Foreword

Decentralisation requires the strengthening of the administrative capacity of local self-government bodies, and hence of a professional and competent local government service. Yet, the debate around local government reform across Europe, and particularly in Eastern Europe, has focused predominantly on improving service delivery, making efficiencies, enhancing governance, local accountability and public ethics. One area that has been largely underutilised or even ignored is people management. Yet, in a time of such sweeping reforms of the public service, and with such economic pressures on its employees to achieve more with less funding, good human resources practices are becoming essential. The extent to which employees are engaged and motivated, how they are managed on a day-to-day basis, will make all the difference in being able to implement fundamental and long-lasting changes in all other areas.

That is why this 5th Toolkit issued by the Council of Europe’s Centre of Expertise for Local Government Reform, focuses on modern and effective Human Resources Management (HRM). The Centre of Expertise was created in 2006 in order to help local authorities throughout Europe to improve their institutional capacity and performance in delivering services and exercising public authority. It has developed and published several capacity-building tools until now, as well as original instruments (score cards, self-assessment forms, benchmarks, etc.) and methodologies (comparing and learning from others, 360° reviews, peer reviews, etc.) in order to achieve maximum impact.

Instead of offering ready-made solutions, the Toolkit shows the process that is required for assessing the needs of local authorities in respect to the development of human resources capacities and management. Bringing all concepts, models and best practices together from several European local authorities, it aims at making local governments more effective and democratic.

We hope that this Toolkit will be put to broad and good use thereby ensuring the improvement of the quality of local governance in as many local self-government units as possible. The models suggested here can be adapted according to context, by local authorities and particularly by National Associations of local authorities. For best results, the Centre of Expertise can be requested to guide, supervise and/or ensure the quality of this process.

Alfonso Zardi
Head of the Department of Democratic Institutions and Governance
# Table of Contents

**Introduction** ......................................................................................................................... 7

1. **The Importance of Modern and Effective Human Resources Management (HRM)** .... 9
   1.1 A Good Governance Tool relevant to European Standards ........................................... 9
   1.2 Human Resources Management Aspects ..................................................................... 10
       1.2.1 Concepts .............................................................................................................. 10
       1.2.2 Professional Ethics in the Local Government Sector ........................................... 11
   1.3 Comparison of the Main Approaches of Human Resources Management ..................... 14
       1.3.1 A Career or a Contract Based System? ................................................................. 14
       1.3.2 Approach to Human Resources Management in French Local Authorities .......... 16
       1.3.3 Approach to Human Resources Management in German Local Authorities .......... 23

2. **Presentation of Standard Human Resources Management Tools** ............................... 29
   2.1 Tool: Job Profiles ......................................................................................................... 29
   2.2 Tool: Selection and Recruitment Tools ......................................................................... 31
   2.3 Tool: Staff Appraisal and Identification of Training Needs/Programme ....................... 37
       2.3.1 Evaluation Tools and Incentives for Motivation .................................................... 37
       2.3.2 Training Plans Tools ........................................................................................... 42

3. **Applying Performance Mechanisms and Indicators to Human Resources Management** 49
   3.1 What is performance management and why is it important to HRM? ............................ 49
   3.2 Linking HRM to Corporate Strategy – Strategic Direction ........................................... 51
   3.3 Performance Indicators and their application to HRM .................................................. 56
   3.4 Setting Performance Indicators ................................................................................... 60
   3.5 Using Performance Information ................................................................................... 62
   3.6 HRM – Managing Staff Performance ......................................................................... 63
   3.7 Developing a Performance Management Culture ......................................................... 66
   3.8 Avoiding Pitfalls ......................................................................................................... 68
   3.9 Summary – A Performance Management Checklist ..................................................... 70
   3.10 A HRM Self-Assessment Checklist ............................................................................ 71

4. **Introduction to a gender perspective in Human Resources Management** .................... 73
   4.1 The Benefits of a diversified work force ....................................................................... 74
   4.2 Part I - Some common obstacles to the career advancement of women ....................... 76
       4.2.1 The glass ceiling and the leaking pipeline ............................................................. 76
       4.2.2 Employment segregation ..................................................................................... 76
       4.2.3 Gender ‘neutrality’ ............................................................................................... 77
       4.2.4 Career breaks for children ................................................................................... 78
       4.2.5 Private world of work and the public world of work ............................................. 79
       4.2.6 Gender pay gap ................................................................................................... 79
       4.2.7 Feminisation of jobs ............................................................................................ 80
       4.2.8 Common myths on women in the workplace and generally ................................ 80
   4.3 Part II – Gender and HRM ........................................................................................... 80
       4.3.1 Gender mainstreaming ......................................................................................... 80
       4.3.2 Good preparatory work ....................................................................................... 81
       4.3.3 Support from the top ............................................................................................ 81
       4.3.4 The role of management ...................................................................................... 81
       4.3.5 Gender impact analysis ......................................................................................... 82
       4.3.6 The importance of sex disaggregated data ............................................................ 83
       4.3.7 The importance of dialogue ................................................................................ 83
       4.3.8 Gender expertise ................................................................................................. 84
4.3.9 An operational gender equality plan .................................. 84
4.3.10 Gender awareness training ............................................. 85
4.3.11 The role of all employees .............................................. 88
4.3.12 Recruitment .............................................................. 88
4.3.13 Performance Management ............................................. 88
4.3.14 Hiring and firing ......................................................... 89
4.3.15 Pregnancy and maternity .............................................. 89
4.3.16 Flexible terms and contracts ......................................... 90
4.3.17 Childcare facilities ...................................................... 92
4.3.18 Sexual harassment policy ............................................. 93
4.3.19 Equal pay ............................................................... 94
4.3.20 Monitoring and Evaluating ......................................... 96

5. Practical Programmes for Improving Human Resources Management with Peers........ 98
5.1 Programme Proposals to guide you while using the Tools ......................... 98
5.2 ”Seminar-Type” Benchmarking Programme .................................. 102
5.3 Self-Assessment Tool ................................................................ 102
5.4 Visioning Exercise ................................................................ 119
5.4.1 Benchmarking and Visioning Exercise .................................. 119
5.4.2 World Café Visioning Conversation .................................... 121
5.5 Improvement Action Plan .................................................... 122
5.5.1 Action Learning Concept ................................................ 122
5.5.2 Peer Review Strategy ...................................................... 125

Appendices ............................................................................. 130

Appendix 1 – Case Studies of Human Resources Management Tools and Good Practices .................................................. 130

6.1 Albania.............................................................................. 130
6.1.1 Self-Assessment Tool ................................................... 131
6.1.2 Learning and Development Needs Template .................... 143
6.1.3 Appraisal Forms ......................................................... 144
6.1.4 Performance Tables ..................................................... 148
6.1.5 Action Plans for Communes and Municipalities .............. 156
6.2 Serbia ............................................................................ 162
6.2.1 Self-Assessment Tool ................................................... 163
6.2.2 Job Profile Model ....................................................... 184
6.2.3 Job Interview Form ..................................................... 185
6.2.4 Performance Evaluation Form ...................................... 187
6.3 France ............................................................................ 190
6.3.1 Charter of Professional Ethics ...................................... 190
6.3.2 Job profiles ............................................................... 196
6.3.3 Recruitment procedures .............................................. 212
6.3.4 Staff appraisal .......................................................... 222
6.3.5 Training programmes ................................................... 265
6.4 Germany ....................................................................... 294
6.4.1 Job profiles ............................................................... 295
6.4.2 Recruitment Procedures .............................................. 305
6.4.3 Staff Appraisal .......................................................... 317
6.4.4 Motivation tools ........................................................ 331
6.4.5 Training Programmes .................................................. 333
6.5 The United Kingdom ....................................................... 342
6.5.1 Performance Tables for Human Resources Management ... 342
6.5.2 Staff Appraisal .......................................................... 351
6.6. Belgium ..................................................................... 356
6.6.1 Performance Management Tools ................................... 356

Appendix 2 – Training notes on the added value of modern and effective human resources management for local government employees and councillors ............. 367
7.1 The main benefits of modern and effective human resources management for local government employees ........................................................................................................... 367
7.2 The main benefits of modern and effective human resources management for councillors .................................................................................................................. 369

Appendix 3 Gender mainstreaming in practice ................................................................. 372

8.1 Community Law ......................................................................................................... 372
8.2 Case Study - Austria .................................................................................................. 372
8.3 Case Study - France .................................................................................................. 373
8.4 Case Study - Spain: Expertise in gender ................................................................. 374
8.5 Case Study - Switzerland: Framework for an organisational gender analysis from Swiss Agency for Development and Cooperation SDC ......................................................... 374
8.6 Case Study - Australia: Consider Gender Mainstreaming in all HRM processes .... 375
8.7 ILO Action Plan for Gender Equality 2010–15 - phase II: Aligned with the Programme and Budget for 2012–13 ......................................................................................... 376
8.8 "Gender - a Missing Dimension in Human Resource Policy and Planning for Health Reforms." ......................................................................................................................... 377
8.9 Policy on Equal Opportunities in the Council of Europe Secretariat 2001-2012 Action Plan- Council of Europe ............................................................................................................. 380
8.10 Further reading on gender equality and mainstreaming ......................................... 385

Appendix 4 – Recommendation no. R (2000) 10 of the Council of Europe Committee of Ministers to Member States, on Codes of Conduct for Public Officials ......................... 387
Introduction

This Toolkit has been developed through experience, field observations and debates. It takes inspiration from many European local authorities across Belgium, France, Germany and the United Kingdom.1 It is also inspired by the conclusions of programmes about human resources management led in Albania and Serbia by the Council of Europe from 2010 to 2012 with the support of several pilot municipalities.2

This Toolkit is mainly designed for use by human resources practitioners in local authorities, as well as senior management and elected members of local authorities concerned with public service reform and improving people management.

Its benefits are large for both you and your organisation. It is specifically aimed at:

- Helping to develop an understanding of how human resources practices align with and support organisational strategy and priorities;
- Identifying ways in which to demonstrate the value of people and of sound human resources practices;
- Assessing your competence and effectiveness in providing a good human resources service that meets the changing needs of your organisation and public services.
- Clarifying the roles and responsibilities regarding human resources management of all the stakeholders within the organisation;
- Allowing progress of human resources practices to be measured and benchmarked against similar institutions;
- Enabling better-informed action planning and decision making, taking into account the impact on employees;
- Providing an opportunity for local authorities to take responsibility for their own improvement of HR management practices.

This Toolkit is structured in five parts designed to introduce, describe and illustrate the main points of human resources management:

- **Part 1 – The Importance of Modern and Effective Human Resources Management**: this part sets out the framework of HRM. The importance of HRM is highlighted by presenting the main concepts, approaches and aspects of HRM (including professional ethics), as well as the relevance of this field to enhance the process toward good governance in local self-government units.

- **Part 2 – Presentation of Standards Human Resources Management Tools**: the tools used in the main HRM processes of staff selection, recruitment, training, evaluation and motivation (such as job profiles for instance) are described and explained in order to understand what they are about and what is the basis for a model for each of them. The models proposed can be adapted to the specific context of each local self-government unit.

- **Part 3 – Applying Performance Mechanisms and Indicators to HRM**: building a more effective and efficient administration is essential in a modern organisation. This

---

1 Bordeaux (France), Lescar (France), Lille (France), Nevers (France), Strasbourg (France), Freiburg (Germany), Offenburg (Germany), Andenne (Belgium) and Beauraing (Belgium).

2 In Albania: Elbasan, Lushnje, Kamez, Himare, Librazhd, Kruje, Tirana Municipality Units 4, 5, 7 and 9, and Bulgarec, Bucimas, Qender Librazhd, Dajc-Shkoder, Golem and Farke communes. In Serbia: Sombor, Užice, Zemun, Veliko Gradište, Novi Pazar, Kuršumlija, Paraćin, Pančevo, Ivanjica and Zvezdara.
part answers fundamental questions. What is performance? Why does it matter? How to introduce performance mechanisms in HRM practices? How to measure it? How to set a strategic plan?

- **Part 4 – Practical Programmes for Improving HRM with Peers**: this is the part about methodology. Specific programmes will be introduced so you can assess your current HRM practices and set up a plan to improve weaknesses and share strengths with others (through benchmarking or peer-reviewing for instance).

- **Part 5 – Cases studies of HRM Tools and Good Practices (from the Council of Europe Capacity Building Programmes and Member States Local Authorities)**: this part may particularly be interesting for you as it shows concrete examples of HRM tools used and developed by other European local self-governments. These examples are drawn from Council of Europe programmes in Albania and Serbia, as well as from French, German, Belgian and British cities.
1. The Importance of Modern and Effective Human Resources Management (HRM)

1.1 A Good Governance Tool relevant to European Standards

The promotion of modern and effective Human Resource Management is at the very heart of so called “good governance at the local level”, which is one of the key aspects of local democracy that looks at the relationship between citizens and local authorities. Good governance at the local level is affected by the size of the local authorities, the ways and means of participation in public life that citizens and civil society have at their disposal, but more precisely by the readiness of local government elected officials and in particular local government employees to continually improve the quality of their services to citizens.

HRM is thus about ensuring the development of an efficient and accountable public administration for the benefit of the entire population. Moreover, it is about institution building, including the development and implementation of transparent and impartial recruitment procedures, in depth evaluation of local employees performance and career development for the public service, continuous training and the promotion of ethics within the public administration.

There is a need to establish a merit-based recruitment and career system that is not vulnerable to politicization, in order to have a strong administration both at local and national level. Promoting modern and effective HRM at the local level thus contributes to respecting the five general principles of any public administration reform which are decentralization, depoliticization, professionalization, rationalization and modernization.

The promotion of modern and effective HRM functions at the municipal level is also about changing mentalities of both elected officials and employees, regarding public administration, how it should perform as a whole, and about quality services to be provided to citizens. Trainings contribute indirectly to such changes by enabling employees from different local authorities to learn but also to meet, discuss and exchange with each other.

The European Charter for Local Self-Government defines the working conditions in local governments: “conditions of service of local government employees shall be such as to permit the recruitment of high-quality staff on the basis of merit and competence; to this end adequate training opportunities, remuneration and career prospects shall be provided” (article 6.2).

Another key document is the European Strategy for Innovation and Good Governance at local level, adopted by the CoE Committee of Ministers in 2008, which deals with “competence and capacity”. This principle insists in particular on the need to make sure that professional skills of local government employees are continuously maintained and strengthened, in order to improve their output and impact, develop their performance and produce better results.
1.2 Human Resources Management Aspects

1.2.1 Concepts

Human resources management concerns practices and policies which are required to realise managerial tasks in connection with staff issues, in particular the employment, training, assessment and remuneration of staff and securing a safe, ethically acceptable and fair environment for them. The function of human resources management is made up of a set of different activities aimed at diverse aspects of employee management:

- Job analysis – the process of collecting relevant information about jobs and defining the knowledge, skills and capacities needed for performing a concrete job;
- Planning the supply and demand of human resources – a process in which human resources requirements are predicted, based on anticipated changes in the internal and external environments;
- Recruiting potential candidates – the process of recruiting a sufficient number of qualified candidates to enable an organisation to choose the best ones to fill vacancies;
- Candidate selection – the process of selecting applicants for a certain position and making a decision to employ or to reject a candidate;
- Employee training – the process of making changes in the particular knowledge, capabilities, skills, attitudes and/or behaviour aimed at improving the performance of employees at their own workplace or at an associated one;
- Employee development – the process of creating opportunities to learn in order to help employees in their personal development and to prepare them for future requirements in their jobs or to develop their careers;
- Employee performance assessment – the process of assessing the individual contributions of employees to the accomplishment of organisational objectives in a predefined period of time;
- Employee remuneration – creating and administering a system of direct (basic pay and performance-based earnings) and indirect remuneration of employees (protection programmes, paid vacations, benefits);
- Labour relations – improving employer-employee relations through collective negotiation and by the observance of regulations pertaining to labour and labour relations;
- Employee health and safety improvement – by improving working conditions, implementing stress-reduction programmes, reducing accidents at work, organising counselling; and
- Employee fluctuation management – planning and implementing various redundancy programmes such as laying off staff, voluntary termination of employment by the employee, retirement, etc.

The process of human resources management has an important operational and managerial function sustained by the service for managing human resources, as well as all other levels of management in an organisation.
The objectives of human resources management at the workplace relate to the individual performance or results achieved by employees, the desirable level of productivity and quality, the motivation of employees, and, in the long term, stimulating their loyalty to the organisation.

At the organisational level, the objectives are directed towards increasing average productivity levels, upgrading the quality of working conditions, the growth and development of the organisation, and the profitability of its operation.

Factors which affect the aspect of human resources management are both internal and external. The internal factors concern the organisation’s characteristics (strategy, organisational structure, organisational culture, its size, the existing technology), employees’ characteristics (personal characteristics, interests, motivation, attitudes, capabilities) and the characteristics of the activities being performed (their nature, the demands they make on employees, job satisfaction).

The external factors concern government regulations and legislation (labour and labour relations), labour market trends, the characteristics and demands of the environment.

1.2.2 Professional Ethics in the Local Government Sector

The *raison d’être* of the civil service is to serve citizens and to improve their everyday quality of life. Each civil servant contributes to this core objective within local governments; by helping elected officials, they contribute to the functioning of local democracy. Being a civil servant is, therefore, a very noble function, but one which requires duties to be fulfilled and values to be respected.

In order to gain citizens trust to use public money effectively and efficiently, civil servants must demonstrate – at all times – a particularly ethical and exemplary behaviour. This point has already been highlighted by the Council of Europe in the sixth principle of the Strategy for Innovation and Good Governance at Local Level ³

A charter of professional ethics may be published by each local authority in order to outline key guidelines. It can be drawn from the following key principles which could be adapted to the specific situations of each local government. An example of such a charter is provided in chapter 5 of this toolkit. Furthermore, one can usefully refer to Recommendation No. R (2000) 10 of the Council of Europe Committee of Ministers to Member States on codes of conduct for public officials, which is provided in Appendix 4 of this toolkit. Reference can also be made to the Benchmarking for Public Ethics and Local Finance Toolkit, published by the Centre of Expertise for Local Government Reform in 2009 and available on the website of the Council of Europe at:


³ For more information about the Strategy for Innovation and Good Governance at Local Level and its twelve principles, see http://www.coe.int/t/dgap/localdemocracy/strategy_innovation/default_EN.asp
1.2.2.1 Core Values and Main Rules

a) Full commitment

Civil servants should be committed to their work. This includes two kinds of obligations:

- first, regular attendance is required, which goes with respecting working hours and asking permission to leave office before doing so for instance;

- second, it includes the completion of the job with competence, i.e. accomplishing the required job with an appropriate manner. This also implies updating personal knowledge when needed.4

b) Neutrality and impartiality

While working, civil servants should not express their own political opinion. Aside from their job, they remain full-citizens but they should behave with restraint while expressing personal opinions, i.e. they should express balanced opinions (at least when related to the values their employer stands for).

Political impartiality should be assessed according to the specific situation of each civil servant. Senior civil servants should exercise greater discretion than subordinates.5

c) Dignity, respect and courtesy

Broadly speaking, respect for others, courtesy and politeness should prevail in interpersonal relations. No behaviour undermining human dignity should be tolerated. For instance, the Council of Europe Charter on professional ethics states “any form of sexual and psychological harassment in the workplace and/or in connection to work shall be prohibited as conduct infringing the dignity of men and women.”6

Furthermore, collective behaviour should be encouraged. The Charter on professional ethics sets out, for example, that “[superiors] should ensure harmonious working relations and foster team spirit by guiding, coaching and motivating their subordinates and proposing appropriate training. They have a duty of care in respect of the latter and should listen to them, and ensure that merit is objectively acknowledged and favouritism and prejudice are eschewed.”7

---


5 Ibid., page 10-11.


d) Fairness

Civil servants should always act in a fair and impartial way, putting the common good first and putting aside their personal interests. They should always keep in mind that they are working for the general interest of the community.

Conflicts of interest should be prevented. A conflict of interest arises when “[civil servants] have personal interest or contacts that might distort their judgement and hinder the impartial and objective performance of their duties.”

e) Serving citizens

As stated above, serving citizens is the *raison d’être* of civil servants. Therefore, they should be polite and courteous when responding to the demands of citizens. They should avoid all kinds of discrimination (based on real or supposed race, colour, social background, ethnic origin, age, marital or parental status, political, philosophical or religious beliefs, sex, sexual orientation, disability or other characteristics).

Responsiveness is also required. It is one of the twelve principles promoted by the Council of Europe in the framework of its Strategy for Innovation and Good Governance at Local Level. Civil servants should respond to requests and complaints from the public in a reasonable timeframe.

f) Obedience and loyalty to the organisation

Civil servants must obey their hierarchy by fulfilling the tasks they have been assigned. Their mission is defined by the elected officials of the community and by fulfilling it civil servants contribute to the broader fulfilment of the community’s aims.

They should also show a minimum of loyalty toward the local authority which has hired them.

g) Discretion

Civil servants should observe the utmost discretion in respect of facts and information that come to their attention in the performance of, or on the occasion of the performance of, their duties, and which concern confidential data.

1.2.2.2 Civil Servants and Public Money

Civil servants are not entitled to appropriate public money, neither are they allowed to use public money for private purposes. This implies the use of public means such as personnel, equipment, photocopies or service cars.

---

8 Ibid., page 4.
9 Ibid., page 1; Government of Quebec, page 9.
10 Government of Quebec, page 8.
11 Ibid., page 10.
Furthermore, civil servants should not waste public money. Therefore, they should make sure that public resources are always used “effectively, usefully, economically and responsibly.”  

1.2.2.3 Civil Servants and Private Money

In general, civil servants should avoid taking any action which may harm their independence. Banning corruption is the core objective here. That includes “demanding or agreeing directly or indirectly to accept gifts, promises, donations, presents or other advantages of any kind.”

For instance, civil servants “are not allowed to accept donations by the people that they are supposed to serve. Neither is a superior entitled to receive gifts for making a decision that promotes another civil servant’s career.”

In general, civil servants should not “accept gifts, travels and invitations whose value exceeds a symbolic value.”

1.2.2.4 Former Civil Servants

Former civil servants are still bound by some ethical rules after leaving office. For instance, the confidentiality of any information should not be disclosed.

Former civil servants should also avoid being engaged immediately in matters they dealt with while exercising public office.

1.3 Comparison of the Main Approaches of Human Resources Management

1.3.1 A Career or a Contract Based System?

There are two basic employment models in local government service: the career model and the contract-based model. In practice, most countries have a mix of both models, with one generally being predominant. For example, Italy has almost completely privatised its civil service at the State and local government level, (e.g. employees are employed under private law contracts); whereas recruitment is still generally through competitive examinations and elements of the career system are still maintained in collective agreements.

This is an extreme case. Most countries have a career system at least for the higher ranks of the local government service. This is the case for 26 European countries, whereas only 9 have contract-based employment regimes in the local government service (Bulgaria, Denmark, the Netherlands, Poland, Slovakia, Sweden, United Kingdom). The majority of countries with a career system employ personnel on a contract basis, either for positions not involving the

15 Ibid., page 12.
16 Ibid., page 13.
18 Ibid., page 13.
exercise of public power (Germany), or for lower ranking positions, or for positions requiring specific skills for which there is no career recruitment.

Some countries with a large local government personnel involved in the provision of public services of national relevance but managed at the local level (education, health care) do not have a career system (Sweden, Denmark, Finland). In some countries where these personnel are employed under a career system, they are State civil servants (France, Germany, Spain, Portugal). In all countries, including those with a contract-based employment regime, public law prevails.

A career system responds to specificities of local governments.

To preserve continuity, public administration requires permanent personnel: this is common to both the State and local self-government (LSG) civil service. A stable personnel is a key element to ensure a well-functioning public administration and is in the public interest. High staffing turnover leads to a loss of institutional memory. Furthermore, it is easier to foster a spirit of cooperation among employees who share the mission and ethos of the administration. This probably explains why, even in contract-based employment regimes in the public administration, job stability is much more secure than in equivalent jobs in the private sector.

However, with regard to executives, the specific requirements of local government service, can lead to conflicts between professionalism and political leadership. Most laws on public service employment seek to promote professionalism, implying that people are recruited on the basis of merit, and are to some extent independent from the political leader (the mayor or another authority). Recent reforms have been aimed at strengthening accountability to citizens, reinforcing political leadership. This gives the political leader the increased discretion in making appointments, especially to higher positions. A crucial issue surrounding legislation on local government service is how to guarantee professionalism and neutrality in the public service, while, at the same time, reserving a minimum of discretion for political leaders. If the law is not clear on this issue, it can lead to increased politicization.

It is crucial that an appropriate recruitment procedure is followed. Although the principle of an open competition is now widely accepted, much depends on the type of procedure and competition used. Competitions based purely on oral examinations and psychometric tests only offer limited guarantees in terms of objectivity and impartiality; while recruitment organised on a position-by-position basis can be onerous without necessarily responding to the needs of public administrations, and in particular local government services.

Recruitment problems can also arise with regard to the geographic location of the post. Remote administrations sometimes find it difficult to recruit competent executives. One possible solution is to organise a broader recruitment procedure for several positions (for example 20-40, or more) with positions being offered in order of the competition results. This solution has the advantage of providing remote locations with the executives needed while ensuring the executives gain valuable experience.

