systems.

Factor 2: Recommendations

- *Why it is important.* To ensure continuous improvement in the budgeting process, financial managers and decision makers must work together to apply lessons learned from previous budget years to the current and future financial challenges that the organization faces.
- *What excellence looks like.* The organization learns from past budgeting cycles and actively applies these lessons to improve financial administration and enhance overall performance. Financial managers work closely together with organizational leadership to assess strengths and weaknesses in the organization’s budget-related processes for information gathering and review, decision-making, and monitoring. Financial managers, in return, understand the importance of providing organizational leadership with accurate, timely, relevant information,

and actively seek to improve the quality of their contribution to the budgeting process.

4.5.3 Interrelationships between Finance and Other Criteria

Leadership: Excellent financial management gives leaders more to work with in achieving the organization's goals – more information, more funds, more public trust. An organization that manages its finances well not only maximizes its ability to produce results, it also proves itself worthy of being entrusted with a greater share of government funds in future years, and increases its chances of success when requesting funding for new projects or programs in the government's budget. Effective financial information systems provide leaders with information that they can rely on when making decisions not just about budgeting but also about issues such as objectives and operations. Scandal-free use of public funds also helps the organization maintain a positive reputation among citizens, critical to the overall success of any government institution.

People: Excellent financial management enhances both employee performance and employee welfare. It ensures that all employees have access to sufficient resources to meet the performance requirements of their jobs. Budgeting processes that are participatory and transparent foster a greater sense of investment in the organization's work, provide employees with a better understanding of organization's operations and how they can contribute, and prevents misperceptions about funding allocation that can damage employee morale. Proper information gathering systems allow the organization to determine how best to spend funds for employee satisfaction programs and accurately assess the value of these programs.

Processes: Excellent financial management allocates sufficient resources to key processes to ensure that they run smoothly and produce high-quality results. Information gathered for the purpose of monitoring and improving the budgeting process can also be used to identify and fix weaknesses in other processes as well as improve customer service standards. A proper purchasing documentation system can help the organization closely monitor its relationships with suppliers to determine which are most reliable and provide the best value for money.

Knowledge: Excellent financial and knowledge management feed one another. Effective financial management creates more informed budget decisions. Knowledge captured and retained from past budget years ensures better overall financial management. Better financial management helps the organization develop its overall knowledge assets by ensuring that improvements to the knowledge management system are considered during the budgeting process.

4.5.4 Key Sources of Finance Information

There are specific people in any organization that work closely with Finance and its elements. These people can be excellent sources of information as the OSTP team collects information regarding the functioning of the Finance systems within an organization.

These people include:

- Financial Manager
- Quality Control Manager
- Internal Control Manager
- A random selection of staff at different management levels

- Planning Manager

5 Collection and Analysis of Self-assessment Data and Information

You have now been introduced to the five criteria in detail and have developed a perspective on the importance of each of their supporting sub-criteria and factors and how to identify excellence in each of these factors. We will now discuss how to assess these factors for your organization, using 3 key tool sets:

1. Survey
2. Questionnaire
3. Interviews

The practical process of using these tools will be combined with your knowledge of the five criteria, the three pillars and the purpose of the “Culture of Excellence” to support your assessment of the current state of your organization.

These tools have been designed to collect concrete evidence on the effectiveness of the organization’s systems, based on the experiences of the organization’s staff and management. As users of these tools, you are asked to collect and record as much concrete evidence as possible to support your evaluation. Examples of concrete evidence include:

- Survey scores based on representative sample of the organization’s employees
- Specific quotes and statements from interviews
- Ratings given on questionnaires
- Examples and stories illustrating system performance

In most cases, this evidence will need to “sanitized” to remove details that may identify the source of information and keep the information confidential, to respect the source of information, as well as the confidentiality policy outlined in section 2.1.

These tools provide a snapshot of organizational system performance on multiple levels of the organization, with an emphasis on mid- to upper-level management. Coverage is both broad and deep, based on the integration of the survey and interview tools, as described in Figure 15.

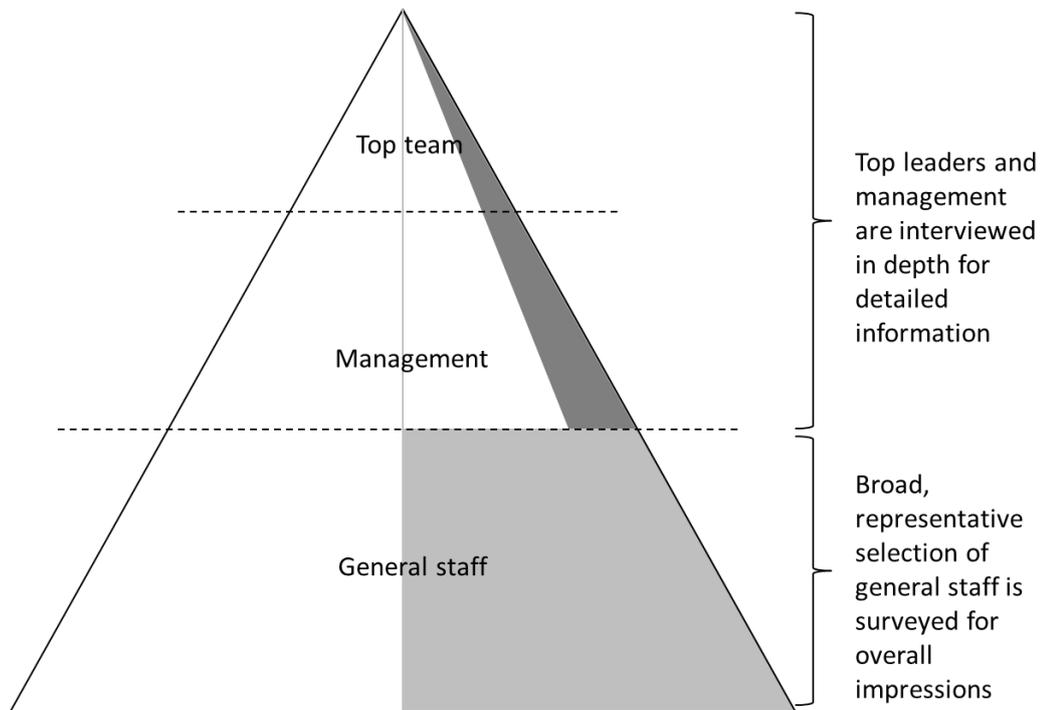


Figure 15: Combination of surveys and interviews provide multi-level perspectives

This snapshot gives the team the opportunity to understand the organization from a variety of perspectives. The integration of many perspectives in the report is what makes it valuable as a tool in reforming the organization. This is why the team must strive to represent these different perspectives faithfully and accurately.

Please remember that this report only provides a snapshot of organizational systems within the organization. The management and leadership may choose to employ other tools to examine specific technical processes and systems within the organization.

In preparation for all of the self-assessment activities, it is advised that the OSTP team work with organization leadership to provide information to the participants and the organization at large to create excitement about participating in the self-assessment activity. This communication reinforces transparency about the self-assessment process and can alleviate very real fears about the intentions of the self assessment. The Iraqi professional culture reflects the history and top-down hierarchy of the past few decades. For that reason, it is important to highlight the different approach of this program and the intention to make the organization a better, more effective place to work, rather than to judge specific employees. To this end, brochures, posters and meetings can be employed in order to provide employees with information and alleviate their fears.

5.1 Survey

The survey is administered to a broad selection of the organization's employees in order to determine the knowledge base within the organization about organizational systems. This tool also provides a quick read as to the extent of communications regarding organizational systems and its effectiveness in reaching all levels of the organization.

In support of the principles of "kaizen," the survey also provides an opportunity for employees on all levels of the organization to contribute to the self-assessment activity.

This opportunity to participate creates increased buy-in for the Transformation efforts to come. Given the structure of most Iraqi ministries and organizations, it is suggested that groups be selected to represent a broad selection of the organization with all hierarchical levels and geographies represented proportionally in the survey.

The survey is designed to be administered either electronically or on paper. Electronic administration is more efficient, in that it removes a step (data entry) from the process. However, the organization must consider its resources to determine the most effective and timely means of conducting the survey.

Regardless of the medium in which the survey is administered, it is recommended that the survey be administered at one time to specific groups of people during a pre-determined time in Iraqi ministries. Most successful response rates have been achieved by bringing survey takers into one room, with access to pen and paper or computer terminals, over a pre-set period of time. A short introduction to OSTP and definitions of terms may be needed to ensure full, informed participation of the survey takers.

5.2 Questionnaire and Interviews

Information from the upper levels of the organization is collected using a combination of questionnaires and interviews.

The questionnaire is used in conjunction with interviews to collect information and develop a perspective on how the organization's systems are working in support of the three pillars of government excellence and the Culture of Excellence. The process for collecting and employing questionnaire and interview information is detailed in Figures 16-24.

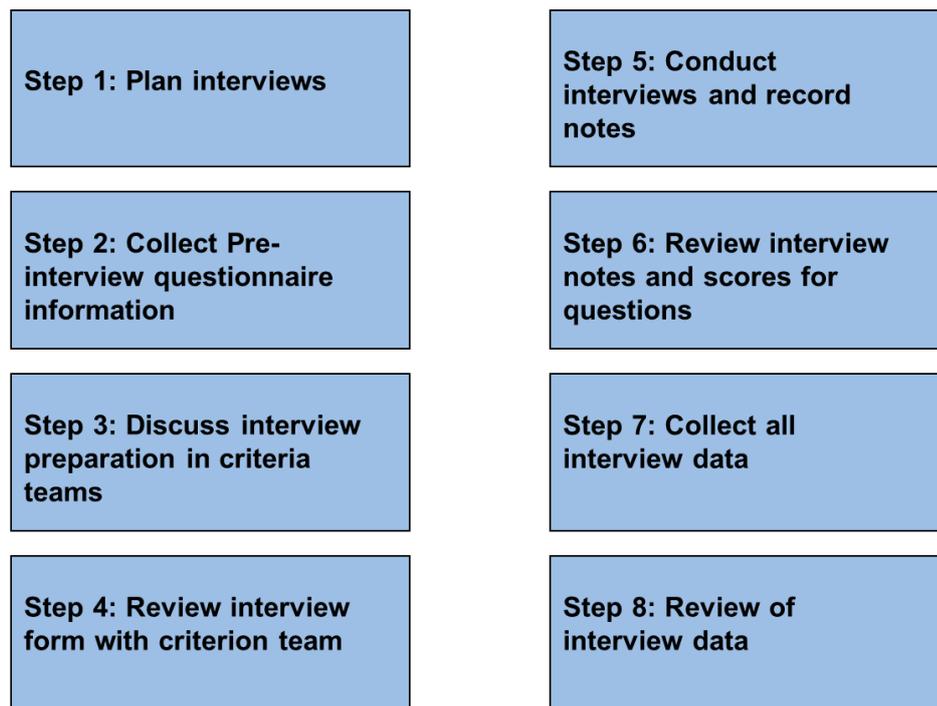


Figure 16: The interview process uses simple steps to collect and test information from interviewees

Activities	<ul style="list-style-type: none"> Use answers from Pre-interview Questionnaire to develop hypothesis/point of view regarding current state of organization Review Interview Scoring Guide to understand and align opinions on potential scores
Deliverables	<ul style="list-style-type: none"> Hypothesis/point of view on organization position for most questions Identified areas where more information is needed
Owner	<ul style="list-style-type: none"> Each criterion team
Timing	<ul style="list-style-type: none"> 0.5 days

Supporting materials

- Pre-Interview Questionnaire
- Interview Scoring Guide



Figure 19: Step 3 - Discuss interview preparation in criteria teams

Activities	<ul style="list-style-type: none"> Use answers from Pre-interview Questionnaire and professional experience to understand areas for further investigation Clarify within teams which questions or parts of questions from interview form will be discussed in interview
Deliverables	<ul style="list-style-type: none"> Interview forms with specific questions marked for deeper focus in interviews
Owner	<ul style="list-style-type: none"> Each criterion team
Timing	<ul style="list-style-type: none"> 0.5 days

Supporting materials

- Pre-Interview Questionnaire
- Individual Interview Form



Figure 20: Step 4 – Review individual interview form with criterion team

Activities

- Criterion leader enters information into Interview Summary Forms – Notes and Scores
 - Records final interview scores for each question for all interviews
 - Records interview notes based on all interviews for each factor
- Criterion leader gives Interview Summary Worksheet to OSTP team champion

Deliverables

- Completed Interview Summary Worksheet for each criterion

Owner

- Criterion leader

Timing

- 1 day

Supporting materials

- Individual Interview Form

The supporting materials include three forms. The top form is the 'Interview Form' (استمارة المقابلة) with fields for 'المرشح' (Candidate), 'المرتب' (Position), and 'ملاحظات المقابلة' (Interview Notes). The middle form is the 'Interview Summary Worksheet' (ورقة عمل ملخص المقابلة) with a table for 'المرتب' (Position) and 'المرشح' (Candidate) with columns for 'الوقت' (Time) and 'الدرجة' (Score). The bottom form is another 'Interview Summary Worksheet' (ورقة عمل ملخص المقابلة) with a table for 'المرتب' (Position) and 'المرشح' (Candidate) with columns for 'الوقت' (Time) and 'الدرجة' (Score).

Figure 23: Step 7 – Collect all interview data

Activities

- OSTP team champion reviews all Interview Summary Worksheets
- OSTP team champion submits Interview Summary Worksheets to GSP OSTP team
- GSP team reviews notes and scores

Deliverables

- Agreement on final report content

Owner

- OSTP team champion

Timing

- ~1 week

Supporting materials

- Interview Summary Form – Notes
- Interview Summary Form - Notes

The supporting materials include two forms. The top form is the 'Interview Form' (استمارة المقابلة) with fields for 'المرشح' (Candidate), 'المرتب' (Position), and 'ملاحظات المقابلة' (Interview Notes). The bottom form is the 'Interview Summary Worksheet' (ورقة عمل ملخص المقابلة) with a table for 'المرتب' (Position) and 'المرشح' (Candidate) with columns for 'الوقت' (Time) and 'الدرجة' (Score).

Figure 24: Step 8 – Review of interview data

6 Appendices

6.1 Frequently Asked Questions

6.1.1 Preparation for self-assessment activities

What can we do if regulations and controls limit the efforts of the self-assessment team? What are some examples of these?

Answer\ In some cases, there is a need to obtain approvals to obtain the written documents (e.g. strategic plan is confidential sometimes) in advance of the OSTP Program. Note that excessive restrictions and controls should also negatively impact scores as this indicates that the organization is insufficiently transparent.

Does the self assessment process need legal and legislative approvals and authorities to enable interviewers to conduct interviews?

Answer\ No. OSTP is a self assessment and thus an internal matter. The only approval that is required is that of the leadership of the organization conducting the self assessment. Keep in mind that the self-assessment will not be distributed externally. Only the organization conducting the self assessment and the organization facilitating it will see the assessment results. These will not be shared with others and organizations will not be compared with each other.

Is it preferable for the evaluation to be at the organization level or on the level of the department dependant to that organization?

Answer\ Both are possible and there are pros and cons to each. Assessing the entire organization will result in a broader assessment that is less detailed or 'deep'. Assessing at the department level will provide a more detailed report, though more of the factors assessed, and problems, will be outside of the control of the department. Furthermore, the size of the organization affects the recommended use of OSTP. Generally for organizations that are ~1,500 or fewer employees, we recommend conducting the evaluation at the organizational level. For larger organizations, it can make more sense to focus at the directorate/department level.

Is it preferred to choose the self- assessment team exclusively from the same department or from other departments?

Answer\ If the assessment is for one department, it is preferred to choose from several units within that department. This will improve the accuracy and impartiality of the assessment. If the assessment is for the organization, it is fine to choose individuals from the same department (to build an OSTP specialty within this department and support OSTP roll out throughout the organization) or to choose from several departments. Keep in mind, however, that these individuals need to have knowledge that span the five criteria.

Can we set up a forum or publish brochures about the program to the employees before beginning the process of self-assessment to clarify the idea of the program and grant it a more formal shape?

Answer\ Forums and brochures are valuable and can be used. They are a good step before beginning the process of self-evaluation but are not mandatory. We have also prepared success stories from OSTP implementation in other Iraqi institutions. These can be very effective communication tools.

What sample set should be covered in the survey? Shall I include the staff from the lower levels (e.g. service workers) in the survey?

Answer\ The survey includes executive employees and service workers. While the questionnaires and interviews are for management, the survey includes all staff who work at the organization as they all have rights and duties. Also, inclusion generates support for the OSTP efforts and a sense of belonging to the institution. If necessary, you can explain the questionnaire to them so they are able to reply.

6.1.2 Conducting self-assessment activities

Can I use video recorders during the interviews?

Answer\ Yes, you can use the video recorders during the interviews to document the interviews and clarify the efforts of the team, but it is important to assure interviewees that the answers they provide will not be made public or attributed to them directly.

What can we do if some of the people we interview do not provide adequate support because of their suspicion or skepticism about the project (as resistors of change)?

Answer\ Before the interview begins, try to ensure that interviewees are well aware of the purpose of the OSTP Program and the interviews. Assure them that their names will not be used and their answers will not be attributed to them personally. At the beginning of the interview reiterate these points. In cases where they still do not provide adequate answers, assessors should find an alternative person to interview.

What if some of the questions do not coincide with the job position of the participant and the job position of his manager?

Answer\ In cases where the person interviewed is not familiar with the subject in which she is being interviewed, try and ask the interviewee to answer the questions from the perspective of how these operations affect her. For example, a line manager might not be aware of all purchasing policies, but she will know if she has to provide receipts for purchases and/or request bids from private sector vendors for larger procurements. In the event that questions are completely irrelevant to the person or irrelevant to the organization's activities, then you can leave it and write a note that this question is not relevant to the organization's activities.

What happens if there is a discrepancy in the responses of interviewees and the point of view of interviewers themselves?

Answer\ The purpose of the interview is to gain the perspective and assess the answers of the interviewee. Interviewers should use their heightened understanding of government and criteria best practices in determining the scores, and can use their general understanding of the organization for context. However, it is the interviewee's answer that is being assessed. The interviewee's written responses should give the assessor an idea, or hypothesis, of the score. The interview should explore this answer much further. From the interviewee's responses, interviewers should determine answers to the three primary questions (Does it exist? Is it used? Is it effective?) from the perspective of the interviewee, and decide on the final score from this. They should not determine the score from their own personal understanding of the organization.

In the case that the organization contains a small number of managers, and we had to interview the same manager in more than one criterion, but we found that the manager did not have enough time to conduct two interviews, what can be done in this case?

Answer\ In this case, the total number of interviews conducted may need to be changed. Although we recommend 10 interviews for each criterion, in smaller organizations, it may be more realistic to interview a smaller number of managers without sacrificing the quality of the report findings.

What if there isn't financial department (or other clearly defined group for the criterion) in the organization?

Answer\ There should be an employee to manage financial matters for the organization, for example, to write approvals for purchases or to pay staff salaries, who can be interviewed. If there is no financial element in the organization, it may be more effective to re-evaluate the organization that is being assessed, and expand the scope of the Self-assessment to include the larger governing organization (e.g., directorate).

6.1.3 OSTP content

What benefits will my organization gain from Phase 1 of the Self-assessment?

Answer\ After Phase 1, the GoI organization OSTP team will have a clear idea of the self-assessment concept and process. This understanding will help the team promote the culture of the program to managers and staff at the organization. This is an important step before starting the self-assessment activities, in order to reduce the difficulties that the team might face.

When I evaluate a directorate, do the results reflect the performance picture of the organization as whole?

Answer\ Not necessarily. The evaluation of the directorate or smaller organization is the preliminary step in preparation for the evaluation of the entire organization. We recommend that the full organization evaluation take place after a experienced team and stronger base for self-assessment have been established throughout the organization.

Is the assessment for personal performance of personnel or the managerial performance of the organization in general?

Answer\ Self-assessment is for organizational performance and not the performance of individuals at all. There is no reason for employees to be afraid.

Why do some questions seem to be more relevant to private sector market-based enterprises, rather than the nature of my institution?

Answer\ The three pillars for government best practice and the five criteria for organizational performance are relevant to all government organizations. International government best-practice is about adopting and adapting appropriate private sector lessons learned in terms of efficiency and effectiveness. Your challenge is how best to apply these lessons to the organization in which you work in order to improve institutional performance.

What can we do about difficulties in the Processes and Knowledge criteria, since they are considered new concepts in our culture?

Answer\ The objective of the Self-assessment is both to begin to better understand international best practices and to diagnose strengths and weaknesses. So, you should first seek to better understand these concepts and support others in your organization to understand them. You should then apply them across your organization to improve the organization's efficiency and effectiveness.