However, such a procedure is only possible where local government service legislation offers appropriate career prospects with professional and geographical mobility to public servants. While this can be considered a major argument in favour of a career system in local government service, it is difficult to organise as a promotion may imply a change of employer for example. It is only possible if all positions are reserved for transfers and leave is organised for those unable to find a new position immediately. These solutions were tested and
regulated by the law on French local government. For more senior positions, the recruitment and promotions should be organised on a nationwide basis.

Recruitment to local government service on these terms may make such a career more attractive for young graduates. A professional local government service, rather than undermining political leaders, would ensure that competent, qualified staff are on hand to prepare their decisions. Furthermore, as provided for by law in France, political leaders can be granted the discretion to appoint.to specific positions defined on a closed list of jobs established by government decree.

A career system also offers the best barrier to politicization and nepotism: it is more difficult to influence the recruitment procedure and the career will depend less on the influence of the present employer.

The principal argument against a career system is that with a well-rooted workforce it is difficult to implement change. Therefore performance-based pay and contracts limited in duration to the term of the political mandate have been introduced in some countries. This is also possible in a career-based system. However, the difficulty lies not so much in the employment regime but in determining objectives and in assessing achievement of these objectives mindful that political priorities can change rapidly.

Term-limited contracts can also run counter to their express purpose: rather than facilitating the commitment of managers to their tasks by making a clear cut distinction between political and managerial responsibilities, they can result in increased politicisation. It is important that the State and the local government public service do not live in isolation from each other, there should be a possibility for transferring from one service to the other. This brings advantages in terms of professional experience, and it may enlarge promotion opportunities. Both branches of the public service should be based on similar principles, the ranks should be parallel and the remunerations should be equal, but with compensation for specific responsibilities related to the function.

1.3.2 Approach to Human Resources Management in French Local Authorities

The local self-government sector is a new sector in France, created in 1984 as a consequence of the Law on Decentralisation (1983), which entrusts local communities with the management of services of local significance. The local self-government sector employs a total of 1.825.000 people engaged in some 250 professions, including fieldwork, design, governance and management, ensuring a high-quality delivery of services to the population.

AN OVERVIEW OF THE FRENCH ADMINISTRATION

Three types of work performed by the public sector:

- The state administration, employing some 2.407.000 people in government ministries and public institutions in Paris and elsewhere in France.
- The hospital sector, with around 1.045.000 employees in hospital institutions, sanatoriums and care institutions, public institutions providing assistance to children and handicapped minors and adult persons.
Local self-government employs some 1.825.000 public officials and appointees in its units (municipalities, departments, regions...), intermunicipal bodies (communities of settlements, municipal communities), public institutions and public services for social housing.¹⁹

**CAREERS IN LOCAL SELF-GOVERNMENT**

Overall, there are 250 diverse professions in local self-government belonging to the following eight groups of activities (healthcare/social activities, cultural/educational activities, activities in the area of economic development, transport, urban and rural development, etc.) and 55 ranges of work.

**Eight activities:** Administrative, technical, cultural, sports, healthcare/social, animation, communal police, fire fighting. These activities cover the key areas of activity of local self-government and encompass the ranges of work of the same families of jobs.

**55 ranges of work:** Each range of work includes employees whose jobs and professions are extremely similar by their professional characteristics. Their common factors are their skills, abilities and knowledge, training, manner of employment, remuneration and promotion in service.

**Ranks:** Within each range of activities employees are classified in several ranks, depending on their experience, years of service, qualifications or levels of responsibility.

**Three categories of jobs according to a vertical division:** Employees engaged in various activities are divided into three categories.

- **Category A** encompasses conceptualising and management functions. Jobs of this kind require higher education qualifications (three years). Public officials classified in category A are engaged in expert or managerial activities.
- **Category B** encompasses implementation functions. These jobs require a secondary-school education. Civil servants classified in category B may manage teams, workshops and services. They are part of the middle-ranked managerial staff.
- **Category C** encompasses implementation activities which in some cases require qualifications obtained from specialised vocational schools.

**Careers in local self-government:**

- In all three types of work in the public sector, professional life is based on the principle of career. This means that a person is employed in a range of activities which allows that person to perform various types of work, depending on the assigned position. The continuity of the employee’s career is not interrupted by a change of employer or a change of activity.

---

¹⁹ The local public sector consists of 36.670 municipalities, 20.000 public intermunicipal or local bodies, 100 departments, 26 regions and 190 public bureaus for social housing (OPHLM). Source: INSEE CNFPT, dated 31 December 2004.
• Each range of work has one or more ranks. Career advancements are achieved by being promoted into a better category or being promoted to the next higher rank, based on years of service or the passage of professional examinations.
• During their employment period, every employee may transfer to a range of work belonging to a higher category (hence, to category B or category A). Such transfers are possible in a number of ways, examples being internal competitions, or internal promotions, but advancement does not necessarily mean taking a professional examination.

HOW TO FIND WORK IN LOCAL SELF-GOVERNMENT

Employment in local self-government is based on a competition system. Competitions are organised by the National Centre for Local Self-Government (CNFPT), or the Departmental or Interdepartmental Centre for Managing Local Self-Government Services (CDG); in some cases by the local self-governments themselves.

There are three ways of employment in local self-government by the way of a competition:

• External competitions: open to all candidates with secondary-school degrees + 3 years after graduation + 5 years of higher-level studies for competitions for category A; a secondary-school or equivalent degree + 2 years for competitions for category B; no mandatory degree, or a vocational school degree, for competitions for category C. In some competitions the educational qualifications required are specified more precisely. Candidates who are the parents of three or more children whom they are raising or have finished raising, as well as renowned athletes, may apply without having to fulfill the educational qualification standards.²⁰
• Internal competitions: open to public officials and appointees with at least four years’ seniority in the public service.
• Third type of competition: open to elected persons, managers of associations, persons employed in the private sector, usually under the condition of a four-year term of office or four years performing the particular activity.

The entrance examination consists of a written part and an oral part.

The general requirements for employment by way of a competition:

• Persons aged 16 or above are eligible.
• French citizenship, or that of another EU member-country; the latter, however, cannot compete for jobs in the Communal Police.
• Completed service in the military and fulfilment of all other obligations to the state of which the candidate is a citizen.
• Full enjoyment of civil rights: that the candidate has not been punished in connection with offences incompatible with the performance of the desired job (an excerpt from the criminal register No. 2).
• Fulfilment of the physical fitness requirements for the performance of the desired work.

²⁰ Such athletes must be listed by the Ministry of Sport and Youth
Exceptions:

- Direct employment without a competition is possible for workers with the lowest ranks in category C, in any of the three public sectors.
- Handicapped persons may also be hired directly, if they meet the necessary educational requirements.  

Employment of appointees under certain conditions:

Local communities may employ appointees without a competition, under conditions explicitly prescribed by law, for a fixed period of time in cases when it is necessary for various reasons; for example to replace workers who are absent for a substantial period of time, for seasonal work, for irregular work lasting no more than six months, when the increased volume of work so demands, and for temporary jobs.

Local communities may conclude temporary service contracts (on a term of no more than three years, and a possibility of renewal), when there exists no body or range of work of a public official who could perform the necessary activities, or when it can be justified by the nature or needs of the work. Under public law, such appointees have a special status. At the expiry of two fixed-term three-year employment contracts, if there exists a need to extend the term of the contract such appointees will be employed on a permanent basis, but this form of employment cannot lead to the acquisition of a status of an official in the local self-government.

Besides the aforementioned, persons can also be employed on the basis of temporary service contracts at certain positions in the 'cabinet' or in the administration of large self-government entities (regions, departments, cities with populations exceeding 80,000).

EMPLOYMENT IN LOCAL SELF-GOVERNMENT

In contrast to the other public sectors, success in a competition for the local self-government sector does not imply automatic assignment to a certain position. Local self-governments do not have an obligation to hire, and, conversely, successful candidates may, for their part, select their employers, either based on a position they have been offered or according to their place of residence.

All successful candidates are registered automatically in the official national eligibility list for a period of one year, with a possibility of being extended by a year twice, at the request of the candidate, who is looking for work during that period. After the three-year period, a successful candidate who has found no employment is deemed not to have passed the competition.

In order to get a job in a local self-government unit, candidates who passed the competition must submit an application to potential employers which consists of a CV and a letter of motivation, either in response to an advertisement, or of their own volition.

As soon as a candidate from the official national list has been admitted to a local self-government, he or she becomes a trainee public official and generally retains that status for a

---

21 If approved by the Commission for the Rights and Independence of Handicapped Persons (CDAPH)
year, and is then struck from the list. During that period the trainee undergoes appropriate training.\textsuperscript{22}

After the expiry of the trainee period, the employer decides whether to promote the trainee to a public official, extend the trainee’s training period, or lay off the trainee.

**PAY IN THE LOCAL SELF-GOVERNMENT SECTOR**

Pay is a right as defined in the same provisions of public law for services rendered\textsuperscript{23} by public officials and appointees.

An official’s pay is made up of the following:

- **Basic pay**
  The basic element of pay, basic pay, is determined as a function of rank and seniority (pay grade). Each rank corresponds to an indexed scale. A certain basic pay corresponds to each index.

  In order to calculate the gross basic pay of a public official, it is sufficient to multiply his or her index with the value of the index point. For example, the pay of an ‘administrative assistant second class’ is based on the index 295. This index should thus be multiplied by the value of a point: 295 x 4,6303 €, or 1.365,93 € basic pay on a monthly indexed basis.

- **Housing compensation**:
  The purpose of this compensation is to make up for differences in the costs of living between various service locations. It is calculated as a percentage of the indexed basic pay. The percentage is determined by a circular letter and varies from one municipality to another. Municipalities are classified in three zones: the percentage of zone I is 3%, that for zone II 1%, and that for zone III is 0%.

- **Family allowance added to basic pay**:
  This amount is paid independently of the family allowance payable under general law and depends on the number of dependent children (as defined in the Social Insurance Code). It consists of a fixed amount and a variable amount expressed as a percentage of the basic pay.

- **Benefits based on statutes or regulations**:
  This regime of benefits is an addition to basic pay. Every local self-government may adopt its own regime of benefits, based on the law. Bonuses and benefits are tied to ranks, activities, and sometimes to the tasks performed.

- **‘A new indexed bonus’** is added to the foregoing in certain cases
  This bonus, expressed in a number of indexed points, is granted to public officials (except those with fixed-term employment contracts) who perform functions with specific responsibilities or which require special expertise. The bonus is discontinued at the expiry of the aforementioned function which had entitled the official to the special rights.

\textsuperscript{22} The duration of the training differs depending on the range of work, the aim of integration and professionalisation training is to help trainees be integrated in the professional environment of the local self-government; the training must be undergone by employees of all three categories (A, B and C), and takes place in parallel with normal work.

\textsuperscript{23} Article 20 of the Law of 13th July 1983.
Social levies are calculated on pay and compensation paid out to various participants in the life of local self-government or those employed in them.

Employee social protection regimes differ depending on their status (official or appointee) and working hours (full, part-time).

Two regimes are applied: The CNRACL special regime, applicable to public officials and trainees working full or part-time; the general regime (social insurance, IRCANTEC) applicable to appointees, replacement staff, temporary service contract workers and officials and trainees working part-time jobs.

Several types of contributions exist: social insurance (healthcare, maternity, disability, work-related injury, family supplements), old-age pension insurance, unemployment insurance, solidarity insurance, taxes payable for the CNFPT and the Centre for Managing the Local Self-government Sector.

NEW DEVELOPMENTS IN THE SPHERE OF HUMAN RESOURCES IN THE LOCAL SELF-GOVERNMENT SECTOR:

The Law on Mobility and Professional Career in the Local Self-government Sector (3rd August 2009)

The aim of the Law is to create a genuine right to mobility within the civil service in order to offer public officials better and more diverse opportunities for career development, while ensuring the continuity, adaptability and modernisation of public services.

The aim of the Law is to eliminate legal and statutory obstacles to the mobility of public officials: simplification and systematisation of the possibility of secondment and integration of public officials in bodies and positions of the same category, the possibility of direct transfers to other bodies where the necessary conditions have been fulfilled to take over officials in such a manner, keeping benefits acquired at positions to which an official had been seconded.

The aim of the Law is also to ensure continuity of service together with its adaptation: the possibility of an absent official being replaced by another working under a temporary service contract or only serving as a replacement, broader opportunities for accumulation of part-time jobs, assistance in professional retraining of public officials whose services have been reorganised.

There are also various financial instruments aimed at encouraging the use of the right to mobility or making easier a forced mobility: maintaining the pay ceilings of officials forced into mobility by reorganisation where they were higher in their preceding jobs, introduction of bonuses (determined by decree) for officials who have been transferred due to reorganisation of their service, introduction of a compensation for voluntary termination of employment.

Interministerial Dictionary of Competences of Professions in the Public Service (August 2011)

The Ministry for Public Administration recently published the Interministerial Dictionary of Competences of Professions in the Public Service (DICO). The purpose of this publication is to establish a common vocabulary based on generic competences for use by all users at interdepartmental level. The Dictionary is intended for the following:
• HR managers, to help them anticipate future developments and respond to the needs of the tasks and structures of jobs;
• The education system, to help it design activities in accordance with the needs in the area of professionalization;
• Managers of services provided to the population, to help them stimulate the development and application of competences and formulate the objectives of annual professional debates;
• Employers, to provide them with a more complete and exact vision of the competences they will demand when employing staff (for example, help in formulating job descriptions);
• Employees, to help them determine their own professional plans and direct their mobility.

The Dictionary also provides a list of the basic competences for each of the 261 professions with the so-called ‘referential jobs’ of the Interministerial Survey of Professions in the Public Service (RIME), which also contains a definition for any professional performance of work in the state public sector.

The Interministerial Dictionary of Competences contains 102 skill, 21 conduct and 40 knowledge headings. Each competence contains one generic definition, examples of ‘referential’ jobs for which that competence is required, and the different ways in which it is formulated in the RIME.

Collective Participation in the Sharing of Profits of the State Public Sector (August 2011)

Bonuses based on collective performance are a means of rewarding public servants which enables the state to reward the individual and collective performance of officials and to give them credit for their service.

The basic principles of this instrument are as follows:
• The state administration determines the objectives, indicators and results which should be achieved.
• The administration determines the modalities of awarding bonuses, which are only defined in general terms by the decree: how long a public official actually works, the possibility of selecting officials who are employed part-time on the same basis as those working full time, the possibility of accumulation with other income, with the exception of other compensation for collective performance.
• The amount of the bonus is identical for all employees, irrespective of status and function.
• The amount of the bonus should be ‘significant and serve as a good incentive’, but in view of the current financial situation, bonuses could vary between 150 and 600 € per employee.

This decree covers the public sector at the state level and was followed up on 3rd May 2012 by two other decrees intended specifically for the local self-government sector and whose basic principles are:
• Each local self-government determines the departments to be concerned, the objectives to be achieved, the indicators to be used, as well as the amount of the bonus.
• The maximum amount of the bonus is 300€ per employee and per year (as this maximum is established by decree, local self-governments are not free to introduce higher bonuses).
Law on the Fight against Insecurity of Employment and Discrimination in the Public Sector
(12th March 2012)

• Of the 5.3 million public sector employees, 16% on the basis of temporary service contracts, with one in five employed in local self-government units. Although few are under imminent threat of instability of their jobs, some have been employed on temporary contracts for a number of years.

• Some 45% of newly-employed staff in local self-government are appointees, 31% are employed on the basis of a competition, and 24% are employed directly. This indicates a rise in the employment of appointees, and a decline in the importance of the competition. A need for more flexibility is also apparent, particularly in the case of smaller local self-government units and/or those with limited incomes.

The law on employment in the status of a public official and improvement of the working conditions of temporary service contract employees of local self-government does not necessarily mean a plan of promotion to the status of official. Under the bill:

• It will be easier to change employee status to that of permanent employment, in the case of those positions which are genuinely necessary as permanent jobs – this concerns employees who have within a period of eight years worked in the same institution for at least six years (even if not continuously), whose temporary service contract is automatically transformed into a permanent employment contract. The aforementioned requirement is reduced by three years for employees aged 55 or above.

• A special possibility exists of acquiring a status of official under certain conditions: for employees who had on 31st March 2011 been employed in the administration under a fixed-term or a permanent employment contract in a position which exists permanently (provided they have spent at least four years in service).

• A clearer definition is given of the cases in which it is possible to hire people under temporary service contracts, especially in respect of the requirements for renewing such contracts.

• There is a modernisation of management: evaluation, training, performance-based pay, requirements for terminating employment, social rights.

The law should lead to some 150,000 employees of all three sectors of the public service acquiring the status of officials or a permanent employment contract.

Last but not least, the law also focuses on gender equality. It states that at least 40% of senior civil servant appointed every year should be women (20% for 2013-2014 and 30% for 2015-2017). Indeed, whereas 60% of French civil servants are women, only 10% of senior civil servants are so. Therefore, one of the aims of the law is to allow more women to reach senior positions in the public service in general, and in local government organisations in particular.

1.3.3 Approach to Human Resources Management in German Local Authorities

CONTEXT

Germany has a population of 82 million. The Federation is made up of 16 provinces -
Bundesländer (Baden-Württemberg, Bavaria, Hesse, Lower-Saxony ...), with a total of some 12,500 towns and municipalities (kommunen). In general terms, the municipalities enjoy broad autonomy in respect of the management of every-day business and maintain a powerful interaction with their districts (Landkreise) and their provinces.

MUNICIPAL SELF-GOVERNANCE

In this highly decentralised country, the main principle of municipal self-governance (kommunales Selbstverwaltungsrecht) is guaranteed by the Constitution (Article 28.), and the extent of autonomy is defined by a number of laws on municipalities (Gemeindeordnungen/Kommunalverfassungen) in each province. Even where they employ different models (e.g., Süddeutsche Ratsverfassung), each province has its own legislation pertaining to municipalities.

Another constitutional law, The Law on Tariff Autonomy (Tarifautonomie, Article 9), combined with the principle of subsidiarity, grants municipalities the freedom to negotiate collective agreements (pay, working hours, vacations, performance compensation, specifics of different sectors ...) with social partners / trade unions in the public sector (for example Verdi, GEW, GdP, dpp...).

Municipal administrations organise themselves for this social dialogue into employer associations at the provincial level (Kommunale Arbeitgeberverbände), which then organise themselves at national level in the Federation of Associations of Municipal Employers (Vereinigung der kommunalen Arbeitgeberverbände).

Collective agreements, concluded in this manner, cover over two million employees in public municipal services distributed among more than 10,000 member operational units - an extremely high membership rate. Civil servants employed in municipal administrations are of course not covered by these collective agreements. Municipal employers include administrations, hospitals, savings banks, airports and utilities (waste disposal, energy, transportation ...).

HUMAN RESOURCES MANAGEMENT

The legislative framework

Human resources management (HRM) in local self-government is carried out principally by towns and municipalities. Supporting the ideal of autonomy in municipal governance, HRM decisions are taken specific to each municipality (e.g., Städtische Richtlinien für Personalwirtschaft of town X), respecting the principles of equal opportunities and open competition.

A good example of the legal framework and individualised governance of towns and municipalities is the Law on Municipalities of Baden-Württemberg province, adopted by its parliament (Landtag), which must be observed by all 1,102 municipalities in the province and their 10.7 million residents, irrespective of size. Just three of the 147 articles (Articles 56, 67 and 58) concern HR.

The three provisions state quite clearly that each municipality in Baden-Württemberg will employ officials, employees and workers with those qualifications that it requires for the performance of its activities and tasks. In the matter of staff training, municipalities will
coordinate with the province and will ensure the professional development of their employees. Municipalities decide their HR needs once a year within the framework of their job systematisation (Stellenplan, Organisationsplan). Each municipality is also required by law to employ at least one medium- or higher-ranked official. More detailed regulation of the matter is carried out by the municipality itself through HR decisions.

Hiring
Within the framework of the policies and budget of town/municipal council, the administration decides with a high degree of autonomy and in close co-operation with employee representatives on all issues relating to human resources (employment, training, HR management...).

The town/municipal council participates in the election of a director of the secretariat/administration and assistant directors. A commission made up of council members interviews candidates who have previously been evaluated by the town/municipal administration, and prepares the vote, which is taken in the town/municipal council.

All other staff hiring decisions are made by a commission which includes a representative of the interested administration/service (for example its director), one HR representative, and one representative of the employees.

Employee status and job classification
Based on job descriptions and responsibilities in the municipal organisation, employees can have the status of a municipal official or of an employee in the public sector.

Status of an employee in the public sector (Angestellte und Arbeiter des öffentlichen Dienstes): Pay is determined under the collective agreement for the public sector (Tarifvertrag öffentlicher Dienst TVöD, dated 2005).

Overall, there are 15 pay grades depending on qualifications (Entgeltgruppen) and six categories depending on years of service (source: ver.di-Bundesverwaltung). Groups 1 to 4 cover employees without formal education. Groups 5 to 8 cover employees with two to three years of formal education, groups 9 to 12 employees with higher education (university of applied sciences/ Fachhochschule, Bachelor). Finally, groups 13 to 15 cover employees with university master’s degrees.
### Monatsentgelte / Monthly salaries in euros

#### 2011

<table>
<thead>
<tr>
<th>Pay grade</th>
<th>Newly employed Grade 1</th>
<th>after 1 year Grade 2</th>
<th>after 3 years Grade 3</th>
<th>after 6 years Grade 4</th>
<th>after 10 years Grade 5</th>
<th>after 15 years Grade 6</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>–</td>
<td>4.726</td>
<td>5.238</td>
<td>5.775</td>
<td>6.047</td>
<td>6.123</td>
</tr>
<tr>
<td>15</td>
<td>3.705</td>
<td>4.111</td>
<td>4.426</td>
<td>4.801</td>
<td>5.211</td>
<td>5.481</td>
</tr>
<tr>
<td>13</td>
<td>3.093</td>
<td>3.431</td>
<td>3.614</td>
<td>3.970</td>
<td>4.467</td>
<td>4.672</td>
</tr>
<tr>
<td>12</td>
<td></td>
<td>2.773</td>
<td>3.075</td>
<td>3.506</td>
<td>3.884</td>
<td>4.370</td>
</tr>
<tr>
<td>11</td>
<td>2.675</td>
<td>2.967</td>
<td>3.183</td>
<td>3.506</td>
<td>3.976</td>
<td>4.192</td>
</tr>
<tr>
<td>10</td>
<td>2.578</td>
<td>2.859</td>
<td>3.075</td>
<td>3.291</td>
<td>3.701</td>
<td>3.789</td>
</tr>
<tr>
<td>9</td>
<td>2.277</td>
<td>2.524</td>
<td>2.654</td>
<td>2.999</td>
<td>3.269</td>
<td>3.485</td>
</tr>
<tr>
<td>8</td>
<td></td>
<td>2.132</td>
<td>2.363</td>
<td>2.470</td>
<td>2.568</td>
<td>2.675</td>
</tr>
<tr>
<td>7</td>
<td>1.996</td>
<td>2.211</td>
<td>2.352</td>
<td>2.460</td>
<td>2.541</td>
<td>2.616</td>
</tr>
<tr>
<td>6</td>
<td>1.975</td>
<td>2.168</td>
<td>2.276</td>
<td>2.379</td>
<td>2.449</td>
<td>2.519</td>
</tr>
<tr>
<td>5</td>
<td>1.875</td>
<td>2.077</td>
<td>2.179</td>
<td>2.282</td>
<td>2.357</td>
<td>2.411</td>
</tr>
<tr>
<td>4</td>
<td></td>
<td>1.782</td>
<td>1.974</td>
<td>2.104</td>
<td>2.179</td>
<td>2.255</td>
</tr>
<tr>
<td>3</td>
<td>1.753</td>
<td>1.942</td>
<td>1.996</td>
<td>2.082</td>
<td>2.147</td>
<td>2.206</td>
</tr>
<tr>
<td>2Ü</td>
<td>1.675</td>
<td>1.855</td>
<td>1.920</td>
<td>2.006</td>
<td>2.066</td>
<td>2.110</td>
</tr>
<tr>
<td>2</td>
<td>1.617</td>
<td>1.791</td>
<td>1.845</td>
<td>1.899</td>
<td>2.017</td>
<td>2.141</td>
</tr>
<tr>
<td>1</td>
<td>–</td>
<td>1.441</td>
<td>1.467</td>
<td>1.499</td>
<td>1.530</td>
<td>1.560</td>
</tr>
</tbody>
</table>

**Status of municipal official** (*Beamtin/Beamter*): pay is determined by a ranking (*Laufbahn*) - ordinary, medium, higher – defined by federal law (*Bundesbesoldungsgesetz*).