Can I add another criterion apart from the five criteria? Or other factors? Can I make some changes in the concept of some of the questions to fit with the nature of my organization's operations? (Particularly with regard to processes criteria)

Answer\ Factors could be added in line with the nature of the organization's work, or change in the content of the questions, but only after the organization has sufficient experience. Every change or addition made should be in coordination with the USAID/GSP OSTP Office. The OSTP assessment should be viewed as an important starting point. Organizations should seek to understand OSTP concepts and apply its management practices fully, and get others in the organization to do so, before seeking to expand upon the criteria, sub-criteria, or factors. Keep in mind that this does not inhibit or in any way discourage the identification of additional areas for improvement and strategies to implement these improvements in the transformation program that begins directly following completion of the self-assessment.

6.1.4 OSTP materials

Is there a glossary to explain difficult and unclear words?

Answer\ Yes, there is a glossary which is an updatable resource to clarify OSTP terms and vocabulary for employees at all levels.

Can I change the structure of printing forms of questionnaire or surveys to make them easier to use and reduce the cost of photocopying?

Answer\ You can change formatting to facilitate photocopying, but we request that you do not change the substantive content of the questions.

Why are there no detailed explanations of the criteria in the Guidebook?

Answer\ Information in the Guidebook gives an overview of the components of the criteria in the way that supports the self-assessment methodology. The goal of OSTP is not to give a detailed explanation of people or finance concepts. This process would take weeks of training for each criterion, and is unrealistic. To fulfill the main objective of the program there is no need to understand all the procedures and activities in the finance department, but rather to focus on how to understand and use information to support self-assessment activities. The USAID/GSP OSTP team also updates the Guidebook in response to participants' feedback and questions in order to make the material in the guidebook clearer and easier to understand.

6.2 Glossary of Terms

Best Practices: Is a management idea which asserts that there is a technique, method, process, activity, incentive or reward that is more effective at delivering a particular outcome than any other technique, method, process, etc. The idea is that with proper processes, checks, and testing, a desired outcome can be delivered with fewer problems and unforeseen complications. Best practices can also be defined as the most efficient (least amount of effort) and effective (best results) way of accomplishing a task, based on repeatable procedures that have proven themselves over time for large numbers of people. An example can be found in the 1968 Summer Olympics where a young man revolutionized high-jumping technique, by going over the bar back-first instead of head-first. Had he relied on 'best practice,' as did all of his fellow competitors, he probably would not have won the event. Instead, by ignoring 'Best Practice', he raised the performance bar—literally—for everyone. At the same time, however, he inadvertently created the new 'Best Practice', which has become the only high jump technique ever since.

Bureaucracy: Max Weber defined bureaucracy as a rational organization of an office or offices which are used by state institutions or private sector entities for the conduct of public or private affairs. Bureaucracies tend to be highly compartmentalized in terms of roles and responsibilities at both organizational and individual levels, with high degrees of specialization for each activity. Bureaucracies are also characterized traditionally by a high degree of inflexibility and stability.

Champions of Change: This group is formed after the end of the Phase 1: Self-Assessment Training when participants choose to focus on one of the five criteria in accordance with their interests, skills and specializations.

Citizen-Centered: One of the three pillars of international best practice in government. Citizen-centered government recognizes that citizens are the rightful beneficiaries of all government functions.

Culture of Excellence: The key to maximizing an organization's value and positive impact on stakeholders. Achieving and maintaining a Culture of Excellence requires ongoing improvement at all levels, at all times.

E-government: E-government is the outcome of the re-invention of government functions through the integration of new information technologies and all they offer. It provides increased transparency and access to information through websites or other innovative tools. It should enable different sectors to exchange information and share services both among themselves and between citizens and the private sector quickly and accurately, enhancing effectiveness and efficiency, while ensuring the confidentiality and security of the information exchanged.

Enabling Environment: The enabling environment refers to the legal environment under which government and quasi-government institutions operate. While macro-level policies and regulations governing government and quasi-government institutions facilitate parity and guard against graft, the same regulations can prove counter-productive. The rigidity they impose can restrict public sector managers and employees from achieving citizen-centered results.

External Communications: This is the process by which an organization shares information with other organizations, stakeholders and individuals. This includes both high level and lower level communications. Effective external communications require a clear strategy with clear lines of responsibility and promote transparency among all of the organization's stakeholders.

Flattened Hierarchies: Companies and governmental organizations are now adopting flat hierarchies increasingly. These modern organizational structures are generally characterized by open and shared decision-making processes, and they require staff to display a spirit of initiative. Most importantly, responsibility is not the unique domain of the given organization's executive leadership. Such patterns require excellent communications within the organization to be effective.

Internal Communications: This is the process by which information is shared across the interior segments, offices and individuals of an organization. This includes both vertical and horizontal processes. Good internal communications must ensure full understanding of current issues, activities and successes across all levels of the organization. In addition, strong internal communications demonstrate the understanding that supplying employees with timely information about internal activities, opportunities, reforms, and other issues of interest can enhance their sense of investment in the organization's success, promote staff cooperation, and help them better perform their jobs.

Knowledge Management (KM): KM is a set of processes that contribute to the achievement of an institution's goals through the effective management of its collective technical and practical expertise and experience. It is intended to improve access to and the utilization of this collective organizational knowledge.

Knowledge Map: This tool is a mechanism used to identify an organization's sources of knowledge, including their types and location, and to define the processes of knowledge sharing and transfer, and possible means to improve the application of the knowledge.

Mission: The mission shows the reason behind the institution's existence and the manner in which works to achieve its vision.

Monitoring and Evaluation System: Such a system includes three stages: 1) the first is measurement, which is the measuring of a work process' effectiveness in terms of implementation and the extent of achievement of the desired results. 2) The second stage is learning, which examines the extent to which different learning activities are used to identify potential opportunities for improvement. 3) The first stage is improvement, which entails an analysis of outputs derived from the measurements conducted and the information gained from various learning activities so that they can be used in operations improvement and development.

Possible Threats or Risks: Threats or risks are generally anything or any event that has the potential to keep work from getting done. Examples include a power surge that disables an organization's main server, someone stealing hard-copy files from the filing cabinet, or an accident that incapacitates the one person who has the password to access the main computer system. However, threats and risks are technically somewhat different. A threat is an event or action that can take something away from you such as an earthquake destroying your office, whereas a risk is the chance that this unfortunate event or action (i.e., the threat) will actually occur.

Results-focused: One of the three pillars of international best practice in government. Results-based government is government that focuses on achieving tangible, measurable results for citizens and the private sector.

Strategic Planning: A method for determining the orientation of the institution and its long and short-term goals, and for aiding it in managing its resources to achieve these goals, e.g., Where we are now and how we will reach where we want to be.

Strategy: A well prepared strategic plan helps the institution to achieve its vision and mission by translating it into specific, measurable goals and identifying programs, activities, procedures, and timeframes for doing so.

The Balanced Scorecard: The balanced scorecard is a strategic planning and management system that is used extensively in business and industry, government, and

the nonprofit sector worldwide to align business activities with the respective organization's vision and strategy, to improve internal and external communications, and to monitor organizational performance against strategic goals.

The Three Pillars: Citizen-centered, results-focused, and transparent government are the three pillars of best practice in modern governance. The roots of these pillars lie in the adoption of appropriate private sector practices for powerfully effective governance. The most efficient and successful governments today are implementing numerous self-improvement strategies with a focus on these pillars.

Transparent: One of the three pillars of international best practice in government. Transparent government stresses that government institutions should operate in a manner that is largely open to public scrutiny.

Unexpected Chances: These are opportunities that are not expected or seen and recognized in advance. An example of this could be when an individual is flying on a plane for a one-hour flight and ends up sitting next to the Iraqi Prime Minister who does not have a book or an iPod, and is in the mood to talk. This would be an unexpected chance to speak with him about how well your organization's work is going and how great an impact it is having on Iraq, and perhaps what needs your organization has that he might assist with.

Vision: The vision is the perception of what the institution aspires to reach during a certain period of time (which could be between 5 to 10 years) and operates as a compass to guide the institution.

6.3 Scoring guides

6.3.1 Leadership

Sub-criterion 1: Strategic Planning Framework

Factor 1: Vision and Mission

Score	Definition
0	Does not exist: The organization has no vision or mission statement.
1-2	Poor: The organization has a vision and/or a mission statement, but they are vague and reveal little about what the organization wishes to become or its broad strategy for fulfilling its purpose. They are either unwritten/unofficial or not well written. They are inconsistent or unconnected with national goals, and do not place a clear emphasis on excellence. The general staff was not involved in the development of the vision. The staff is largely unaware of the organization's vision and mission, and the organization has not made an attempt to promote any understanding of how they relate to individual roles. There is little or no awareness of them outside the organization. They have not been approved by the relevant authority, such as the minister or governor.
3-5	Fair: The organization has written vision and mission statements that mentions specific goals, values, and actions, but may be vague in defining the organization's guiding purpose or present an outdated overall strategy. The vision and mission were developed largely by upper-level management, with little or no participation from other staff. The organization has made some attempt to promote these documents within the organization, but there is still widespread misunderstanding and/or disinterest among staff. There is little or no awareness of them outside the organization, and they may not have the approval of the relevant authority, such as the minister or governor.
6-8	Good: The organization has clear vision and mission statements that capture the organization's aims of excellence and its broad strategy for in fulfilling its role. These documents are generally consistent with national goals and the organization's current legal mandate. The process by which the vision and mission were conceived was generally inclusive, involving management as well as some staff from other levels of the organization. The organization promotes these documents within the organization, and employees generally understand and accept them. There is some awareness of and support for the vision among key stakeholders. The vision has been approved by the relevant authority, such as the minister or governor. Management demonstrates some understanding of the need to enact the vision and mission by using them as a guide in decision-making
9-10	Excellent: The organization's vision and mission are the compass that guide the organization. They are well-conceived, clearly written, and up-to-date. They capture the organization's aims of excellence in carrying out its role, clearly outline how the organization intends to fulfill its purpose, and are consistent with national goals. They are clearly supported by key stakeholders, and have the approval of the relevant authority, such as the minister or governor. The documents were created through a participatory process within the organization, and there is widespread awareness, understanding, and acceptance of the vision and mission among the staff. The organization can demonstrate how the vision and mission statement guide the organization by citing examples of how the vision has informed recent decisions, initiatives, and actions.

Factor 2: Strategy

Score	Definition
0	Does not exist: The organization has not identified the national goals to which it contributes, defined its objectives, or developed a strategic plan.
1-2	Poor: The organization has a plan, but it is not “strategic” or a useful for decision-making, having inaccurately or insufficiently identified relevant national goals and/or failed to define specific objectives and timeframes for meeting them. It is not clearly linked to the vision and mission. It does not have the approval of the relevant authority, such as the minister or governor). Little or no attempt has been made to review or update the plan.
3-5	Fair: The organization has a strategic plan that identifies some of the national goals to which it contributes, but may not have clearly defined the organization’s role in meeting them in all cases. The organization’s mission is broken down into specific objectives, but they may not prioritized, and their link to specific outputs may be unclear. Some divisions within the organization have developed more detailed work plans that elaborate on specific objectives of the strategic plan, but this practice is not institutionalized. The plan was developed with limited participation of the staff, which is generally aware of the strategic plan but uncertain as to how it affects their work. The strategic plan is not well-known outside the organization, and may not have the support of the relevant authority, such as the governor. The organization may review its strategic plan, but on an irregular basis, and the results of the review may be only marginally useful for updating the plan.
6-8	Good: The organization has a strategic plan that accurately identifies relevant national goals and the organization’s role in meeting them. The strategic plan breaks down the organization’s mission into specific objectives, including measurable performance targets and a timeframe for meeting them. It was developed with some participation from general staff, and employees at all levels are generally aware of its purpose and its impact on their work. Managers generally understand the objectives toward which they are working, and most divisions within the organization have more specific action plans. The strategic plan has the approval of the relevant authority, such as the minister or governor, and the organization has made some attempt to publicize it among key stakeholders. The organization reviews the plan on a fairly regular basis with fairly useful results, which are used to some extent to update the plan.
9-10	Excellent: The organization’s strategic plan effectively translates the organization’s vision and mission into tangible, realistic objectives that contribute to national goals. It accurately identifies all national goals to which the organization contributes, clearly outlines and prioritizes specific objectives, and defines measurable performance targets. The organization uses the strategic plan and associated work plans to decide on output targets for the planning period, allocate resources, and delegate responsibilities. The strategic plan was developed with the participation of staff at all levels, and is understood and supported throughout the organization. It has the approval of the relevant authority, such as the minister or governor. The organization thoroughly reviews the strategic plan on a regular basis, and uses the results of this review to update the plan and enhance the organization’s ability to achieve its objectives.

Factor 3: Linkage to National Goals

Score	Definition
0	Does not exist: The organization has no understanding of what are the national goals supported by the organization. The organization tends to guard its own institutional interests, neglecting to integrate these into the ‘big picture’ of the country. The organization is poorly regarded and self-serving.
1-2	Poor: The organization assumes that because it is doing something, what it is doing must be a national goal. The organization does not differentiate between organizational and national goals. The organization guards its own interests and bureaucratic procedural necessities to the detriment of efficient, effective, and transparent citizen-centered outcomes. The organization generally serves as a source of bottlenecks, hindering the ability of other government and the private sector to operate effectively and efficiently.
3-5	Fair: The organization recognizes that it plays a role in achieving shared national goals and makes a partial effort to understand these goals, and the organization’s role in achieving them. However, the goals the organization professes to support are vague, inconsistently understood within the organization, and defined intangibly. Other government organizations who also support these goals do not necessarily agree on the specific definition of the goal(s), or on quantifiable or qualifiable metrics to gauge success in achieving the goal. The organization does not collaborate systematically or effectively with these stakeholders in achieving these goals, and is very hesitant to modify its own behaviours or relinquish areas of control in order to better support overall national goals.
6-8	Good: The organization understands the importance of national goals and how these goals take precedent to organizational objectives. The organization has identified the particular goals that it supports and its role in achieving them. Some, but not all other government stakeholders agree with the organization’s definition of the national goal. The organization actively collaborates with most of other primary stakeholders. These stakeholders agree on the national goal, and have a means to regularly discuss how well the goal is being/has been achieved. Metrics to gauge success in achieving the goal exist but are not sufficiently quantifiable, are based on vague assumptions or data, or do not necessarily have the full support of all government stakeholders as to their validity.
9-10	Excellent: the organization understands the importance of national goals and how these goals take precedent to organizational objectives. The organization has identified the particular goals that the organization supports and has received confirmation of these goals and the organization’s role at the ministerial level or higher. The organization has defined the relative priority of each goal to the organization, has a thorough understanding of how its outputs contribute to or influence these goals, and maintains a regular, open, and honest dialogue with other stakeholders, particularly other government agencies, that play a role in accomplishing national goals. The organization actively collaborates with other stakeholders. All relevant agencies agree on the national goal, as well as quantifiable and qualifiable metrics to gauge success in achieving the goal. The organization understands that sometimes trade-offs must be made, and is willing to modify its own behaviours and requirements, and even relinquish areas of control, in order to better support overall national goals.

Sub-criterion 2: Internal Leadership

Factor 1: Values

Score	Definition
0	Does not exist: The organization does not have shared values, written or understood, at the organizational or departmental level, or the values are wholly inappropriate and foster a negative, uncooperative work environment.
1-2	Poor: There is some evidence of shared values within specific departments or other subsidiary units, but core values do not exist at the organizational level and there is little attempt on the part of leadership to foster them. In those departments where shared values have not evolved to any appreciable extent, the values of individual employees may clash.
3-5	Fair: The organization has some identifiable core values, but they may not be in writing or clearly defined. They are more likely to be shared at the departmental level or lower, rather than across the organization as a whole, and to depend more on individual managers and departmental cultures. The staff may be aware of these values, but not yet have a common understanding of them. While these values may influence employee performance on an individual basis, they are not well-developed or widely accepted enough to inform decisions at the organizational level.
6-8	Good: The organization has a written set of official core values that are appropriate for fostering excellence. The values are well-known, widely understood, and generally accepted among staff. Most values are well-reflected in performance at both the individual and organizational level. The organization makes an effort to promote these core values among the staff, and stakeholders are aware of them.
9-10	Excellent: Core values that promote excellence permeate performance at the organizational, departmental, and personal level. These values are clearly defined in writing, and are appropriate for an organization that strives to be citizen-centered, results-focused, and transparent. The leadership embodies these values, employees consciously embrace them, and the stakeholders approve of them. They inform key decisions as well as day-to-day actions, and define interactions among staff as well as between staff and the public.

Factor 2: Staff Empowerment

Score	Definition
0	Does not exist. Everything, including decisions on routine administrative matters, must be decided at the top and or signed off on by numerous personnel. Staff feel completely unempowered and little gets done that is not an immediate priority of the head of the organization.
1-2	Poor: Leadership has little understanding of the need to empower staff and makes little effort to ensure that employees are able to contribute effectively to achieving the organization's objectives. Employees are unmotivated, and report feeling constrained and unable to perform their jobs effectively, particularly those who deal with customers on a daily basis. They do not feel encouraged to develop their potential or contribute in a meaningful way to improving organizational performance. Bias permeates the promotion and appointment system.
3-5	Fair: The leadership understands to some degree the need to delegate sufficient responsibility and resources to staff, but decision-making authority is still largely concentrated in upper management, compromising the organization's efficiency.

	Employees are able to perform their jobs with a certain degree of effectiveness and may generally have the appropriate resources to do so, but do not feel particularly encouraged to be creative or innovative in seeking to achieve the organization's objectives. The organization offers some opportunities to develop staff potential, but these do not typically include opportunities for enhancing their ability to make decisions or solve problems. The organization has no policy for systematically acknowledging and rewarding excellent staff performance, and recognition is given inconsistently. The promotion and appointment system is theoretically merit-based, but in practice bias still plays a role.
6-8	Good: The organization's leadership understands the importance of empowering staff, and has made significant efforts to delegate authority and deploy resources to enable staff to contribute more efficiently and effectively. Managers generally encourage staff to take the initiative when faced with new challenges, and seek to acknowledge and reward excellent performance. The organization has made an effort to create a variety of opportunities for employees to develop their potential. Promotions and appointments are awarded largely based on merit.
9-10	Excellent: The organization's employees are innovative, creative, and proactive in helping the organization meet its objectives. They have sufficient authority and resources to carry out their responsibilities effectively, and feel empowered to take calculated risks. They feel that their efforts are appreciated by management. They have the opportunity to develop their potential in a variety of ways, including offering skill-building training and enabling staff to participate in projects that broaden their experience and understanding the organization's work. Management has developed equitable and motivational ways to acknowledge and reward excellent staff performance. The promotion and appointment system is sufficiently transparent to prevent bias and avoid the perception of favoritism.

Sub-criterion 3: Monitoring and Evaluation

Factor 1: Achievement of Output Targets

Score	Definition
0	Does not exist:
1-2	Poor: The organization does not set performance targets for most of the key outputs. Targets are not rarely disseminated before or after the reviewing processes and seldomly specify even the quantitative measures. Measures are not realistically or logically consistent with what is achieved. Efforts to publicize assumptions are not made. The organization does not adapt specific regulations to monitor or report the actual performance of key outputs. Conclusions that come from reviews, if any, are not translated into reforms. Stakeholders, both internal and external, are largely unaware of performance targets, if they even exist.
3-5	Fair: The organization sets performance targets for some key outputs. Such targets are not sub-divided into sub-targets. Targets are not always disseminated before or after the review processes and seldomly specify quantity measures. Measures are not realistically or logically consistent with what is achieved within the current constraints of resources. Measures do not link up with the organizations strategic plans. Assumptions behind performance targets are not clear. The organization does not follow a systematic approach to monitor, measure, analyze, or report on actual performance against key outputs. Findings from M&E reviews are rarely used to make changes or initiate reforms. Stakeholders are not regularly informed about the performance outputs.
6-8	Good: The organization sets performance targets for most key outputs. Targets

	are sub-divided into sub-targets and are allocated to specific management or staff, who ensure that the organization understands and pursues these targets. Targets are disseminated and specify quality and quantity measures. Measures are realistic, logical, and consistent with what is achieved within the current constraints of resources. Assumptions are clear to different stakeholders, and are publicized. The organization uses a monitoring, measuring, analyzing, and reporting system to gauge actual performance against key outputs. Findings from regular reviews are acted on and Stakeholders are regularly informed about the organization's performance against targeted outputs and outcomes that have been specified in advance.
9-10	Excellent: The organization sets performance targets for each key output. Targets are both quantitative and qualitative. They are sub-divided into sub-targets and are allocated to specific divisions, management, and staff, who ensure that the organization understands and pursues these targets. Targets are taken seriously and most are achieved. Measures used to gauge the accomplishment of targets are realistic, logical, and consistent. How well an organization accomplishes its targets is assessed regularly, on a formal basis. Results of these assessments are taken seriously and translated into reforms for the organization. Targets directly support the organization's strategic plan. Assumptions are publicized and stakeholders are easily able to access M&E information. Conclusions regarding an organization's outputs are drawn not only on the achievement of specified outputs, but also on how well those outputs support desired outcomes.

Factor 2: Collaboration

Score	Definition
0	Does not exist:
1-2	Poor: Senior management has not identified key stakeholders or tried to understand their interests as they relate to the organization. Feedback from stakeholders is rarely sought. Senior management does not regularly meet with stakeholders or get their feedback. The organization does not prioritize its obligation to enhance overall societal benefit. It is not well prepared to deal with conflict of interests with other institutions. The organization has not established specific communications channels with stakeholders. Stakeholder claims are either not sought or are largely disregarded.
3-5	Fair: Senior management has not identified key stakeholders and fairly tried to perceive their interests in its outputs. Feedback from stakeholders is seldomly addressed and demonstrated. Senior management rarely meets with stakeholders to be kept informed. The organization's management does not seriously encourage staff at different levels to cooperate with their counterparts in other organization to promote collaboration and shared national goals. The organization has tried to prioritize its obligations to enhance overall societal benefit but is not sufficiently prepared for any expected conflict of interests with other institutions. The organization does not have a specific policy for establishing communication channels with stakeholders, although their requests are responded to if time allows or if the stakeholder seems important.
6-8	Good: Senior management has identified its key stakeholders and actively seeks to understand their interests in its outputs. Feedback from stakeholders is addressed and stakeholders are aware of this. Senior management meets with stakeholders to be kept informed, and welcomes their feedback on most issues. The organization's management encourages staff from different levels to liaise

	and cooperate, informally or formally, with their counterparts in other organizations. The organization takes its obligation to prioritize societal goals over institutional interests seriously. The organization prepares itself for potential conflicts of interests with other institutions, and approaches decision making and resolutions with the national interest in mind. The organization outsources some non-core government functions to the private sect through a clear and transparent procurement process.
9-10	Excellent: Senior management accurately identified its key stakeholders and understands their interests in its outputs. Feedback from stakeholders is regularly sought. Problems and opportunities are identified and addressed. Stakeholders are aware of this, and trust the organization in their interactions. Senior management meets regularly with stakeholders to be kept informed, and welcome stakeholder feedback on the organization's operational, legal and regulatory issues. The organization's management encourages staff from different levels to liaise and cooperate, formally and informally, with their counterparts in other organizations. The organization takes its obligation to prioritize societal goals over institutional interests seriously. The organization operates in full cooperation with stakeholders, and approaches decision making and resolutions with the national interest in mind. The organization outsources most non-core government functions to the private sect through a clear and transparent procurement process.

Factor 3: Risk Management

Score	Definition
0	Does not exist:
1-2	Poor: The organization has not identified major risks to the organization's ability to fulfill its mandate. Risk factors are not discussed by management. The probability of risk occurrence has not been understood, analyzed, estimated, or documented. The organization has no risk management strategy. Risk mitigation strategies are not considered unless a crisis or a problem occurs.
3-5	Fair: The organization has not identified major risks to the organization's ability to fulfill its mandate. Risk factors are not discussed openly by management. The probability of risk occurrence has not been understood, analyzed, estimated, or documented. Management can, however, consistently tell you what are the major risks the organization's ability to achieve its mandate. However, these risks were not conceived through an analytical approach. Risk mitigation strategies are only considered once a crisis or a problem occurs.
6-8	Good: The organization has identified the primary major risks to its ability to achieve its mandate. Most major risk factors have been analytically assessed and documented. The probability of risk occurrence has been reasonably estimated. The organization has a documented risk management strategy. The strategy serves to guide decision making in the event of a major crisis, or the realization of a risk. The risk strategy is reviewed and updated regularly.
9-10	Excellent: The organization has clearly identified the major risk factors. The probability of risk occurrence has been estimated, is documented, and is supported through analytical and statistical approaches. The organization has a written risk management strategy. The strategy serves to guide decision making in the event of a major crisis, or the realization of any risk. The risk strategy is reviewed and updated regularly. Stakeholders who may play a role in risk avoidance or response agree with the proposed approaches in the organization's risk-management strategy, and are committed to doing their part. Through awareness

	and preparation, the organization is well prepared to deal with potential risks.
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6.3.2 People

Sub-criterion 1: Management

Factor 1: Job Descriptions and Classifications

Score	Definition
0	Does not exist: The organization has no written job descriptions nor does it have a job classification system.
1-2	Poor: The organization has written job descriptions for a small number of positions only. Job Descriptions are not clear or detailed and are not updated regularly. Employees do not receive notices of internal positions which may be available. The organization does not use job descriptions for human resource planning activities such as assessing training needs and performance appraisals. The organization does not have proper job classification systems. Procedures for recruitment and promotions do not incorporate a job grading system.
3-5	Fair: The organization has written job descriptions for the majority of positions. Available job descriptions are clear but not always results-based or detailed. Job descriptions are not updated on a regular basis. Employees are not always given a copy of their job description. The organization uses job descriptions for some of its human resource planning. The organization has job classifications tables and ranks some of its positions accordingly but does not update the tables on a regular basis. The job grading system is not incorporated into the recruitment and promotion procedures implemented by the organization.
6-8	Good: The organization has a clear understanding of the importance of a proper job description and job classification program and the proper implementation of such programs. There are written job descriptions which are clear and detailed. The job descriptions are updated regularly and copies are provided to the employees. Job descriptions are used for purposes of determining qualifications/requirements for new employees and for employees being promoted into higher level positions. Preparation of skills inventories for purposes of determining training needs for various positions and employees incorporates the use of job descriptions. Managers/supervisors refer to the job descriptions when evaluating employee performance to define areas to be evaluated as well as to determine goals and objectives. The organization has clear and updated job classification tables and ranks all positions accordingly. Job classification and grading are clearly incorporated into the organization's recruitment and promotion procedures.
9-10	Excellent: The organization's job description and job classification programs are very clear, well defined and implemented properly in the organization's human resources planning. Proper and thorough job analyses are completed for purposes of writing and defining result-based job descriptions. All employees are given copies of their job descriptions, which are updated on an annual basis as required by best practices. Detailed procedures on the use of job descriptions for identifying training needs are available and updated. Career development programs are developed properly and incorporate job descriptions for purposes of developing career paths for employees. Job classification tables are developed using job analysis and job evaluations and are used for recruitment and promotions without exception. The organization has developed a solid basis for the proper use of job descriptions and job classifications and incorporates them into its procedures on performance evaluations, promotions, career development, recruitment and hiring, and other HR planning activities.

Factor 2: Employment

Score	Definition
0	The organization has no set recruitment/employment policy and does not hire or fill vacancies in a manner which is in compliance with its objectives and goals. Candidates are not matched with jobs for which they have the required qualifications.
1-2	Poor: The organization tends to recruit randomly and rarely matches qualifications with the requirements of the jobs to be filled. There is no recruitment from within the organization. Vacancies are filled by candidates recruited from outside the organization. Recruitment policies are not in line with the organization's goals and objectives. There are sizable delays in recruiting and hiring employees to fill vacancies leaving positions without an incumbent for unacceptable periods of time. Employment procedures and policies are not clearly defined or written nor are they always implemented properly.
3-5	Fair: The organization has clear, written employment policies and procedures which are not always implemented properly and thus recruitment is not always in line with the organization's goals and objectives. Recruitment from within the organization to fill vacancies prior to recruiting from outside is rare and employees are not encouraged to apply for vacancies. Vacancies are not announced to employees and those employees selected to fill vacancies are selected through discussions with managers/supervisors and not on a competitive basis. Less than half the employees recruited fulfill the skills and competencies required by the position they are appointed to or for which they applied.
6-8	Good: The organization's employment policies and procedures are clear and are implemented properly for the most part. Such policies and procedures are in line with the organization's goals and objectives and contribute to achieving these goals and objectives. There is an understanding of the importance of having adequate and proper employment policies and procedures and the impact of such policies and procedures on the organization. In the majority of cases vacancies are announced internally. Employees are encouraged to apply for these jobs as part of the employee's development. Vacancies are usually filled without significant delays.
9-10	Excellent: The organization has well defined employment policies and procedures which are implemented properly. Policies/procedures are reviewed regularly to ensure that they fulfill the organization's needs. The organization stresses the importance of allowing existing staff the opportunity to apply for vacancies which would allow them to make both horizontal and/or vertical moves in their careers. Such a policy is included in the organization's career development program. Current staff who apply for vacant positions are evaluated on a competitive basis and only when no suitable candidates are available from within the organization is recruitment done from outside the organization. Candidates are always properly matched with the positions for which they hold the required skills, competencies and qualifications. No candidate is offered a position for which they have not applied. Vacancies are filled immediately without any significant delays. In having well defined employment policies and procedures and in implementing them properly, the organization has ensured that they will always be in line with its goals and objectives.

Factor 3: Performance appraisals

Score	Definition
0	The organization does not have a structured and formal performance appraisal program.
1-2	Poor: The organization conducts an annual performance appraisal for employees. There are no proper guidelines or procedures for preparing the appraisals and in

	many cases appraisals are not based on employee's achievements. Employees are not given the results of their appraisals nor are the appraisals discussed with the employees. Appraisals are not taken into consideration for purposes of compensation or promotions.
3-5	Fair: The organization conducts annual performance appraisals for its employees and has written procedures to guide appraisers through the process. Such procedures are not always implemented. Appraisals are not result-based and all employees are evaluated using the same form irrespective of the nature of their job and responsibilities. Tangible goals are not set for a large percentage of the employees. Employees are given the results of their appraisals but such appraisals are not discussed with them. The organization does not have a system for following-up on appraisals to make sure they are completed properly and on time. In some cases appraisals are not fully completed. Performance appraisals are taken into consideration when promoting or rewarding employees, but this is not applied regularly and to all employees.
6-8	Good: The organization has a good performance appraisal program which is results-based. There are clear, written policies and procedures for implementing the performance appraisal process. The performance of most employees is measured against tangible goals and objectives. Such goals and objectives are set at the beginning of the appraisal period but are not always reviewed and adjusted (when necessary) during this period. Performance appraisals are integrated into the policies/procedures for promotions, rewards and compensation. There is a good follow-up system for ensuring appraisers complete the appraisals properly and on time. Appraisals are usually referred to for employee development issues such as identifying training needs and career development.
9-10	Excellent: The organization has a solid understanding of the importance of results-based performance appraisals. There are different forms for evaluating various employees which are designed in line with the nature of the job the employee holds. Tangible, measurable goals and objectives are set for each employee through discussions between the appraiser/supervisor and the employee. Such goals and objectives are reviewed on a regular basis to ensure they are feasible and are adjusted accordingly. Appraisals are always completed on time and appraisers are guided properly throughout the process, including workshops/training sessions on how to properly complete appraisals. Areas of weaknesses or those which need improvement are clearly identified for each employee through the appraisal process and the necessary steps are taken to address such weaknesses. Appraisals are discussed with the employee as they are being completed by the appraiser and employees are always aware of the results of their performance appraisals. Performance appraisals are an essential tool used in making decisions concerning promotions, rewards and compensation as well decisions regarding career development.

Factor 4: Compensation and Incentives

Score	Definition
0	The organization does not have a clear system for compensating employees. There are no incentive plans.
1-2	Poor: The organization has a compensation system which is not very clear and not implemented properly. Compensation is decided for each employee individually and there are no salary scales or guidelines. Incentives are minimal and do not apply to

	all employees. There is no transparency or equality in the manner in which the organization compensates its employees.
3-5	Fair: The organization has a clear compensation system but does not implement it properly. There is no complete transparency and performance is not always considered. Incentive schemes exist but are implemented sporadically and not applied to all employees. The compensation system provides motivation for some employees but does not always achieve desired outcomes. The compensation and rewards schemes are reviewed but not on an annual basis and are thus not always updated to meet the organization's changing requirements.
6-8	Good: The organization has a good compensation and rewards scheme. The schemes reward employees for good performance and are to some degree successful in motivating employees to improve performance and to develop their skills and knowledge. Incentive schemes are applied to the majority of employees. The organization has a good salary scale which is implemented properly providing adequate and appropriate compensation to all employees based to some extent on job grade, responsibilities, and qualifications. Promotion policies and procedures implemented by the organization are transparent and fair, and are in the majority of cases applied to all employees. To a great extent, employees are given equal opportunities to advance and develop.
9-10	Excellent: The organization has established and implements a solid compensation program based on performance. Pay scales include salary ranges for all jobs based on job grades, qualifications, workload, and market studies. Incentive schemes are implemented and apply to all employees equally. All issues dealing with compensation and rewards are handled in a completely transparent manner and all employees are fully aware of such schemes. Employees are motivated to improve performance, develop skills and acquire new skills and knowledge. Employees are all given equal opportunity to advance in the organization through the compensation and rewards programs. Compensation and reward schemes have incorporated performance appraisals. The compensation and reward programs work effectively towards achieving the organizations goals and objectives.

Sub-criterion 2: Planning

Factor 1: Forecasting

Score	Definition
0	The organization does not forecast staffing needs.
1-2	Poor: The organization forecasts staffing needs but does not base its forecasts on strategic and operational plans.
3-5	Fair: The organization has forecasts staffing needs but such forecasts are not always based on the organizations strategic and operational plans. The number of employees assigned does not always meet the needs of the organization. Employees assigned are not usually those with the required quality and qualifications. Staffing forecasts are not always reviewed and adjusted to meet changes in the organization's plans.
6-8	Good: The organization does forecast staffing needs based on the organization's strategic and operational plans. Skills needed are usually identified properly and staff assignments usually meet the requirements/needs of the organization in respect to numbers and quality of staff assigned. Proper skills inventories are completed and maintained and used in planning hiring activities. Most employees receive training needed to qualify them for other jobs and responsibilities within the organization. A proper timeframe for staffing assignments is developed as part of the forecast and is

	usually utilized, giving priority to jobs vital to achieving the goals of the organization.
9-10	Excellent: The organization has a solid forecast of staffing needs based on the organization's strategic and operational plans including a proper timeline for hiring activities and prioritizing jobs. Skills inventories are completed properly and updated regularly. Staff assignments always meet the needs of the organization in respect to numbers and quality. Employee qualifications and job requirements are matched properly and effectively. Forecasts are reviewed regularly and adjusted to meet new needs and requirements of the organization. When completing forecasts for staffing needs issues such as retirement, promotions, and resignation rates of current staff are taken into consideration. Succession plans are always referred to when completing forecasts. Training of employees whose jobs have been phased out to qualify them for new jobs is completed properly. In general the organization is always able to properly forecast its staffing needs and complete staff assignments in a manner which is conducive to achieving the organization's goals and objectives.

Factor 2: Succession Planning

Score	Definition
0	The organization does not have a succession plan.
1-2	Poor: The organization does not have a formal succession plan, but does in a very small percentage of cases promote employees from within the organization to fill vacancies in middle and upper management.
3-5	Fair: The organization does succession planning. Employees included in the plans are not always identified properly. Training for employees who are identified to fill vacancies in middle and upper management is undertaken, but is not always adequate. In some cases and in spite of the availability of potential leaders within the organization, vacancies are filled from outside the organization. Financial resources are not always adequate for implementation of the succession plan.
6-8	Good: The organization has identified potential leaders from within the organization and provides them with the necessary training and development necessary for them to fill vacancies in middle and upper management. The methods used for selecting candidates are clear to employees. Adequate time and financial resources are allocated for implementation of the succession plan. To a large extent the transition phase is smooth and gaps in productivity are minimized.
9-10	Excellent: The organization has developed and implements a succession plan which meets the needs of the organization. Selection of candidates for the plan is completed using solid and well defined and objective criterion including current qualifications, potential, performance, and ability to develop. Training is provided to the candidates in a timely manner and in the proper areas after identifying training and development needs of the candidates using performance appraisals and job descriptions. Gaps in productivity are minimized and the transition phase is smooth as a result of proper timing in preparing candidates for positions which are vacated. The implementation of the succession plan provides the organization with continuity and results in strong leadership in middle and upper management. The organization's succession plan allows it to fill vacancies in middle and upper management from within the organization; based on appropriate forecasting in hiring for organizational growth, rarely does the organization resort to recruiting management from outside the organization.

Sub-criterion 3: Training and Development

Factor 1: Employee Training

Score	Definition
0	The organization does not have any formal training programs based on proper identification of training needs.
1-2	Poor: The organization does have a training program but it is not based on proper identification of training needs. Training is usually provided only upon request and is restricted by an inadequate training budget. Training received is not overly valuable or relevant to the organization, and does not significantly benefit those trained.
3-5	Fair: The organization does have a training program. Training needs are identified but not always using the proper tools such as performance appraisals and job descriptions. The organization's training budget is not always adequate and does not allow for a comprehensive training program as required to meet organization's needs. Training received is somewhat beneficial to those trained.
6-8	Good: The organization identifies training needs for its employees properly using performance appraisals and job descriptions. The training program's goal is to ensure development of the organization as well as of individual employees. Strategic plans of the organization are taken into consideration when developing the training plan. In addition to formal methods, some informal training is used--including on the job training, job rotation and coaching. Effectiveness of training is evaluated by following up on performance to determine if the training has contributed to the improvement of performance and productivity. Budgets are adequate for implementing the training programs but are not always reviewed periodically and thus do not leave much room for the undertaking additional training not included in the training plan. Training costs are properly analyzed and compared to the benefits gained, and are justified.
9-10	Excellent: The organization has a well studied and properly developed training plan. The development of the plan always incorporates training needs analyses completed through the use of performance appraisals, job descriptions and the organization's strategic plan as well as other operational plans. The plan is periodically reviewed to ensure it is meeting the needs of the organization. Training results are assessed and evaluated regularly and any adjustments to the plan needed as a result of these assessments are made and implemented. The training budget is adequate and is reviewed periodically and adjusted as needed. Training costs are always properly justified. Training is focused on formal and informal methods of training, depending on the nature of the training required and the desired results. Training requirements based on career development plans and succession planning are always considered and incorporated into the training plan. Training provided contributes to a large extent to the increase and optimization of productivity and performance of the organization.

Factor 2: Management Development

Score	Definition
0	The organization does not provide for the development of its individual managers or the organization's management in general.
1-2	Poor: The organization provides some opportunities for some of its managers to develop but development needs are not identified properly nor are they always

	appropriate.
3-5	Fair: Developmental needs of the organization are identified, but focus is not always on future needs as well as current ones. There is no clear system for identifying developmental needs. Development programs consist mostly of formal training courses directed at managers to improve their managerial skills and in some cases technical skills as well. Selection of managers for participation in these courses is not done systematically or using any proper standards and does not involve all managers at all levels. There is no follow-up with managers to evaluate the results of the training and its impact on performance.
6-8	Good: The organization has designed proper management development programs and implements such programs. There are reviews of the programs to ensure they are adjusted accordingly should there be any changes in the organization's needs or those of the managers. Management development includes managers at all levels of the organization. Developmental needs of managers are identified based on performance and the organization's plans and development needs as a whole. To a great extent, the management development programs meet the overall needs of the organization. The approaches used in these programs is for the most part a formal approach, with some informal training as well. In most cases the managers are given ample opportunity to implement what they learn in their work. Results of the programs have to a large extent been successful in meeting needs of the organization and in improving communications and relations between management and employees.
9-10	Excellent: The organization has well designed and proper management development programs. These programs are reviewed on a timely basis and adjusted as needed. The programs focus on both the development needs of managers as individuals as well as the organization's overall developmental needs. Programs incorporate both managerial development as well as technical development and involve all managers at all levels. Developmental needs are identified systematically using the proper tools (performance results, strategic plans, operational plans, etc.) Implementation of the programs is completed properly and there is a strong and well implemented follow-up system to evaluate the extent to which these programs are successful in meeting the needs of the managers and the organization.

Sub-criterion 4: Employee Welfare

Factor 1: Employee Relations

Score	Definition
0	The organization does not provide any programs which address the welfare of employees or insure open channels of communication between employees and management.
1-2	Poor: The organization has programs which meet minimum requirements (usually determined by prevailing laws and regulations) for safety in the workplace and employee welfare.
3-5	Fair: In general the organization does provide employees with a safe work environment, implementing minimum legal requirements as well as additional requirements specific to the organization. There is an employee grievance procedure which is usually implemented properly and grievances in general are addressed. The organization accepts employee ideas and suggestions for improving the workplace but does not as a policy solicit or encourage employees to present these ideas. Employee satisfaction is at an acceptable level, but there is room for improvement. Communication channels between employees and management are in most cases

	open and employees are able to relay their concerns to management. There is little or no budget allocation for the purpose of improving the work environment.
6-8	Good: The organization reviews workplace conditions/environment periodically to ensure safety procedures are in place and being implemented properly. Employee grievances are processed through the proper channels. Employee grievances and concerns are to a large extent addressed and resolved. Employees are to a large extent encouraged to present new ideas and suggestions for improving the work environment and such ideas/suggestions are reviewed by management and in some cases implemented. Employee satisfaction is good and management has been able to motivate employees as reflected in a steady improvement in their performance. Budgets for employee welfare programs are adequate and fulfill the needs of these programs. In general, employee welfare is addressed properly and the organization maintains good relationships with its employees. This includes open channels of communication and a comfortable and safe work environment.
9-10	Excellent: The organization is very aware of the importance of maintaining strong employee relations and providing its employees with a safe and comfortable working environment. Issues concerning employee welfare are always taken seriously by management and addressed quickly and effectively. Employees are encouraged to play an active role in improving their own work environment and are rewarded for any ideas or suggestions they present that are implemented. The workplace is regularly assessed for purposes of identifying areas which need to be addressed relating to safety procedures. These assessments are used to make improvements required. Employees are encouraged to play an active role in identifying their needs in the workplace. These needs are then studied by management and appropriate action is taken to fulfill employee needs. The budget allocation for implementing employee welfare programs is adequate and enables the organization to implement these programs properly.