There are four pay groups (*Besoldungsgruppen*) for public officials in Germany. Group A includes public officials whose pay is increased with years of service (see table above). Group B covers public officials with fixed pay. Group R covers judges and prosecutors, and Group W university professors.
**Bundesbesoldungsordnung A (‘A’ pay group)**

<table>
<thead>
<tr>
<th>Pay group</th>
<th>Basic pay / Monthly, in euros (Monatsbeträge in Euro)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Stufe 1</td>
</tr>
<tr>
<td>A 2</td>
<td>1.703,24</td>
</tr>
<tr>
<td>A 3</td>
<td>1.771,65</td>
</tr>
<tr>
<td>A 4</td>
<td>1.810,47</td>
</tr>
<tr>
<td>A 5</td>
<td>1.824,75</td>
</tr>
<tr>
<td>A 6</td>
<td>1.865,59</td>
</tr>
<tr>
<td>A 7</td>
<td>1.962,60</td>
</tr>
<tr>
<td>A 8</td>
<td>2.081,05</td>
</tr>
<tr>
<td>A 9</td>
<td>2.252,60</td>
</tr>
<tr>
<td>A 10</td>
<td>2.417,00</td>
</tr>
<tr>
<td>A 11</td>
<td>2.774,40</td>
</tr>
<tr>
<td>A 12</td>
<td>2.974,55</td>
</tr>
<tr>
<td>A 15</td>
<td>4.384,71</td>
</tr>
<tr>
<td>A 16</td>
<td>4.837,07</td>
</tr>
</tbody>
</table>

**Professional and in-service training**

Provinces with their towns and municipalities have considerable resources for training civil service staff at their disposal. Every province has institutions of higher learning for public administration which it uses for staff education, with studies lasting several years, as well as for continuous, in-service, training.

In Baden-Württemberg, for example, the High School for Public Administration of Kehl (Hochschule für öffentliche Verwaltung), is one of two schools of this category in the province and provides training both for future and existing civil servants. The school has 1,000 students (three-year studies), 36 professors and 260 lecturersThe School has a Public Management Department (950 students), open to secondary school graduates, and two master’s degree programmes - Leadership (25 students) and European Public Management (25 students), for experienced professionals. Together with the Kehler Akademie and the Kommunal Beratung, it runs training courses for professionals on practical knowledge, and and for cities on global management.

The High School is financed from the Baden-Württemberg provincial budget. Each student receives 1,000 euros a month and pays no tuition. All students undertake to work for at least five years in the public administration after completing their studies, failing which they are charged for the expenses of their education. Some 70% of the students are female.
During the course of their studies, students are required to undertake intensive internships, sometimes in foreign countries. Upon graduation, 80% of the students are employed in municipalities and the remaining 20% either in provincial or the federal administrations.

Within the High School for Public Administration is the Euro-Institute – Institute for Cross-Border Co-operation with France, and the High School has numerous partnerships with institutions in other countries.

CURRENT TENDENCIES AND TRENDS

➢ Like in other European countries, financial restrictions and demographic trends are serious challenges to which municipalities will have to find solutions in the coming years and decades. It appears that staff cost management (Personalkostenmanagement) represents the key to success.
➢ Efforts and requirements to make significant staff cuts, and cuts to the perks and benefits enjoyed by those with that status compared to those employed in private firms.
➢ Efforts to achieve increased flexibility in open-ended and fixed-term employment, with the possibility of laying off underperforming staff, reorganisation … In any case, the number of full-time public sector employees has been declining significantly for years. In contrast, the number of part-time staff is constantly growing, especially for those close to retirement age (Altersteilzeit).
➢ There is a trend towards merging municipalities in order to create bigger entities which cost less to run, especially in respect of the infrastructure (Gemeindereformen).
➢ There is a tendency to value professional experience and performance over seniority and supplements in connection with the employee’s family status, which is being partially realised based on the TVöV collective agreement from 2005.
➢ Harmonisation of career-development plans between provinces, and strengthening and facilitating professional mobility.
➢ Existing differences between eastern and western Germany are being reduced, for example, with regard to pay and working hours.
➢ Public leadership, management and ethical conduct, based on creating values aimed at the wellfare of all people, are becoming a top priority in municipalities.
2. Presentation of Standard Human Resources Management Tools

2.1 Tool: Job Profiles

2.1.1 Concept
The job description is an instrument of human resources management. It makes it possible to organise and precisely define the range of activities of every employee in an organisation. It is an instrument that defines the framework of a certain job, at the disposal of both employees and their managers and which enables them to clarify and formalise responsibilities and activities as well as tasks for all employees and organisational links. Besides, it defines the requisite competences for certain professions and all the necessary conditions for employment.

The importance of job descriptions

- Organisational importance:
The job description is also one of the instruments of the service of collective management. It is used for a global overview of the responsibilities and activities and tasks of all employees. It presents the factual situation in respect of the competences held by local self-government and makes it possible to identify which competences it needs. The job description is also a means of clarification of the mode of operation by optimising diverse jobs and the tasks of various services.

- Importance for transparency and communication
Defining job descriptions provides increased visibility of the contribution made by every participant, the chain of responsibility, and it represents an important vector of internal communication. The collection of job descriptions of an organisation (after descriptions, grouping and hierarchisation have been performed) also allows for an organigram of the institution’s jobs.

- Importance for performance and quality
The job description is a frame of reference defined by the local self-government on which both employees and their managers can rely. It is possible to determine the scope of the employee's work as well as the perimeter of his or her activities by defining the tasks and the means. The employee knows exactly what is expected from him or her. This could be an important lever in the process of motivating employees in their work. Furthermore, it is then possible to formalise the definition of professional objectives and to implement individual evaluations.

The purpose of job descriptions
Owing to its detailed description of the activities and competences of an employee, the job description represents an essential instrument of human resources management.
• Instrument for internal or external employment

The importance of the job description in the process of employing staff lies in the description of the essential elements of a certain professional position which allows the applicant and the manager (who wants to employ the applicant) to perform an optimal selection. The job description lists the competences which are required for the proper performance of the tasks and responsibilities of a certain position. The employer needs to compare the candidate’s competences with the competences envisaged for the vacancy.

• Instrument for evaluation

The job description helps in the individual assessment of an employee. A clear definition of the work allows for constructive dialogue between a manager and his or her subordinate employee, enables realistic objectives for employees to be set. At the annual evaluation meeting, the job description facilitates evaluation of the employee’s competences and analysis of completed objectives. It also helps to define the individual training to be undertaken by the employee who may not have had the requisite competences to perform his / her activities and tasks effectively.

2.1.2 Proposition of a Model

The table below sets out the general elements of a post description, as can be found in managerial literature.

<table>
<thead>
<tr>
<th>General elements of a post description/profile</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post title, job family and location in the organisation chart</td>
</tr>
<tr>
<td>Description and information concerning the postholder</td>
</tr>
<tr>
<td>Duties of the post, linkage to departmental duties</td>
</tr>
<tr>
<td>Scope of the post, lines of report, margin of autonomy</td>
</tr>
<tr>
<td>Detailed description of activities to be performed</td>
</tr>
<tr>
<td>Competencies required</td>
</tr>
<tr>
<td>Working conditions and material and/or human resources available</td>
</tr>
<tr>
<td>Desired future developments in the post (lines of report, enhanced expertise or competencies, development of activities, increased scope for initiative, etc.)</td>
</tr>
</tbody>
</table>

Approaches to drawing up post descriptions

A post description is an individualised document allowing a staff member (whether newly recruited or undergoing a competencies assessment) and his or her line manager to discuss the nature, and modalities, of the activities to be performed.

These documents should be drawn up in advance of recruitment or before staff members take up their duties. Although the core of the post description can be drafted beforehand, it is worth
putting the final touches to it through discussion between the staff member and his or her manager as this may facilitate adaptation to a new job and possibly supplement the activities performed or determine new prospects for the post. The same applies to the use of these documents in the performance of appraisal process. They provide an analysis framework, but also facilitate discussion of future prospects.

2.2 Tool: Selection and Recruitment Tools

2.2.1 Concept
Recruitment can be defined as finding the best possible person for the job. It allows putting the right person in the right place at the right time. It can also be viewed as a key stage in implementing the local or regional authority's strategy and, more generally, in ensuring its efficiency and the quality of the public services it provides.

It is the responsibility of the human resources directorate to ensure that the local or regional authority attains the objectives it has set itself in the most effective and efficient way possible. Human resources management policies accordingly serve a specific goal: having the appropriate number of staff with the right competencies to carry out the local or regional authority's functions. Therefore, the human resources needs of the organisation must be assessed first.

1. Assessing Human Resources Needs

An authority has two options in order to obtain the staff suited to its needs: redeploying available resources through the introduction of an internal mobility strategy, or recruiting from outside the organisation. Before launching an external recruitment policy the authority must assess its situation and clarify its needs to ensure that such an approach is necessary (i.e. that the need cannot be met with existing internal resources) and also to check that it is able to assume the financial consequences of a recruitment. It must moreover determine the profile of the person being sought and the expected competencies.

Before initiating the recruitment process, it is necessary to analyse the authority's needs in terms of reference jobs and competencies, in particular because public sector organisations have a medium-to-long term commitment vis-à-vis their staff. An analysis of existing resources and foreseeable needs will facilitate planning. Any gap can be filled through recruitment or internal redeployment. How can it be measured? Allowance must be made for all kinds of information likely to improve the analysis, while diversifying the information sources (direct requests for additional staff made by departmental heads, quality indicators relating to service provision to users that may reveal a need for extra staff, identified organisational problems, etc.).

Where the need for additional staff or supplementary competencies/qualifications has been identified, the authority must then decide whether this need can be met through internal mobility or external recruitment. The local or regional authority can then use post descriptions to determine the competencies/qualifications required to perform the duties in question.
2. Feasibility of internal mobility

Any new recruit must necessarily meet the organisation's need for specific competencies. Before launching a recruitment procedure, the local or regional authority must ensure that the need is well-founded and consider the possibilities of implementing an in-house redistribution of human resources and competencies due to the curden of staffing costs.

Internal mobility has the advantage of enabling better management of salary costs. Through an internal mobility procedure, the authority ensures the availability of staff who can rapidly be operational and who are already familiar with the working environment.

Suitably qualified in-house applicants should be sought before any external recruitment procedure is launched. At this point, such factors as previously expressed desire for mobility during earlier appraisals, the need to reassign staff, spontaneous approaches to the human resources department by staff or their managers seeking a change, may be taken into account.

The internal mobility procedure makes use of several human resources functions, such as:

- post descriptions (showing the required competencies);
- employment, workforce and competencies planning and competencies management (foreseeing and supporting competencies enhancement and career development);
- communication channels within the organisation (staff spontaneously contacting the human resources directorate, and so on);
- training (which assists in-house applicants in making a trouble-free switch to a new job) and appraisal (wishes voiced by staff members).

If an applicant appears to have the right profile, internal mobility is generally a less cumbersome, more flexible solution than external recruitment, since the person (and his or her competencies/qualities/manner of working) is already known within the organisation.

3. Different recruitment processes for different requirements

Depending on the organisation's needs - temporary or permanent, urgent or planned - the applicants' profiles and the recruitment methods that are used may differ.

A particular factor that influences the situation is whether the staff member is non-established (fixed-term staff, those with particular expertise, seasonal employees, etc.) and accordingly has a contract of limited duration or whether they have been recruited as established staff (career public servant) via competitive examinations. The circumstances may, of course, differ depending on national cultural and legal particularities.

An organisation's permanent needs are usually met by contractual recruitment or by holding competitive examinations, depending on national specificities. This concerns all the necessary posts in the long term. There may be two main types of ad hoc needs: a temporary activity increase (during the tourist season for instance) or a need for specific expertise (a sustainable development expert for example).
4. Recruitment: an ethical process

Recruitment must satisfy ethical criteria, in particular the requirement of non-discrimination between applicants. Because diversity is a source of wealth in a working community, the recruitment process absolutely must rule out any form of discrimination; it should, on the contrary, promote the employment of all kinds of people (men, women, of different ages and social backgrounds and belonging to different ethnic groups, persons with disabilities, and so on).

5. Stages in the recruitment process

It is generally acknowledged that the following essential stages are common to all kinds of external recruitment process.

<table>
<thead>
<tr>
<th>General stages in the recruitment process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - Needs analysis</td>
</tr>
<tr>
<td>2 - Description of the post profile</td>
</tr>
<tr>
<td>3 - Search for applicants: internal and/or external, choice of means of advertising the vacancy, etc.</td>
</tr>
<tr>
<td>4 - Selection of applicants: initial selection based on a CV and a letter giving reasons for the applicant's interest in the post, shortlisting of applicants for the second stage of the selection process</td>
</tr>
<tr>
<td>5 - Interviews and/or tests</td>
</tr>
<tr>
<td>6 - Selection of the successful applicant (nature of contract, remuneration, probationary period and so on to be discussed with the selected applicant)</td>
</tr>
<tr>
<td>7 - Welcoming, integrating and assisting the newcomer at the time of taking up his/her duties</td>
</tr>
</tbody>
</table>

In more simple terms, it is possible to break down the recruitment process into four stages:

- Needs analysis and definition of a recruitment strategy
- Definition of the post profile and the needs, followed by preparation for recruitment
- Selection of applicants
- Integration of the new recruit

The last stage in the recruitment process, namely welcoming and integrating the new recruit into the organisation and his or her new job, is extremely important. In particular, the success of the recruitment and of the newcomer's take-up of his or her duties partly depends on the way they are received by the local or regional authority concerned. The aim is to ensure that they can rapidly attain self-efficiency in their new post and become part of the team, and at the
same time more broadly adopt the right approach to the new work environment. A well-mastered induction process makes it possible to avoid certain difficulties: newcomers feeling isolated, lacking information, becoming demotivated and underperforming, because they cannot grasp what is expected of them, etc.

b) Proposition of a Model

The aim of every process of employing staff is the objective, efficient and timely recruitment, selection and integration of the most suitable people to perform the functions defined by municipal administrations.

Defining needs

In order for a municipality to realise the strategic objectives adopted by the Municipal Assembly, it is necessary to define its human resources requirements, based on job systematisation.

The systematisation should include all the functions which exist in the municipality and all its needs for at least one year in advance. Job descriptions need to be defined (competences, the required profile ... a description) for each of the positions needed within a municipal administration, and classified according to the existing pay system (civil servants, employees, workers, appointed officials, those who are not appointees ...).

Who is responsible: The Municipal Assembly, The HR Department

Recruiting candidates

Where it is not possible to promote an internal candidate (which is generally advisable), the municipality should recruit a satisfactory number of candidates both as regards quality and quantity. There are several options: advertising in the press, advertising on the internet (on the municipal website and others, on social network sites), advertising in the professional press, consulting firms (direct approach), networking. The objective is to find and motivate a professional/talent who is the closest possible match for the profile needed by the municipality (return of investment).

Who is responsible: The HR Department

Evaluating candidates 'on paper'

After job applications are received and the candidates duly notified, an initial selection of candidates is made based on the profile definition.

It is desirable to send the candidates who pass this first stage a special form which will help to standardise and compare data, and prepare the next stage of the selection process.

Notification of the candidates who are rejected and dispatch of the aforementioned forms to those who are shortlisted should be performed within a maximum of 30 days.

Who is responsible: The HR Department, possibly a commission made of Municipal Assembly deputies
**Face-to-face candidate evaluation, the final selection**

In principle, when this key stage of the employment process is prepared properly, the municipality invites from three to five candidates to interviews conducted on its premises; all the documents needed for a constructive and meaningful interview are already available: the candidate’s CV, proof of qualifications and professional experience, the form with the requested data, guidelines for the interview...

In the case of strategic positions in the municipality (for example senior managerial posts), it would be beneficial to form a commission made up of Municipal Assembly deputies, members of the municipal administration, employee representatives.

For positions of less importance, the administrator of the department or of the service concerned may, in co-operation with the HR Department, autonomously conduct the hiring process, within the framework of the predefined job systematisation.

In their interviews with candidates, the persons responsible for employment seek to obtain information about their concrete competences, and motivation (professional independence), their conduct at work, quality of managing professional relations, and then try to ‘project’ the candidates into their new environment and their new tasks. It is necessary to check whether a candidate is really suited for the specific position. Once all the candidates have been evaluated, agreement needs to be reached on who is the best of the lot.

The person responsible for hiring, who had presented the municipality and the vacancy in a positive light at the beginning of the interview, should have all the elements needed for a well-reasoned choice after the interview ends (including data about candidates' personal readiness to relocate, as well as that of their families, the candidates' existing financial status and their opinions about how much they expect to be paid, the period of notice, knowledge of foreign languages, attempts to find other employment, any job alternatives they may have, as well as all other information that will help draft a protocol on employment).

The HR Department is also encouraged to contact all candidates by telephone after each stage in the process to hear their impressions as well as answer any questions they may have, and to ensure that they are still interested in the job.

In some cases, psychological testing of candidates might also be considered; there are specialised institutions which handle this matter.

In other cases, recommendations could also be obtained from persons professionally acquainted with candidates (former employers, superiors at work...).

If required, the municipality might re-interview the shortlisted candidates in order to inform them in the most transparent manner about their prospective jobs (the actual workplace, management, internal relations...)

*Who is responsible:* The HR Department, a commission made up of Municipal Assembly deputies (for strategically important functions).
Negotiations on the employment contract and a candidate’s mobility

The municipality offers an employment contract, based on existing contracts, pay grades and regulations which are in force, to the selected candidate and gives him/her several days to respond. The municipality should then remain active in maintaining contacts with the candidate, in order to clarify any uncertain points in the offer.

It is advisable not to notify other shortlisted candidates that they have been rejected until the selected candidate has formally accepted the employment contract.

Municipalities should provide efficient assistance to selected candidates by supporting their decisions on accepting their new jobs, convincing their families in the quality of life in their new destination (a visit to the town and the region), helping their relocation by receiving them cordially and rendering all necessary assistance (administrative formalities, finding suitable accommodation, moving house, school, associations…).

Who is responsible: The HR Department

Integration and the ‘post-hiring’ period

The HR Department should maintain contact with selected candidates during the notice period to ensure regular communication with them even before their integration into the municipal services.

Another key stage in the integration process is a medical check-up soon after the candidate begins his/her new work.

A well-planned, structured and constructive integration of the selected candidate, as well as a trial period lasting several months, are excellent means for the municipality of confirming its final choice of candidate.

Who is responsible: The HR Department

Training, capacity-building, professional advancement

It appears that training and capacity-building are key factors in the process of employment which guarantee efficient filling of vacancies, management of planned and unplanned terminations, as well as hiring staff for newly-created positions in municipal administrations.

In the long term, a well-managed ‘post-hiring’ period is a critical factor in employing available, competent and well-motivated professionals in the municipality.

In general, the quality of an organisation is proportional to the quality of the individuals of whom it is composed (professional independence: competency and strong motivation). That is a municipality’s human capital. The often undervalued assessment of the expenditure of energy and time in making a poor or unobjective choice should be a decisive argument in favour of making a sensible and rational choice of the highest-quality candidate.

Who is responsible: The HR Department
2.3 Tool: Staff Appraisal and Identification of Training Needs/Programme

Competencies (particularly their acquisition and their utilisation by the organisation) are a key concept for human resources management.

It should be noted that the management of both competencies and performance is a long-term process and must be implemented via an appropriate structure and an alignment of the organisational culture.

Performance management complements competencies management, forming a managerial dynamic in which grassroots line managers have a key role to play. Competencies and performance are complementary concepts: when competencies are better managed staff perform better and when performance is better managed competencies are better utilised.

Both competencies management and performance management make use of two levers: in-service training, as planned in the training programme, and appraisal. The competencies logic focuses on the contributions made by individuals on their performance, but also and above all on their skills and the way in which they do their jobs. This is where the link with performance management can be perceived, since the competencies logic breaks free of the seniority principle and can lead to the introduction of results-based pay systems based on performance appraisal. Therefore, these are two inseparable processes that play a part in the employment, workforce and competencies planning cycle.

2.3.1 Evaluation Tools and Incentives for Motivation

a) Concept

Appraisal can be viewed as the key to the performance management process since it can be used to justify the organisation's decisions (promotion, etc.).

Three types of performance appraisal are currently implemented, with varying degrees of popularity and success. The first corresponds to the traditional, hierarchical concept of appraisal and is comparable to a system of assessment according to predetermined criteria (output, work quality, etc.). The second appraisal approach takes the form of a "joint agreement" on the performance objectives to be attained, where what is assessed is whether the results achieved correspond to the pre-assigned objectives. The third concept focuses on competencies development or "formative" assessment based on the staff member's potential for making progress. These three different appraisal systems can be adapted in ways that primarily depend on the organisation's preferred managerial "style".

1. Performance appraisal - issues

Performance appraisals raise many issues, since they affect a diversity of spheres of the organisation's existence, such as performance improvement, motivation, recognition of work accomplished and awareness of the work to be done, differential treatment based on individual performance through a results-based, variable system of remuneration and promotion, and so on.

The following diagram shows the objectives of performance appraisals.
The issues arising in performance appraisals

Individual performance appraisals

At least satisfactory results
- Recognition (positive feedback), pay increase, promotion, etc.

Unsatisfactory results
- Negative feedback, career and pay stagnation

Performance based pay
- Motivation

Expression of wishes and needs (mobility, competencies and career development) and/or identification of weaknesses and needs

Training

Improvement in performance and competencies

Individual, collective and organisational benefits
The above diagram calls for some considerations on the managerial concept of feedback. In an appraisal context "Assessment does not imply passing judgment, it first consists in providing feedback on the work done, the forms of behaviour shown and the results attained."

Appraisal is, therefore, a prime opportunity to express oneself and communicate with one's line management. Staff do not only obtain feedback on how their work is generally perceived (competencies, performance, conduct, etc.) but are also able to voice their needs (training and new competencies) or their desires in terms of career advancement. This makes it essential that a competencies appraisal process should be part and parcel of a more general communication management approach.

The reason for this is that, although the objectives (awareness of the work to be done) and the rewards of a financial or career advancement are vital to an individual performance management process, recognition of the work accomplished (feedback) is a key factor in promoting satisfaction and a sense of involvement and, hence, in motivating staff.

2. Implementation of appraisal and its consequences

Although performance appraisal can be seen to offer undoubted benefits, this tool must nonetheless be used with care. Managerial literature, indeed, provides a good deal of information on the forms of bias that exist in performance appraisal systems. The majority of difficulties would seem to arise primarily from the appraisal process itself, which involves an interpersonal relationship, rather than from the performance analysis perspective.

Role conflict would seem to pose an initial psychological problem for appraisers. A manager may have doubts as to whether he or she can legitimately judge his or her team members' performance. For the appraiser, the difficulty lies in being capable of reasoning in terms of objective performance when appraising colleagues and of setting aside subjective ideas concerning their personalities. Although human beings base their reasoning on subjective and objective judgments, the appraiser must seek to limit subjective reasoning as far as possible in the course of the appraisal process.

For the appraisee, a performance appraisal is frequently a daunting experience, because, first of all, it is never enjoyable to be judged, and secondly, out of fear the appraiser's assessment may not be objective. Since performance appraisals have implications for highly sensitive aspects of management (feedback, remuneration, promotion and so on) they can be dreaded by staff.

To overcome this tricky aspect of the appraisal process, individual performance appraisals can be combined with a collective departmental appraisal so as to add legitimacy and objectiveness to the procedure. With the aim of ensuring that everyone has their say and achieving even greater neutrality, private firms and public authorities can also envisage utilising the 360° appraisal method. This method of performance appraisal involves all stakeholders affected by the appraisee's work (appraisal by his or her peers, supervisors and subordinates and public service users and a self-assessment by the appraisee) so as to reduce the subjective input and allay the fears of both staff and managers.
Appraisal is essential as it represents an incentive for the motivation of staff members and it emphasizes the importance of human resources as "human capital" (citing Economics Nobel Laureate G. Becker’s expression). Appraisal needs to be well prepared ahead of time. It must also bring about consequences for evaluated staff members. Ideally, appraisal outcomes should be reflected and adjusted in staff salaries, even if only marginally. Indeed, a formal appraisal, seen only as a formality and without consequences, could have unproductive effects. It would weaken the feeling of individual responsibility and it would demotivate staff members.

However, while pay is an essential and integral part of the reward system, the LGU recognises that there are other motivators which employees value to varying degrees depending on their personal needs and circumstances, such as:

- Recognition for contributions.
- Sense of achievement.
- Creating meaning for employees through their work
- Responsibility.
- Opportunities for growth and development and realising one’s potential.
- Being regarded as a ‘whole person’ (with a life outside work, with skills and abilities beyond what can be demonstrated in the workplace).
- A manageable workload and having greater control over work patterns.
- Flexible working to provide better balance between work and personal/ family commitments and interests.
- Having the ability to make an effective contribution to the development and delivery of services of high quality.
- A discrimination free working environment.

b) Proposition of a Model

There are common requirements concerning most aspects of the appraisal process. To begin with, it is essential that appraisal should be organised around a standardised form that serves as a guide for the interview, so that all staff are treated on an equal footing as regards the appraisal procedure.

A study of the similar elements of each of the appraisal forms provided by some partner authorities shows that certain organisations have developed some particularly interesting elements that should be highlighted in order to have an optimum appraisal tool:

<table>
<thead>
<tr>
<th>-</th>
<th>Details concerning the staff member and his/her administrative situation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>-</td>
<td>Enabling the appraisee to give his or her views on the post and his/her performance by means of a description of the activities performed, an overview of results and self-appraisal of the performance achieved.</td>
</tr>
<tr>
<td>-</td>
<td>The post description should be systematically appended to the appraisal form</td>
</tr>
</tbody>
</table>
and any changes agreed by the staff member and his/her superior in the course of the interview should be clearly shown. This enables both appraiser and appraisee to make known their views on the post and constitutes a link with the subsequent point.