Sub-criterion 4: Employee Welfare

Factor 1: Employee Retention

Score	Definition
0	The organization does not recognize the need to retain high performing employees.
1-2	Poor: The organization attempts to retain its employees, but is not always able to identify these employees and does not have any programs or policies which allow for actions to be taken necessary to retain the employees.
3-5	Fair: The organization recognizes that it is in need of retaining certain employees. It is able to retain a small number of these employees by providing them with the work environment and motivation they need to remain with the organization. In general, however, employees who resign do so without an attempt from an organization to understand and record the reasons behind the move.
6-8	Good: The organization properly identifies high-performing employees and works at retaining such employees by maintaining a positive and motivating work environment. Personnel holding key positions are identified and the organization effectively retains these employees by focusing on them in their various HR programs and policies. Succession planning and career development programs are one of the methods used to retain employees. Feedback from such employees is always solicited and their needs are met to a large extent. Turnover is low, but could be reduced further.
9-10	Excellent: The organization is highly aware of the importance of retaining certain key

	<p>personnel holding positions which are extremely important in achieving the organization's goals and objectives. Special focus is given to these employees through various employee welfare programs targeted especially at these persons. Their work environment is constantly being assessed to ensure their various needs are met and employee satisfaction is maintained at a high level through various methods including interviews, questionnaires and field visits. Exit interviews for those employees who leave the organization are always conducted to determine areas which need to be addressed when striving to retain employees. Turnover rate is extremely low as compared to industry standards.</p>
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6.3.3 Knowledge

SC 1: Knowledge Operations

Factor 1: Awareness and Commitment

Score	Definition
0	Does not exist:
1-2	<p>Poor: Staff at all levels of the organization lack an understanding of KM concepts and the requirements for maintaining an effective KM system. The organization has no demonstrated commitment to KM policy, guidelines, or activities. Knowledge management responsibilities are not part of employee job descriptions. KM is not clearly included as a priority in the organization's strategic plan. Training in the organization's knowledge management systems and practices is absent to most or all of the staff. The organization does not provide employees with resources or encouragement to support knowledge sharing. Knowledge already existing within the organization must often be recreated or obtained from an external source. Individuals are not rewarded for teamwork and knowledge sharing.</p>
3-5	<p>Fair: Staff at some levels of the organization have an understanding of KM concepts and the requirements for maintaining an effective KM system. The organization has little commitment to KM policy, guidelines, or activities. While the organization attempts to promote good knowledge management behavior (i.e., knowledge sharing), in actuality there are insufficient resources and limited encouragement for effective knowledge sharing. Knowledge management responsibilities are not part of employee job descriptions, and employees guard their own knowledge as a form of job-security. KM is not given priority consideration in the organization's strategic plan. Training in the organization's knowledge management systems and practices is irregular or unavailable for most staff. The organization does not provide employees with adequate resources or encouragement to support knowledge sharing. Knowledge already existing within the organization must often be recreated or obtained from an external source. Individuals are not well rewarded for knowledge sharing.</p>
6-8	<p>Good: Staff at most levels of the organization have an understanding of KM concepts and the requirements for maintaining effective KM systems. They understand how KM behavior can help the organization meet its goals more efficiently. The organization has commitment to KM policy, guidelines, and activities. The organization promotes good knowledge management behavior (i.e., knowledge sharing), providing resources and encouragement for effective knowledge sharing. Knowledge management responsibilities are part of some but not all employee job descriptions, and employees openly share their</p>

	<p>knowledge assets with one another. KM is given priority consideration in the organization's strategic plan. Training in the organization's knowledge management systems and practices is available for most staff. The organization provides employees with adequate resources and encouragement to support knowledge sharing. Knowledge already existing within the organization is available, but employees are not always able to gain timely access. Individuals are sometimes recognized for their knowledge sharing.</p>
9-10	<p>Excellent: Staff at all levels of the organization have an understanding of KM concepts and the requirements for maintaining effective KM systems. They understand how KM behavior can help the organization meet its goals more efficiently. The organization is committed to a documented KM policy, with clear guidelines and activities. The organization promotes good knowledge management behavior (i.e., knowledge sharing), providing sufficient resources and encouragement for knowledge sharing. Knowledge management responsibilities are part of most employee job descriptions, and employees openly share their knowledge assets with one another. KM is given priority consideration in the organization's strategic plan. A KM written strategic plan also exists. Training in the organization's knowledge management systems and practices is available for most staff. The organization provides employees with adequate resources and encouragement to support knowledge sharing. Knowledge already existing within the organization is available, at the right time in the right place. Individuals are sometimes regularly recognized for outstanding knowledge management and sharing.</p>

Factor 2: Planning

Score	Definition
0	Does not exist:
1-2	<p>Poor: The organization has no written KM strategy. The organization has not designated an individual to sponsor and oversee the implementation of the KM strategy. Knowledge requirements are not really addressed. The organization has not properly documented the gaps between knowledge requirements and available assets, and does not attempt to fill these gaps. The organization has no understanding of its vital knowledge assets. The organization does not understand how each of its knowledge assets contributes to the organization's outputs. It has not identified the threats or risks to its knowledge assets. The organization has no employees whose primary function is to support effective knowledge collection and distribution.</p>
3-5	<p>Fair: The organization has a written KM strategy. The strategy fairly outlines how knowledge contributes to the organization's outputs and results, but it is not comprehensive and outputs are not clearly specified. The plan is out of date or not fully supported throughout the organization. The organization has one or more people designated to oversee KM strategy, though they have insufficient authority, resources, or tools to carry out the plan effectively. The organization has defined and documented some of the gaps between knowledge requirements and available assets, but these gaps are not fully incorporated into KM action plans. The organization has a weak understanding on how each of its knowledge assets contributes to the organization's outputs. Threats or risks to its knowledge assets are not clearly identified.</p>

6-8	Good: The organization has a written KM strategy. The strategy adequately outlines how knowledge contributes to the organization’s outputs and results. It is relatively comprehensive with clearly specified outputs. The plan is current and supported throughout the organization. The organization has one (or more) person (people) designated to oversee KM strategy. This individual has sufficient authority, resources, or tools to carry out the plan effectively. The organization has defined and documented most of the gaps between knowledge requirements and available assets. These gaps are somewhat incorporated into KM action plans. The organization considers the cost/benefit of acquiring, capturing, or distributing improved information and knowledge to fill these gaps and support its overall goals, but decisions are not always followed through on. Most major threats or risks to the organization’s knowledge assets have been identified. The organization has employees who, in addition to their regular roles, are designated with appropriate responsibilities and resources to support the sharing, creating, storing and disseminating of knowledge.
9-10	Excellent: The organization has a written KM strategy. The strategy adequately outlines how knowledge contributes to the organization’s outputs and results. It is comprehensive with clearly specified outputs and desired outcomes. The plan is current and supported throughout the organization. The organization has a senior level person, supported by other staff, who spends a significant portion of his/her time overseeing KM strategy and strategy implementation. This individual has the authority, resources, and tools to carry out the plan effectively. The organization maintains a database of its vital knowledge assets that lists the type of knowledge, its location, and the person to contact (if needed) to access it. The organization regularly defines and documents gaps between knowledge requirements and available assets. These gaps are fully incorporated into KM action plans. The organization regularly captures, acquires, or distributes improved information and knowledge to fill knowledge gaps and to create opportunities that come with increased relevant knowledge or the increased use of existing knowledge. Major decisions regarding effective knowledge sharing are made at the top level of the organization are carried out. Major risks to the organization’s knowledge assets have been identified and addressed. The organization’s knowledge plans include projections for future knowledge needs, strategies to capture upcoming opportunities and strengthen the organization’s ability to acquire and utilize relevant knowledge. The organization’s KM plan clearly demonstrates that the organization is a learning organization.

SC 2: Knowledge Impact

Factor 1: Knowledge Deployment

Score	Definition
0	Does not exist:
1-2	Poor: The organization does not attempt to capture vital tacit knowledge of key staff to make it more accessible throughout the organization. Unnecessary restrictions exist on access to information that is not confidential or personal. Individuals within the organization guard information as a source of job security and power. As knowledge has not been formally captured, the organization has no means making it available to staff where they need it, when they need it. The organization lacks flexibility in deploying valuable information that would enable

	<p>employees to do their jobs more effectively. The organization stores information in a format that it makes it difficult for multiple users to access it at the same time. The organization's management does not provide enough time and space for staff at all levels to stimulate ideas, exchange knowledge, and to learn. Management also hordes information, keeping front line employees largely in the dark and dependent on management for informed decision making. The organization does not support internal seminars on important issues or topics of broad utility. The organization has no effective information technology system to support knowledge sharing, communication, and organizational learning. Bureaucratic decision making, necessitated by under empowered front-line employees who haven't been given the knowledge they need to do their jobs well, causes large organizational inefficiencies.</p>
<p>3-5</p>	<p>Fair: The organization has a manual or electronic document management and archiving system, but it is not well used by staff. The system does not capture all internal documents as well as those created for external use. The organization has a system for archiving documents after a specified period of time, but it is not really used. The organization captures some vital knowledge and distributes it throughout the organization by documenting it or holding internal trainings. Some restrictions exist on access to information that is not confidential or personal. Individuals within the organization frequently guard information as a source of job security and power. The organization attempts to identify the knowledge needs of staff and to make relevant knowledge available when and where it is needed, but this is not done consistently throughout the organization.. The organization has limited flexibility in deploying valuable information that would enable employees to do their jobs more effectively. The organization stores information in a format that makes it relatively accessible, especially for those familiar with the system. The organization's management provides limited time and space for staff at all levels to stimulate ideas, exchange knowledge, and to learn. Management keeps front line employees somewhat dependent on management for informed decision making. The organization rarely supports internal seminars on important issues or topics of broad utility. The organization has an information technology backed system to support knowledge sharing, communication, and organizational learning, but access to it is extremely limited in the organization. Front-line employees have only enough information to make inside-the-box decisions, causing some organizational inefficiencies. Employees who do have access are not sufficiently trained to take full advantage of this system.</p>
<p>6-8</p>	<p>Good: The organization has a manual or electronic document management and archiving system in place. This system almost captures internal documents as well as those created for external use. The organization has a system for archiving documents after a specified period of time, but it is not kept up. The organization captures a majority of its vital knowledge assets and distributes them throughout the organization by documentation and internal trainings. No restrictions exist on access to information that is not confidential or personal. However, the system includes measures to protect the security, confidentiality, and/or integrity of sensitive knowledge. Individuals within the organization frequently and openly share information, and are rewarded for this in their annual evaluations. Job security and power comes from the ability to increase the knowledge base of others throughout the organizations. The organization regularly identifies the knowledge needs of staff</p>

	<p>and makes relevant knowledge available when and where it is needed. The organization is flexible, regularly deploying valuable information that empowers employees to do their jobs more effectively. The organization stores information in a format that makes it accessible and is in an easy-to-learn system. This may include a library or electronic file-sharing system. The organization's management provides sufficient time and space for staff at all levels to stimulate ideas, exchange knowledge, and to learn. Management keeps front line employees somewhat dependent on management for informed decision making. The organization regularly holds internal seminars on important issues or topics of broad utility. The organization has an information technology backed system to support knowledge sharing, communication, and organizational learning. Individuals throughout most of the organization have access to this system. Front-line employees have the knowledge they need to make decisions in non-standard cases, within certain limitations that are relatively clear.</p>
9-10	<p>Excellent: The organization has manual and electronic document management and archiving systems in place. This system captures internal documents and distributes them to relevant individuals in the organization. The organization has an up-to-date system for archiving documents after a specified period of time. The organization has well-structured, up-to-date "knowledge maps" that guide staff to the information they seek. This map is flexible, showing staff multiple ways to find and access information. The organization has clearly designated the best resource(s) for particular kinds of information. The organization stores information in a format that allows multiple users to access it at the same time. The organization's management ensures that time and space exist to stimulate ideas, exchange knowledge, and learn. The organization regularly brings staff together across normal lines of responsibility to develop and/or share knowledge. No restrictions exist on access to information that is not confidential or personal. However, the system includes measures to protect the security, confidentiality, and/or integrity of sensitive knowledge. Individuals within the organization frequently openly share information, and are rewarded for this in their annual evaluations. Job security and power comes from the ability to increase the knowledge base of others throughout the organizations. The organization regularly identifies the knowledge needs of staff and makes relevant knowledge available when and where it is needed. The organization is flexible, regularly deploying valuable information that empowers employees to do their jobs more effectively. The organization stores information in a format that makes it accessible and is in an easy-to-learn system. The organization has an information technology backed system to support knowledge sharing, communication, and organizational learning. Individuals throughout the entire organization have access to this system, as do key stakeholders such as other government agencies pursuing shared national goals. Management empowers front line employees to make empowered and informed decisions.</p>

Factor 2: Review and Assessment

Score	Definition
0	Does not exist
1-2	Poor: The organization does not conduct periodical reviews of its knowledge assets to identify any significant gaps that need to be filled. The organization does not translate its KM goals into tangible, reasonable quantitative performance targets. KM targets, if they exist, are circulated to a limited number

	<p>of staff and weakly understood throughout the organization. Methods for meeting these targets are not clearly outlined in action or work plans. Responsibility for achieving such targets are not assigned to managers and staff at different levels. The organization does not consider monitoring employee behavior with regard to KM. KM behavior is not assessed during employee performance reviews. The organization does not regularly revise its KM strategy. If it exists it is out-dated.</p>
3-5	<p>Fair: The organization reviews its knowledge assets on a limited basis to identify significant gaps that need to be filled. The organization does a fair job of translating its KM goals into tangible, reasonable quantitative performance targets. The organization sets KM performance targets, though not through a participatory approach. Targets are not widely circulated or understood throughout the organization. Methods for meeting these targets are not outlined in action or work plans. Responsibility for achieving such targets are not assigned to managers or staff at different levels. The organization does not seriously monitor employee behavior with regard to KM. This responsibility is not outlined in the employee performance agreements. KM behavior is partially assessed during employee performance reviews. The organization does not conduct periodical reviews of its own progress in meeting KM performance targets. The organization makes attempts, albeit insufficient ones, to review the effectiveness of its information and communications technology (ICT) strategy.</p>
6-8	<p>Good: The organization periodically reviews its knowledge assets and identifies significant gaps that need to be filled. The organization has translated its KM goals into tangible, reasonable quantitative and qualitative performance targets. The organization sets these KM performance targets through a process involving staff and management participation. KM targets are widely circulated and understood throughout the organization. Methods for meeting these targets are outlined in action or work plans, but are not clear enough for individuals throughout the organization to understand available knowledge, and their role in contributing to the organization's overall knowledge base. Responsibility for achieving KM targets are not transparently assigned to managers and staff at all levels. The organization informally monitors employee behavior with regard to KM. This responsibility is not clearly outlined in the employee performance agreements. The organization reviews its own progress in meeting its KM performance targets on ad-hoc basis. The organization revises its KM strategy but does not take into account the results of these reviews.</p>
9-10	<p>Excellent: The organization regularly reviews its knowledge assets to identify any significant gaps that need to be filled. The organization fills these gaps. The organization has translated its KM goals into tangible, reasonable quantitative and qualitative performance targets. The organization sets these KM performance targets through a process involving widespread staff and management participation. These targets are widely circulated and understood throughout the organization. Methods for meeting these targets are clearly outlined in action or work plans. Responsibility for achieving such targets are assigned to managers and staff at all levels. The organization monitors employee behavior with regard to KM, including how well they share tacit knowledge. This responsibility is clearly outlined in the employee performance agreements. Employees throughout this organization embrace this responsibility and are rewarded for it through employee performance reviews. The organization regularly reviews its own progress in meeting its KM performance targets,</p>

	revising its KM strategy to take into account the results of these reviews.
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SC 3: Communications

Factor 1: Internal Communications

Score	Definition
0	Does not exist:
1-2	Poor: The organization does not have an internal communications strategy. The organization may have assigned responsibility for internal communications to a specific individual (or department) who has limited skills necessary to plan, implement, and evaluate the internal communications strategy. The organization does not follow or apply appropriate objectives, messages, target audience, tools, and assessment mechanisms for its internal communications activities. Senior management supports internal communications efforts in theory but not in practice. There are no clear guidelines for cooperation among staff from various departments devoted to internal communications, if there are staff dedicated to this. The organization neither solicits nor uses feedback from staff to improve the effectiveness of the internal communications activities.
3-5	Fair: The organization has internal communications activities, but no clear strategy. The organization has assigned responsibility for internal communications to a specific department. The staff of this department have some of the skills necessary to plan, implement, and evaluate the internal communications strategy. The communications plan does not identify the appropriate objectives, messages, target audience, tools, and assessment mechanisms for its internal communications activities. Senior management supports internal communications efforts somewhat, though they dedicate little time to overseeing the message they want delivered. Communications activities are generally known and fairly understood at all levels within the organization. The internal communications activities are not dynamic enough to capitalize on unforeseen opportunities. The internal communications do not deal well with crises.
6-8	Good: The organization has an internal communications strategy. The organization has assigned responsibility for internal communications to a specific department. The staff of this department have the necessary skills to plan, implement, and evaluate the internal communications strategy. The organization has identified target audiences, tools, and mechanisms for its internal communications activities. Senior management supports internal communications efforts, setting direction and participating as appropriate. The internal communications strategy is generally well known and understood at all levels within the organization. The internal communications strategy is dynamic to some extent to capitalize on unforeseen opportunities. The processes for planning, implementing, and assessing internal communications activities are centralized. Clear guidelines guide cooperation among staff from various departments for communication activities. The internal communications strategy includes systems for dealing with crises and risks. There is an action plan for implementing the communications strategy. The action plan assigns responsibility, and defines tasks and timelines, for the creation and dissemination of communication's materials. The action plans are flexible enough to accommodate additions and adjustments as necessary. The organization assigns a number of qualified employees and devotes limited financial resources to

	implement the action plan. The internal communications strategy is reviewed to make sure that the goals of the strategy are being met. The organization formally surveys staff to assess the extent to which internal communications activities increase staff awareness of organizational issues, help facilitate cooperation among staff and departments, and enhance employee performance. The organization uses feedback from staff to improve the effectiveness of the internal communications strategy.
9-10	Excellent: The organization has a clear internal communications strategy. The organization has assigned responsibility for internal communications to a specific, centralized department that plans, implements, and assesses internal communications activities. The staff of this department have the skills and resources necessary to create and carry out the internal communications strategy. The organization has identified the appropriate objectives, messages, target audience, tools, and assessment mechanisms. Staff are receiving key messages and acting accordingly. Senior management actively support internal communications efforts. The internal communications strategy is generally well known and understood at different levels within the organization. It is dynamic enough to capitalize on unforeseen opportunities. Clear guidelines exist for cooperation among staff from various departments devoted to internal communications. Systems exist for dealing with emerging crises. There is a clear action plan for implementing the communications strategy. The flexible action plan assigns responsibility and defines clear tasks and timelines for the creation and dissemination of communication materials. The organization assigns an adequate number of resources to internal communications efforts. The organization hires external service providers to carry out internal communications functions that the organization cannot handle internally. When appropriate, internal communications tools are tested prior to actual production to ensure that the most effective format and method of delivery are used. The internal communications strategy is regularly reviewed to make sure that the goals of the strategy are being met. The organization formally surveys staff to assess the extent to which internal communications activities increase staff awareness of organizational issues, help facilitate cooperation among staff and departments, and enhance employee performance.

Factor 2: External Communications

Score	Definition
0	Does not exist:
1-2	Poor: The organization has no external communications strategy. The organization has no communications or public relations department. Senior management does not support external communications efforts. There are no clear guidelines for cooperation among staff from various departments on external communications issues. The organization guards its information and refuses access to outside parties.
3-5	Fair: The organization has an informal, ad-hoc external communications strategy. The organization has no communications or public relations department. The organization does not archive external communications documents in a systematic manner. The organization devotes insufficient financial resources to communicate effectively to outside parties. The organization hires external service providers to carry out communications

	<p>functions that the organization cannot handle internally. Communications tools are not tested prior to actual production. Printed materials are of questionable quality. The organization informally surveys stakeholders to assess the extent to which external communications efforts help the organization project a positive image, increase public awareness and recognition, but that's it. There is no mechanism for securing continuous feedback from stakeholders about communications activities.</p>
<p>6-8</p>	<p>Good: The organization has an effective external communications strategy. The organization has a communications or public relations department. The staff of this department have most needed skills to plan, implement, and deliver effective external communications efforts. Senior management support and guide external communications efforts, albeit on a limited basis. The external communications strategy is dynamic enough to capitalizes on unforeseen opportunities. However, it rarely creates opportunities. The processes for planning, implementing, and assessing external communications activities are centralized. There are written guidelines for cooperation among staff from various departments. Guidelines are deployed and sufficiently understood. The organization has an organized system for archiving and retrieving external communications documents. The organization hires external service providers to carry out communications functions that the organization cannot handle internally. When appropriate, communications tools are tested prior to actual production to ensure that the most effective format and method of delivery are used. The external communications strategy is reviewed on a regular basis to make sure that the goals of the strategy are being met. The organization formally surveys stakeholders to assess the extent to which external communications efforts help the organization project a positive image, increase public awareness and recognition, and ensure that customers and other stakeholders are well informed of events, activities, or changes that will affect them. The organization uses feedback from staff and stakeholders to improve the effectiveness of the external communications strategy.</p>
<p>9-10</p>	<p>Excellent: The organization has an external communications strategy. The organization has a communications or public relations department. The staff of this department have the skills necessary to plan, implement, and evaluate the external communications strategy. The organization has identified the appropriate objectives, messages, target audience, tools, and assessment mechanisms for its external communications activities. Senior management supports and guides external communications efforts. The external communications strategy is dynamic enough to capitalize on unforeseen opportunities, and to identify and create opportunities. It is backed by action plans that assign responsibility and define clear tasks and timelines for the creation and dissemination of external communication's materials. The external communication plan accommodates the need to handle emerging crises. The processes for planning, implementing, and assessing external communications activities are centralized. There are clear guidelines for cooperation among staff from various departments. The organization has a well-organized system for archiving and retrieving external communications documents. The organization assigns an adequate number of qualified employees and devotes sufficient financial resources to implement the action</p>

	<p>plan. The organization hires external service providers to carry out communications functions that the organization cannot handle internally. When appropriate, communications tools are tested prior to actual production to ensure that the most effective format and method of delivery are used. The external communications strategy is regularly reviewed to make sure that the goals of the strategy are being met. The organization regularly surveys stakeholders to assess the extent to which external communications efforts help the organization project a positive image, increase public awareness and recognition, and ensure that customers and other stakeholders are well informed of events, activities, or changes that will affect them. The organization uses feedback from staff and stakeholders to improve the effectiveness of the external communications strategy.</p>
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6.3.4 Processes

SC 1: Process Management and Streamlining

Factor 1: Process Design and Delivery

Score	Definition
0	Does not exist: The organization has no vision or mission statement.
1-2	Poor: Key processes are not designed, tested, or monitored. Delivery of processes is inconsistent and irregular. There is no integration or alignment of main and support processes. The organization does not use a systematic approach for identifying the process requirements, needs, or expectations of stakeholders. Support processes are not standardized or incorporated into key processes. Key performance indicators are not measured. Cooperation and collaboration across organizational departments, and across partner organizations (if they exist), does not create effective, integrated, streamlined processes and procedures to maximize efficiency and effectiveness in government interactions.
3-5	Fair: Key processes have been designed and documented, but not tested or monitored. Delivery of processes is inconsistent throughout the organization. Some weaknesses or gaps in processes are noticed, but often they are not addressed. There is limited integration or alignment of main and support processes. The organization identifies the process needs, and expectations of stakeholders, but not systematically and not in all areas. Support processes are not well incorporated into key processes. Key process performance indicators exist but are not measured often, if at all. Cooperation and collaboration across organizational departments is ad-hoc. Coordination across partner organizations has had some successes, but does not create effective, integrated, streamlined processes and procedures to maximize efficiency and effectiveness in government interactions.
6-8	Good: Key processes have been designed and documented, tested and monitored. Delivery of processes is relatively consistent throughout the organization. Integration and alignment of main and support processes are evident. Process gaps that are noticed are usually addressed. The organization systematically identifies the process needs and expectations of stakeholders in most areas. Support processes are incorporated into key processes. Key process performance indicators exist and are measured occasionally. Cooperation and collaboration across organizational departments is encouraged, has had notable successes, and has served the public good through more effective, integrated, streamlined processes and procedures.

	However, more needs to be done in this area, not all partner institutions are willing participants in process integration and efficiency, and the efficiency and effectiveness of government interactions has not yet been optimized for citizens.
9-10	Excellent: Key processes have been designed and documented, tested and monitored. Delivery of processes is consistent throughout the organization. Integration and alignment of main and support processes are evident. Process gaps are noticed and addressed. The organization systematically identifies the process needs and expectations of stakeholders. Support processes are incorporated into key processes. Key process performance indicators exist and are measured regularly. Cooperation and collaborative across organizational departments has had many notable successes and has served the public good through more effective, integrated, streamlined processes and procedures. Partner institutions are willing participants in process integration and efficiency, and the efficiency and effectiveness of government interactions has been optimized for citizens.

Factor 2: Streamlining of Procedures

Score	Definition
0	Does not exist:
1-2	Poor: The organization uses a non practical methodology to streamline procedures in terms of money, time, and effort. Red tape (inefficiency) is still evident, and unnecessary steps hve not yet been improved or eliminated. Customer satisfaction is not considered and targeted results do not exist. Process working maps and flow charts have not been created for any processes. The organization does not cooperate with other institutions to cut the red tape. Resistance to change among staff is high. Corrective actions or decisions to streamline service are not made.
3-5	Fair: The organization uses a methodology to streamline procedures in terms of money, time, and effort. Red tape is still evident, though the organization attempts to cut it. Customer satisfaction is marginally considered in considerations to streamline procedures. Process working maps and flow charts have been created for some of the organization's processes. The organization pledges to cooperate with other institutions in cutting red tape, but this is not apparent from the customer's point of view. Resistance to change among staff inhibits, but does not completely stop corrective actions to streamline services.
6-8	Good: The organization uses a methodology to streamline procedures in terms of money, time, and effort. Red tape has been significantly reduced and individuals working at the organization, and customers, testify to this. Customer satisfaction is usually considered in continued efforts to streamline procedures. Process working maps and flow charts have been created for most of the organization's processes, and are used as a means to identify opportunities for further streamlining. The organization cooperates with other institutions to cut red tape and this is apparent from the customer's point of view. Staff have seen the benefits of streamlined processes and resistance to further streamlining efforts is minimal. Technology is being applied in some areas to further improve process streamlining.
9-10	Excellent: The organization uses a methodology to streamline procedures in terms of money, time, and effort. Red tape has been eliminated and individuals working at the organization, and customers, testify to this openly. Customer satisfaction is always considered in continued efforts to streamline procedures. Process working maps and flow charts have been created for all of the organization's key processes, and are used as a means to identify opportunities for further streamlining. The

	organization cooperates with other institutions to eliminate red tape. This is apparent from the customer’s point of view. Staff have seen the benefits of streamlined processes and resistance to further streamlining efforts is minimal. Technology is being applied in many areas to even further improve process streamlining.
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SC 2: Customer Relationship Management

Factor 1: Customer Needs and Expectations

Score	Definition
0	Does not exist: .
1-2	Poor: Customers are poorly served and their needs and expectations are not met. Customers' preferences and organization's priorities are not properly linked with the strategic and action plans. Customers' complaints are not accurately and promptly voiced, and corrective actions are delayed. Information is not gathered from customers on a routine basis. The organization does not seriously update processes according to anticipated requirements of customers' needs and expectations and business development. Communication channels with customers are not systematically applied and their concerns are poorly considered.
3-5	Fair: Customers are served and their needs and expectations are slightly met. Customer preferences and organizational priorities are not well linked with the strategic and action plans. Customer complaints are not taken seriously and corrective actions are rarely made or even considered. Information is not gathered from customers on a routine basis. The organization updates processes on an ad-hoc-basis that is not in accordance with the requirements and dynamic changes of customer needs and expectations.
6-8	Good: Customers are served and their needs and expectations are somewhat regularly assessed, understood, and met. Customer preferences and organizational priorities are not fully linked with the strategic and action plans. Customer complaints are voiced and corrective actions are considered and sometimes but not always taken. Information is gathered from customers from time to time. The organization updates processes according to anticipated customer needs. Regular communication channels are opened with customers and their concerns are heard and considered.
9-10	Excellent: Customers are excellently served and their needs and expectations are met. Customer preferences and organizational priorities are linked with the strategic and action plans. Customer complaints, concerns, and preferences are voiced and corrective actions are seriously considered. Information is gathered from customers on a routine basis. The organization continually updates processes according to anticipated requirements and dynamic changes of customer needs and expectations. Transparent and regular communication channels are opened with customers and their concerns are promptly heard and addressed.

Factor 2: Customer Satisfaction

Score	Definition
0	Does not exist.
1-2	Poor: Service providers are not sufficiently trained or fully empowered to respond to customer inquiries. The level of customer satisfaction is not assessed.

	Gaining customer feedback is not a priority. Staff are not encouraged to suggest ways to enhance customer satisfaction.
3-5	Fair: Service providers are trained to respond only to standard customer inquiries, and must go to their supervisors for most non-standard requests. The level of customer satisfaction is only assessed informally as gaining customer feedback is a low priority. Customer input is only considered only once a problem appears. Staff can suggest ways to enhance customer satisfaction, but these suggestions are not solicited by management and are rarely given real consideration. Past interactions with repeat customers in relevant areas exist but are not accessible to front line employees.
6-8	Good: Service providers are trained to respond to most customer inquiries, even non-standard ones. The level of customer satisfaction is assessed regularly through varying means. Gaining customer feedback is a priority. Customer input is considered regularly, not merely once a problem appears. Staff are encouraged to suggest ways to enhance customer satisfaction. These suggestions are solicited by management and the best ones are implemented. Past interactions with repeat customers in relevant areas exist and are accessible to front line employees, though not all front-line employees are trained well enough to effectively maintain and utilize customer information.
9-10	Excellent: Service providers are trained to respond to most customer inquiries, even non-standard ones. The level of customer satisfaction is assessed regularly through varying means. It is high. Gaining customer feedback is a priority. Customer input is sought and considered regularly, not merely once a problem appears. Staff are encouraged to suggest ways to enhance customer satisfaction. These suggestions are solicited by management and the best ones are implemented. Staff are recognized or rewarded for exceptional customer service. Technology is used to capture past interactions with repeat customers in relevant areas. These are accessible to front line employees who maintain and utilize this valuable customer information.

Factor3: Building Relationships with Suppliers

Score	Definition
0	Does not exist.
1-2	Poor: Relationships with suppliers are weak. They are not built on trust or accountability. Selection of suppliers is not based on specified standards. The selection process is not transparent and key performance requirements are not considered. Cooperation between the organization and the suppliers does not ensure efficient and effective service delivery.
3-5	Fair: Relationships with suppliers are average. They are not built on trust or accountability. Selection of suppliers is based on fair, specified standards. The selection process is somewhat transparent. Some key performance indicators are set and are somewhat considered in supplier evaluations. Cooperation between the organization and the suppliers ensures relatively efficient and effective service delivery. Suppliers do not receive much attention during the re-evaluation of organizational functions. Their advice is not solicited and does not contribute to improved organizational supply chains.
6-8	Good: Relationships with suppliers are relatively strong, and are mostly built on trust and accountability. A cooperative approach is built between the organization and its suppliers. Selection of suppliers is based on fair, specified, transparent

	standards. Key performance indicators are clearly set and are considered in supplier evaluations. Cooperation between the organization and the suppliers ensures efficient and effective service delivery. Suppliers have an informal say in the re-evaluation of organizational functions (as they pertain to the supplier).
9-10	Excellent: Relationships with suppliers are strong, and are built on trust and accountability. A cooperative approach exists between the organization and its suppliers. Selection of suppliers is based on fair, specified, transparent standards. Key performance indicators are clearly set and are considered in supplier evaluations. Cooperation between the organization and the suppliers ensures efficient and effective service delivery. Suppliers, as trusted partners, have a say in the re-evaluation of organizational functions (as they pertain to the supplier). Their advice is solicited and contributes to improved organizational supply chains.

Factor 4: Continuous Improvement

Score	Definition
0	Does not exist.
1-2	Poor: The organization does not seek to continually upgrade its skills and knowledge. Processes are not in place for continued strategic thinking that will improve customer service. The organization does not try to review and update performance standards of service delivery. The organization's culture is one of protecting the old way and shunning possible improvements.
3-5	Fair: The organization claims to seek to continually upgrade its skills and knowledge, but this is not evident and organizational processes for doing this are relatively weak. Some processes exist to encourage continued strategic thinking and improved customer service, but these are mostly at upper (not operational) levels. The organization strives for continuous improvement only in areas that do not conflict with vested organizational interests.
6-8	Good: The organization genuinely seeks to continually upgrade its skills and knowledge, and to improve. Numerous processes exist to encourage continued strategic thinking and improved customer service, both at the management and operational levels. The organization strives for continuous improvement, even in areas that conflict with vested organizational interests. Employees are encouraged to take managed risks, and recognition schemes are in place to encourage innovative thinking and continuous improvement at all levels, at all times.
9-10	Excellent: The organization genuinely seeks to continually upgrade its skills and to improve. Numerous processes exist to encourage continued strategic thinking and improved customer service, both at the management and operational levels. The organization strives for continuous improvement, even when this requires breaking long-standing inefficiencies and entrenched, unproductive practices. Employees are encouraged to take managed risks, and recognition schemes are in place to encourage innovative thinking and continuous improvement at all levels, at all times. Employees feel their ideas and opinions are truly valued. The organization is a genuine learning organization, constantly seeking to learn and improve. The organization actively seeks to integrate proven innovations, where relevant, across divisional and organizational lines.

6.3.5 Finances

SC 1: Planning

Factor 1: Projections

Score	Definition
0	Does not exist.
1-2	Poor: The organization is not able to make financial projections for the future strategies and activities. The organization does not apply a sound cost/benefit analysis for each project or expenditure area. Variation percentages are not considered in financial projections. Expenditures and revenues are not fully or accurately forecast. The organization does not have reliable data or accurate cost estimations of expected expenditures and revenues.
3-5	Fair: The organization tries to make projections for future strategies and activities. The organization has considered applying a cost/benefit analysis for each project and expenditure area, but does not do so consistently. Variation percentages are not considered in financial projections. Expenditures and revenues are not accurately forecast. The organization has researched data and estimations of costs about the expected expenditures and revenues, but these are not reflected into the budget.
6-8	Good: The organization makes reasonably reliable projections for future strategies and activities. The organization creates a cost/benefit analysis for each project and expenditure area, and makes decisions largely based on this cost/benefit analysis. Variation percentages are considered in most financial projections. Expenditures and revenues are forecast. The organization has soundly researched data and cost estimations about expected expenditures and revenues.
9-10	Excellent: The organization makes largely accurate projections for future strategies and activities. The organization creates a cost/benefit analysis for each project and expenditure area, makes decisions largely based on this cost/benefit analysis, and incorporates results into the budget. Variation percentages are considered in financial projections. Expenditures and revenues are well forecast. The organization has reliable, well researched data and accurate estimations of costs about the expected expenditures and revenues. The organization allows for enough financial flexibility to enable itself to take advantage of unforeseen opportunities.

Factor 2: Budgeting and Allocation

Score	Definition
0	Does not exist.
1-2	Poor: Priorities based on the strategic plan of the organization are not considered in budgeting and allocation. Citizen needs and expectations are poorly considered and reflected on the budget decisions. The budgeting and allocation process is not prepared according to real needs. The organization does not adapt a participatory approach in managing the budget. There is no monitoring system for the allocation of funds.
3-5	Fair: Budgeting priorities are set but not according to strategic plan. The budgeting and allocation process is not well managed. The organization does not involve concerned staff in managing the budget. The monitoring system on the allocation of funds is used on ad-hoc basis. The budgeting and allocation process is done only once each year, and allows for little flexibility.
6-8	Good: Priorities are set and revised according to strategic plan. Citizen needs and expectations are considered but not completely reflected in budget decisions. The

	budgeting and allocation process allows for some flexibility to meet unexpected needs or capture unforeseen opportunities. The organization adapts a participatory approach in managing the budget. The allocation of funds is carried out regularly, and is done in a manner that mostly supports those programs that are most successful in supporting the organization's strategic objectives.
9-10	Excellent: Priorities are set and revised continuously according to the strategic plan. Citizen needs and expectations are well considered and reflected on the budget decisions and well understood throughout the organization. The budgeting and allocation process is an open-ended one. The organization adapts an efficient participatory approach in managing the budget and an effective system in monitoring the allocation of funds on an on going basis. The allocation of funds is carried out regularly, and is done in a manner that mostly supports those programs that are most successful in supporting the organization's strategic objectives. Managers within the organization willingly give up control of funds that can be used for purposes that will provide greater overall benefit to the organization's ability to meet its objectives.

SC 2: Implementation

Factor 1: Financial Administration

Score	Definition
0	Does not exist.
1-2	Poor: Accounting policies and procedures are poorly written, weakly understood, and insufficiently deployed. Financial reports are not made available for media, public, and stakeholder scrutiny, even when it is requested. The accounting system is not annually reviewed to pinpoint weaknesses or deviation from sound financial standards.
3-5	Fair: Accounting policies and procedures are written, but barely understood or deployed. Financial reports are made available for media, public, and stakeholders on a case-by-case basis. The accounting system is occasionally reviewed but shortcomings or opportunities discovered in reviews are rarely acted on.
6-8	Good: Accounting policies and procedures are written, understood, and deployed. Financial reports are made available for media, public, and stakeholders. The accounting system is reviewed regularly to pinpoint weaknesses. Deviations from financial standards are addressed.
9-10	Excellent: Accounting policies and procedures are well written, understood, and deployed. Financial reports are not only made available for media, public, and stakeholders, but are openly publicized by the organization in documents such as the organization's annual report. The accounting system is reviewed annually to pinpoint any weaknesses or deviations from financial standards. The organization acts on the findings of these reviews, continually seeking to improve how finances are administered within the organization.

Factor 2: Purchasing

Score	Definition
0	Does not exist.
1-2	Poor: Purchasing methods are not documented and distributed to staff. Procedures to safeguard public integrity (guard against corruption) are not well

	understood. Purchasing processes are not clear for different purchasing types and sizes. The approval process on purchases is not clear. The organization's accounting system does not safeguard against purchasing mismanagement or waste.
3-5	Fair: Purchasing methods are documented and distributed to staff. Purchasing procedures, while set and followed to safeguard public integrity, are not well understood or used in the organization. Purchasing processes are audited from time to time. Approval processes are not consistent, formal and documented, or well monitored. The organization's accounting system safeguards only against major instances of purchasing mismanagement or waste.
6-8	Good: Purchasing methods are documented and distributed to staff. Decision making on smaller procurements still may require some unnecessary approvals. Purchasing procedures, set and followed to safeguard public integrity, are well understood and used in the organization. Purchasing processes are audited from time to time, and audit findings are followed up. Approval processes are consistent, formal and documented, and monitored. The organization's accounting system safeguards against most instances of purchasing mismanagement or waste.
9-10	Excellent: Purchasing methods are documented and distributed to all staff. Approval processes for different types and sizes of purchases are consistent, formal and documented, and monitored. Decision making on smaller procurements requires few if any approvals as well trained and responsible staff know and follow guidelines and limitations. Top-management are thereby able to focus less time on unnecessary approvals and more time on leadership issues. Purchasing procedures, set and followed to safeguard public integrity, are well understood and used in the organization. Purchases are regularly audited, and audit findings are followed up to improve the overall purchasing system. The organization's accounting system serves as a strong safeguard against instances of purchasing mismanagement or waste.

Factor 3: Inventory Management

Score	Definition
0	Does not exist.
1-2	Poor: The organization has no written inventory policy. The organization does not regularly conduct inventory checks. Inventory management is not linked to cash flow management, and inventory procurement decisions are largely ad-hoc. The organization does not insure critical inventory, the loss of which would cripple the organization. Some inventory is not stored properly, and may be damaged. The organization may occasionally find that inventory is missing. The inventory management system, if one exists, does not ensure the prevention of unnecessary costs.
3-5	Fair: The organization has a written inventory policy covering most items that can be inventoried. The organization conducts inventory checks occasionally. Inventory management is not well linked to cash flow management, and inventory procurement decisions are somewhat ad-hoc. The organization insures critical inventory, but does not use insurance effectively. Inventory is stored properly, and well protected from potential damage. The organizational controls ensure that inventory does not go missing. An inventory management system deters unnecessary costs, although it is not implemented well enough to do this

	effectively.
6-8	Good: The organization has a written inventory policy covering most items that can be inventoried. The organization conducts inventory checks regularly. Inventory management is well linked to cash flow management, and inventory procurement decisions are consistent. The organization insures critical inventory. Inventory is stored properly and well protected from potential damage. Organizational controls ensure that inventory does not go missing. An inventory management system deters unnecessary costs and is implemented well enough to do this effectively.
9-10	Excellent: The organization has a written inventory policy covering most items that can be inventoried. The organization conducts inventory checks regularly. Inventory management is directly linked to cash flow management, and inventory procurement decisions are based on projections and actual needs of commodities. All purchase transactions are well documented and easy monitored and controlled. The inventory management system prevents unnecessary costs and funds are wisely managed. The organization insures critical inventory. Inventory is stored properly, and well protected from potential damage. Organizational controls ensure that inventory does not go missing. The inventory management system is continually improved to ensure maximum efficiency and minimum waste.