- A section in which the appraisee can set out any wishes for changes in his/her current post with a view to improving work organisation or any desired changes in working time (provided these are consistent with the requirements of the post description)

- Appraisal of the results attained, professional conduct and the competencies of the appraisee in relation to the post description. This requires the appraiser to prepare the interview well and to individualise the process (a highly appropriate approach in small and medium-sized organisations)

- A specific section for managerial functions performed by the appraisee

- A global assessment of the appraisee's performance, stating reasons and drawing attention to strengths and any areas for improvement

- Objective setting for the coming year with determination of the related resources (material resources, training and so on)

- Training undertaken and training wishes for the coming year

- Wishes concerning mobility, promotion and step advancement

- Opinion on the appraisee's wishes concerning promotion and advancement, to be drawn up by the appraiser

- A concluding section for any observations the appraiser or appraisee may wish to make on the conduct of the interview (for reasons of transparency)

- In addition to the signatures of both the appraiser and the appraisee (which do not count as approval but document the fact that the appraisal interview has indeed taken place) and the date, the duration of the interview should be indicated

More generally, it is essential, as the partner authorities pointed out, to prepare staff and appraisers for the process and raise their awareness of the significant issues at stake. Because appraisal is a particularly sensitive managerial exercise with significant potential for bias, it is vital to train middle management before introducing this approach.

Raising awareness among both appraisers and appraisees through communication materials can also be seen to offer considerable advantages for the appraisal process's implementation and as a means of reassuring the protagonists. In this respect, an official memorandum institutionalising this practice and explaining its benefits should be brought out at the very least. A more effective approach would nonetheless seem to be the creation of "handbooks" or "guides" for appraisers and appraisees so as to explain in detail the managerial advantages of this process and the key requirements to be respected.
Lastly, as the partner authorities all recognise the appraisal's usefulness as a managerial tool, the number of staff each appraiser has to appraise should not be too high, so that the appraiser can devote enough time to conducting a satisfactory interview for each appraisee.

Once the appraisee has approved the appraisal form (assuming he or she does not challenge its content) copies should be provided to both the appraiser and the appraisee, and a third copy should be placed in the appraisee's administrative file. To optimise the monitoring of this process from the standpoints of career advancement (and hence salary increases and promotions), training, internal mobility, and employment, workforce and competencies planning, the human resources department must be assigned responsibility for planning and organising all the follow-up action to be given to the appraisal process, so as to incorporate it in the human resources management cycle.

2.3.2 Training Plans Tools

2.3.2.1) Concept

Organisation of training in the form of a training programme will be discussed here in terms of the concepts, the issues at stake and the manner in which the programme can be devised, followed by the preliminary and general stages of its production.

1. Training programme - issues and definition

Municipalities and their public service role undergo a process of constant adaptation to users' needs. This necessarily involves the professional qualifications of staff and adaptation and development of their skills. In this respect, training is a key means of leverage for the management of human resources and of their competencies. However, training also satisfies the need of staff to undergo an ongoing learning process so as to progress within their jobs, improve their performance and consequently be in a position to organise their career prospects.

In local and regional authorities, training and competencies development serve multiple objectives, particularly from the time standpoint, since they concern both the short, medium and long term. In this context, with diverse objectives, various target groups for training and a wide range of reference jobs to be found in municipalities, it is essential to organise and anticipate training needs by drawing up a training programme.

This is an essential stage in organising training needs and efforts. The training programme is used to prioritise training needs. It is accordingly an internal training management tool.

At the core of a programme is an analysis of differences between the current employment situation, with its quantitative and qualitative elements, and the future situation (medium or long term) regarding both the number of jobs and their content. It is a means of formalising the training needs of all staff members, and should be accessible by all stakeholders. It is also a communication tool and a reference document for use by all staff members.

The training programme is used to ensure the consistency of the local or regional authority’s strategy in terms of competencies and professional qualification and the organisation of individual or collective staff training. It, therefore, makes it possible to translate the authority’s overall strategy at the collective and individual levels. The development and use of a training programme accordingly follow a chronological, coherent process.
2. Preliminary stages before drawing up a training programme

The following diagram shows the decision-making and strategic stages that precede the development of a training programme.

3. General stages in the development of a training programme

The training programme is therefore developed following the completion of the preliminary stages involved in determining the authority's overall strategy as regards training policy.

Generally speaking, the programme has to respond to the following requirements and situations:

- **Diagnosis** of the state of the authority's human resources in relation to its current situation and foreseeable future situations in terms of number of staff and competencies, both collective and individual.

- **Determination** of the main lines and priorities of the training policy.

- **Identification** of training needs at the individual and collective levels

- **Effective implementation** of the training programme
Evaluation of the training programme (as regards its implementation, its consequences for the organisation and for individual training) and of the actual training dispensed (relevance, effectiveness, cost, staff satisfaction, direct impact on performance and so on).

These very general stages can be broken down into smaller components or supplemented according to the managerial particularities of each authority and depending on its specific needs.

In particular, it is possible to identify training needs through TLNA (Training and Learning Needs Analysis).

4. Focus on Identifying Training Needs

Learning and development is essential for sustained organisational performance. Identifying training and learning needs is at the heart of it. The main use for the Training and learning needs analysis (TLNA) is to help identify the specific training and development needs and prioritise training investment.

Training and learning needs analysis (TLNA) is essentially a review of the skills, talent and capabilities across the organisation. It is the systematic gathering of data to find out where there are gaps in the existing skills, knowledge and attitudes of employees. It involves collecting data about existing employees’ capabilities and organisational demands for skills, and the analysis of the implications of new and changed roles for changes in capability. It should always flow from the business strategy, and its aim is the production of a plan for the organisation to ensure that there is sufficient capability to sustain business performance.

Careful analysis of needs is necessary because:

- Organisational performance depends on having the right quality and quantity of human capital
- Providing learning opportunities enables staff to achieve personal and career goals and increases employee engagement
- Well-planned training is an effective retention strategy, particularly for those identified as talented
- Learning can be directly related to organisational objectives and specific requirements
- Learning needs can be identified and prioritised, with training on more productive and appropriate activities
- Training of limited value can be avoided, thus using financial resources more effectively and efficiently.

Preparing for a needs analysis

TLNA can be undertaken at a number of levels:

For the organisation as a whole - to understand the amount and types of learning needed to ensure that all employees have the right capabilities to deliver the organisation's strategy.

For a specific department, project or area of work - new projects and opportunities require new ways of working or reorganisation, and restructuring also necessitates changes in roles.
For individuals - linking their own personal learning and development needs to those of the business.

Managers and other stakeholders will be consulted early and often when information is being sought for a TLNA, and when the results of the analysis are communicated.

While it is absolutely critical that the TLNA of these key needs should be conducted, in today’s circumstances it also needs to be agile, fast and responsive and thus it should be relevant, be aligned to the organisational goals and measurable.

**Relevance:** assess how what we are currently doing and what we plan to do meets new opportunities and challenges

**Alignment:** you talk to key managers and other stakeholders about what they are seeking to deliver and how to help them achieve it.

**Measurement:** it is important to consistently measure and evaluate all interventions, using methods such as return on investment (ROI) and linking learning and development outcomes to key performance indicators (KPIs).

Knowing what jobs will be done, now and in the future, is the first step. Then, for each category of employees covered:

- what capabilities will be required to carry out the job? (the person specification)
- what capabilities do existing employees possess? (a formal or informal skills analysis)
- what are the gaps between existing capabilities and the new requirements? (the learning specification).

**Capability analysis**

It is useful to breakdown capabilities into ‘knowledge, skills and attitudes’ for analysing needs and ensuring that no requirements are missed. For example, in looking at the requirements for competence in a project manager:

**Knowledge** elements might cover the nature of the projects managed, techniques of project management and the system used to manage projects.

High levels of **skill** will be required in dealing with other people, managing the project team and influencing important stakeholders.

Attitude requirements could be attention to detail and drive or persistence, to overcome obstacles and see the project through.

**Competency frameworks** can provide more detailed structures for looking at job requirements.

The task is then to compare current and new roles with the organisation’s framework or against generic frameworks.

‘Attitudes’, motivation or personal interests are vital for performance. Changes can impact adversely on individual motivation, and organisational development interventions may need to flow from the TLNA to address such issues.

**Organisational Needs**
At the level, learning needs analysis should start with a review of the organisation’s strategic and operational plans and a **SWOT analysis to review** the strengths, weaknesses, opportunities and threats facing the LGU.

**Strengths**

How can you capture the good practice and expertise that already exists?

How can you build on the strengths, skills and knowledge that already exist in the organisation?

**Weaknesses**

What skills, knowledge or behaviours could help address the identified weaknesses?

**Opportunities**

What skills, knowledge or behaviours could help your organisation to make the most of the available opportunities?

**Threats**

What skills, knowledge or behaviours could help your organisation manage and overcome the identified threats?

**Learning Needs Analysis for Team/Department**

Analysis of learning needs should also be undertaken at a department/team level. Managers will need to review the skills needs within the team against the team’s own objectives. This will involve taking into account both the needs of individuals, but also anything that can help the department or team to work together as effectively as possible. A key tool for identifying learning needs at this level are appraisals or performance reviews.

Some questions to help identify teamdepartmental learning needs.

- Does the team operate effectively as a team / department or just as a collection of individuals?
- How might the team / department interact more effectively with its internal customers?
- Does the team / department meet to discuss ways of operating more efficiently and effectively?
Identification of Occupational Learning Needs

Occupational groups may also have needs specific to that discipline, and while professional bodies may provide training programmes it is unlikely that they will be sufficiently focused to match the organization's specific requirements of the occupational group. The identification of learning needs may be conducted to address a specific cross-section of employees within an organisation such as operators, administration, etc.

Some questions for use as a prompt to identify specific areas of occupational training.

- What current activities require specific training?
- What future developments will require specific training?
- What are the current issues of concern in the profession or occupational group and which need addressing through learning strategies?
- Are occupational standards being met?

Individual Learning Needs Analysis Information

Appraisal and supervision meetings allow individuals to reflect on their own learning needs in relation to their work objectives. What additional skills and learning do they need to improve what they do? It is important to take into account people's career ambitions and personal development objectives, while being realistic about what you can offer by way of development opportunities and not to raise expectations too high.

- Does the person have the ability to successfully achieve work objectives?
- Does the person have the right attitude for the job?
- Are they lacking specific areas of experience which need to be addressed?
- Does the person have the specific knowledge required for the post?
- Does the person possess the people management skills for their position?
- Does the person have the potential for promotion?
- Does the person have the qualifications necessary for their current or future positions?
- Does the person have the ability to work in a team?
- Does the person have the specific technical skills required for this or a future position?

Some questions to ask employees regarding their personal development plans:

- What do you want to get from your work?
- What are your strengths?
- What areas would you like to improve?
- Where would you like more responsibility?
- What is preventing you from developing as you would like?
- Which interests or talents would you like to develop?
- How do you like to learn?
- What skills or experience would allow you to feel more confident at work?

Collecting the data

Information can be sourced from documents such as service plans, government legislation and standards, professional standards, organisational competency frameworks and assessment of the competence level reached, job descriptions and person specifications, appraisal and performance management paperwork as well as from interviews or surveys of line managers and employees to understand the key work constraints, priorities and changes. Customer feedback forms and comments, focus groups, health and safety audits, management information systems, personal development plans, observation, personnel and training records also help to identify learning and development needs.
Confidentiality
Identifying gaps in knowledge, skills or attitudes or competencies can be a sensitive issue and so confidentiality must be respected. Much of this data will be sensitive, particularly where individuals’ knowledge and skills gaps are exposed, so their needs must be respected.

Using the needs analysis results
A report of the overall training needs for the organisation will be the basis of the Learning and Development plan/strategy. Priorities will need to be identified so that there is focus on areas where the gaps are most critical. Following this, plans identifying the content and methods for development should be set out. The organisation-level plans needs to be linked with the employee personal development plans so that these can be matched with the resources available.

2.3.2.2) Proposition of a Model
Having examined the practical arrangements of the training programme in some of the partner authorities, it is possible to put forward a standard tool for a training programme firstly by way of general items:

<table>
<thead>
<tr>
<th>GENERAL ELEMENTS OF A TRAINING PROGRAMME</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Design of a grid for the training programme with reference to the strategic directions of the authority and to the compulsory courses: priority training approaches determined</td>
</tr>
<tr>
<td>• Collective and individual needs recorded and collated to flesh out the grid of the training programme</td>
</tr>
<tr>
<td>• Training programme validated by the authority’s decision-making body (also involving the trade unions and elected politicians)</td>
</tr>
<tr>
<td>• Training programme circulated to the entire authority via the Intranet (or another tool reaching the whole staff), staff members receiving a document of the “training record” type for logging the courses taken</td>
</tr>
</tbody>
</table>

Secondly, the authorities have presented novel and worthwhile practices which should be added to the general practices in order to make an optimal tool of the training programme:

<table>
<thead>
<tr>
<th>ADDITIONAL ELEMENTS OF A TRAINING PROGRAMME</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Breakdown of the training programme into sub-plans specific to the authority’s directorates or departments</td>
</tr>
<tr>
<td>• Systematic feedback from staff on their training period by means of an appraisal form to assess the courses</td>
</tr>
</tbody>
</table>
3. Applying Performance Mechanisms and Indicators to Human Resources Management

3.1 What is performance management and why is it important to HRM?

Performance management is the systematic approach to identifying, collecting and using performance data to improve standards of service provision. It particularly focuses on setting out key performance indicators in priority areas, agreeing minimum standards of performance and using the annual planning process to set and monitor targets to improve performance.

Performance management is used increasingly by national and local government in Europe to drive up the standards of service provision. The Council of Europe is promoting the development of performance management in local government to support the improvement in public services. Concerning this topic, one can usefully refer to the Toolkit about Strategic Municipal Planning and Performance Management at Local Level, already published by the Council of Europe and available at http://www.coe.int/t/dgap/localdemocracy/Centre_Expertise/Tools/Toolkit%20IV%20on%20PM%20SMP%20final%20version%20for%20publication.pdf.

One of a municipality’s greatest assets, and cost, is its staff. It is therefore imperative that staff are effectively managed so that the desired outcomes of public services are achieved. Managing staff should be received as a positive experience and one that supports the employee deliver the services demanded by citizens. It is not a vehicle for controlling staff in a negative manner.

Why is performance management helpful?

- Citizens deserve and expect services of good quality; performance management facilitates the setting of realistic targets for service performance that can be used to drive up service standards.
- Performance information should be available to the public; local people can better understand the services being provided. They can see which services are performing well and where there are problems. This encourages local people to help look for solutions, thus strengthening local accountability.
- Performance information is available to managers and elected representatives. They can see the actual level of performance and how they might deliver better efficiency, effectiveness and value for money in specific services. They have responsibility for the quality of local services, and can use the performance information to celebrate success or take corrective action.
- Performance information allows those delivering services to identify more clearly their priorities and therefore where resources should be allocated.
- The performance information enables a municipality to compare its own performance with best practice and with performance in other municipalities. This provides the leadership with the basis for rewarding and sharing their own good practice or introducing new initiatives to drive up standards even further.
The performance information can show regionally and nationally how municipalities are performing and to what extent they are meeting national standards and delivering national targets.

If you don’t measure results, you can’t tell success from failure
If you can’t see success, you can’t reward it
If you can’t reward success, you’re probably rewarding failure
If you can’t see success, you can’t learn from it
If you can’t recognise failure, you can’t correct it
If you can demonstrate results, you can win public support

What gets measured gets done

Applying Performance Management to HRM

The principles of performance management are very applicable to the management of work delivered by employees. For an organisation to be sure it will succeed and deliver its objectives and priorities, the workforce needs to be deployed on the right activity, with the right level of resource and in a manner which is appropriately monitored. Performance management ensures the workforce is delivering against objectives.

Performance management can be at various levels including;

- “Managing the performance of an organisation or individual”
- “Taking action in response to actual performance to make outcomes for users and the public better than they would otherwise be”.

Therefore performance management is a tool that can be used to manage at various levels within an organisation. It is used to manage the delivery of services by teams and the contribution made by individuals through personnel performance management (appraisals etc).

Central to HRM in a municipality is planning what skills and resources will be needed in the future to deliver organisational priorities. This future scanning is supported by a selection of tools, all of which need to be managed, some of these are shown below.
3.2 Linking HRM to Corporate Strategy – Strategic Direction

A municipality needs to be clear about what it is it wants to achieve. Setting the strategic direction requires a clear analysis of the current level of services and an understanding of what local people and other key stakeholders including central government want. Using this knowledge, performance indicators can be developed which cascade and link high level strategies to employee’s personal targets. The role of an HRM department and managers is critical in ensuring that these links are in place.

It is vital that a municipality establishes a set of performance measures over which it has control and ability to deliver. Although performance indicators can be set where the municipality is working with others, such as utilities, those targets should contain a mixture of individual and joint targets so that the overall objectives are delivered.

In municipalities that prioritise well:

- there is evidence from stakeholders and the public has been used to establish aims and priorities
- councillors are involved in setting strategic aims and in ranking them
- aims and priorities, and their relative importance, are clear and underpin the vision and overall aims of the municipality
- resources are linked to aims and priorities
- aims and priorities have been communicated internally and externally
- aims and priorities are cascaded down to individual actions and there are systems to support monitoring of this activity
- clear milestones and measures underpin the municipalities vision
- priorities and plans of others (such as utilities) reflect municipality priorities and vice versa
- priorities are reviewed at appropriate intervals to reflect changing demands and current progress
Levels of performance indicator

Performance needs to be measured and managed at different levels within a municipality:

- community level
- corporate level
- service level
- team and individual level

The performance management system should link the different levels, and the objectives and performance indicators at the lower levels should reflect the objectives and performance indicators at the higher levels.

Supporting this are indicators that can be applied at each level including those directly applicable to HRM management.
<table>
<thead>
<tr>
<th>Type of indicator</th>
<th>Use of performance information</th>
</tr>
</thead>
</table>
| **Level 1: Community strategy priorities**<br>*(Usually long term indicators)* | Vision for locality including socio-economic measures (e.g. unemployment rate)  
Partnership with civic society  
Strategic objectives  
Democracy and sustainable development |
| **Level 2: Corporate indicators**<br>*Targets that contribute to delivering against community strategy priorities*<br>*(Usually long and medium term indicators)* | Strategic plans and priorities (monitored at strategic level – senior management team and elected members)  
Performance management system  
Corporate services (HR, finance, IT) |
| **Level 3: Service indicators**<br>*Operational objectives of quality of service and contribution to corporate indicators*<br>*(usually medium term and short term indicators)* | Service plans  
Service delivery  
Contracts  
Management |
| **Level 4: Team / individual indicators**<br>*Job and activity indicators*<br>*(Usually short term indicators)* | Staff targets  
Staff performance  
Staff appraisal |

NB Typical time span of indicators: Long term indicators 5+ years; medium term 1 – 5 years; short term 1 year.
Example: using HRM performance measures to support the delivery of economic growth.

Community target  Stimulate economic development through providing infrastructure requirements to deliver 1000 additional jobs by 2015/16.

Corporate target  Develop the necessary skills within the municipality in order to encourage inward investment – for example a supportive planning / development framework that allocates suitable land for business development with all utilities in place. [XX] Euros invested and development policy in place by [date] of budget in [timescale].

Service target  Through a phased programme of policy development set out a plan for the necessary policies and procedures to be adopted by the municipality for the selection and retention of staff. [x] HRM policies in place by [date].

Team target  Have in place the specific work programmes and project planning – effective HRM policies in place including those relating to staff appraisal and transparent recruitment by [date].

Individual target  Complete the stages in the appraisal process by [date].

Defining performance indicators

To manage a municipality’s performance there first needs to be clarity over the strategic objectives; then the supporting performance indicators can be defined. The strategic objectives should describe clearly what exactly is being measured and how. If the definition of a performance indicator can be interpreted differently by different stakeholders, the value of using performance indicators for comparison purposes will be limited.

For example, when defining the unit cost of a service, it is important that the definition specifies what cost elements (e.g. overheads) should be used to make up the unit cost. For example in delivering a service, back office functions, such as those relating to HRM function, should be consistently applied. Therefore the performance indicator should set out the mechanism for collecting the data where this is necessary to ensure uniformity.

National and local performance indicators.
Central government will always have an interest in local government. This is partly because local government is responsible for a significant proportion of public expenditure, and the government is responsible to the tax-payer. It is also because the government has a national interest in the standards achieved in particular local services.

National government relies on local government to deliver services. There is therefore an interest in ensuring that there is a consistent approach and that efficiency is being achieved. Therefore, as in the UK, performance measures relating to the HRM function in municipalities are set.

National performance indicators encourage uniformity by using standard definitions and procedures. This will enable robust comparisons of performance to be made between local authorities.

National performance indicators can stimulate municipalities into developing local performance indicators. However, it is important that municipalities are not overwhelmed with national performance indicators. They should be kept to a minimum; otherwise, they begin to reduce the degree of autonomy and flexibility of local government.

Municipalities will want to develop their own local performance indicators to supplement national indicators and for local priorities. It is easier to secure local ownership where performance indicators are locally developed. If indicators are to be seen as more than a paper exercise, local ownership is essential.

Types of national performance indicators that are used in HRM in the UK are shown in the table below:

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average working days per employee per year lost through sickness absence</td>
<td>Looks at effectiveness of HR function in terms of impact in reducing sickness absence. Municipality X = 8 days/employee. Average nationally = 7.2 days/employee.</td>
</tr>
<tr>
<td>Percentage of staff who receive an annual performance appraisal</td>
<td>To measure the coverage of performance management processes across the organisation. Municipality X = 93%. Average nationally = 96%.</td>
</tr>
</tbody>
</table>
Staff turnover as a percentage of the total number of staff based (annual figure excluding redundancy).

To monitor how effective HR policies are at retaining and developing a workforce. In 2011/12 Municipality X had a staff turnover of 12.8% (2010/11 = 11.55%). The average turnover for Local Government as running at 12%.

In turn local indicators are developed to manage staff performance. There are many measures by which organisations can manage staff performance. It is important for measures need to be linked to service and to corporate priorities. Some examples

- Service level specific measures, for example;
  - Undertaking a specified number of activities
    - Complete 15 food hygiene inspections of food premises per month
  - Delivering activities in a certain time period & use of milestones
    - Complete a review of waste and recycling policy by October 2012 (interim report to Head of Service in July 2012)
  - Accuracy and effectiveness of delivering a function.
    - Ensure 95% of letters to the department are responded to in 3 working days
  - Absolute measures
    - Successfully complete a customer satisfaction training course
- All Measures must be SMART (Specific, Measurable, Achievable, Realistic, Time-bound)

### 3.3 Performance Indicators and their application to HRM

#### The main types of performance indicators

The model below identifies four main types of indicators:

```
INPUTS ➔ ACTIVITIES ➔ OUTPUTS ➔ OUTCOMES
resources processes services community impact
```

#### The following are some examples of such indicators:

<table>
<thead>
<tr>
<th>Type of Indicator</th>
<th>HRM Example</th>
</tr>
</thead>
</table>
| Input indicators provide information on the resources committed to a service in terms of finance, staffing, equipment, land and property | - unit costs of providing HRM function
|                                                                                   | - number of staff                                |
Activity indicators provide information on the processes, systems, cultures and procedures needed to deliver a service

- response times to staff enquiries relating to HRM
- speed of telephone answering

Output indicators provide information on the performance of the service provided in terms of, for example, capacity, through-put and service level

- no. of service users
- no. of appraisal completed on time
- level of awareness of service
- no. of diplomas awarded

Outcome indicators provide information on the impact the service has on users and on the wider community

- increased level of public participation
- reduction in long term unemployment
- improved staff satisfaction with HRM function

It is easier to measure inputs and activities than outputs and outcomes. The risk is therefore that there are more indicators for inputs and activities. The most important indicators will relate to the outputs and outcomes. The municipality will be judged on the impact (outcomes) it has in the community.

Performance indicators can be either quantitative (changes in absolute values of unit delivery) or qualitative (measures of the quality of services such as satisfaction indicators)

For this reason it is important to identify a range of key performance indicators in the ‘basket’ of indicators of any one service or priority, including key performance indicators for outputs and outcomes.