SC3: Financial Assessment

Factor 1: Monitoring and Auditing

Score	Definition
0	Does not exist:
1-2	Poor: The organization does not monitor or audit its finances. Financial indicators do not exist. As key indicators of financial performance have not been identified, they cannot be clearly measured to assess the effectiveness of the budget process. Comparative reports on actual versus expected expenditures and revenues are not prepared.
3-5	Fair: The organization audits financial systems and procedures, but this audit is insufficient as a means to guard public integrity and ensure sound management of funds. Financial indicators exist but they are outdated or not particularly relevant as they do not clearly measure the effectiveness of the budget process. Comparative reports on actual expenditures and revenues have been prepared, but are not high quality and thus are not well used.
6-8	Good: The organization regularly audits financial systems and procedures. This audit guards public integrity and ensures the sound management of funds. Financial indicators exist. They are mostly relevant but the quality of these indicators vary across the organization's departments. Comparative reports on actual expenditures and revenues have been prepared and are used by management as an effective decision making tool.
9-10	Excellent: The organization regularly audits financial systems and procedures. This audit guards public integrity and ensures the sound management of funds. Financial indicators exist. They are relevant and the quality of these indicators is high across the organization's departments. Comparative reports on actual expenditures and revenues have been prepared and are used by management as an effective decision making tool. Audits are a valued means for an organization to

	ensure that it is utilizing public resources effectively in its pursuit of organizational objectives and national goals.
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Factor 2: Recommendations

Score	Definition
0	Does not exist:
1-2	Poor: The organization does not seek to continually improve the budget process. Budgeting lessons are not learned and do not guide financial administration. Requests for additional funds are not justified based on qualitative or quantitative measures, or on the basis of value contribution to an organization's goals. Budgeting recommendations are not based on facts.
3-5	Fair: The organization claims that it seeks to continually improve the budget process, but this is not effectively done. Lessons learned from budgeting processes past are anecdotal, not factual. Requests for additional funds are justified upon some qualitative or quantitative measures, but the measures are subjective. Recommendations to improve the budget process are not submitted by financial managers unless requested by top management . Requests for additional funds are not well justified and are only partially based on fact.
6-8	Good: The organization seeks to continually improve the budget process and its past actions show this. Lessons learned from past budgeting processes are captured and used to guide future recommendations. Requests for additional funds are justified on mostly sound qualitative or quantitative measures. Recommendations to improve the budget process are regularly submitted by financial managers and departmental heads. Requests for additional funds are justified based on facts.
9-10	Excellent: The organization continually improves the budget process and its past actions and present budget management systems show this. Lessons learned from past budgeting processes are captured and used to guide future recommendations. Requests for additional funds are justified on sound qualitative or quantitative measures. This is done consistently across the organization. Recommendations to improve the budget process are regularly submitted by financial managers and departmental heads. Requests for additional funds are justified based on facts.

6.4 Questionnaires

6.4.1 Leadership

Sub-Criterion 1: Strategic Planning Framework

Factor 1: Vision and Mission

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have a written vision statement? 2. Is the vision well conceived and clearly written? 3. Does the vision statement outline standards of excellence that contribute to achieving national goals in a citizen-centered, results-focused, and transparent manner? 4. Was the organization's vision decided upon in a systematic way and with wide staff participation? 5. Does the senior management team embrace and support this vision? 6. Does the Governor or highest relevant leadership embrace and support this vision? 7. Has the vision been published and made available to its key stakeholders? 8. Can the organization demonstrate that key stakeholders support the vision? 9. Can the organization cite specific examples of how the vision statement informs particular decisions, initiatives, or actions? 10. Does the organization have a written mission statement? 11. Does the mission statement accurately define why the organization exists? 12. Does the mission statement outline broadly how the organization intends to fulfill its role and purpose? 13. Is the mission statement consistent with both the organization's vision of excellence and relevant national goals? 14. Was the organization's mission decided upon systematically and with wide staff participation? 15. Does the senior management team embrace and support the mission? 16. Has the mission statement been published and made available to its key stakeholders? 17. Can the organization demonstrate that key stakeholders support the mission? 18. Can the organization cite specific examples of how the mission informs key decisions? 				

Factor 2: Strategy

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have a written strategic plan? 2. Does the strategic plan incorporate underlying objectives that clearly link the organization’s outputs to one or more national goals? 3. Has the organization prioritized these objectives in a manner that is consistent with the vision and mission? 4. Does the organization’s strategic plan include specific, measurable output performance targets and a specific timeframe for accomplishing them? 5. Does the organization use the strategic plan as a guide when allocating resources, delegating responsibilities, and creating detailed work plans to produce the targeted outputs? 6. Is the strategic plan supported by more specific action plans, work plans, and/or annual plans that clearly support one or more of the objectives in the strategic plan? 7. Is the strategic plan the result of consultation with staff? 8. Is this strategic plan supported by the senior management team? 9. Is this strategic plan embraced and supported by the Governor or highest relevant leadership? 10. Has the organization’s strategic plan been published and made widely available to its key stakeholders? 11. Can the organization demonstrate that key stakeholders support the strategic plan? 12. Is the strategic plan reviewed regularly to determine what, if any, changes are required for the organization to better achieve its objectives? 13. Does this review process generally result in changes to the strategic plan? 				

Factor 3: Linkage to National Goals

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization identified what national goals it should influence or help to achieve? 2. Has the organization established the relative priorities of these national goals? 3. Has the organization obtained formal government confirmation that it has correctly identified these national goals and the government's view of their relative priorities? 4. Has the organization identified and listed all of its key outputs? 5. Did the organization identify these key outputs via a systematic review of its role and functions? 6. Does the organization have a thorough understanding of the impact, consequences, trade-offs, and/or side-effects of each of its key outputs? 7. Has the organization explained to its employees at all levels how its outputs—and their inputs to them—impact the achievement of national goals? 8. Do managers and staff at all levels in the organization generally understand and agree with this explanation? 				

Sub-Criterion 2: Supportive Culture

Factor 1: Values

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization adopted a set of clearly defined core values? 2. Are these core values appropriate for fostering a Culture of Excellence and promoting citizen-centered, results-focused, and transparent government? 3. Does the organization actively promote the application of these core values? 4. Do key stakeholders understand and approve of these core values? 5. Do these core values permeate the on-the-job performance of the organization's entire staff? 6. Does the organization's leadership engage in candid, open discussions about issues of public integrity and corruption? 7. Are seminars or trainings given to staff to raise awareness of the different forms and costs of corruption? 8. Are there channels through which employees can report suspected acts of corruption? 9. Has management taken measures to reduce the impact that personal connections have on the service quality that individuals receive from the organization? 				

Factor 2: Staff Empowerment

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization's management recognize and systematically acknowledge excellent staff performance by individuals and teams? 2. Are employees authorized and encouraged to respond quickly—subject to clear guidelines and with appropriate accountability reporting—to client needs and concerns? 3. Does the organization have a transparent, merit-based system of promotion and appointment? 4. Does management think that employees generally feel that they are appreciated? 5. Does management actively encourage employees to be innovative and creative in seeking to achieve the organization's objectives? 6. Does management actively encourage employees to take the initiative in meeting challenges? 				

Sub-Criterion 3: Monitoring and Evaluation

Factor 1: Achievement of Output Targets

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization set performance targets for each of its key outputs to achieve in the current planning period or financial year? 2. Has the organization subdivided these targets into subtargets for each of the various areas of management and staff responsibility? 3. Are these targets disseminated within the organization and to other government agencies working with and/or overseeing the organization? 4. Are the targets disseminated both when they are set and when they are reviewed? 5. Are these targets clearly specified as both quality standards and quantity measures? 6. Are the quantity measures realistic, being either consistent with experience of what is achievable with existing resource constraints, or based on a logical analysis of what can be achieved? 7. Has the organization logically outlined the key assumptions underlying these targets? 8. Has the organization publicized these assumptions, for example in its annual report? 9. Does the organization have a system to monitor, measure, analyze, and report its actual performance on each key output, both on a regular basis and if unusual performance is observed? 10. Does the organization use the findings of this process to revise its behavior to ensure that it meets or exceeds its targets? 11. Does the organization regularly inform its key stakeholders—and the general public—about its output performance? 				

Factor 2: Collaboration

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization's senior management accurately identified its key stakeholders? 2. Has senior management accurately identified and understood the nature of stakeholder interests in its outputs? 3. Does the organization address stakeholder feedback in a manner that demonstrates to stakeholders that it is worthwhile to provide such feedback? 4. Do senior managers meet regularly with principal stakeholders, including partner organizations, to keep them well informed and seek their feedback on the organization's activities, operational performance, current issues, policies, regulations, and any significant risks? 5. Does the organization also encourage lower level staff to liaise with their counterparts in other organizations to promote collaboration and cooperation? 6. Is this coordination guided by formal arrangements? 7. Does the organization prioritize its obligation to enhance the overall, citizen-centered national benefit when making decisions about its outputs, especially when there are conflicting interests amongst collaborating institutions? 8. Does the organization's leadership have a policy of, where possible and appropriate, maintaining continuous communication with stakeholders about policy or regulatory changes to avoid needlessly surprising them? 9. Has the organization's leadership generally succeeded in avoiding surprising its stakeholders? 10. Does the organization have a policy of answering all written requests for information in a timely fashion? 11. Does the organization in fact promptly respond to all such requests? 				

Factor 3: Risk Management

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization clearly identified the major risks to its outputs? 2. Has the organization assessed each major risk, estimating the probability of the risk occurring and the likely magnitude of its impact? 3. Is this assessment clearly documented? 4. Are these estimations based on rational assumptions? 5. Are these assumptions clearly documented? 6. Are these estimations supported by any statistical or empirical analysis? 7. Does the organization have a strategy to manage these risks? 8. Is this strategy clearly documented? 9. Does the strategy involve coordinating action with other organizations that are contributing to the same national goals? 10. Is the organization implementing the strategy? 11. Does the organization continuously review the strategy to ensure that it is relevance to current circumstances? 12. Does the organization modify the strategy as appropriate if circumstances change? 				

6.4.2 People

Sub-Criterion 1: Management

Factor 1: Job Description and Classification

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization written a clear, detailed, results-based job description for each position? 2. Do all employees receive their job descriptions at the beginning of their employment? 3. Does the organization use the job descriptions to help plan other human capital policies, such as policies regarding staff training and employee performance appraisals? 4. Does the organization prepare and update job classification tables that clearly rank each position in the organization? 5. Does the organization use the job grading system when designing promotion and recruitment procedures? 				

Factor 2: Employment

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization routinely attempt to recruit from within to fill vacancies before searching for applicants from outside the organization? 2. Does the organization circulate notices of job vacancies, including the timeframe for recruitment, among the staff? 3. Does the organization encourage qualified staff to apply for these jobs as a means of career advancement and/or improving/diversifying their skills? 4. Does the organization have a set of clear procedures for recruiting and selecting potential candidates and placing new employees? 5. Do these procedures ensure that the organization hires individuals who are qualified for the position for which they have been recruited and selected and who meet the organization's requirements for employment? 6. Do these procedures ensure that the organization places new employees in the position for which they applied? 7. Are the organization's recruitment and selection policies aligned with organizational goals and objectives? 				

Factor 3: Performance Appraisal

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization conduct a regular, results-based performance appraisal of all employees? 2. Has the organization designed different appraisal forms to correspond to each job category? 3. Does the organization provide training to help both appraisers and employees better understand and administer the performance appraisal process? 4. Does the organization guide appraisers throughout the appraisal process? 5. Are employees notified of performance appraisal results in a timely manner? 6. Do the results of performance appraisals have a clear effect on an individual's career progression? 7. Does the organization use the results of performance appraisals in giving promotions? 8. Does the organization have procedures for addressing poor employee performance? 				

Factor 4: Compensation and Incentives

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization established a system for rewarding excellent employee performance? 2. Is this system designed to promote the organization's values, goals, and performance objectives? 3. Does the organization implement this system in a transparent way, and ensure that employees at all levels have equal opportunity to earn rewards? 4. Are the organization's compensation schemes based on employee performance? 5. Are the organization's compensation schemes in-line with organizational priorities and desired outcomes? 6. Are the organization's compensation schemes and incentive programs reviewed at least once a year to assess their relevance and effectiveness in promoting the organization's values, goals, and performance objectives? 7. Do these programs encourage employees to bring new knowledge into the organization by rewarding skill development and creativity in areas that enhance the organization's ability to achieve its goals? 8. Are the organization's job-grading scale and salary ranges fair and transparent? 9. Are employees' salaries based on their job grade, educational qualifications, experience, workload, and any risk involved? 10. Does the organization have transparent, equitable, and merit-based policies and standards for promoting individuals? 11. Do these policies and standards ensure equal opportunity for advancement for all staff? 				

Sub-Criterion 2: Planning

Factor 1: Forecasting

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization forecast staffing needs using the strategic plan and other operational plans? 2. Does the organization keep an inventory of the qualifications of current staff? 3. Does the organization regularly compare staff assignments with the priorities of its work plans to determine the number and quality of staff the organization needs to meet its goals? 4. Does the organization conduct regular reviews to ensure that employee qualifications match job requirements? 5. Is the organization able to anticipate what skills employees will need in the future, and identify gaps between current skills and future needs? 6. Does the organization use forecasting to develop trainings to help employees whose jobs are being phased out to become qualified to perform new jobs? 7. Does the organization take into account the goals and priorities of the strategic plan when deciding which positions to prioritize when planning hiring activities? 				

Factor 2: Succession Planning

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have a succession planning program? 2. Does the organization have fair, transparent, objective standards for selecting candidates for the program? 3. Does the organization have fair, transparent, objective standards for choosing which candidates to promote to fill the position when it becomes vacant? 4. Are candidates for the program aware of the time and effort that the program will require? 5. Does the organization allocate sufficient time and financial resources to support the succession planning program? 				

Sub-Criterion 3: Training and Development

Factor 1: Employee Training

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization assess training needs at the organizational level as well the individual and job category level? 2. Does the organization regularly gather and consider feedback from employees and their supervisors on training needs? 3. Are employee training plans based on the organization's strategic plan and human capital management policies? 4. Does the organization focus special attention on training employees who deal with customers? 5. Does the organization consider both formal training and informal methods, such a coaching and mentoring, when developing plans to address training needs? 6. Does the organization balance the training needs of individual employees with those of the organization when planning training and career development programs? 7. Does the organization regularly evaluate the results of training programs? 8. Does the organization weigh recruitment and training costs and the average length of employment against these results to determine whether the benefits of a particular training program justify the cost? 9. Does the organization use the results of employee performance appraisals in assessing training needs? 10. Does the organization have a training budget based on priorities outlined in the training plan? 				

Factor 2: Management Development

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization identify the development needs of each individual manager, as well as the needs of the organization's management in general? 2. Are management development programs designed according to current roles and functions as well as anticipated future needs? 3. Does the organization have a system for identifying management development needs and planning programs to meet these needs? 4. Does this system take into account the development needs of individual managers as well as the organization's overall needs? 5. Do the organization's management development programs effectively meet these needs? 6. Does the organization provide management development opportunities to all managers? 7. Does the organization incorporate both formal and informal approaches into its management development program? 8. Does the organization provide managers with opportunities to practice what they learn? 9. Does the organization have a method for reviewing management development programs to determine their benefit to the organization? 				

Sub-Criterion 4: Employee Welfare

Factor 1: Employee Relations

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization regularly survey workplace safety and effectively address the concerns that emerge from the assessment? 2. Does the organization take employee complaints seriously and consider them fairly? 3. Does the organization encourage employees to contribute ideas for improving workplace conditions? 4. Does the organization analyze key business results to identify elements of the work environment and employee support climate that need to be improved? 5. Does the organization analyze employee needs to plan and establish caring programs that are appropriate for improving employee welfare? 6. Does the organization allocate sufficient funds to implement caring programs? 				

Factor 2: Employee Retention

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none">1. Does the organization regularly attempt to measure the level of employee satisfaction?2. Does the organization have procedures for monitoring employee satisfaction on an ongoing basis, such as a feedback or suggestion program or a policy of conducting regular field visits?3. Are the organization's human capital management policies and procedures designed to improve employee retention and decrease the rate of turnover?4. Has the organization identified those key positions in each department that are critical to fulfilling the organization's mission?5. Is special attention given to retaining employees in these key positions?				

6.4.3 Knowledge

Sub-Criterion 1: Knowledge Operations

Factor 1: Awareness and Commitment

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Has the organization explained the concept of KM to staff at all levels of the organization, including how good KM behavior can help the organization meet its goals more efficiently? 2. Is there a general understanding of the concept of KM at all levels within the organization? 3. Do senior managers generally understand the concept of KM and the requirements for maintaining an effective KM system? 4. Do senior managers demonstrate a strong commitment to KM policy, guidelines, and activities? 5. Do senior managers understand the importance of promoting KM among staff? 6. Are the knowledge management responsibilities of each position clearly outlined in the job description? 7. Is KM explicitly included as a priority in the organization's mission statement and/or strategic plan? 8. Is training in the organization's knowledge management systems and practices available to staff at all levels? 9. Does the organization actively promote good knowledge management behavior (i.e., knowledge sharing) by providing employees with both resources and encouragement? 10. Does the organization encourage employees to check if knowledge already exists within the organization before trying to create it or obtain it from an external source? 11. Are individuals visibly rewarded for teamwork and knowledge sharing? 				

Factor 2: Planning

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have a clear, written, well defined KM strategy? 2. Does the strategy clearly define “knowledge” as a mix of both information and experience? 3. Does the strategy clearly outline how knowledge contributes to the organization’s outputs and results? 4. Has the organization designated a particular senior manager to sponsor and oversee the implementation of the KM strategy, including development of KM resources and tools? 5. Has the organization clearly identified and documented its vital knowledge requirements? 6. Has the organization clearly defined and documented the gaps between knowledge requirements and assets, and incorporated plans to fill those gaps into the KM strategy? 7. In attempting to fill these gaps, does the organization first attempt to find and/or create the knowledge within the organization? 8. Does the organization maintain a database of its vital knowledge assets that lists the type of knowledge, its location, and the person to contact to access it? 9. Does the organization generally understand how each of its knowledge assets contributes to the organization’s outputs? 10. Has the organization identified the threats or risks to its knowledge assets? 11. Does the organization have a system for managing these threats and risks? 12. Does the organization have employees whose primary function is to support knowledge management functions, including sharing, creating, storing and disseminating knowledge? 				

Sub-Criterion 2: Knowledge Impact

Factor 1: Knowledge Deployment

Specific Questions for Assessors	Yes	To some extent	To a great extent	No
<ol style="list-style-type: none"> 1. Does the organization have a document management and archiving system, either manual or electronic? 2. Does this system capture internal documents as well as those created for external use? 3. Does the organization have a system for archiving documents after a specified period of time? 4. Does the organization capture the vital tacit knowledge of its key staff to make it more accessible in the organization, for example by documenting it or holding internal trainings? 5. Are there any restrictions on access to information that is not confidential or personal? 6. Does the organization have a means of making captured knowledge available to all staff, such as a library or electronic file-sharing system? 7. Does this system include measures to protect the security, confidentiality, and/or integrity of the knowledge? 8. Does the organization have a well-structured, up-to-date “knowledge map” to guide staff to the information they seek? 9. Is this map flexible, showing staff multiple ways to find and access information? 10. Has the organization clearly designated the best resource(s) for particular kinds of information? 11. Does the organization store information in a format that allows multiple users to access it at the same time? 12. Does the organization’s management ensure that time and space exist to stimulate ideas, exchange knowledge (including tacit knowledge), and to learn? 13. Does the organization regularly bring staff together across normal lines of responsibility to develop and/or share knowledge? 14. Does the organization have an information and communications technology (ICT) strategy for identifying ICT needs and developing ICT resources for meeting the organization’s goals and objectives? 15. Does the organization have an effective information technology system to support knowledge sharing, communication, and organizational learning? 16. Are employees adequately trained to take full advantage of this system? 17. Do employees make use of information through information technology resources in their daily work as appropriate? 				

Factor 2: Review and Assessment

Specific Questions for Assessors	Yes	To some extent	To a great extent	No
<ol style="list-style-type: none"> 1. Does the organization regularly review its knowledge assets to identify any significant gaps that need to be filled? 2. Has the organization translated its KM goals into tangible, reasonable quantitative performance targets? 3. Has it also translated some KM goals into tangible, reasonable qualitative performance targets? 4. Does the organization set these KM performance targets through a process involving widespread staff and management participation? 5. Are these targets widely circulated and understood throughout the organization? 6. Are methods for meeting these targets clearly outlined in action or work plans? 7. Is responsibility for achieving such targets assigned to managers and staff at all levels? 8. Does the organization monitor employee behavior with regard to KM, including how well they share tacit knowledge? 9. Is this responsibility clearly outlined in employee performance agreements? 10. Is KM behavior assessed during employee performance reviews? 11. Does the organization regularly review its own progress in meeting its KM performance targets? 12. Does the organization regularly revise its KM strategy to take into account the results of these reviews? 13. Does the organization regularly review the effectiveness of its information and communications technology (ICT) strategy? 14. Does the organization revise its ICT strategy to take into account the results of these reviews? 15. Does staff generally share information readily in the expectation it will enhance their own productiveness and that of the organization? 16. Does the organization actively encourage its staff to be innovative and take calculated, managed risks? 17. Does the organization have systems and actively promote opportunities for capturing and sharing the tacit knowledge (knowledge that exists only in the minds of its staff and management) of staff? 18. Is the degree/amount of knowledge sharing included as a factor employee job description, and assessed in performance evaluations? 				

Sub-Criterion 3: Communications
Factor 1: Internal Communications

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have an internal communications strategy? 2. Has the organization assigned responsibility for internal communications to a specific department? 3. Does the staff of this department have the skills necessary to plan, implement, and evaluate the internal communications strategy? 4. Has the organization identified the appropriate objectives, messages, target audience, tools, and assessment mechanisms for its internal communications activities? 5. Does senior management support internal communications efforts? 6. Is the internal communications strategy generally well known and understood at all levels within the organization? 7. Is the internal communications strategy dynamic enough to capitalize on unforeseen opportunities? 8. Are the processes for planning, implementing, and assessing internal communications activities centralized? 9. Are there clear guidelines for cooperation among staff from various departments devoted to internal communications? 10. Does the internal communications strategy include systems for dealing with emerging crises? 11. Is there a clear action plan for implementing the communications strategy? 12. Does the action plan assign responsibility, and define clear tasks and timelines, for the creation and dissemination of communications materials? 13. Does the organization assign an adequate number of qualified employees and devote sufficient financial resources to implement the action plan? 14. When appropriate, are internal communications tools tested prior to actual production to ensure that the most effective format and method of delivery are used? 15. Is the internal communications strategy regularly reviewed to make ensure that the goals of the strategy are being met? 16. Does the organization formally survey staff to assess the extent to which internal communications activities increase staff awareness of issues, facilitate staff cooperation, enhance employee performance? 17. Does the organization use feedback from staff to improve the effectiveness of the internal communications strategy? 				

Factor 2: External Communications

Specific Questions for Assessors	No	To some extent	To great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have an external communications strategy? 2. Does the organization have an adequately resourced communications or public relations department? 3. Does the staff of this department have the skills necessary to plan, implement, and evaluate the external communications strategy? 4. Has the organization identified the appropriate objectives, messages, target audience, tools, and assessment mechanisms for its external communications activities? 5. Does senior management support external communications efforts? 6. Are there clear guidelines for cooperation among staff from various departments devoted to external communications? 7. Does the action plan assign responsibility, and define clear tasks and timelines, for the dissemination of external communications materials? 8. Is the external communications strategy regularly reviewed to ensure that the goals of the strategy are being met? 9. Does the organization formally survey stakeholders to assess the extent to which external communications efforts help the organization project a positive image, increase public awareness and recognition, and ensure that customers and other stakeholders are well informed of events, activities, or changes that will affect them? 10. Does the organization use feedback from staff and stakeholders to improve the effectiveness of the external communications strategy? 11. Does the organization coordinate its communications planning with partner organizations as appropriate? 12. Does the organization operate an official website that allows the public to access selected official information over the Internet? 13. Does the organization actively assess and attempt to improve the user-friendliness of the site for both internally and external users? 14. Does the organization have a customer service call center that citizens can contact for information about government services? 15. Does the organization publish an annual report each year that is a comprehensive, concise, accurate, and reliable assessment of the organization's contributions to the public? 16. Is the information in the report valid, verifiable, comprehensive report published at a consistent time each year? 17. Is it written in a way that is understandable to a wide variety of stakeholders, including other government officials, legislators, the media, and the public at large? 				

6.4.4 Processes

Sub-Criterion 1: Process Management and Streamlining

Factor 1: Process Design and Delivery

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization create maps for each of its key processes, clearly defining the inputs, procedural steps, and outputs for each? 2. Does the organization test its key processes to ensure that they are designed to be trouble-free and efficient? 3. Does the organization use key performance measures or indicators to assess the effectiveness of process delivery? 4. Does the day-to-day functioning of the organization's key processes meet key performance requirements? 5. Has the organization studied how key processes that deliver different products and services, and do not interact directly, affect each other? 6. Does the organization coordinate these processes to ensure that they complement each other and contribute towards the same goals? 7. Does the organization accurately assess the types and quantities of resources required for each key process, and deploy resources based on this assessment? 8. Does the organization encourage communication and cooperation among different departments and levels of staff to promote understanding and coordination of key processes? 9. Are procedures for monitoring and reviewing delivery results built into the process itself? 10. Does the organization measure these results in a transparent manner and communicate the findings accurately to staff and stakeholders? 				

Factor 2: Streamlining of Procedures

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization use process mapping and/or flowcharts to outline the procedures and steps for each key process? 2. Does the organization ensure that process flowcharts or maps are available to, and well understood by, all service providers? 3. Does the organization regularly audit procedures, and streamline them by eliminating unnecessary and duplicated steps? 4. Does this streamlining effectively cut red tape and reduce the time, effort, and cost of product and service delivery? 5. Does the organization use customer service standards to judge the effectiveness of the streamlined procedures? 6. Does the organization form cross-departmental teams of staff with varied expertise to implement the streamlining process? 7. Does the organization coordinate and cooperate with other institutions to review and streamline procedures for end-to-end processes? 8. Does the organization deal effectively with resistance among staff before, during, and after changes to procedures are enacted? 9. Does the organization accurately communicate the results of efforts to streamline procedures to staff and stakeholders? 10. Does the organization take corrective action if the level of service quality is below the anticipated standard? 11. Does the organization train staff on newly streamlined procedures to ensure efficient delivery? 12. Does the organization consider, and, where appropriate, incorporate, new technology resources to help streamline procedures? 				

Sub-Criterion 2: Customer Relationship Management

Factor 1: Customer Needs and Expectations

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization communicate effectively with customers about its policies, regulations, and services? 2. Does the organization routinely collect information on interactions with customers and solicit their feedback to gain a better understanding of their needs and expectations? 3. Does the organization respond to customer complaints by taking action to improve unsatisfactory products and services? 4. Does the organization provide customers with brochures or pamphlets about how to access products and services, and the inputs (such as documentation or fees) required from the customer? 5. Does the organization regularly update data on stakeholder needs and expectations and use this data to determine service requirements? 6. Does the organization continually update processes according to changing customer needs and expectations? 7. Does the organization anticipate customers' future needs and expectations to ensure that customer services processes are updated before they become obsolete or inefficient? 				

Factor 2: Customer Satisfaction

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization consider customer service to be of the highest priority? 2. Has the organization trained service providers to better respond to customer inquiries? 3. Does the organization ensure that its staff, particularly front-line employees, have the authority and resources they need to respond to customer complaints and/or needs promptly and courteously? 4. Does the organization use modern systems, such as call centers or hotlines, to respond to customer inquiries? 5. Does the organization respond promptly to customer inquiries? 6. Does the organization routinely assess the level of customer satisfaction with product and service delivery by actively soliciting customer feedback? 7. Does the organization use a documentation system to track how it deals with customer complaints? 8. Does the organization take customer feedback seriously, and apply lessons learned when redesigning customer service processes? 9. Does the organization encourage employees to submit suggestions for improving customer satisfaction? 10. Does the organization have and strictly enforce a policy ensuring equality of access to information and services the organization provides? 				

Factor 3: Building Relationships with Suppliers

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization select preferred suppliers transparently, using clearly defined selection criteria? 2. Does the organization take into consideration whether or not suppliers behave ethically when determining whether to begin or continue a business relationship? 3. Does the organization set key performance requirements for suppliers? 4. Does the organization ensure that these performance requirements are met? 5. Does the organization effectively communicate its goals and needs to suppliers? 6. Does the organization provide assistance to suppliers to help them complete their work according to the organization's timeframe and specifications? 7. Does the organization cooperate with suppliers to develop terms of reference, processes, and expectations for the relationship that meet the needs of both the organization and the supplier/partner? 8. Does the organization effectively communicate with suppliers about any changes to these terms of reference, processes, or expectations? 9. Does the organization provide clear, useful feedback to suppliers to help them improve the efficiency and quality of their services? 				

Factor 4: Continuous Improvement

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization include strategies for improving customer service, such as updating facilities or integrating new technology, into its strategic plan? 2. Does the organization regularly identify and follow through on opportunities for improvement in service delivery? 3. Does the organization regularly identify and follow through on opportunities for breakthrough improvements in process design? 4. Does the organization actively seek information and suggestions from customers when streamlining or updating processes, and use this information to anticipate and avoid potential problems? 5. Does the organization publicize the results of changes to product and service delivery processes? 6. Does the organization regularly review and update its performance standards to reflect improvements in product and service delivery? 				

6.4.5 Finance

Sub-Criterion 1: Planning

Factor 1: Projections

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization receive and review sufficient information about its financial requirements, with proper methodologies and well-considered assumptions, to enable its managers to make sound funding decisions? 2. Does the organization receive and review sufficient information about the design, execution, monitoring and evaluation processes for its projects, programs, or activities? 3. Does the organization do a cost/benefit analysis of each proposed project? 4. Does the organization use the results of previous years' budgets in making current budgeting decisions? 5. Does the organization use the latest projection techniques and methods to predict its financial needs? 6. Has the organization identified what percentage of variation is acceptable in its financial projections? 7. Do managers who are not involved in making projections have confidence in the projections? 8. Does the organization have a system for forecasting revenues and expenditures that is appropriate for developing projections that are relevant to the organization's needs? 9. Does the current budget take into consideration potential changes to the organization's strategy that might occur in future years? 10. Does the organization consider current and future changes in government regulations during the budgeting process? 11. Are variances reflected in the budget? 12. Does the organization regularly review the budget? 				

Factor 2: Budgeting and Allocation

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Is the budget prepared through a participatory process involving staff at all levels? 2. Does the organization review and revise its priorities throughout the budgeting process? 3. Do the organization's budget drafting guidelines ensure that the budget is aligned with the priorities of the strategic plan and action plans? 4. Does the organization take citizen needs and expectations into consideration when developing the budget? 5. Does the organization translate citizen needs and expectations into weighted factors to ensure that they influence budgeting decisions in an appropriate way? 6. Are new technological advancements that relate specifically to the organization and its constituency taken into consideration in the budgeting process? 7. Is the rationale behind funding allocation decisions well known and understood throughout the organization? 8. Does the organization actively attempt to assess the effect of its allocation decisions on employee morale? 				

Sub-Criterion 2: Implementation

Factor 1: Financial Administration

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization's enabling legislation require it to maintain a high standard of financial accountability and specify mechanisms for achieving this? 2. Does the organization have written policies and procedures for its accounting process? 3. Are the organization's financial reports readily available to the public and to the media? 4. Are these reports made available to the public in a format and style that is clear and easy-to-understand even to readers who do not have a technical background in accounting or finance? 5. Does the organization review its accounting system annually to identify strengths and weaknesses in its accounting system? 6. Does the organization's accounting system conform to the standards of international conventions of the accounting profession? 7. Does the organization have an applied cost accounting system that helps identify costs and assign them to the appropriate project or activity? 				

Factor 2: Purchasing

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization provide written documentation of proper purchasing methods to staff at all levels? 2. Does the organization have procedures in place to prevent fraud and corruption in the purchasing process? 3. Does the organization conduct an assessment of its purchasing procedures as part of its regular auditing process? 4. Does the organization's purchasing system require a paper trail for every purchase, including signed vouchers with matching numbers and receipts? 5. Does the organization have clear and effective purchasing approval processes? 6. Are these processes routinely implemented at all levels of the organization? 7. Does the organization have a formal system for ensuring that it receives quality services and products at the best price? 8. Does the organization have a written procurement policy mandating that all purchases above a set amount of money are bid competitively? 9. Are bids tendered in a manner that is fair, transparent, non-discriminatory, and competitive? 10. Are contracting opportunities well and publicly advertised so that potential bidders become aware of the opportunities? 11. Are bids reviewed by teams of at least three individuals, each of whom scores the cost and technical separately before comparing scores and making decisions as a team? 12. Are bids evaluated according to clearly defined, objective criteria that are made available to all bidders? 				

Factor 3: Inventory Management

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization have a written inventory policy that clearly outlines what items can and cannot be placed in inventory? 2. Does the organization periodically inventory its storage facilities to prevent against unnecessary purchasing? 3. Does the organization link inventory management to cash flow management? 4. Does the organization consider supply and demand projections when making inventory decisions on commodities whose prices are likely to fluctuate? 5. Does the organization have property insurance that covers its inventory? 				

Sub-Criterion 3: Financial Assessment

Factor 1: Monitoring and Auditing

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization identify key indicators that are appropriate for assessing the effectiveness of the budgeting process? 2. Do these indicators include measurements of the quality and quantity of the products or services it provides? 3. Do these indicators include measurements that help the organization assess the value of its outputs and compare them to the expenditures? 4. Does the organization assess the accuracy of its projections at the end of each budget year? 5. Does the organization document and update these techniques and methods each year? 6. Does the organization have systems for providing managers with updated financial information throughout the budget year? 7. Does the organization prepare comprehensive budget reports comparing actual expenditures and revenues to forecasted figures? 8. Does the organization generally adhere to its budget? 				

Factor 2: Recommendations

Specific Questions for Assessors	No	To some extent	To a great extent	Yes
<ol style="list-style-type: none"> 1. Does the organization's strategic plan drive its financial administration? 2. Do the organization's financial managers make formal recommendations to the organization's decision makers about improving the budgeting process? 3. Do the financial managers ask internal and external decision makers for recommendations on how to make their reports more useful? 4. Do the financial managers, auditors, and department heads regularly review methods of data collection to ensure that they provide information of practical value to the organization? 5. Do department heads consider financial managers to be a vital part of the team that helps achieve departmental objectives? 6. Do financial managers provide the organization with information that is useful for justifying requests for additional revenue from government allocation authorities? 				

6.5 *Survey forms*

6.5.1 Leadership

Strategic Planning Framework		YES	NO
1	Do you know if the organization has a written <i>vision</i> outlining what it would like to become ideally, in terms of achieving excellent features to perform its role well?		
2	Are you familiar with this vision?		
3	Has the <i>vision</i> helped you at all to see any new ways to enhance the job that you do, or jobs done by fellow employees with whom you work closely?		
4	Are you aware if the organization has a written <i>mission</i> statement that clearly outlines the organization's essential role/functions?		
5	Has your manager asked you for your ideas and/or work plan regarding your section's work-plan and/or the organization's <i>strategic plan</i> ?		
6	Do you understand your role in specifying output targets that are known to you and are clearly linked to achieving the strategic plan's objectives?		
Supportive Culture		YES	NO
7	Are you aware if the organization has a set of core values that it wishes all its employees to reflect in their work behavior to enhance its output performance?		
8	Do you and your colleagues/manager usually adhere to these <i>core values</i> ?		
9	In your experience, do staff/managers readily <i>share information</i> with each other?		
10	In your experience, does the organization actively try to <i>encourage</i> its staff to be <i>innovative</i> and take calculated risks to try to enhance its output performance?		
11	Do you see managers in the organization <i>leading by example</i> , at least generally?		
12	Do you think that generally each manager <i>proactively seeks</i> to achieve the output targets in his/her respective areas of responsibility?		
13	Do you think managers usually <i>accept responsibility</i> for achieving these targets?		
14	In your experience, does management usually <i>recognize and systematically acknowledge</i> excellent work performance by individuals/teams in the organization?		
15	Do you generally <i>feel valued</i> by the organization's management?		
16	Have you been <i>delegated enough responsibility and authority</i> to contribute most effectively to achieving the organization's output targets?		

Monitoring and Evaluation		YES	NO
17	To your knowledge, has your organization established clear targets per each planning or fiscal period for each of its key outputs?		
18	Does your organization attempt to monitor its performance regularly against each of these key outputs?		
19	Do you feel that your organization is aware of its key stakeholders and understands the nature of their interests in your organization's outputs?		
20	In your opinion, has your organization identified and prepared against the major risks to its ability to successfully produce or deliver its outputs?		

6.5.2 People

Human Resources Management		YES	NO
1	To your knowledge, does the organization have a defined recruitment and selection criteria to determine proper employment of potential candidates?		
2	Do you have a job description and a clearly defined scope of work?		
3	Do you feel that a fair policy is applied in selecting the right people for the right job at the right time?		
4	Do you think that the organization implements an equitable reward system?		
5	Do you feel that job performance and merit determine promotion, reward, and compensation within the organization?		
6	Do you feel your pay is linked to your performance?		
7	Do you take part in the process through which your performance is appraised?		
8	Are the results of your performance appraisal communicated to you?		
Human Resources Planning		YES	NO
9	To your knowledge, is there a Human Resources forecasting plan for your division?		
10	Do you think employees are logically deployed throughout the work units?		
11	To your knowledge, does the organization utilize a succession planning program to ensure continuous availability of future leaders?		
12	Are you aware of job openings/opportunities within the organization, and encouraged to apply when your skills and interests meet the job description?		
13	Does the organization consider promoting internal candidates before seeking external candidates?		
Human Resources Development		YES	NO
14	Are you aware of training programs offered or sponsored by the institution?		
15	Are you encouraged to participate in job-related training activities?		
16	Are you encouraged to learn and upgrade your job skills in general, through such methods as coaching by experienced supervisors?		
Employee Relations		YES	NO
17	In your opinion, does the organization solicit and consider suggestions from employees at all levels on means to improve the institution?		

6.5.3 Knowledge

Understanding Knowledge Management		YES	NO
1	In your opinion, does the organization seek to develop, capture, and share information on an ongoing basis?		
2	To your knowledge, does the organization have a knowledge management strategy?		
3	Does your division actively solicit and document information from its employees and customers?		
4	Could you perform your job more effectively or efficiently if you had better access to information already existing within the organization?		
5	In your opinion, does your organization openly and effectively share knowledge held by the organization with interested citizens and/or businesses?		
Knowledge Management Operations			
6	To your knowledge, has your department/division reviewed its current knowledge assets and identified and documented any key knowledge gaps that need to be filled?		
7	Does your division have clear rules for capturing and storing relevant documents/information?		
8	In your experience, are these documents readily available and accessible?		
9	In your experience, do managers generally encourage staff to check if vital knowledge already exists and is available before they begin working on a specific topic?		
10	To your knowledge, has the organization identified any e-government initiatives as part of its strategic plan — or knowledge management strategy — for fulfilling its role more effectively?		
11	To your knowledge, does your organization use the internet to provide citizens and/or clients with easy access to its services and/or knowledge?		
Communications			
12	To your knowledge, does your organization have an internal communications strategy with a designated person in charge?		
13	In your opinion, is the communications strategy dynamic enough to seize unforeseen opportunities and to manage crises?		
14	Does your organization have an external communications strategy with a designated person in charge?		
15	In your opinion, is the external communications strategy dynamic enough to seize unforeseen opportunities and to manage crises?		

6.5.4 Processes

Process Management and Streamlining		YES	NO
1	Do you feel there are unnecessary burdens or delays in the processes you perform daily?		
2	Do you know who the customers of your work are?		
3	Do you continually assess customer needs related to your work?		
4	Do you feel that your work procedures could be simplified while still producing the same result?		
5	Have you participated in analyzing the flow of your work process?		
6	Are your recommendations considered regarding necessary actions to be taken related to your work?		
Stakeholder Relationship Management			
7	To your knowledge, does your organization solicit regular customer/client feedback to better identify requirements and expectations?		
8	Does your organization make a concerted effort to secure a high level of customer satisfaction in general?		
9	In your opinion, are members of your organization empowered to make decisions to respond promptly to customer/client inquiries?		
10	Is your job geared toward continually improving the level of service quality?		
11	In your opinion, has the organization adopted appropriate measures to ensure that it can learn from mistakes in service delivery?		