<table>
<thead>
<tr>
<th>Economy</th>
<th>What are the costs of the service?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Efficiency</td>
<td>What is the ratio of outputs to resource inputs?</td>
</tr>
<tr>
<td><strong>Together economy and efficiency indicators measure value for money. Economy refers to the cost of the resource (e.g. staff costs). Efficiency is about the relationship between inputs and outputs (e.g. unit cost for delivering a service)</strong></td>
<td></td>
</tr>
<tr>
<td>Quality</td>
<td>Is the service achieving quality standards and user satisfaction?</td>
</tr>
<tr>
<td><strong>Effectiveness</strong></td>
<td>Do actual inputs and outcomes achieve our intended objectives?</td>
</tr>
<tr>
<td>-------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>Quality and effectiveness indicators measure how far the</td>
</tr>
<tr>
<td></td>
<td>service achieves defined standards and objectives. They</td>
</tr>
<tr>
<td></td>
<td>are about whether the service has delivered the intended</td>
</tr>
<tr>
<td></td>
<td>outputs and outcomes. They can also include indicators of</td>
</tr>
<tr>
<td></td>
<td>user satisfaction and community participation.</td>
</tr>
<tr>
<td><strong>Impact</strong></td>
<td>What net improvement does the service make to the quality of</td>
</tr>
<tr>
<td></td>
<td>life of the local community?</td>
</tr>
<tr>
<td></td>
<td>Impact indicators measure the effect of the service on the</td>
</tr>
<tr>
<td></td>
<td>wider community, such as local economic development as a</td>
</tr>
<tr>
<td></td>
<td>result of improved infrastructure.</td>
</tr>
<tr>
<td><strong>Equity</strong></td>
<td>Is the distribution of benefits from the service equitable?</td>
</tr>
<tr>
<td></td>
<td>Equity indicators measure, for example, the accessibility of</td>
</tr>
<tr>
<td></td>
<td>the service to all groups in the community. This is an</td>
</tr>
<tr>
<td></td>
<td>important measure in areas where there are communities with</td>
</tr>
<tr>
<td></td>
<td>specific needs.</td>
</tr>
</tbody>
</table>

**Reference points – What is the starting point?**

To be useful, indicators of performance have to be compared against one or more reference points. There are four main types:

- **Baseline**: A baseline is an established starting point. This allows a comparison of present performance over time. It answers the question:
  
  ‘*How fast is performance improving, and from what level?’*

- **Minimum standards**: Minimum standards can be set nationally or locally. This allows a comparison of present performance with standards below which performance should never fall. It answers the question:
  
  ‘*Are we meeting our minimum obligations?’*
Targets can be set nationally and locally. They give staff a performance goal; performance information can tell them how far they have travelled towards that goal. They answer the question:

‘How much more do we need to improve in order to meet our objective?’

Benchmark

A benchmark sets out the performance level of, say, a group of the best-performing local authorities or a set of agreed standards; this allows a municipality to compare its performance within local government or against a recognised level of performance. It answers the question:

‘How good is the service compared to similar services elsewhere or against the recognised standard?’

Characteristics of effective performance indicators

It is important to take great care in developing performance indicators. They have to play a constructive role in service management and accountability especially in HRM. There are certain characteristics that will determine their effectiveness.

Criteria for effective performance indicators:

Relevance

Indicators should measure aspects of performance that are important to the municipality; they should reflect the interest of users and other key stakeholders.

Credibility

Data should be accepted as reliable and accurate by stakeholders and should be capable of being verified independently. It is important to consider carefully and in detail about how the data will be collected. Participation by relevant staff will help ensure this.

Timeliness

Indicators should be able to provide information to managers and policy makers when they need it, e.g. for budget decisions and for quarterly reviews of staff performance. The mechanism for collecting data, including timing and frequency, is important.
**Clarity**  
Indicators should be simple, well-defined and easy to use; they must deliver clear messages.

**Focus**  
A limited number of key indicators should be used that focus on the most important aspects of a service. Otherwise, performance management becomes a burden, not an opportunity.

**Comparability**  
Performance data should be comparable over time and in comparison with other local authorities.

**Attributable**  
It should be clear to what extent changes in performance data result from the municipality's own activities, and not from external factors. Where the municipality only has partial control, care should be taken in interpreting the performance information.

**Cost effectiveness**  
It must be possible to collect performance data at reasonable cost and over a period of time.

**Responsiveness**  
Indicators should not stifle innovation. They should be able to respond to change.

### 3.4 Setting Performance Indicators

A good target should:

- Relate to a corporate or service objective.
- Be challenging.
- Be easily understood.
- Have the commitment of staff.
- Be linked to resources
- Be linked to individual action plans.

Targets should have the following attributes:

- **Specific**: Clear, unambiguous and easy to understand by those who are required to achieve them
- **Measurable**: Set a target for which success can be gauged by referring to a specific measure or measures. Establish workable processes for the timely collection of the information. Ask yourself the question; ‘can I prove it?’
- **Achievable**: Express specific aims that staff feel can realistically be achieved, with some effort. Ask staff involved if it is achievable. Involve staff in the process
and ask them what needs to be done to achieve the target. Always consider available resources and priorities when considering achievability.

- **Relevant**: Targets need to be relevant to those who will be required to meet them; they must have enough control over their work to be able to meet their targets. There is a delicate balance to be struck between ambitious targets that inspire and challenge people to achieve them, and targets that are un-achievable, which can lead to people giving up.

- **Timed**: There should be a set timescale for achieving a target; open-ended targets do not encourage a focused effort on improving performance.

There needs to be a clear link between corporate objectives, departmental, team and personal goals if targets are to be achieved. There also needs to be a clear link between targets set at each of these levels. For example if there is a service target requiring a 10% improvement but individuals targets do not adequately reflect this, then there is a risk that the higher level target will not be met.
3.5 Using Performance Information

Making performance information available

Each year municipalities should set out their performance and plans / targets in an Annual Report. This should be published and made available for public debate and feedback.

Performance information should also be made available to elected representatives, staff and other stakeholders through information technology. The government or the National Association could develop the necessary databases on the internet to allow comparisons to be made in the relevant corporate and service areas. Each municipality should have its own website. HRM indicators are an important aspect of organisation performance.

Information should be presented in a way that facilitates analysis and comparison, and simple techniques, like traffic lights, can be used to identify when performance is improving, steady or declining.

Performance management techniques

There is a wide range of approaches to performance management and measurement. They include:

- **Monitoring of corporate performance** – usually against the corporate strategies and key priorities of a municipality.

- **Monitoring of service plans** – which includes monitoring performance indicators over time and against benchmarks.

- **Performance reviews** – in-depth reviews of services / programmes to identify ways of tackling particular performance problems (see separate CoE capacity-building tool ‘Fundamental Performance Review’).

- **Performance audit** – in-depth assessment of the extent to which performance is achieving quality standards (e.g. on basis of user feedback and inspection).

- **Value-for-money reviews** – to identify ways of delivering services more efficiently, e.g. in response to the need for budget cuts.

- **Political scrutiny** – through committees making use of research or one-off inquiries; often used to secure high level support for improvements or change.

- **Benchmarking** – there are two types of benchmarking: process benchmarking and performance benchmarking. Both involve comparisons with standards developed by groups of local authorities or other organisations. Benchmarking clubs enable specific service managers of different local authorities to come together regularly to exchange
and understand information and data on processes and performance from their respective services on a confidential basis; in this way they learn from best practice.

- **Complaints monitoring** – this can include the number of complaints over time and/or in relation to a target, and/or an examination of the content of complaints or the type of complainant.

- **Public consultation** – feedback from service users and residents is increasingly important in public service management. A wide range of techniques can be used: suggestion boxes, regular or occasional surveys by telephone, post or face-to-face, user panels, focus groups, tenants’ associations, citizen juries, neighbourhood forums, on-line bulletin boards. Local authorities may consult both citizens and civic organisations. Consultation can cover strategic issues or individual service performance.

- **Staff satisfaction** – staff satisfaction is an important factor in delivering good performance; it should be monitored regularly through confidential staff surveys. Staff, users and residents usually have good ideas for service improvements.

- **Staff appraisal** – this should take place annually on a formal basis with an informal mid-year review. It links personal objectives and targets to service plans and the performance management system.

- **Internal audit** – this is an important service that can review arrangements for securing value for money. Internal audit is not only about control after the event but also about good preparation before the event. Internal auditors can work with managers on processes to improve performance. They have good ideas on how to improve performance based on their professional experience.

- **External audit** – this involves reviews of financial probity, management arrangements and performance in line with national guidelines and regulations by an independent body, and can be a powerful stimulus to better performance.

### 3.6 HRM – Managing Staff Performance

One of the key functions of HRM is managing staff performance. This is most effectively undertaken through a regular appraisal process. This should be delivered in a way which supports the employee to understand their contribution to organisational objectives and what is expected of them in supporting the delivery of them.

The following tables are examples of the type of consistent approach that should be applied to staff at all levels in an organisation.

Appraisals should be undertaken at regular intervals and cover the following:

- SMART objectives set for the employee – both performance and personal objectives.
- Clear competency and skills review which is scored so development can be measured.
Staff Appraisal

<table>
<thead>
<tr>
<th>Team member’s name/job title</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Period covered</td>
<td>From</td>
</tr>
<tr>
<td></td>
<td>April</td>
</tr>
<tr>
<td></td>
<td>To</td>
</tr>
<tr>
<td></td>
<td>March</td>
</tr>
<tr>
<td>Reviewer’s name/job title</td>
<td></td>
</tr>
<tr>
<td>Reviewer’s Manager’s name/job title</td>
<td></td>
</tr>
</tbody>
</table>

Performance work objectives

Performance/Work objectives - Specific, Measurable, Agreed, Realistic & Time-bound

<table>
<thead>
<tr>
<th>SMART Objectives</th>
<th>Review &amp; learning points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Personal work objectives

Personal Development Objectives - Aspiration, in our terms & Measurable

<table>
<thead>
<tr>
<th>AIM Development Needs/Requests</th>
<th>Review &amp; learning points (Action / Progress)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The following table sets out a range of competencies against which the employee is scored. Each competency is broken down into sub competencies, however overall only competencies that are important to the organisation should be included.
<table>
<thead>
<tr>
<th>Competency</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>Important for Success? (tick)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Leading and Deciding</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Deciding &amp; Initiating Action</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Leading &amp; Supervising</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Supporting and Co-operating</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Working with People</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 Adhering to Principles and Values</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Interacting and Presenting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Relating and Networking</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2 Persuading &amp; Influencing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3 Presenting and Communicating Information</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Analysing and Interpreting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Writing &amp; Reporting</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2 Applying Expertise &amp; Technology</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3 Analysing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Creating and Conceptualising</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Learning &amp; Researching</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2 Creating and Innovating</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3 Formulating Strategies and Concepts</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Organising and Executing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1 Planning &amp; Organising</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.2 Delivering Results &amp; Meeting Customer Expectations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.3 Following Instructions &amp; Procedures</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Adapting and Coping</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.1 Adapting and Responding to change</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.2 Coping with Pressures &amp; Setbacks</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Enterprising and Performing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.1 Achieving Personal Work Goals &amp; Objectives</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.2 Entrepreneurial &amp; Commercial Thinking</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Developing a performance management culture.

Everyone in a local authority has responsibility for performance management – but local authority leaders must drive it. What they say and do sets the tone for everything that happens within the council. Priorities should be agreed and clearly communicated.
throughout the council. When making decisions, leaders need to be seen using performance information if others are to become committed to using the systems that provide the information. Leaders at all levels must also be willing to understand the barriers to improvement and provide the necessary support to solve problems.

Leaders and champions, those who embrace and encourage others to use performance management, are needed at all levels – in healthy organisations leadership isn’t confined to one group at the top.

Strong leaders and managers are clear about what kind of performance they expect and communicate the importance of everyone’s contribution towards meeting corporate and community ambitions.

The leadership of the municipality must seek to develop a culture conducive to performance management.

**It is possible to identify key elements in a performance management culture:**

- A commitment by the leadership and managers to effective strategic planning and service planning.
- A willingness by the leadership and managers to accept bad news, learn from mistakes and take action to address performance problems.
- A focus on a small number of well-defined priorities and related performance indicators.
- A clear link between corporate priorities, performance indicators and targets, service plans and staff appraisal and reward systems.
- A clear and effective process for communicating the importance and use of performance management throughout the organisation.
- The publication of performance data in the public domain (e.g. in an Annual Performance Report) in an attractive and understandable way.
- Widespread understanding and ownership of the municipality’s performance management system.
- A system of meaningful incentives for managers and staff to achieve targets.
- A willingness to celebrate personal and team achievement.
A close tie-up between performance information and key strategic and budget decisions.

3.8 Avoiding Pitfalls

Risks of performance management

There are risks associated with performance management. The main risks relate to attitudes.

- The need to report on specific performance indicators can distort the behaviour of service managers. There is a tendency to focus on those aspects of the service being measured (often inputs rather than outcomes) at the expense of other aspects. For that reason it is better to use ‘baskets’ (a selection) of indicators so that data on all the main dimensions of a service are covered and to limit the number of indicators.
- Some performance indicators will be influenced by factors outside the control of the managers or the municipality (e.g. cuts in the overall budget). But in understanding performance, these factors must be taken into account.
- Some managers might take action, sometimes dishonest, to improve specific performance data where it is in their interest. Internal and external audit can reduce the level of dishonest reporting.
- Validation of performance data is important. But external audit can be expensive, and too much audit can reduce the local ownership of performance management. On the other hand, every municipality should have some internal audit capacity that can support (rather than control) the development of a robust performance management system without losing local ownership.
- Competent managers will want to add their own performance indicators in the light of local circumstances. It is important to keep the number of obligatory performance indicators relatively small (i.e. just limited to the most important priorities).
- Staff can be de-motivated where performance information shows that service provision is poor. Staff should see performance management as an opportunity to improve, to learn from others. In this way, they themselves learn and develop.
It is important to avoid these risks if staff and elected representatives are to use performance management pro-actively to drive up the standards of service provision and not reactively merely as a paper exercise in reporting.

These risks highlight the need for performance management systems to be carefully designed and to be introduced with sensitivity. They have to be seen as a tool for local authorities to raise the standards of service provision and not as a mechanism for greater external control.

<table>
<thead>
<tr>
<th>Pitfalls</th>
<th>How to avoid them</th>
</tr>
</thead>
</table>
| Targets which merely focus on maintaining the current position can result in them not being ambitious enough. | Consider a stepped programme of change. It is useful to start by considering highly ambitious targets for improvement, then asking: is anyone achieving these targets – and if so, how? | o can we see a way of achieving the targets?  
o What changes must we make to do this?  
o can we make the changes that are necessary? |
| No responsible officer: Without a responsible officer you won’t have the mechanism for reporting performance, measuring achievement, reviewing targets and achieving continuous improvement | Ensure you have allocated responsible officers to manage achievement of targets and change programmes.  
Have more than one officer capable of providing the information when required. |
| Failing to put in place a robust system for collating performance information. | Design collection techniques that involve properly researched information gathering arrangements in advance of setting targets.  
Monitor the collection of this data to ensure it is robust. |
| Failure to monitor performance on a regular basis at operational level. There can be a tendency to just check up on performance quarterly when a report is being made. This can result in performance slipping to unacceptable levels in the interim periods and recovery impossibility. | Operational monitoring may need to be done on a timelier basis.  
Prioritise and consider monitoring by other means.  
Inclusion in team meetings or Individual assessment meetings. |
| Not keeping on top of prioritised areas. Priority areas and key PIs can sometimes overshadow the non-priority areas | Put in place regular monitoring systems for all PIs.  
Frequency of monitoring will depend on priorities and performance. |
| Not reviewing local PIs | Local PIs and local target setting is an ongoing process and should be subject to continuous review to reflect priority service delivery and provide relevant information to the public |
Not setting targets for new PIs.
Failure to set a target can mean the PI gets forgotten and by end of year you realise you have no collection procedures in place.

Ensure ownership of PIs at earliest opportunity.
Establish processes for collection of data.
Use any previous information you have.

It is not always appropriate to set targets. There are indicators that might help put activity into context but it might not be appropriate to set targets against them, for example if the activity is largely out of your control, e.g. the number of enquiries received, or it is about ‘how things are’, rather than what you want to change or improve, e.g. number of licensed premises in an area. Don’t set targets for targets’ sake.

3.9 Summary – A Performance Management Checklist

PERFORMANCE MANAGEMENT CHECKLIST

1. Have the outcomes that the municipality needs to achieve through its strategic plan been defined?
2. Have a set of performance indicators and targets been developed to measure progress towards achieving the planned outcomes?
3. Are these performance indicators Specific, Measurable, Achievable, Relevant, Time-bound?
4. Is there a balance between process and output / outcome performance indicators?
5. Do the performance indicators provide the information necessary to determine how well the municipality is performing, both in corporate and specific services, and where it needs to improve?
6. Does the municipality understand the level of importance and satisfaction that different sections of the community attach to its activities?
7. Do elected representatives and staff ‘own’ the performance indicators and use them to drive up service standards? Are they properly trained?
8. Do performance targets cover the short, medium and long term?
# 3.10 A HRM Self-Assessment Checklist

For many organisations performance management will be a new tool for improving public services. It may be even more of a challenge when applied to support (back office) functions such as HRM.

The following questionnaire could be used to identify the municipality needs to do in order to have effectively managed HRM processes.

Please rate the following points on a scale of 1 - 5

1 = not at all, 2 = not very, 3 = quite, 4 = very, 5 = totally

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Are there clear corporate priorities for HRM to link to?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Are priorities informed by local consultation and analysis of local needs?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Is delivery of the priorities measured?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Are there service plans and action plans to support delivery?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Is staff management included within the plans?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Are the plans monitored regularly and action taken if they are not being delivered?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Do you have any performance management systems?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Is the performance information used?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Do resources, including staff resources, link to the priorities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Question</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>10.</td>
<td>Is there an annual report which sets out the results of monitoring of outcomes and examines performance against priorities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Are there targets for individuals to deliver their part in plans?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>Do you manage the skills and competencies of staff in the municipality?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>Do you have the following HRM policies in place</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Recruitment Policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Staff Appraisal Policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Sickness Policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
4. Introduction to a gender perspective in Human Resources Management

The role of local and regional governments in promoting gender equality was affirmed in the Worldwide Declaration of IULA (the International Union of Local Authorities) on “women in local government” adopted in 1998. The new world organisation, United Cities and Local Governments, maintains the equality of women and men as one of its principal objectives.24

Despite the progress made in the field of equality between women and men, women still fail to enjoy the same rights as men in practice. Social, political, economic and cultural inequalities persist – for example, salary disparities, political under-representation, work structures and procedures better adapted to men’s life style and choices. These inequalities are the results of centuries old social constructs built upon numerous stereotypes present in the family, education, culture, the media, the organisation of society and the workplace. Cultural beliefs, religious values, economic constraints and social and political ideologies, however, must not be the criteria on which to build a policy of gender equality.

Gender sensitive employers

One of the many ways in which local and regional authorities can endeavour to combat the persistent reproduction of inequalities and to promote a truly egalitarian society is in their role as employer, through a gender sensitive human resource policy. As a primary provider of public services for local women and men, it makes sense to use the know-how and experience of both women and men in the running of the local authority.

The approach to ensuring gender equality and gender mainstreaming is all important: a human resource policy that simply adds more women and hopes for the best, without revising current work structures, practice and procedures, will not deliver results.

Going beyond non-discrimination and equal opportunity

The traditional approach to gender equality was based upon a policy of non-discrimination and equal opportunities. While enabling much progress to be made, it has been recognised that these policies did not go far enough. They often resulted in women being judged against a male model of behaviour and achievement, and not surprisingly, in the context of the workplace, this male model made it very difficult for women to acquire a foothold in jobs seen as the traditional preserve of men (for example, senior and other levels of management).

Furthermore, this policy did little to change people’s attitudes, and old gender stereotypes were allowed to continue to flourish. In the workplace, this meant women were often consigned to less demanding jobs, or jobs in a particular field, such as secretarial work, nursing, or primary school education, which in turn were stigmatised as less demanding. The policy also paid little regard to women’s life style, needs and would-be choices. As the primary caregivers of children, the traditional rigid working hours made it difficult, and continue to make it difficult, for women with children to work full-time. Turning to part-time or temporary work as the next best alternative, and on occasion choosing not to work owing to the high cost of childcare, many women have been unable to enjoy the same legal rights and entitlements as full-time workers. While this may be seen as a life choice by some, and therefore not the responsibility of the

24 The European Charter for Equality of Women and Men in Local Life, drawn up and promoted by the Council of European Municipalities and Regions and its partners
employer, it is a life choice that men are seldom faced with, yet as working fathers, they will benefit nonetheless from this arrangement.

A 21st century local authority human resource policy must therefore go beyond non-discrimination and equal opportunities. The approach must be firstly to acquire a thorough understanding of the nature of the obstacles facing women generally (cultural, social, economic, political), as well as more specifically on the labour market, using recognised and currently proven analysis techniques. It must then consider ways of how best to tackle these obstacles, and be wary of adopting ‘gender neutral’ policies, which on analysis prove to be laden with stereotypical ideas, drawn from long entrenched societal values.

It should also be remembered that the quest for gender equality in human resources, or in any field, is not unidirectional; gender bias can and does work both ways. Societal values can and do attribute stereotypical images for men, which can serve as obstacles to their career and other choices (see below in particular mention of current research on male nurses, and hiring and firing policies) and a comprehensive human resource policy provision will take this into account.

A human resource policy that gives full recognition to the importance of gender equality and gender mainstreaming will consequently have the proper tools available for optimal allocation of its human resources – the right person for the job. The local authority that adopts this policy will function more coherently and more efficiently in its work for local residents as a result.

Finally, within today’s context of global economic recession, a good human resource policy will pay heed to the warning from the title of a recent workshop on democracy and gender equality organised for the CEMR General Assembly25: we have to remain vigilant if we are to avoid the crisis taking us two steps back.

*****

This toolkit’s chapter on gender will firstly examine some of the main obstacles to women’s career advancement. Part 2 of the section on gender looks at current day approaches to gender mainstreaming that could be usefully adopted by a modern human resource policy in its work to tackle these obstacles. The appendix gives some examples of gender mainstreaming in practice in local authorities around Europe.

4.1 The Benefits of a diversified work force

Press release, OECD, May 2012

“...As governments struggle to find the right combination of policies to create jobs, boost demand and spur economic growth a new report from BIAC [The Business and Industry Advisory Committee to the OECD] and the American Chamber of Commerce in France suggests that women’s economic empowerment is a powerful resource. Unleashing women’s talent and creative potential in the workplace bears significant and well-documented economic gains not only for companies, but for women themselves, economies and societies as a whole.

25 Council of European Municipalities and Regions (CEMR) General Assembly, 26-28 September 2012 (Cadiz, Spain)
In this strategic context the role of women as critical human capital as well as consumers is key, all the more so as the global economy faces persistent economic challenges.

Coca cola Enterprises

“…The truth is, diversity makes good business sense and is a strong corporate governance policy. Women are an underutilised talent pool from which we can draw high-quality, results-driven employees with integrity, experience and established leadership capabilities. And that’s what diversity really is. It’s not just about gender or skin color, geography or background. What’s important is diversity of thought and of experience. This kind of diversity leads to more informed discussions in the boardroom, more relevant management policies in our facilities, and a more balanced approach to business in general…”

The 30% club

“…The 30% Club represents a large group of the Chairmen of the UK’s largest companies committed to bringing more women onto boards because they are convinced that this ‘positively influences both a company’s culture and its decision-making process’. A significant part of this effort comes from a group made up of representatives of many of the largest UK institutional investors. ‘As investors’, they say, ‘we recognise that greater gender diversity at board level can lead to more effective boards. It can contribute to a breadth of perspective among directors, result in more balanced judgment and opinion in decision making, and reduce any tendency towards ‘group think’…”

These were some of the comments from a recent report developed jointly by the Business and Industry Advisory Committee to the OECD (BIAC) and the American Chamber of Commerce in France, as a contribution to the OECD Gender Initiative on the occasion of the 2012 OECD Council Ministerial.

There is a growing body of empirical evidence that a more diverse board can improve corporate financial performance. For example, a 2010 McKinsey study found that across all industry sectors, companies with the most women on their boards of directors significantly and consistently outperform those with no female representation – by 41 percent in terms of return on equity and by 56 percent in terms of operating results'.

McKinsey’s 2012 report “Women matter” shows that companies are not the only influencers. Cultural and socioeconomic factors have a powerful influence on women’s role in the workplace. Women’s own behaviour is also a contributory factor. McKinsey’s research in the US shows that young women start off with high ambitions like their male counterparts. They frequently, however, turn down advancements because of outside commitments, or to avoid positions that require new skills, or because they desire to stay in roles which they feel provide a personal meaning. Women are less likely to promote themselves. Often women think that everyone can see how hard they are working so they don’t have to communicate it. Other studies have shown that women who promote themselves are often perceived negatively: as aggressive or pushy.

26 Putting all our minds to work : harnessing the gender dividend, The Business and Industry Advisory Committee to the OECD (BIAC) and the American Chamber of Commerce in France (AmCham France)
4.2. Part I - Some common obstacles to the career advancement of women

4.2.1 The glass ceiling and the leaking pipeline

Most are familiar with the glass ceiling – where women rise through the workplace hierarchy and are blocked at the most senior levels. Recent research shows, however, that women’s career path is blocked at every successive management level. Known as the “leaking pipeline”, it describes a situation in which many talented women drop out or stagnate below senior management and top leadership positions. It is thought that this is due to both internal (inherent biases in policies and structures) and external (societal and cultural “soft” barriers) factors:

- Family and work-life balance considerations
- Lack of access to or high cost of child care
- Demands of parental care
- Lack of role models
- Inadequate support from their companies (training, mentoring, networks)
- Gender stereotypes imbedded in corporate culture
- Weak implementation of legislative gender equality initiatives
- Social norms that attach stigma to working mothers

All these considerations must be addressed by the relevant actors, if the full benefits of diversity and the gender dividend are to be realised.

At the February 2, 2012 BIAC/AmCham France Workshop with the OECD, a range of programmes designed to promote women’s economic empowerment were presented. The discussion focused on why supporting and promoting women’s empowerment was critical. Common threads which emerged in the discussions to address the leaking pipeline included:

- Gender diversity benefits companies, economies and societies but there is no one size fits all approach to accomplishing positive outcomes for women.
- No single measure is enough. Successful diversity programmes require a combination of proactive leadership and innovative practices.
- Diversity programmes require implementation of measures throughout all levels of the organisation. Both top down and bottom up commitment is essential.
- Public policy frameworks that support labour market participation of women are important to successful diversity strategies. A productive dialogue among business, government and other stakeholders, including women’s organisations, is essential.

It is also clear that other measures need to be realised through governments, regulators, companies, business organisations, voluntary initiatives and other bodies acting in collaboration. Initiatives must be supported by a full range of policies addressing for example, women at work, including education, mentoring, access to networking and child care support.

Importantly, there needs to be a shift in mindset, including in the attitudes of women themselves.

4.2.2 Employment segregation

Employment segregation means the gendered division of labour in paid employment. Segregation may imply pay discrimination, owing to a number of factors: comparative gender

---

28 Ibid
29 Gender segregation in the labour market, root causes, implications and policy responses in the EU, report commissioned by the European Commission
advantages, under investment, preferences and prejudices, socialization and stereotypes, entry barriers and organizational practices, differential income roles.

Table: The top six occupations for women and men in Europe, 2005

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>522</td>
<td>Shop salesperson and demonstrators</td>
<td>832</td>
<td>Motor vehicle drivers</td>
</tr>
<tr>
<td>913</td>
<td>Domestic and related helpers, cleaners and launderers</td>
<td>712</td>
<td>Building frame and related trade workers</td>
</tr>
<tr>
<td>513</td>
<td>Personal care and related workers</td>
<td>131</td>
<td>Managers of small enterprises</td>
</tr>
<tr>
<td>419</td>
<td>Other office clerks</td>
<td>713</td>
<td>Building finishers and related trades workers</td>
</tr>
<tr>
<td>343</td>
<td>Administrative associate professionals</td>
<td>311</td>
<td>Physical and engineering science technicians</td>
</tr>
<tr>
<td>512</td>
<td>Housekeeping and restaurant services workers</td>
<td>723</td>
<td>Machinery mechanics and fitters</td>
</tr>
</tbody>
</table>

NB: ISCO-88 occupational codes (EU-25).  

Although legal barriers to women’s entry or restrictive practices have long been outlawed, covert biases or forms of impediments still operate, often restricting career paths and career prospects for women within occupations, for example: closer rungs on ladders in feminized jobs’ career tracks, mechanisms of co-operation and discretionary managerial practices for selection, hiring and promotions that de facto favour men, as well as lack of networking resources among women. All these mechanisms interact with different types of employers (large/small, private/public) in shaping the pattern of segregation.

Segregation may hamper efficient reallocation of labour supplies, male and female. Both Cedefop projections and national reports indicate that skill and labour shortages are likely to affect mixed occupations less than male or female-dominated occupations in the medium run.

4.2.3 Gender ‘neutrality’

Human resources measures and practices implemented by local authorities, although designed to be gender neutral, may unintentionally be creating gender distortions. A strong human resources management policy therefore gives recognition to the fact that women and men have different needs, and makes the requisite provision.

Gender neutrality issues may arise throughout the human resources management process:

- Through terms and conditions for existing staff which set requirements which one sex is less able to meet than the other because of structural or familial constraints (e.g. a promotion requirement for overseas training).
- In workforce restructuring, such as the retrenchment of particular cadres of staff who happen to be mainly female (an important but unacknowledged issue in public sector reform).
- In recruitment, where there are significantly lower numbers of women taken on than men.

---

30 See below  
31 European Centre for the Development of Vocational Training  
32 Equal Opportunities, Gender and Organization Performance, Dr Hilary Standing, Fellow and Elaine Baume, Research Assistant, Health and Social Change Programme, Institute of Development studies, University of Sussex, UK
• A “category bias” in which a whole group of workers, which happens to be predominantly female, is treated less favourably than another group, which happens to be predominantly male. For example, in most of Anglophone Africa, nurses are mainly female and are the front line providers of health care at primary level. In many of these countries, salaries for health staff have fallen to levels which do not provide a living wage. Whilst doctors have been able to supplement their public sector earnings by private practice, nurses may be prohibited by law from doing so.

A recent UK study provides an illuminating account of the ways in which the restructuring of a profession dominated by women, without regard to possible gender implications, can operate to disadvantage them.

In Britain, nursing historically was not a linear, bureaucratic ladder of opportunity, but a command hierarchy presided over by a (female) matron. This was essentially a female chain of command within the (male) doctor dominated institution of the hospital, which gave the matron sole jurisdiction over her staff of ward sisters and staff nurses.

The health service reforms of the mid-1970s replaced this with a career hierarchy of posts from ward level up through the hospital and through the newly constructed administrative tiers to the Regional Nursing Officer. One result of this was that by the mid-1980s, senior nursing management was increasingly masculinised.

Nearly 50% of these posts were held by men, despite the fact that men constitute only 10% of the profession.

Whilst a higher entry of men into the nursing profession is a positive move, since a more balanced composition of nursing staff is preferential for all, particularly the patients, it is important they are absorbed into all aspects of the profession. Discrimination, however, can and does operate to prevent their full integration. Research shows that attitudes towards male nurses are negative, with them being stereotyped as low achievers **. Other studies* show that male nurses tend to gravitate towards the more technical nursing jobs or administrative jobs, or that they employ techniques which allow them to distance themselves from female colleagues and the feminine image of nursing***.

* Journal of Nursing, American Society of Registered Nurses, 1 June 2008
** Armstrong and Fiona, 2002
*** Evans, 1997

4.2.4 Career breaks for children

Women who take a career break in order to raise their family take longer than their male counterparts to climb the career ladder. The UK health services case indicates significant ways in which women can be disadvantaged by ostensibly neutral occupational restructuring:
The health services new career hierarchy, for example, was described as “stratification on the basis of motherhood.” It occurred because of the clash between women’s need for career breaks when their children were born, and the rigid logic of career progression where qualifying time periods were built into career progression, and “time out” sent a nurse back into a lower grade. They could not work part time and remain on the same grade. Returning mothers got shunted into what were seen as the “dead zones” such as night work. As night sisters were on lower grades than their day sisters, it was then difficult to move from nights to days. A case of indirect discrimination, it took men 8 years on average to reach Nursing Officer grade, while women who took career breaks took 23 years.

However, even women with no career breaks took an average of 15 years, suggesting that there were other discriminatory factors operating. Comments from respondents in the survey suggested a great deal of gender stereotyping. Female nurses were seen as intrinsically not good at management, and as less motivated or concerned with their careers than men. This fed through into e.g. differences in the numbers of women and men applying for promotion at given points in their careers.

4.2.5 Private world of work and the public world of work

Equal opportunities policies are a good example of how the private world of the home and the public world of work are interrelated in reality. This is of particular significance for women, who bear the major responsibility for childcare and whose capacity to sell her labour is frequently constrained by marriage, motherhood and cultural hostility to, or ambivalence about, their employment status.

However, the accommodation between the public and private worlds generally rests on implicitly male assumptions about the nature of working life; in particular that it is always full time, uninterrupted etc. In practice, women’s work lives are often not like this. This results in a tendency to see women as “the problem” rather than the male employee based norms around which employment is generally structured.

4.2.6 Gender pay gap

Generally, more women complete higher education than men in OECD countries and have longer life expectancy. Men earn 18% more than women on average in OECD countries, and only about a third of managerial posts are held by women. Many more women are in part-time jobs, and having children still impacts women’s work choices far more than men’s.

Why is this happening, and what is the economic and social cost of not making the most of women’s potential? Are girls’ educational subject choices likely to maximise their career opportunities? Do quotas work in getting qualified women into decision-making positions? How to ensure equal access for women entrepreneurs to finance and funding? Is the trend towards part-time work making matters worse?

While childcare is perceived as a women’s issue – maternity leave, rather than parental leave, for example – employers may see women as less committed to the workplace, perpetuating poor career opportunities and lower pay.

But the gender pay gap is highest among high earners – how can this be explained: are women selling themselves short?

33 OECD Forum 2011: Narrowing the Gender Gap
Is the trend to part-time work among women in many countries undermining efforts to realise women’s potential? Can quotas help kick-start the process of boosting women’s participation on equal terms in business and finance, as has been tried in politics in some countries? How successful have such efforts been in countries that have used quotas?

4.2.7 Feminisation of jobs

Instances of undervaluation of women’s jobs are still common. Lingering overt biases in job evaluation practices, covert biases deriving from the way job evaluation procedures are carried out, poor visibility of female skills, the fact that female-dominated jobs are often less professionalised or afford shorter occupational ladders, all emerge from the case studies as important factors. Unsurprisingly, however, such instances are found to occur more frequently at the lower end of the occupational pyramid.

The possibility that occupations become devalued following feminization is not clearly supported by evidence, according to the EU report (ibid) but the cases in point are professional occupations such as doctors, magistrates or university teachers. These are largely public-sector jobs, a probable factor of protection from undervaluation.

4.2.8 Common myths on women in the workplace and generally

There needs to be an active programme to counter a number of prevailing assumptions: that there are not enough women candidates; that women lack the experience required; that women disrupt board unity and bring quick decision-making to a halt; that only companies that are already prospering well can afford to take the risk of having women on their boards; and that having women on boards is a political decision rather than a business one.

Account should also be taken of the cultural attitudes hampering women’s progress in the workplace. In the West, the concept of women was traditionally as the weaker sex, a view which gives further support to the prevailing assumptions expressed in the paragraph above. In other cultures, on the other hand, and even sometimes in the West, there is a belief that women have power that needs to be contained. Whatever the view, both have imposed and continue to impose various controls to deal with the power that women hold. The nature of these control mechanisms and the manner in which they are executed have profound implications for female progress.

4.3 Part II – Gender and HRM

4.3.1 Gender mainstreaming

The United Nations Economic and Social Council (ECOSOC) has defined the concept of gender mainstreaming as follows:

"... It is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. The ultimate goal of mainstreaming is to achieve gender equality."

---

34 Gender segregation in the labour market, root causes, implications and policy responses in the EU, report commissioned by the European Commission
35 Cross Cultural Study of Attitudes Toward Women as Managers in Four Countries, Shanthi Srinivas, Robert W. Allen and Shiori Sakamoto California State Polytechnic University, Pomona, 1999
Mainstreaming includes gender-specific activities and affirmative action, whenever women or men are in a particularly disadvantageous position. Gender-specific interventions can target women exclusively, men and women together, or only men, to enable them to participate in and benefit equally from development efforts.

4.3.2 Good preparatory work

Everyone has a sex. Ordinary citizens and average persons in statistics are actually women and men. For instance, employees, students, immigrants, children, youth, unemployed, beneficiaries and users of public transport are women and men, girls and boys. When gender is made visible, we can determine the conditions, workings, and needs of both women and men. Thus, we can obtain more information about the target groups and, hence, better direct measures and how resources are allocated. This contributes to a significant improvement in the quality of preparatory work and decision making, while also improving the efficiency of measures and services.

Sex and gender matter. Sex and the assumptions and expectations linked to gender influence the actions and choices of people. These actions and choices have an impact on the lives, situations, and needs of people. Family circumstances, for instance, still have a differential impact on the lives of women and men. In the labour market, women and men are often employed in completely different sectors, and also are remunerated differently. If a gender perspective (that is, how something concerns women and men) is not considered in preparatory work, important information might be lost. What appears neutral may in fact serve the interests of one sex more than the other, or even completely neglect the needs of one of the sexes.

4.3.3 Support from the top

For a gender equality programme to be successful, it must enjoy strong and visible support and action from top leadership and subsequent levels of management:

- CEO leadership efforts to promote women need to be reinforced by internal programmes to raise awareness and provide relevant education throughout the organisation.
- Boards play a key role in encouraging specific measures and accountability. The overall objective should be to bolster the pipeline of successful women within the organisation and create an enabling environment for the promotion of women executives.

Boards should serve as role models by themselves exhibiting gender balance. They can drive actions throughout the company by requiring that management put in place and be accountable for appropriate diversity action plans.

- Boards may align themselves with broader societal commitments to diversity through, for example, participating in external programmes, or committing to charters.
- Effective communication is a prerequisite to lead and support change in behaviours throughout the formal structure of the organisation.

4.3.4 The role of management

Local authority management is responsible for changing organisational practices so that they include a gender perspective. Above all, local authority management needs to ensure that
such work is being carried out and that there are sufficient prerequisites in place for it to occur. Promoting a gender perspective in a local authority demands some planning and development work. This requires allocating work hours for such activities.

It is vital that management partakes in planning and implementing the mainstreaming of a gender perspective and that it sends out the message to the organisation that it expects results. Compiling clear instructions and ensuring follow-up help employees to actually do what they are supposed to do. Written instructions alone are not enough, it is important that managers are present at meetings and training events. The lack of commitment of middle management is often seen as the greatest challenge to gender mainstreaming. The commitment and activity of senior management also assist in the work of middle management. In future hiring of managers, the organisation should pay attention to gender equality competence.

Managers should also consider how they themselves might receive support in promoting a gender perspective, since such work often faces resistance and negative attitudes.

**QUESTIONS FROM MANAGEMENT CONCERNING PREPARATORY WORK**

- What is the impact of the issue being prepared from the perspective of women and men, respectively?
- Are additional measures required?
- Are further investigations needed?

### 4.3.5 Gender impact analysis

One of the first steps in adding a gendered perspective to a human resources policy is to carry out a gender impact analysis of the current different human resource processes and procedures, such as the HRM processes of staff selection, recruitment, training, evaluation and motivation. Gender impact analyses will only be effective if carried out at the preparatory stage and at subsequent preparatory stages, on the basis of gender disaggregated data (see below) and of a survey of the different needs of women and men.

### 12 ADVICE POINTS FOR GENDER IMPACT ASSESSMENT

1. Schedule the planning and launching of a gender impact assessment to take place at the very beginning of the preparatory phase. Only then can it make a difference to the end result.
2. A simple rule of thumb is that whenever there is talk about people (citizens, children, employees, etc.) one ought to remember that the discussion de facto concerns women and men, girls and boys.
3. Gender impact assessment is seldom in vain. There is no way of knowing beforehand which measures will have a significant impact from the perspective of women or men.

---

39 Ibid
4. Gender impact assessment is carried out by the official’s doing the preparatory work on the issue in question. The assessment is done as a part of normal procedures, utilizing stakeholders, information based on research and statistics, expert hearings, and reports.

5. Gender impact assessment is a part of thorough preparatory work. Assessing factors that have an impact on the status of women and men is no more difficult than other impact assessments. It is often a question of acknowledging the existence of gender and utilizing existing statistical data.

6. As the preparatory work progresses, a proper gender impact assessment does not require much additional work. It is worthwhile to dimension it to correspond to the objectives, extent, and anticipated significance of the impact of the preparatory work.

7. Impact assessments always form an entity. Consider a gender perspective in all impact assessments: what are the financial implications from the perspective of women and men, respectively, for instance?

8. List the most important factors to be considered. Also, note that which may seem obvious. Keep this list in sight during the entire preparatory process and check it at regular intervals.

9. Ask all contributors and experts to assess the gender impact of the proposal from their respective perspective. This gives valuable additional material for the assessment.

10. When needed, carry out separate studies on gender impact. It is, however, the duty of the official in charge of preparatory work to assess the most important results of the analysis and their relevance to the issue at hand. A report done by an external person may otherwise remain disconnected from the rest of the work.

11. The worst way of implementing a gender impact assessment is that an external person reviews an otherwise completed proposal and, as it were, afterwards "adds" gender to it. That will no longer have any impact on the content.

4.3.6 The importance of sex disaggregated data

Sex disaggregated data is data grouped by sex. Sex-disaggregated data enables employees’ choices, needs, behaviour, effects of human resources’ measures, etc to be analysed statistically by sex. It requires thinking about men and women, as opposed to people. It enables problems to be further defined, so that more effective options for either sex can be developed. Resources can be allocated in a fairer way as a result, and women’s progress or lack thereof becomes more visible.

Indeed, the use of gender analysis based on this kind of information has helped many of the organisations to build their gender mainstreaming strategies, review legislation and collective agreements, and evaluate progress and continuing challenges.

4.3.7 The importance of dialogue

Dialogue is also key to successfully addressing gender mainstreaming and implementing the correct changes in HRM. The encouragement of inclusive and transparent negotiation processes with all relevant stakeholders greatly contributes to strengthening an organization and its reputation. On the one hand, participation facilitates the understanding of the main
problems and desires of employees. On the other hand, it helps guarantee the support of workers and their commitment to the work culture.

### 4.3.8 Gender expertise

Employing someone with gender expertise will help identify entry points for gender mainstreaming and implement a mainstreaming approach throughout an entire project cycle. These experts are important allies. Such expertise might be found with academics, consultants, NGOs or community groups, or development partners. Bringing this expertise aboard is mainstreaming at its most basic level.

**GUIDELINES FOR THE GENDER EQUALITY CO-ORDINATOR**

- The role of the gender equality co-ordinator is to plan and to support the mainstreaming of a gender perspective in the organisation.
- The co-ordinator can also support individual persons who are in charge of drafting and preparatory work. However, the point is not to do all the work for them.
- Management should mandate the work before it is commenced.
- Take it step by step and document your work.
- Compile good examples and best practices.
- Ensure that management demands results and also puts the results to use.
- Focus on people who want to co-operate and who can promote the issue in their own work communities.
- Build a supporting network within and outside the ministry.

### 4.3.9 An operational gender equality plan

According to the Finnish Gender Equality Act, if an employer regularly has at least 30 employees working in employment relationships, the employer shall yearly produce a gender equality plan. As specified in the Act, the gender equality plan may be incorporated into a personnel and training plan or an occupational safety and health plan. The plan should include an assessment of the gender equality situation in the workplace, details of the employment of women and men in different jobs, and a survey of the grade of jobs performed by women and men, the pay for those jobs and any pay differentials that occur.

Ministries may, additionally, draw up a plan for enforcing gender mainstreaming, i.e. an operational gender equality plan. The operational gender equality plan focuses on planning the integration of a gender perspective into the core activities and responsibilities of the ministry, not on staff policy.

The objective of an operational gender equality plan is to analyse the ministry’s activities from a gender perspective and to concretely define the objectives to strengthen such a perspective. A good plan also defines measures, responsible persons and bodies and resources to be

---

40 Ibid
41 Ibid

42 Most Finnish ministries drew up operational gender equality plans in the beginning of the 1990s, when there was a decree in force concerning operational gender equality plans (1262/90), 1.1.1991–28.2.1993.
allocated, as well as the time frame and monitoring indicators. The operational gender equality plan should be as concrete as possible. Monitoring and resource allocation should be taken into account while the plan is being drawn up.

**ESSENTIALS OF AN OPERATIONAL GENDER EQUALITY PLAN**

- **State of affairs**: A report on the core activities of the ministry, activities where a gender perspective is relevant, as well as a survey of the possible gender equality challenges or problems.
- **Objectives**: Objectives and results that the ministry intends to achieve, as well as the grounds on which the measures are deemed to promote gender equality.
- **Measures**: A description of the measures, such as authority service delivery, developing ministerial working methods, or a gender impact assessment of activities.
- **Resources**: A proposal for how to use the authorities’ resources in order to implement the plan.
- **Responsibility**: Persons responsible for the implementation and their areas of responsibility.
- **Co-operation**: Liaisons, for instance with other authorities, institutions, companies, organisations, or persons.
- **Training**: A plan for delivering training to those authorities and partners who take part in implementing the plan. The training should provide the information and methods needed to implement the plan.
- **Communication**: Objectives for communication concerning the plan and its implementation, including target groups and timeline.
- **Monitoring**: Instructions for monitoring and making the most of the implementation of the plan, procedures for revision and changes, as well as period of validity.

**4.3.10 Gender awareness training**

Training and guidance raise awareness and ensure the commitment of local authority employees to gender mainstreaming. These courses aim also to clarify the real advantages of addressing the gender perspective to the authority and to each employee.

The implementation of trainings and guidance must have an appropriate timescale, in which managers may be the priority target. Ensuring the dedication of the management at lower, middle or senior levels is key to supporting gender equality in daily working practices.

Trainings should aim to raise awareness of obstacles hampering equality such as gender neutrality, the leaking pipeline, the glass ceiling, the gender pay gap and reinforce the importance of collating gender disaggregated statistics, of recognizing gender stereo-typing when it occurs, and of including the under-represented gender’s perspective in all projects and activities from the beginning.

The Council of Europe, in its Action Plan on Equal Opportunities, highlights the importance of building up a diverse and intercultural organization to fully secure fundamental human rights. A diversified workforce implies an inclusive working culture which must be promoted by awareness initiatives. In this context the CoE suggests specific training courses as well as special events, such as the international day of women, disabled people and events highlighting the problem of homophobia.
Furthermore, training and guidance sessions in any other topic must also take the gender perspective into account in a way that:

- ensures the involvement of experts with an adequate knowledge on the gender perspective;
- ensures balanced gender participation
- ensures specific needs are met.

*Test your gender knowledge*\(^{43}\)

The Handbook prepared by the Finnish authorities to support their ministers in the promotion of gender mainstreaming suggests a test to evaluate the knowledge on gender mainstreaming that can be used similarly by local authorities.

<table>
<thead>
<tr>
<th>Test your knowledge</th>
<th>Correct</th>
<th>Perhaps</th>
<th>Incorrect</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Civil servants or officials should do their job as gender neutrally as possible.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Gender-based discrimination means action against another person which would not have occurred had the person been of another sex.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Mainstreaming a gender perspective entails new duties and practices for ministries and civil servants.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. A gender perspective in preparatory work means that one, as much as possible, strives to level the differences between women and men.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. The easiest way to consider a gender perspective is to integrate it from the very beginning. It then also affects the outcome.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Women and men often have different life situations and this is worth considering in preparatory work.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

\(^{43}\) Ibid
7. All ministries have duties where gender perspective is needed.

8. Data and statistics on people, in general, should be broken down by sex only if sex-disaggregated information is readily available.

9. A gender perspective does not need to be included in planning the operations and finances for a ministry, but only in the de facto activities of the ministry.

10. The official or unit responsible for promoting gender equality also carries out gender impact assessments for other parts of the state administration.

Correct answers:
1. Incorrect. A neutral approach may in reality have a gender impact.
2. Partly correct. It does, however, encompass seemingly neutral practices or measures, which de facto place women and men in different positions. Discrimination may therefore occur completely unintentionally.
3. Correct. However, when carried out duly and in a planned manner, it does not necessarily entail unreasonable amounts of extra work.
4. Depends on the issue. All differences should not be levelled, since difference does not necessarily mean inequality. Inequalities, on the other hand, should always be addressed.
5. Correct.
6. Correct.
7. Correct.
8. Incorrect, or perhaps. If it is unreasonably hard to access the information, it is advisable to find out why. Generally speaking, data on people should always be disaggregated by sex.
9. Incorrect. Planning and documents that guide operations and finances lay the foundation for the actual work. This is why a gender perspective is to be included in them.
10. Correct and incorrect. In Finland, the Equality Unit co-ordinates the government measures for promoting gender equality. The Unit does not carry out gender impact assessments per se, but can help in initiating the assessment or finding experts. Practices in different countries vary, but from a gender mainstreaming perspective it is advisable that all sectors carry out their own gender impact assessments.”

Training Video

The following powerful video successfully conveyed its message at a meeting on gender mainstreaming at the Council of Europe, 16 November, 2012: it illustrates the importance of gender mainstreaming in an easy to understand format on a subject of direct relevance to local authorities. It was produced by the Swedish Association of Local Authorities and Regions (SALAR).

http://www.youtube.com/watch?v=xYikioYiilU
4.3.11 The role of all employees
Promoting gender equality is the responsibility of every local authority employee. A gender perspective, how a particular issue concerns women and men, ought to be one of the perspectives investigated in all preparatory work, whatever the work in hand.

In particular, all persons in charge of drafting, on the basis of sex disaggregated statistics and information:

- must investigate in advance the impact from both women's and men's points of view
- must prevent direct and indirect gender-based discrimination
- must, whenever feasible, promote gender equality.

4.3.12 Recruitment
The HRM must ensure a skilled gender mix throughout the entire organization and for each career level when recruiting or promoting. The ILO (2012) highlights that one of the HRM priorities concerning recruitment and selection should be the “Parity among women and men professional staff across all units and offices”. This can be measured by gender disaggregated data on the basis of occupation, grades and salaries.

It is important to ensure that job profiles do not reflect a gender bias, and incorporate a variety of styles of work practice.

The UK Equality and Human Rights Commission44 highlights the following possible discrimination that can occur during recruitment, which a good human resource policy will avoid:

- direct sex discrimination, for example refusing to consider women for a lorry driver's job because of her sex.
- direct marriage discrimination, for example, having a policy of not employing married women.
- indirect sex discrimination, for example where an employer applies a provision that all job applicants must have been previously employed by the Armed Forces; as women have not traditionally worked in the Armed Forces in the same numbers as men, fewer women than men would be eligible to apply and so women would be put at a disadvantage.
- indirect marriage discrimination. An example of this might be a provision that applicants for promotion must be prepared to relocate to a different part of the country. As fewer married women than single women are mobile (and also, arguably, fewer married men than single men), this may be unlawful indirect marriage discrimination, unless the employer could show that mobility was a valid and necessary function of the job and was thus a proportionate means of achieving a legitimate aim. Civil partners may also be included in any claim of marriage discrimination.