6.5.5 Finance

Planning		YES	NO
1	Does your organization receive and review sufficient information about its financial requirements in order to enable you and your managers to make sound funding decisions?		
2	Does your organization use the results of previous years' budgets in making current budgeting decisions?		
3	To your knowledge, has your organization identified what percentage of variation is acceptable in its financial projections?		
4	Does the current budget consider potential changes in the organization's strategy and government regulations that may occur in future years?		
5	Does your organization review and revise its priorities throughout the budgeting process?		
6	Do your organization's budget drafting guidelines ensure that the budget is aligned with the priorities of the strategic plan?		
7	Does your organization consider citizen or client needs and expectations when developing its budget?		
8	Is the rationale behind funding allocation decisions well known and understood throughout the organization?		
9	To your knowledge, does the organization have a strategy to manage financial risks?		
Implementation			
10	Does your organization's enabling legislation require it to maintain a high standard of financial accountability, and specify mechanisms for achieving this?		
11	Does your organization have written policies and procedures for its accounting processes?		
12	Are the organization's financial reports readily available to the public and the media?		
13	Does your organization's accounting system conform to the standards of international conventions of the accounting profession?		
14	Does your organization provide written documentation of purchasing methods to staff at all levels?		
15	Does your organization's purchasing system require a paper trail for every purchase?		
16	Does your organization have a clear and effective purchasing approval process that is routinely implemented at all levels of the organization?		
17	Does your organization have a written procurement policy mandating that all purchases above a set amount of money are bid competitively?		
18	Are bids tendered in manner that is fair, transparent, non discriminatory, and competitive?		

19	Does your organization have a written inventory policy?		
20	Does your organization periodically take inventory of its facilities to track its assets and to help manage its planning and purchasing processes?		
Financial Assessment			
21	Has your organization identified key indicators that are appropriate for assessing the effectiveness of the budgeting process?		
22	Do these indicators include measurements of the quality of the products or services it provides?		
23	Does your organization have systems for providing managers with updated financial information throughout the budget year?		
24	Does your organization prepare comprehensive budget reports comparing actual expenditures and revenues to forecasted figures?		
25	Does your organization's strategic plan drive its financial administration?		
26	Do your organization's financial managers make formal recommendations to the organization's decision makers about improving the budgeting process?		
27	Do your organization's financial managers ask internal and external decision makers for recommendations on how to make their reports more useful?		

6.6 Interview forms

6.6.1 Leadership

Leadership Assessment Interview form		Date: _____	
Benchmarking Assessment			
Interview Number: _____		Name of interviewer: _____	
Sub-criterion 1: Strategic Planning Framework			
	Indicators	Score	Assessment Notes
Factor 1: Vision and Mission			
1	The organization's vision describes what it wants to become, captures its aims of excellence in carrying out its role, is consistent with client goals, and is supported by project leadership and key stakeholders.		
2	This vision is well known and embraced throughout the organization, and is an effective guide for the organization.		
3	The organization's mission statement clearly defines its role, outlines how it intends to fulfill this role, and is consistent with client and organizational goals.		
4	This mission statement is well known and embraced throughout the organization, supported by stakeholders and the project leadership, and available to the general public.		
Factor 2: Strategy			
5	The organization's strategic plan accurately defines its goals, outputs, and relative priorities, and is consistent with the organization's vision, stakeholder interests, and client goals.		
6	The organization uses the strategic plan to guide programmatic decisions as well as operational decisions, including allocation of resources and delegation of responsibility.		
7	The overall strategic plan is supported by more detailed action plans or work plans for each subsidiary unit.		
8	Staff at all levels within the organization generally know, understand, and support the strategy, including their role in achieving its objectives and producing its planned outcomes.		
9	The strategic plan is subject to a regular review process, the findings of which are acted on in a timely fashion to promote continual improvement.		

Factor 3: Linkage to National Goals (GOI)		
10	The organization knows and understands which GOI goals its outputs contribute to.	
11	The organization knows the nation's relative priorities for these national goals.	
12	The organization generally understands the impact of each of its different types of outputs.	
13	The organization has a conceptual framework to help it understand and evaluate how its key outputs contribute to national goals.	
14	Managers and staff generally understand how the organization's key outputs contribute to national goals and how their particular inputs impact these organizational outputs.	

Sub-criterion 2: Supportive Culture

	Indicators	Score	Assessment Notes
Factor 1: Values			
1	The organization's core values are appropriate, focused on achieving excellence, and promote citizen-centered, results-focused, and transparent government.		
2	These core values are widely understood and embraced by all levels of the organization, and permeate the on-the-job behavior of the organization's entire staff.		
3	There are seminars and/or training courses to increase employee awareness of different forms of corruption and its financial implications.		
4	There are means available for employees to report corruption or suspicions of corruption.		
Factor 2: Staff Empowerment			
5	Employees generally believe that they have been delegated enough responsibility and authority to fill their role in achieving the organization's targeted objectives, particularly frontline employees who deal with the clients on a daily basis.		
6	The organization follows a staff management philosophy that consistently recognizes and acknowledges excellent staff performance, encourages staff to be innovative and creative in achieving the organization's objectives, and understands the importance of creating opportunities for staff to realize their potential.		
7	The organization's promotion and appointment system is transparent and merit-based.		

Sub-criterion 3: Monitoring and Evaluation

	Indicators	Score	Assessment Notes
Factor 1: Achievement of Output Targets			
1	The organization establishes targets for each of its key outputs for each planning or fiscal period and has subdivided these into sub-targets for each of the various areas of management and staff responsibility.		
2	The organization effectively disseminates its output targets and responsibilities across its ranks and to its stakeholders.		
3	The organization has a system to monitor, measure, analyze, and report upon the actual performance of each key output on a regular basis or if unusual performance is observed. The results of this systematic measurement is reported to stakeholders.		
Factor 2: Collaboration			
4	The organization's senior management has accurately identified its key stakeholders and understands the nature of their interests in the organization's outputs.		
5	The organization regularly updates and seeks feedback from key stakeholders on current activities, operational performance, issues, policies, and regulations.		
6	The organization encourages lower and mid-level staff to liaise with their counterparts at other organizations to promote collaboration and cooperation.		
7	The organization prioritizes its obligation to enhance the overall, client-centered benefit when making decisions about its outputs, especially when there are conflicting interests among collaborating institutions?		
8	The organization has a policy of answering all written requests for information in a timely fashion and regularly responds to such requests.		

Factor 3: Risk Management		
9	The organization has clearly identified the major risks to its ability to successfully produce its outputs.	
10	The organization has assessed each major risk, estimating the probability of the risk actually occurring and the likely magnitude of its impact	
11	The organization has a strategy to manage these risks which is being implemented.	
12	The organization regularly reviews this strategy to gauge its relevance and to determine whether any adjustments are required due to changed circumstances.	

6.6.2 People

People Assessment Interview form
 Benchmarking Assessment

Date: _____

Interview Number: _____ Name of interviewer: _____

Sub-criterion 1: Management

	Indicators	Score	Assessment Notes
Factor 1: Job Descriptions and Classification			
1	The organization provides employees a clear, detailed, results-based job description.		
2	Employees receive their job descriptions at the beginning of their employment.		
3	The organization uses the job descriptions to help plan human capital policies, such as policies regarding staff training and employee performance appraisals.		
4	The organization prepares and updates job classification tables that clearly rank each position in the organization.		
5	The organization uses the job grading system when designing promotion and recruitment procedures.		
Factor 2: Employment			
6	The organization recruits internally to utilize existing skills and competencies, motivate staff to strive for excellence, and provide employees with opportunities for advancement.		
7	The organization uses recruitment and selection criteria to determine proper selection of potential candidates (including reference checks).		
8	The organization carries out needs assessments and job analyses to determine the number and quality of staff needed.		
9	The organization updates job classifications.		
10	The organization has established recruitment and selection policies that are linked to organizational goals and objectives.		
11	The organization internally circulates tables of vacant jobs reflecting the expected period of recruitment.		
12	The organization considers employment requirements and work priorities, and incorporates them into working programs to avoid any bias in recruiting qualified candidates.		

Factor 3: Performance Appraisal		
13	The performance management system includes feedback to all employees on the level of their performance to encourage them to enhance future performance levels.	
14	Appraisals are periodically conducted and results are communicated.	
15	Assessed information on level of performance is used to determine promotion and/or training needs.	
Factor 4: Compensation and Incentives		
16	The organization has established and implemented reward systems and incentive programs that consider employee welfare and performance-based results.	
17	The organization has aligned reward systems and compensation schemes with performance-related results, and motivated employees toward fulfilling organizational and individual needs.	
18	The organization examines and regularly updates reward systems, incentive programs, and compensation schemes to ensure alignment with organizational priorities and desired outcomes.	
19	The organization links pay and other compensation schemes with a performance-based management system, workload, and level of responsibilities.	
20	The organization has adopted clear criteria to be considered in identifying job titles when preparing the employment budget rather than creating titles to respond to personal interests.	

Sub-criterion 2: Planning

	Indicators	Score	Assessment Notes
Factor 1: Forecasting			
1	Forecasts of staffing requirements are built on business requirements rather than an interest in supervising a large number of staff with a low volume of workload.		
2	An inventory of the types of current qualified employees is created to effectively meet operational goals, especially with regard to dealing with customers.		
3	Staffing needs (demand) and availabilities (supply) are reconciled.		
4	Staff utilization analysis is conducted to determine whether and to what extent qualified employees are deployed in various job categories.		
5	Strategic, operational, and financial plans are reviewed to determine their impact on organizational strategic planning and human resource planning.		
6	The quantity, quality, and types of positions required in each functional area are regularly identified during the periods covered in the organizational plans and based on outputs/outcomes.		
7	Policies, programs, and procedures are developed to specify how employees filling each position will be fairly recruited, selected, trained, compensated, and retired.		
Factor 2: Succession Planning			
8	The succession planning program is efficiently planned and followed.		
9	Succession planning steps are transparently followed, and results are clearly monitored and improved to ensure proper utilization of time, money, and efforts dedicated during the course of preparation and implementation.		

Sub-criterion 3: Training and Development

	Indicators	Score	Assessment Notes
Factor 1: Employee Training			
1	Training needs are analyzed for each and every job title, per individual capacity, and at each management level, including leadership training.		
2	Employee training and development are addressed and associated with change management, leadership development, new employee orientation, and performance improvement.		
3	A methodology is used to evaluate the results of training courses, and findings are used to determine cost efficiency and measure the return on investment in training on organizational and individual performance.		
4	A supportive climate encourages the transfer of learning events into the workplace.		
5	Training and development plans are prepared according to the organization's strategic plan, human resource plans, inputs from supervisors and individuals, and other management policies.		
6	The training budget is prepared based on training and development priorities.		
Factor 2: Management Development			
7	Development needs are identified for all managers as well as per individual manager.		
8	Management development programs are discussed and provided to all managers to follow and share.		
9	Formal and informal approaches are both adopted as time and facilities allow for it.		
10	A supportive learning climate is encouraged and facilitated for managers.		
11	A fair and equal assessment methodology is adopted by the organization to verify the extent of benefit from such applied methods.		

Sub-criterion 4: Employee Welfare

	Indicators	Score	Assessment Notes
Factor 1: Employee Relations			
1	The organization plans different caring programs to ensure employee welfare, satisfaction, and retention.		
2	Key factors that affect employee well-being are addressed.		
Factor 2: Employee Retention			
3	The organization secures a high level of employee satisfaction by considering matters such as a healthy work climate and employee satisfaction.		
4	The organization considers employee needs through various means, such as a suggestion program and field visits.		
5	The organization follows a communication approach designed to ensure the effective participation of employees, and to improve their morale and performance level.		
6	The organization considers developing systems to ensure employee retention.		
7	Employee retention rates are measured yearly and continuously increased.		

6.6.3 Knowledge

**Knowledge Assessment Interview form
Benchmarking Assessment**

Date: _____

Interview Number: _____

Name of interviewer: _____

Sub-criterion 1: Knowledge Operations

	Indicators	Score	Assessment Notes
Factor 1: Awareness and Commitment			
1	The organization has explained the concept of knowledge management (KM) to all staff and there is a general understanding of this concept at all levels.		
2	KW is explicitly included in the organization's general mission documentation, training guidelines, and job descriptions.		
3	The organization actively and effectively promotes good knowledge management behavior by providing employees with both resources and encouragement.		
Factor 2: Planning			
4	The organization has a clear, written, and well-defined KM strategy which outlines how knowledge contributes to the organization's objectives.		
5	The organization has defined its vital knowledge requirements and identified gaps between current assets and needs accordingly.		
6	The organization manages its knowledge resources in order to classify each asset by type, location, and the person responsible for it.		
7	The organization is implementing a strategy to manage risks to its knowledge assets.		

Sub-criterion 2: Knowledge Impact

	Indicators	Score	Assessment Notes
Factor 1: Knowledge Deployment			
1	The organization captures internal documents and has a system for archiving and retrieving them.		
2	The organization's KM strategy captures vital tacit knowledge of its key staff to make it more accessible to the rest of the organization.		
3	The organization ensures that time and space exist to allow staff to exchange knowledge and to learn from one another.		
4	The organization regularly brings staff together across normal lines of responsibility to develop and/or share knowledge.		
5	The organization has an information and communications (ICT) strategy for identifying needs and developing resources for meeting the organization's goals and objectives.		
6	The organization has an effective ICT system to support knowledge sharing, communication, and organizational learning.		
Factor 2: Review and Assessment			
7	The organization regularly reviews its knowledge assets to identify any significant gaps that need to be addressed.		
8	The organization regularly reviews its progress in meeting its KM performance targets, its KM strategy, and its ICT strategy for KM.		
9	The organization revises its KM approach and strategy based on the results of these reviews.		
10	The organization encourages its employees to be creative and creates an environment in which it is safe to take calculated risks		
11	The organization encourages and provides opportunities for employees to acquire and exchange knowledge		

Sub-criterion 3: Communications

	Indicators	Score	Assessment Notes
Factor 1: Internal Communications			
1	The organization has a clearly defined internal communications strategy with a designated lead for its development and implementation.		
2	The internal communications strategy is well-known and understood across all levels of the organization.		
3	The internal communications strategy includes an action plan which assigns clear tasks and timelines for the creation and dissemination of communications materials.		
4	The organization assigns adequate human and financial resources to support internal communications effectively.		
5	The strategy is regularly reviewed with staff input in order to monitor and improve its effectiveness.		
Factor 2: External Communications			
6	The organization has a clearly defined external communications strategy and a department responsible for its implementation.		
7	The external communications strategy is well-known and understood across all levels of the organization.		
8	The external communications strategy is dynamic enough to capitalize upon unforeseen opportunities and to manage crises.		
9	The organization maintains a website to facilitate public access to selected official information.		
10	The organization consistently tries to simplify access to the website for internal and external users.		
11	The organization has a private phone number that citizens can call to get information on government services.		
12	The organization regularly issues an general annual report that is high-level, accurate, easy to understand and provides a strong vision of its services to the public.		

6.6.4 Processes

Processes Assessment Interview form
Benchmarking Assessment

Date: _____

Interview Number: _____

Name of interviewer: _____

Sub-criterion 1: Process Management and Streamlining

	Indicators	Score	Assessment Notes
Factor 1: Process and Design Delivery			
1	The organization incorporates the changing requirements of customers into service designs.		
2	Process design is tested to ensure the organization has adequate capability for trouble-free and timely introduction of services.		
3	The organization meets key performance requirements during the ongoing operation of key delivery processes.		
4	Resources required for each process are determined and made available to ensure quick delivery of services.		
5	The organization has established effective communication channels that enhance cooperation and understanding between functional units during process delivery.		
6	Process delivery results are transparently measured and built into process design.		
Factor 2: Streamlining of Procedures			
7	Process mapping is designed and prepared to reflect the flow of procedural steps for each process delivery.		
8	The linkages, steps, and functions between processes and work units are identified and solved to avoid any duplication in the provision of services.		
9	The availability of resources and information needed to support the operation of processes are secured and monitored.		
10	Each process step is documented in flow charts that are deployed to service providers.		
11	The streamlining process is implemented through a participatory approach whereby employees are encouraged to help analyze the flow of each process and recommend actions and improvements.		
12	Training courses are offered to reflect new patterns of work design and delivery.		
13	Results of simplified processes are communicated and deployed to all concerned employees as well as external stakeholders.		
14	The organization has managed resistance to change expressed by employees as a result of applying new patterns of work delivery.		
15	Management decisions to incorporate technology resources are promptly integrated into action plans.		

Sub-criterion 2: Stakeholder Relationship Management

	Indicators	Score	Assessment Notes
Factor 1: Stakeholder Needs and Expectations			
16	Customer feedback is actively solicited through surveys and other methods to better identify customer requirements and expectations.		
17	The organization conducts periodical analysis of service requirements, and updates data on all stakeholder requirements and expectations.		
18	The organization meets with customers to solicit feedback and suggestions when improving service design and delivery processes.		
Factor 2: Stakeholder Satisfaction			
19	The organization makes a concerted effort to secure a high level of customer satisfaction through various methods, including soliciting periodic feedback from customers and promptly solving their complaints.		
20	The organization adopts a methodology whereby it can learn from mistakes during process delivery.		
21	Proper documentation is designed to easily deal with customer complaints or comments on the level of service.		
22	Employees are empowered to respond promptly to customer inquiries.		
Factor 3: Building Relationships with Suppliers			
23	Key performance requirements such as quality, delivery, and price for suppliers and partners are identified.		
24	Information on actions and plans to improve the ability of suppliers and partners is considered.		
25	The organization addresses partners to keep requirements for success, means for regular communication, approaches to evaluating progress and methods for adapting to changing conditions.		
26	Ethical behavior in all transactions and interactions is stressed by the organization.		
27	Gathering information is considered an important input to strategy and action plan deployment.		
28	Products and services delivered to end-users via intermediate business groups are known and accepted by the organization.		
29	Supplier processes help to improve the performance and contribute to the organization's performance.		
30	The organization designs, manages, and improves its suppliers and partnering processes, and relationships are built with key performed suppliers.		

Factor 4: Continuous Improvement		
31	Rules and standard operating procedures are established and made consistent with improvement initiatives.	
32	Current standards are continually revised to reflect future needs for improving quality standards in service delivery.	
33	The organization uses a mechanism to continually assess and strengthen service quality.	
34	Processes are reviewed and targets set for continuous improvement.	
35	Procedural information is shared and communicated with internal/external customers to continue learning and improving processes.	
36	The organization has adopted a value-added model to identify and implement basic, desired, expected, and unexpected needs to ensure continuous response to customer needs and to upgrade the level of customer service.	
37	The organization follows a defined communication strategy to provide an acceptable level of service quality and post-service standards.	
38	The organization applies specific criteria and measurable indicators to encourage problem-solving through various tools such as quality circles meetings, regular contact with the media, and on-the-job coaching for service providers.	

6.6.5 Finance

**Finance Assessment Interview form
Benchmarking Assessment**

Date: _____

Interview Number: _____ **Name of interviewer:** _____

Sub-criterion 1: Planning

	Indicators	Score	Assessment Notes
Factor 1: Projections			
1	The organization receives and reviews sufficient information about its financial requirements, with proper methodologies and well-thought out assumptions, to enable its managers to make sound funding decisions.		
2	The organization uses the results of previous years' budgets in making current budgeting decisions.		
3	The organization has identified what percentage of variation is acceptable in its financial projections.		
4	The current budget considers potential changes in the organization's strategy and government regulations that may occur in future years.		
Factor 2: Budgeting and Allocation			
5	The organization reviews and revises its priorities throughout the budgeting process.		
6	The organization's budget drafting guidelines ensure that the budget is aligned with the priorities of the strategic plan.		
7	The organization considers client needs and expectations when developing the budget.		
8	The rationale behind funding allocation decisions is well known and understood throughout the organization.		

Sub-criterion 2: Implementation

	Indicators	Score	Assessment Notes
Factor 1: Financial Administration			
1	The organization's enabling legislation requires it to maintain a high standard of financial accountability and specifies mechanisms for achieving this.		
2	The organization has written policies and procedures for its accounting process.		
3	The organization provides access to financial reports to the public and the media.		
4	The organization's accounting system conforms to the standards of international conventions of the accounting profession.		
Factor 2: Purchasing			
5	The organization provides written documentation of proper purchasing methods to staff at all levels.		
6	The organization's purchasing system requires a paper trail for every purchase, including signed vouchers with matching numbers and receipts.		
7	The organization has a clear and effective purchasing approval process.		
8	The organization has a specific policy on purchasing that exceeds a specific amount, and outlines methods for offering tenders in a competitive manner.		
9	The organization has a formal system for ensuring that it receives quality services and products at the best price.		
Factor 3: Inventory Management			
13	The organization has a written inventory policy that clearly outlines what items can and cannot be placed in inventory.		
14	The organization periodically inventories its storage facilities to prevent unnecessary purchasing.		
15	The organization links inventory management to cash flow management.		

Sub-criterion 3: Financial Assessment

	Indicators	Score	Assessment Notes
Factor 1: Monitoring and Auditing			
1	The organization identifies key indicators that are appropriate for assessing the effectiveness of the budgeting process.		
2	These indicators include measurements of the quality and quantity of the products or services it provides.		
3	The organization has systems for providing managers with updated financial information throughout the budget year.		
4	The organization prepares comprehensive budget reports comparing actual expenditures and revenues to forecasted figures.		
Factor 2: Recommendations			
5	The organization's strategic plan drives its financial administration.		
6	The organization's financial managers make formal recommendations to the organization's decision makers about improving the budgeting process.		
7	The financial managers ask internal and external decision makers for recommendations on how to make their reports more useful.		