4.3.13 Performance Management
In the same way performance management indicators should also not present a gender bias. A group of researchers45 from Cornell University, Clemson University and Gettysburg College,
concluded, on the basis of a meta-analysis of a total of 61 employee samples (rather than college student samples), that on average, there appears to be a great deal of similarity between levels of performance for males and females. Despite this conclusion, the authors also found support for their hypothesis that males generally receive slightly higher promotability ratings. The authors’ conclusions about gender differences in performance and promotability point out a potential management paradox in the following sense: although small, performance differences seem to suggest that females are better performers, yet they appear to be rated slightly lower on promotability compared to males.

R. Hayles describes organisational interventions in other sectors which link managerial pay to diversity actions and results. These interventions reward actions (eg training, mentoring, supporting employee resource groups) and measurable results (eg improved hiring and retention, positive employee attitudes, reduction in litigation costs) through salary incentives for senior staff. Recent studies are said to have shown a strong correlation between good management diversity practices and profits.

**4.3.14 Hiring and firing**

Gender discrimination can work in both directions, as shown by a group of researchers at Iowa University, when they set up a two-stage procedure (consideration set formation and final choice) to track the emergence of gender biases in hiring and firing decisions. Participants were allowed to select their own strategy for narrowing choice options (which candidates to retain or which candidates to delete). Each of the two experiments included a condition where job candidates were considered for hiring and a condition where current employees were considered for firing. Candidate features varied across experiments but the initial set always included 18 females and 18 males with comparable credentials. In both experiments male and female respondents selected candidates of their own sex for hiring and both males and females selected mostly male candidates for firing. In each experiment the bias showed up only in the final-choice stage.

---

**4.3.15 Pregnancy and maternity**

The European Union has set minimum standards for member states’ legislation pertaining to maternity and parental leave, as well as workplace protections for pregnant and nursing employees. Member states’ maternity leave laws must allow at least 14 weeks of maternity leave, and must require at least two weeks of compulsory leave. During maternity leave,

---


46 Hayles R, Designing and implementing a diversity initiative with measurable results, Equal Opportunities Review 2000, in Equity, Equal Opportunities, Gender and Organization Performance, Dr Hilary Standing, Fellow and Elaine Baume, Research Assistant, Health and Social Change Programme, Institute of Development studies, University of Sussex, UK

47 “Separating gender biases in screening and selecting candidates for hiring and firing” Irwin Levin, PhD (The University of Iowa, IA, USA), Robert Rouwenhorst, PhD (The University of Iowa, IA, USA), Heather Trisko (The University of Iowa, IA, USA)
women must receive either their salary or an “adequate allowance,” as well as any other contracted benefits. Parental leave allowances must be at least three months for each parent (preferably non-transferable between parents), to be taken no later than their child’s eighth birthday. Workplace laws must include protection for pregnant and nursing mothers from hazardous working conditions, night work, and dismissal due to pregnancy or maternity leave. Finally, workers must be assured of returning to the same or an equivalent position after taking maternity and parental leave. The only nation exempt from these guidelines is the United Kingdom, which did not sign the 1996 agreement on parental leave and thus must only meet the maternity leave provisions.48

A good human resources policy should ensure that pregnant employees are not treated less favourably because of their pregnancy, and that pregnancy is not seen as a handicap, where employees suddenly become less capable of their job. They should be offered the same training and promotion opportunities as other staff and they should be allowed to keep the same duties and responsibilities.

4.3.16 Flexible terms and contracts

The UK Equality and Human Rights Commission (EHRC) calls for a radical rethink in the way work is organised in the UK, saying it is still ‘largely designed around a mid-20th century lifestyle – sole breadwinner men, with stay-at-home wives’. It points out that surveys show 50 per cent of workers want to work more flexibly, and adds that a variety of factors mean that it now makes sense to encourage a more flexible approach to work. These include:

- growing numbers of women needing or wanting to continue working after having children and demanding work that recognises their experience and abilities
- rising numbers of young people, men and women alike, wanting to combine work and family life
- an ageing population, meaning more demand for workers to have the flexibility to look after elderly relatives – by 2010 it is estimated that nearly 10 million people in the UK will have caring responsibilities for an elderly relative
- more people wanting to work reduced hours as they approach retirement
- growing numbers of young people in higher education, and needing to balance work and study
- the development of technology allowing more remote working.

Advantages for employers

Campaigners say that the advantages of flexible working for employers are huge:

- reduced premises costs as more people work from home
- increasing customer satisfaction as their needs are met around the clock
- better staff motivation – flexibility encourages workers to feel more in control of their life and therefore happier
- falling absenteeism and sickness
- increased productivity
- greater wellbeing among staff
- increased ability to recruit and retain skilled employees
- greater reduction in a company’s carbon footprint as rush-hour traffic reduces.

The advantages for government

The benefits include more tax for the Treasury from higher-paid salaries; community development – home workers spend more time in their local community, according to research; and falling health bills for treating stress-related illness.

A study from the Netherlands warns, however, that the use of flexible working hours may disadvantage women economically and in their career progression, since rather than organising a full-time job around their private life commitments, more women may resort to part-time work as a result. If women engage disproportionately in part-time work (or other non-standard working time arrangements) the result might be enduring gender inequality in terms of income and responsibility.

As responses of women and men to such changes are likely to be different, reforms may be designed in a way to use these differences more efficiently. It is important to understand the needs of workers and measure the impacts of such changes to fully respect social justice and human rights.

The local authority is advised to review contractual arrangements to offer more flexible terms and conditions, through a varied list of options:

- the creation of a bank of hours or a time credit scheme
- fewer days of work with longer working hours
- part-time work
- job sharing
- seasonable work to cope with peak seasons
- the possibility to work remotely.

These strategies serve to improve the municipality efficiency by reducing office costs as well as attracting and retaining the most talented people. Family friendly work practices can also entail the adoption and incorporation of different leave schemes such as:

- equal access of either gender to paid paternal leave
- unpaid extended parental leave
- training and return programmes for reintegration
- specific leave for care and health assistance of dependents.
- Pension rights

Finally, an inflexible work hours' policy may be giving rise to indirect discrimination. For instance, since more women than men have family responsibilities and wish to work part-time, a policy requiring everyone to work full-time may amount to indirect sex discrimination, as women are placed at a particular disadvantage.

---

49 Flexible working time arrangements and gender equality (2009), Janneke Plantenga & Chantal Remery, Utrecht University School of Economics
4.3.17 Childcare facilities

In addition, the existence of funded and supported services for child care or care for elderly with professional and high-quality staff is widely recommended. It not only promotes women integration into the labour market but also improves their commitment and loyalty.

Austria

The Austrian authorities have understood the importance of offering social services in order to successfully promote equal gender opportunities. The Child Care Under One Roof was launched in 2010 and intends to provide child care facilities for all children that live in upper Austria. The project is based on a non-contributory but compulsory kindergarten attendance and aims to promote a gender working/family balance as well as to contribute to high-quality children education.

With the same purpose of promoting gender mainstreaming, the City of Vienna introduced several reforms in day care centres. The City of Vienna not only provided training courses and guidance to its staff members, it also adopted a set of gender learning measures to ensure future generations' commitment to gender mainstreaming and that they are well-informed.

“Gender-sensitive education has become established in many day care centres in Vienna. This includes having both female and male day care teachers, and avoiding predefined areas for playing, such as a "doll corner" for girls and a "building block corner" for boys. It is also important to choose books and songs with care - the traditional gender roles of the mother in the kitchen and the father at work, which are prevalent in many classical nursery rhymes and songs, are replaced by modern pedagogical material.

In 2005, Municipal Department 57 - Promotion and Coordination of Women’s Issues (MA 57) developed a gender-sensitive "education box", which was distributed to all municipal daycare centres free of charge. The public daycare centre in Unter-Meidlinger Straße in Vienna’s 12th district for example is currently being adapted completely to the criteria of gender-sensitive education, and all employees receive training courses.”

“Examples include: more flexible opening hours; better street lighting; call systems for technology and business promotion schemes, which include gender-relevant topics and require specification of the share of women in the applicant’s staff structure; well-equipped toilet facilities featuring baby changing tables which are also accessible for men; a higher share of male kindergarten staff; and male staff at pensioners’ clubs. These steps also allow more room for manoeuvre for women and men alike. “We consider gender mainstreaming a pivotal tool for customer-oriented work’, emphasises Chief Executive Director Dr Ernst Theimer.” –


Spain

Due to a clash in the opening times of child daycare centres and standard working hours, the Spanish Association of Local authorities (FEMP) has recommended the adjustment of child care facilities’ opening hours.

Flexible terms and contracts also encompass the support of parental leaves. In order to pursue gender equality opportunities, Australia approved the Paid Parental Leave Act 2010. Among the provisions it is proposed a return to work program.

92
4.3.18 Sexual harassment policy

Directive 2006/54/EC of the European Parliament and of the Council of 5 July 2006 on the implementation of the principle of equal opportunities and equal treatment of men women in matters of employment and occupation (recast), describes sexual harassment as follows:

‘sexual harassment’: where any form of unwanted verbal, non-verbal or physical conduct of a sexual nature occurs, with the purpose or effect of violating the dignity of a person, in particular when creating an intimidating, hostile, degrading, humiliating or offensive environment;

Relevant to human resources management, it’s Articles 6 and 7 further specify:

“(6) Harassment and sexual harassment are contrary to the principle of equal treatment between men and women and constitute discrimination on grounds of sex for the purposes of this Directive. These forms of discrimination occur not only in the workplace, but also in the context of access to employment, vocational training and promotion. They should therefore be prohibited and should be subject to effective, proportionate and dissuasive penalties.

(7) In this context, employers and those responsible for vocational training should be encouraged to take measures to combat all forms of discrimination on grounds of sex and, in particular, to take preventive measures against harassment and sexual harassment in the workplace and in access to employment, vocational training and promotion, in accordance with national law and practice…”

Forms of sexual harassment are usually divided into three different types: verbal (remarks about figure/look, sexual jokes, verbal sexual advances), non-verbal (“staring and whistling”) and physical (from unsolicited physical contact to assault/rape).

The International ITUC International Trade Union Confederation advises the following measures for the workplace:

(a) Workplace activity

- Ensure your workplace and your union have a policy on sexual harassment, which addresses diversity of workers.
- Display a declaration demanding a safe environment for women and men at the workplace as well as at meetings, activities and events.
- Ensure that employers provide a counselling service for victims.
- Carry out awareness raising and training on sexual harassment which include the effect of sexual harassment on occupational, health and safety and the general working environment.
- Organise campaigns about sexual harassment.
- Training union officials to advise members.
- Appoint several ‘persons of confidence’ consisting of employer and union representatives of both sexes to handle complaints, and ensure they are appropriately trained.
- Keep a book in a secure place for logging informal or formal complaints.
- Include segments on sexual harassment in union training courses.
- Ensure there are anti-harassment documents at all union functions.
- Ensure that those who are victims of sexual harassment can inform someone of their own sex about what happened.

For more comprehensive information on sexual harassment in the workplace and how to treat it, see stopping sexual harassment at work, ITUC: http://www.ituc-csi.org/IMG/pdf/Harcelement_ENG_12pgs_BR.pdf
- Set up a clear procedure for investigating complaints – see accompanying suggestion, or arrange for the grievance to be handled through the normal grievance procedure. Ensure that this protects the victim from dismissal or further victimisation during the investigation.
- Try to stop any harassment you observe, whether or not the victim has complained.

(b) **Union action with employers**
- Include an article against sexual harassment in collective bargaining agreements and in equal opportunities policies.
- Agree a procedure with employers on cases of sexual harassment, which may be included as a part of the grievance procedure.
- Ensure that employers carry out thorough and timely investigations.
- Ensure that any actions resulting from the investigation are carried out without delay.
- Ensure that employers take action so that harassment does not occur again in the future – e.g. education and training.
- Push employers to abide by national agreements and prepare complaints when they do not take action.

c) **Union action with governments**
- Lobby your government for improved sexual harassment legislation, exposing inconsistencies and gaps in implementation.

### 4.3.19 Equal pay

According to the OECD, generally, more women complete higher education than men in OECD countries and have longer life expectancy. But men earn more and hold positions of power. Men earn 18% more than women on average in OECD countries, and only about a third of managerial posts are held by women. This gap is highest among high earners - are women selling themselves short?

**What is an equal pay review?**

An equal pay review is an analysis of an organisation’s pay structure in order to identify and eliminate any gaps that cannot satisfactorily be explained on grounds other than sex.

**The EOC’s Equal Pay Review Model (‘EPRM’)**

The equal pay review model recommended by the EOC has five steps:

- **STEP 1:** Deciding the scope of the review and collating the data required
- **STEP 2:** Identifying where men and women are doing equal work
- **STEP 3:** Comparing pay data to identify any significant equal pay gaps
- **STEP 4:** Establishing the causes of any significant pay gaps and deciding whether these are free from discrimination and objectively justified
- **STEP 5:** Developing an Equal Pay Action Plan and reviewing and monitoring

---

51 See the section on the gender pay gap above, pxxx above
53 Equal Opportunity Commission (UK), which amalgamated with other Equal Opportunity bodies in October 2007 to become the Equality and Human Right’s Commission

**STEP 1: Deciding the scope of the review and identifying the data required**

1. Determine the scope of the review
2. Full or partial review?
3. Determine which employees will be covered by the review
4. Decide who should be involved in the review
5. Decide on any external consultancy support required
6. Identifying the data required for the review

**STEP 2: Determining where men and women are doing equal work**

1. Identifying like work
2. Identifying work rated as equivalent
3. Identifying work of equal value
4. Identifying equal work from broad banding
5. Which checks apply to your authority?

**STEP 3: Comparing pay data to identify any significant gaps**

6. What are significant differences?
7. Calculating and comparing average basic pay and total earnings for employees undertaking like work
8. Calculating and comparing average basic pay and total earnings for employees undertaking work rated as equivalent
9. Is the job evaluation scheme fair and non-discriminatory?
STEP 4: Establishing the causes of any significant pay gaps and assessing justification for them

10. Assessing the reasons for the pay gaps
11. Comparing the average payment received by men and women
12. Identify equal pay issues

STEP 5: Developing an action plan and monitoring and reviewing

13. Drawing up an action plan
14. Deciding what an action plan includes
15. When should equal pay be brought in?
16. How often should monitoring and review take place?
17. Introduce an Equal Pay Policy

4.3.20 Monitoring and Evaluating

It is clear that in order to successfully mainstream gender concerns within an institutional context, the projects and policies have to be monitored and evaluated. This allows the implementers and other stakeholders to cherish their successes as well as to identify weak points, which gives them an opportunity for addressing potential problems. However, there is no general agreement on the HOW TO monitor and evaluate.

Monitoring

Dale (1998), writing within the context of evaluation frameworks for development programmes and projects, makes a clear distinction between monitoring and evaluation. He defines monitoring as the ‘frequent largely routine-wise collection and analysis of and reporting on information about the performance of the work in a programme or project, comparison of this with the programme or project plans, and connected discussions about and proposals for any corrective action.’ (Dale, 1998:28).

This can be done through regular meetings and reporting or research and special studies. Relevant procedures, tools and analytical indicators should first be established by gender specialists (Council of Europe, 1998:18). The information should then be fed into the policy, programme or project, preferably at the planning stage of the cycle.

Evaluation

In contrast, evaluation is defined as ‘a more thorough examination, at specified points in time, of programmes or projects or parts of them, usually with emphasis on impacts and additionally commonly on efficiency, effectiveness, relevance, replicability and sustainability.’ (Dale, 1998:29).

It is therefore clear that monitoring refers to the process of an ongoing collection of project, programme or policy data in order to assess whether the project is going into the right direction and it complies with the pace and stages set, while evaluation refers to a more thorough...
periodical assessment of the outcomes of the project, especially in relation to the stated objectives, in order to compare the impact/outcomes achieved (or in the process of being achieved) with the stated objectives and goals.

Methods

The main methods used for monitoring and evaluation draw directly from social science research methods and can be divided into:

Quantitative methods: genuine experimental design, quasi-experimental design, statistical design without controlled groups, benefit-cost and cost-effectiveness analysis.

Qualitative methods: in-depth case studies, questionnaire surveys, rapid assessment, and participatory assessment. (Dale, 1998)\(^57\)

\(^{57}\) For further information on monitoring and evaluating gender mainstreaming, see the full ILO report (opus cit) at: [http://www.womenq.net/wp/library/Methodology%20Indicators.pdf](http://www.womenq.net/wp/library/Methodology%20Indicators.pdf)
5. Practical Programmes for Improving Human Resources Management with Peers

5.1 Programme Proposals to guide you while using the Tools

Good human resources management need not be complicated or over-sophisticated. Awareness of current organisational culture and people management practices (and its weaknesses) often constitutes the essential first step in improving processes and skills. The benchmarking toolkit is designed to initiate honest conversation within local government about the type of organisational culture and behaviour that they want to see in the future. A few concepts appear to be key here:

- Clear understanding of core values and vision of the organisation (‘what it stands for’) and what that translates to departmental, team and individual level
- Open, direct communication in all directions (top-down, bottom-up and between silos)
- Senior and frontline managers equipped with people management capabilities, particularly around managing performance, managing conflict, supporting learning and development
- Staff should be empowered and supported to do their jobs well, receiving regular feedback from both managers and peers, and be encouraged to take responsibility for their ongoing development

The human resource management toolkit is fully modular, so it can be adapted easily to each organisation’s existing practices and improvement needs. There are two distinct types of programme available, depending on the degree of change required, the depth of review desired and the funding available for training and follow-up.

1. Programme 1: Initiation

This programme is the entry-level benchmarking and training concept. It is estimated to last 1.5 days and includes (but is not limited to):
- a simplified benchmarking tool to determine current organisational practices
- core visioning exercise to determine where the organisation needs to be
- skills gap analysis with moderator
- action planning for improvement
- identifying training and development needs to deliver the action plans
- workshop on performance management, coaching and feedback (if required)

2. Programme 2: Full Roll-Out

This programme is a more in-depth analysis of the HRM situation, allowing for networking with other similar organisations. A minimum time requirement is 3 days at the outset, with additional later reviews. The programme includes (but is not limited to):
- a detailed benchmarking tool to determine current organisational practices
- core visioning exercise to determine where the organisation needs to be
- action planning for improvement
- introduction to action learning process
- introduction to peer review process
- identifying additional training needs to deliver the action plans
- workshop on performance management, coaching and feedback (if required)
- workshop on competency models, job profiles and selection processes (if required)

This toolkit is designed to be shared, improved and co-developed as local authorities implement and learn from it. It is to be hoped that good practice can thus be more easily identified, adapted and implemented elsewhere.

Preparatory Work of National Associations

1. Translate HRM Benchmarking and Improvement Tool into their own languages
2. Send the Toolkit to local authorities to seek views, gain commitment and establish a list of interested participating municipalities
3. Establish a small project team to manage the programme

Responsibilities and Processes

Step 1: Adaptation of the European Score Card

1. Ask interested municipalities to provide their comments on the European Score Card.
2. In the light of the opinions expressed, prepare a draft National Score Card
3. Hold a workshop with local government representatives (both staff and elected members) from the interested municipalities to discuss the concept and amend (or add to) the draft National Score Card in ways that make it more meaningful to local circumstances.
4. Prepare the final National Score Card for human resource management.

Step 2: Self-Assessment and Benchmarking

1. Participating municipalities use the National Score Card for self-assessment.
2. Participating municipalities send their replies to the Project Team with the National Score Card form filled in.
3. Confidentially, the Project Team processes the contributions and creates a National Benchmark composed of the National Score Card and the average scores of the participating municipalities. In order to ensure that the National Benchmark is simple enough and scores just slightly better than the average of the replies, the score to each statement will be rounded-up to the next half point and the total score for each section will be adapted accordingly (e.g. if the average score to a statement is 2.31, it will be rounded to 2.5; if it is 2.6 it will be rounded to 3).
4. The National Benchmark is disseminated to all municipalities.
5. Municipalities compare their replies with the National Benchmark in order to identify their strengths and weaknesses within the Benchmarking and Visioning Exercise (one day facilitation programme). Following on from that, they will prepare an Improvement Action Plan for their HR practices.

After 12-18 months, municipalities organise a new assessment in order to verify the situation of HRM practices, thus evaluating the success of the programme.
Step 3: Action Learning and Peer Review Support for Improvement Action Plan

This is an optional but very powerful part of the Programme.

1. The National Association invites local authorities to take part in the Peer Review Programme. There is no coercion. Local authorities must want to participate because they see the benefits of doing so.

2. Local authorities express their interest and commitment to join the Peer Review Programme.

3. The National Association establishes a volunteer pool of around 20-30 local experts (Peer Reviewers and Action Learning Set participants) from the more senior positions in local authorities (both staff and elected members); the criteria should be knowledge, skills and experience in leadership and service provision in local government.

   The pool of Peers may be supplemented by independent people from outside local government but who may have relevant knowledge, skills or experience.

4. The National Association runs a 2 day training programme for the pool of experts to familiarise themselves with the concept and practice of the HRM Benchmarking and Improvement Tool, Action Learning and Peer Review.

5. Action learning sets are set up within each participating authority, according to their own schedules and needs (minimum commitment should be 6 months or 6 meetings per set). For Peer Review, the Project Team selects a number of the most appropriate volunteering authorities and agrees the dates for the peer visits with them. A visit should last for 3-4 days.

6. For each selected local authority, the Project Team puts together a team of about 4-5 Peers (Peer Review Team) under the leadership of a Mayor or Chief Executive, and supported by a Project Manager, to work with a local authority to carry out the peer assessment and make a report.

7. **Four weeks before the visit.** The Project Manager requests sets of background documents relevant to the Peer Review (e.g. the local self-assessment benchmark; results of any employee surveys; statistics concerning recruitment, turnover and absenteeism; HR policies and training strategy; organisation chart, intra-organisational communication channels etc.) from the local authority and distributes them to the Peer Reviewers. Each member of the Peer Review Team should receive a set. This will enable the Team to gather a certain amount of evidence in advance of the visit and develop some understanding of the local authority.

8. The Project Manager asks the local authority to make arrangements for accommodation, meals, transport and administrative support for the Peer Review Team for the duration of the visit. Peer Reviewers work on a voluntary basis but transport and accommodation costs are usually covered by the host.

9. **Two weeks before the visit.** The Project Manager draws up a schedule for the Peer Review visit in consultation with the local authority. The schedule should include individual discussions with key senior staff and elected members, as well as workshops...
with representative groups of senior, middle and junior staff in different departments. Ideally, some interaction with members of the Action Learning Sets (should these exist within the organisation) to understand the projects they have been working on and the improvements they have already made. The aim of the discussions would be to build up a picture of the effectiveness of the local authority from the views of the people involved to complement the evidence gained from relevant documents.

10. The Peer Review visit takes place (3-4 days). The Peer Review Team normally works in pairs, and is guided in each discussion or workshop by a prepared set of questions and in particular by the elements included in the National Benchmark.

The Peer Review Team will also need time to come together to discuss their findings with each other.

11. At the end of the visit, the Peer Review Team will want to discuss its preliminary findings with the leadership of the local authority to seek consensus.

12. Shortly after the visit, the Peer Reviewers submit their written comments and recommendations to the Project Manager.

13. **Two weeks after the visit.** The Project Manager prepares a confidential draft report with conclusions and recommendations, and shares it with the Peer Review Team and local authority concerned.

14. On the basis of the comments received from the local authority and the Reviewers, the Project Manager prepares a final report and sends it to the Peer Review Team and the local authority. If the local authority so desires, this report may be confidential. The report should point to interesting experiences which could be shared (possibly through the Best Practice Programme Tool) and weaknesses which need to be addressed.

15. On the basis of recommendations made in the report, the local authority, as part of its commitment to the HRM Benchmarking and Improvement Tool, will meet with the Action Learning Set members and modify or refine the existing Improvement Action Plans. This might include introducing specific communication policies, structures and procedures, training programmes, making better use of particular staff, initiating projects, setting targets, etc. Clear responsibilities will be allocated for implementing and monitoring the Improvement Programme, with final responsibility being given to the Chief Executive/Mayor.

16. The Project Manager arranges a monitoring visit after 12 months to confirm that action is being taken in line with the Improvement Plan.

N.B. Peers should understand that participating in a Peer Review is an extremely valuable personal development experience for them, whether they are assessors or being assessed.

In the course of the assessment, the Project Team will come across examples of best practice. With the agreement of the local authority, the National Association may want to use these examples as a basis for study visits or case-study publications, so that other local authorities can learn from them.
5.2 “Seminar-Type” Benchmarking Programme

A new "seminar-type" benchmarking programme including:

- a simplified (one-to-two max. pages) benchmark;

- a methodology based on 3.5 or 4-day seminars: training, self-assessment and communication of results to the project manager; the PM prepares, in the evening, with the help of a small piece of software, diagrams with the (confidential) results: results of each participant compared to the max, min, and average are printed and handed to participants; new training; participants are invited to identify two key competences where they want to improve; one-to-one coaching sessions between those who have reached a level and those who want to reach it are organised; finally, preparation by participants of improvement plans and recommendations for legal and institutional change.

- some training guides and documents.

This programme is meant at obtaining 90% of the results of the "traditional" one in 10% of the time.

5.3 Self-Assessment Tool

The following Scorecard is aimed at measuring HR credibility and effectiveness against 8 key areas (Alignment with vision and direction; organisational design and workforce planning; attracting and selecting talent; managing performance; developing people; reward; motivation, engagement and retention; evaluating effectiveness). How to complete it?

The Scorecard is made of two parts, which can be completed separately depending on the amount of detail that the participating organisations need or want to assess and the amount of support required to do so:

- The first one is made to assess the level of competence currently reached. Each key area is divided into four levels of competence, from non-existent/low (1) to mastery/role model (4), with brief descriptions of each level. Assign a score that most closely matches your organisation’s current capabilities in each of these areas.

- To further support the organisation in this assessment exercise, we have included positive and negative indicators for each of the key 9 HR areas, as well as key questions you should be asking yourselves and suggestions for improvements and possible future interventions. These could also serve as a useful starting point for project ideas for action learning sets.
## 1. HR Alignment with Vision and Direction

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree to which HR strategy and practices match organisational needs and priorities, mutually influencing and shaping each other.</td>
<td>Vision &amp; direction of organisation is not clearly communicated</td>
<td>Vision &amp; direction are communicated periodically, especially to senior staff</td>
<td>Vision &amp; direction are communicated periodically to all staff</td>
<td>Vision &amp; direction are clearly communicated and understood at all levels within the organisation</td>
</tr>
<tr>
<td>Decisions are made without understanding whether key skills and capacities are in place to support changes</td>
<td>HR is involved to develop skills &amp; capacities once decisions have been made</td>
<td>HR is brought in an advisory capacity to explain what skills &amp; capacities are in place</td>
<td>HR is perceived as a critical partner in crafting the strategic direction of the organisation</td>
<td></td>
</tr>
<tr>
<td>Changes are reactive to outside pressure, frequent, sometimes contradictory</td>
<td>Changes are sometimes reactive, but more often strategic and purposeful</td>
<td>Changes are strategic and translated into departmental goals and action plans</td>
<td>Strategic changes are cascaded down into meaningful goals and action plans at departmental, group and individual level</td>
<td></td>
</tr>
<tr>
<td>INDICATORS</td>
<td>KEY QUESTIONS</td>
<td>POSSIBLE INTERVENTIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>---------------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Positive:</td>
<td>1) Has the leadership clearly articulated what the organisation stands for and what its priorities are in the next 3-5 years?</td>
<td>• Café conversation to set vision and strategy</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2) How is this message communicated? Is it sufficiently communicated and translated into detailed objectives, goals and plans?</td>
<td>• Department and team briefings</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3) Does everyone in the organisation understand how they fit into the bigger picture? Is employee feedback appreciated?</td>
<td>• Secondments or work-shadowing between HR and other departments</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4) What is the perception of HR at senior level and at the frontline? Do employees engage with HR, or is it something ‘done to them’?</td>
<td>• Joint action planning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Negative:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• No one below senior management level can articulate organisational vision, mission and goals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Poor communication</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• HR is viewed as ‘them' vs. ‘us’</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 2. Organisational Design and Workforce Planning

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>How structure, culture and job rules complement and support the needs of the organisation</td>
<td>Organisational design is based on tradition rather than linked to strategic requirements</td>
<td>Organisational design is linked to strategic requirements but not cascaded at all levels</td>
<td>Organisational design is closely linked to strategic requirements but is not always well communicated</td>
<td>Organisational design is co-developed with business strategy and well communicated at all levels</td>
</tr>
<tr>
<td></td>
<td>Organisation does not have a clear picture of its existing skills, nor of the skills gap</td>
<td>Organisation does not have the right skills in the right place at the right time to deliver on its strategy</td>
<td>Organisational design is closely linked to strategic requirements but is not always well communicated</td>
<td>Processes, systems and roles are aligned to provide maximum returns on effort and investment</td>
</tr>
<tr>
<td></td>
<td>Competency models or job profiles are not widely used</td>
<td>Competency models &amp; job profiles do exist but are not used strategically or consistently</td>
<td>Competency models &amp; job profiles are widely used, but occasionally become a tick box exercise</td>
<td>Competency models &amp; job profiles are used consistently throughout the organisation, are well understood and regularly reviewed to ensure relevance</td>
</tr>
<tr>
<td>INDICATORS</td>
<td>KEY QUESTIONS</td>
<td>POSSIBLE INTERVENTIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>---------------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Positive:</strong></td>
<td>1) <em>Is the structure of the organisation fit for purpose, for the strategic priorities we have identified?</em></td>
<td>• Business process flowchart analysis</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2) <em>How easy is it to move or retrain staff? Are we willing to do that? Can we pinpoint exactly what skills we have in the organisation and where?</em></td>
<td>• Skills gap analysis</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3) <em>Why are we using these systems and processes — because it’s the way we’ve always done things, or do they still serve us well?</em></td>
<td>• Workshops on competency models, job profiles, job descriptions, person specifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4) <em>Do the HR functions, policies and processes increase the ability of the organisation to change?</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Negative:</strong></td>
<td>• We have up-to-date job profiles for most roles</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Organisational design is stable but flexible enough to adapt to changing needs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Employees feel they have some control over their work goals and objectives</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• We are recruiting and promoting the same kind of people we were 20 years ago</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• We stick to tried-and-tested methods, even when we feel they are no longer helpful</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 3. Attracting and Selecting Talent

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruitment and selection strategy and processes, as well as the organisation’s employment brand (perception of it as an employer)</td>
<td>Organisation does not have a clear employment brand</td>
<td>Organisation is gradually improving or regaining its reputation as a good place to work</td>
<td>Organisation is generally perceived as a good place to work</td>
<td>Organisation is perceived as a good place to work and there is healthy competition for job openings</td>
</tr>
<tr>
<td></td>
<td>Organisation is not attracting candidates with the right skills and qualities to fill the shortages</td>
<td>Organisation occasionally struggles to find the right skills or competencies to meet priorities</td>
<td>Organisation usually attracts the right kind of candidates</td>
<td>Organisation is successful at attracting the right calibre of applicants and constantly upgrading its talent pool</td>
</tr>
<tr>
<td></td>
<td>Selection is done inconsistently, with no clear common framework to avoid personal bias</td>
<td>Guidelines &amp; tools for candidate selection exist but are not robust or not fully understood or condoned by managers</td>
<td>Robust selection tools exist but are not systematically applied throughout the organisation</td>
<td>Systematic, competency-based selection tools are used to identify best person for a job, either inside or outside the organisation</td>
</tr>
<tr>
<td>INDICATORS</td>
<td>KEY QUESTIONS</td>
<td>POSSIBLE INTERVENTIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>--------------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Positive:</strong></td>
<td>1) To what extent do our managers understand and apply a structured, fair recruitment and selection process?</td>
<td>• Interview training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• We have a centralised recruitment and selection strategy, but allow enough flexibility for each department to get the staff they need</td>
<td>2) Are we satisfied with the quality of our candidates and new hires? Do we notice an upward or downward trend in applications?</td>
<td>• Diversity training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• We get a constant stream of high-quality applicants for positions</td>
<td>3) How many of our new hires successfully complete their probationary period?</td>
<td>• Personality and psychometric testing</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4) What is our reputation as an employer? What makes our organisation distinctive?</td>
<td>• Workshops on competency models, job profiles, job descriptions, person specifications and how to design application forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Negative:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• We are not quite sure what the organisation stands for and what kind of people it wants to attract</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• We rely too much on gut feeling or personal recommendations when hiring people</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Positions remain vacant for a long time, or we get poor quality candidates</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
4. Managing Performance

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>System for setting expectations; measuring, improving and rewarding performance</td>
<td>Performance appraisals are not conducted regularly and are not linked to rewards or development</td>
<td>Performance appraisals are regarded as an HR tool and not owned by managers</td>
<td>Performance management tools are widely disseminated and understood, but not always simple to implement</td>
<td>Performance management tools are simple, credible and data-driven</td>
</tr>
<tr>
<td></td>
<td>Performance management is perceived as a punitive measure rather than an opportunity to develop</td>
<td>Performance management criteria are linked to rewards and development but are not widely perceived as fair</td>
<td>Performance management criteria are occasionally at odds with organisational priorities or rewards system</td>
<td>Everyone clearly understands performance management criteria and perceives them as fully aligned to organisational priorities</td>
</tr>
</tbody>
</table>
### INDICATORS | KEY QUESTIONS | POSSIBLE INTERVENTIONS
--- | --- | ---
**Positive:**
- We all understand the basis on which our individual and team performance is judged
- Performance appraisals are regular and useful
- Managers give informal feedback and there are no nasty surprises at the annual performance appraisal

  1) Does everyone in the organisation understand what good, poor and average performance looks like in their job role?

  2) Do we recognise and reward good performance and do we deal effectively with poor performance?

  3) Does performance appraisal link with training and development, as well as career progression?

  4) Are performance goals generally achievable and do employees have the resources in place to achieve goals?

**Negative:**
- We treat performance appraisals as an unwelcome interruption and deal with them superficially
- We avoid giving negative feedback until small problems grow to an unmanageable size

  - Coaching and feedback
  - Frontline management skills training
  - Role plays for dealing with difficult people
## 5. Developing People

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Framework to ensure continuous growth of employees to meet their personal, professional and organisational goals</td>
<td>Organisational requirements have outgrown the current level of skills and abilities</td>
<td>Organisation has the skills in place for current requirements but not for the future</td>
<td>Talent pool seldom lacks the skills to adapt to changing organisational priorities</td>
<td>Talent pool is sufficiently wide and deep to adapt to changing circumstances</td>
</tr>
<tr>
<td>Only a handful of top performers are identified as future leaders, usually protégés</td>
<td>There is little overview of high performers and potential future leaders</td>
<td>There are regular attempts to identify and develop future leaders</td>
<td>There is constant effort to identify and build future leaders</td>
<td></td>
</tr>
<tr>
<td>Culture does not encourage knowledge sharing</td>
<td>Knowledge sharing is done in a random fashion</td>
<td>There are mechanisms to encourage knowledge sharing</td>
<td>New knowledge is being developed and shared systematically</td>
<td></td>
</tr>
<tr>
<td>Employees are not interested in training &amp; career opportunities, or believe the processes to be ineffective and irrelevant</td>
<td>Employees are not fully satisfied with training &amp; career progression</td>
<td>Employees are satisfied with career opportunities &amp; training but are not always proactive about learning</td>
<td>Employees are proactive about developing themselves and satisfied with the available career &amp; training opportunities</td>
<td></td>
</tr>
<tr>
<td>INDICATORS</td>
<td>KEY QUESTIONS</td>
<td>POSSIBLE INTERVENTIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>---------------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Positive:</strong></td>
<td>1) <em>What are the critical skills for the future and how are we going to build them?</em></td>
<td>• Cross-departmental mentoring</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2) <em>What development strategies do we have in place (other than training programmes)? Are our employees and managers aware of these development opportunities?</em></td>
<td>• Breakfast or lunch briefings across departments</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3) <em>How are we sharing best practices and thought leadership?</em></td>
<td>• Action learning sets</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4) <em>How do we encourage employees to actively improve their skills and knowledge?</em></td>
<td>• Self-managed learning</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Negative:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• The training courses we provide are relevant and timely, and we make sure that they link with other development initiatives</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• We have the opportunity to apply our learning back in the workplace</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• We are constantly on the look-out for high-potential employees and support them to develop their skills still further</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• We don’t know what we know or don’t know as an organisation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• We are operating in silos and keep reinventing the wheel</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Training days are viewed either as an annoying interruption or a nice day out of the office</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6. Reward

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Giving employees appropriate financial and non-financial acknowledgement for their contribution to the organisation</td>
<td>Pay and progression practices do not match stated values and objectives</td>
<td>Reward system is linked to individual performance but is sometimes at odds with team goals</td>
<td>Reward system is linked to both individual and team performance and is clearly communicated</td>
<td>Reward system is clearly linked to both organisational priorities and individual performance</td>
</tr>
<tr>
<td></td>
<td>Employees do not value the rewards offered</td>
<td>Rewards are focused on completing tasks and meeting targets rather than on enhancing behaviours</td>
<td>Rewards are used to promote both desired behaviours and achieving tasks</td>
<td>Rewards are used to promote desired behaviours and knowledge sharing</td>
</tr>
<tr>
<td></td>
<td>Reward process and the rationale behind it have not been clearly communicated to employees and managers</td>
<td>Pay &amp; promotion processes are communicated but not always believed</td>
<td>Pay &amp; promotion processes are usually perceived as fair and transparent</td>
<td>Employees perceive pay &amp; promotion processes to be completely transparent, fair and rigorous</td>
</tr>
<tr>
<td>INDICATORS</td>
<td>KEY QUESTIONS</td>
<td>POSSIBLE INTERVENTIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>---------------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Positive:</strong></td>
<td>1) How fair do employees feel they are paid compared to other employees in the organisation (or in other organisations)?</td>
<td>- Employee focus groups to determine most valued and alternative rewards</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- We have a total rewards system in place, with both financial and non-financial measures for individual and collective contributions</td>
<td>2) Do we reward people who do a good job more than those who don’t?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- There is an appropriate mix between base remuneration, benefits and perks and it is clearly communicated throughout the organisation</td>
<td>3) Do we know exactly what we are rewarding? Individual performance or teamwork?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Negative:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Our employees feel the system is rewarding the wrong things and the wrong people</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- There seems to be no link between performance and reward</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 7. Motivation, Engagement and Retention

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree to which employees feel loyal advocacy for the organisation and feel that the organisation supports them</td>
<td>Organisation has largely untested and undifferentiated assumptions about what motivates their employees</td>
<td>Organisation is good at motivating certain segments of their workforce</td>
<td>Organisation understands key motivators for different segments of their workforce</td>
<td>Organisation understands the link between employee engagement, performance and customer satisfaction</td>
</tr>
<tr>
<td>Employees do not feel in control of the content and workload in their jobs</td>
<td>Managers do not always achieve the fine balance between autonomy in jobs and support &amp; guidance</td>
<td>Employees feel they have adequate information and support to do their jobs well</td>
<td>Employees feel there is a right balance between autonomy and guidance in their jobs</td>
<td></td>
</tr>
<tr>
<td>There is a big gap between the official culture of the organisation and ‘the way things are really done’</td>
<td>Employees can usually articulate organisational culture and values, although it may not match with their own</td>
<td>Employees have been involved and consulted in determining their goals, job roles and workloads, and can see how it links with organisational values</td>
<td>Employees feel their personal goals and values are aligned with the organisational mission and values</td>
<td></td>
</tr>
<tr>
<td>Best performers are the most likely category to...</td>
<td>Exit interviews are conducted to understand</td>
<td>Efforts are made to capture knowledge and...</td>
<td>Organisation can capture exit data and...</td>
<td></td>
</tr>
<tr>
<td>INDICATORS</td>
<td>KEY QUESTIONS</td>
<td>POSSIBLE INTERVENTIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>--------------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Positive:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Line managers are good at understanding and motivating their staff, with some support from HR</td>
<td>1) <em>How much ownership do our managers take for employee motivation &amp; engagement?</em></td>
<td>• Frontline management skills training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• We are retaining the right kind of people, rather than merely those who can find no jobs elsewhere</td>
<td>2) <em>Do we just assume that all of our employees are motivated by money or do we understand their greater needs and aspirations?</em></td>
<td>• Coaching and mentoring</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3) <em>When we hire and develop people, are we just looking at skills or at attitudes and values that are compatible with the organisation?</em></td>
<td>• Exit interview design and analysis</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4) <em>How good is our relationship with those who have left the organisation?</em></td>
<td>• Employee satisfaction surveys and focus groups, linked to results from customer satisfaction surveys</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Negative:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Motivation/retention is regarded as a 'fad' imposed by HR, no ownership by managers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Turnover is disruptive to the rest of the workforce, placing an extra burden on their workload</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 8. Evaluating Effectiveness

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>LEVEL 1 – NOT IN PLACE/EARLY STAGES</th>
<th>LEVEL 2 – LEARNER, ON THE RIGHT TRACK</th>
<th>LEVEL 3 – COMPETENT PRACTITIONER</th>
<th>LEVEL 4 – MASTERY, CAN TEACH OTHERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measuring HR's effectiveness and leveraging metrics to enhance organisational performance</td>
<td>Organisation sporadically tracks measures of HR effectiveness</td>
<td>HR tracks many key performance indicators but is not sure how they all link up and fit with organisational strategy</td>
<td>Organisation systematically tracks, analyses and reports on HR metrics</td>
<td>Organisation is clear about the value and purpose of HR metrics and tracks the ‘right’ metrics in a systematic way</td>
</tr>
<tr>
<td>Captured data is not systematic enough to be fully credible</td>
<td>Data is too detailed and insufficiently analysed to be used for senior-level reporting</td>
<td>The validity of the data is generally accepted, but is only used to support existing processes and decisions</td>
<td>Both senior and line management are confident of the robustness of workforce data and use it for decision-making and strategic planning</td>
<td></td>
</tr>
</tbody>
</table>
## Indicators

### Positive:
- We feel we are measuring the right things at the right time, aligned with organisational goals
- We do a good job of educating everyone in the organisation about metrics

### Key Questions:
1. How confident are we that workforce metrics are aligned to our overall goals and that we are continually monitoring them?
2. Who has ownership and accountability for workforce metrics? Who does the reporting and analysis?
3. What are we using metrics for?

### Possible Interventions:
- Project group to identify and monitor key performance indicators (overall and HR specific)
- Metrics (e-learning) training programme with self-test module

### Negative:
- We rely on gut feeling and anecdotal evidence to prove HR's contribution
- No one is quite sure who is responsible for measuring what
- HR budget is the first to be cut, since no one is sure of the value of HR activities
5.4 Visioning Exercise

5.4.1 Benchmarking and Visioning Exercise

1. Introduction

In a truly effective organisation, human resource management has to move beyond the merely operational service delivery and become closely linked to strategic vision and planning. The emphasis of this programme will be to measure the degree to which HRM supports and enables the organisation to pursue its quest for improved services, system efficiencies and customer satisfaction. The programme is modular and can be customised according to individual organisation’s requirements. However, we believe that maximum benefit will be derived from using the benchmarking and visioning exercise in conjunction with peer reviews and action learning sets (see following sections).

2. Participants

There are two options for organising this event, depending on how comfortable each municipality is in sharing its HR practices with others, as well as the number of participants it would like to involve.

Option 1: Intra-organisational participation:

This process will be achieved one organisation at a time and will involve the entire senior management team, as well as several local councillors and managers with relevant interests and portfolios further down in the municipal hierarchy. The aim here is to foster cross-departmental communication and encourage a holistic view of the organisation.

Option 2: Inter-organisational participation:

Each of the municipalities participating in the HRM Benchmarking and Improvement Programme will appoint 4-10 participants for the plenary session. Ideally, they should include the Mayor/Deputy Mayor, 2-3 local councillors and 3-4 senior local public servants with experience of and interest in Human Resource Management but from many departments across the municipality. At a later stage, depending on the improvement tools preferred by each municipality, the participants can be divided into the ‘Peer Review Team’ and the ‘Action Learning Team’, although it would be beneficial to have 1-2 participants from each location actively involved in both.

3. Objectives

1. To develop participants’ understanding of the Human Resource Management Benchmarking and Improvement Programme;
2. To emphasise the links between strategic vision and planning, and how human resources can support organisational transformation
3. To present to the participants the main principles of a large group facilitation and use it constructively to analyse past, present and future outcomes;
4. Establish a network of partners and critical friends across the organisation (if choosing Option 1) or across several municipalities (Option 2).

4. **Outcome**

Participants will have a clear picture of the current culture, systems and processes of their organisation, and be well on their way to develop a vision of where they want to be within a certain timeframe. They will be able to translate this future vision into requirements regarding organisational structure, culture, competencies and targets, all of which will enable them to achieve this transformation, whether it is gradual or revolutionary.

5. **Programme duration**

The plenary session for benchmarking and visioning is expected to last one full day. For the entry-level programme (which we have called Initiation in the previous section), an additional half-day will include modules on performance management, coaching and feedback. For the Full Roll-Out option, additional training sessions on the peer review and action learning processes would follow on from that and would include opportunities to practise and put into action the theoretical knowledge acquired. We would strongly recommend the complete three-day option to all but the most HR adept organisations.

6. **Preparatory work**

Each participant is asked to familiarise him/herself with the main ideas of the Benchmark and to give individual scores for each section. These individual scores will be collated, and the overall result will be shared at the plenary session (with respect for confidentiality of individual responses). The patterns and reasons for a particular group scores will be discussed then.

7. **Model Programme:**

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00-9:30</td>
<td>Presentation of benchmarking tool; clarifying process and definitions</td>
</tr>
<tr>
<td>9:30-9:50</td>
<td>Questions and answers</td>
</tr>
<tr>
<td>9:50-10:15</td>
<td>Presentation of aggregated pre-workshop scores</td>
</tr>
<tr>
<td>10:15-10:30</td>
<td>Coffee break</td>
</tr>
<tr>
<td>10:30 – 12:00</td>
<td>(can be done in separate sections if Option 2)</td>
</tr>
<tr>
<td></td>
<td><strong>Open benchmarking discussion:</strong> rigorous review of current state, SWOT analysis</td>
</tr>
<tr>
<td>12:00 – 12:30</td>
<td><strong>Conclusions and recommendations (plenary)</strong></td>
</tr>
</tbody>
</table>
12:30 – 14:00 Lunch

14:00- 16:00 World café visioning conversation: vision of desired future; my part in it; values & culture necessary; competencies, skills, abilities, systems required – how will we know we’ve achieved it?

16:00- 16:15 Coffee break

16:15 – 17:00 Conclusions and action planning

Action plans to be prepared as ‘homework’ for next day

Division of participants into peer reviewer and action learning set participants

5.4.2 World Café Visioning Conversation

Café conversation is a large-scale group facilitation process, designed to awaken and harness collective intelligence through conversations about questions that matter to the future of an organisation. The conversations link and build upon each other as people move between groups, continually evolving and cross-pollinating. When people frame their strategic explorations as questions rather than as problems, conversations can move beyond preconceived ideas and established norms. Instead of focusing on ‘fixing problems’ and finding short-term solutions, this opportunity to have a meaningful and open conversation means that creative questions and innovative solutions can be explored before reaching key decisions.

This type of facilitation has proved highly effective in product development, strategy formulation, marketing and leadership in corporate, government and community or charity settings around the world.

The key principles behind World Café conversations are the following:

1. Set the context and clarify the purpose of the conversation from the outset.
2. Create a hospitable space, which feels safe, inviting and welcoming of all contributions.
3. Explore questions that really matter to the participants.
4. Encourage everyone’s contributions and keep people moving between tables.
5. Connect diverse perspectives in every-widening circles of thought and insights.
7. Capture and share the collective discoveries. Re-engage in the whole group conversation to connect the overarching themes and questions.
5.5 Improvement Action Plan

5.5.1 Action Learning Concept

1. Introduction

The action learning process is an approach to management development involving small groups of managers from the same organisation meeting on a regular basis to share issues and ideas, give and receive feedback from a group of peers and put the learning into immediate action back in the organisation. The emphasis is on learning from experience and then acting on that learning. It is a very cost-effective tool for managing change in organisations and can be easily cascaded through a whole organisation once a core group has been trained in its use and benefits. There are similarities and differences to the peer review approach and organisations are likely to benefit most when they implement both.

This model training concept offers an example of a practical one day Action Learning Training Session. It has been developed for a number of 3 participating municipalities (which would be typical for a pilot roll-out of the programme). Adaptations for smaller or larger number of participant organisations can be made.

2. Participants

Each of the municipalities participating in the HRM Benchmarking and Improvement Programme will appoint 4-7 action learning participants. Ideally, they should include 2-3 local councillors and 3-4 senior local public servants with experience of and interest in Human Resources Management but from many departments across the municipality, and some of them should also be involved in the peer review process. The group should commit to work together over a period of at least six months.

3. Objectives

1. To develop participants’ understanding of the Human Resources Management Benchmarking and Improvement Programme;
2. To present to the participants the main elements of the action learning process;
3. To help participants get started on action learning sets and working on specific problems;
4. To give participants practical training in questioning, listening, feedback and teamworking skills.

4. Outcome

Participants will be working on concrete cross-functional projects to improve HR practices across the organisation. Working in action learning sets gives busy managers the opportunity to reflect on their activities, but is also the ideal vehicle for action planning, self-managed learning, knowledge sharing and mutual accountability.
5. **Programme duration**

One day (this may be adapted where necessary). Some of the sessions are very similar to those conducted for the peer review process (notably on listening, questioning and feedback skills). If so wished, these sessions may be conducted together with the Peer Review Training teams.

6. **Preparatory work**

Each participant is asked to familiarise him/herself with the main ideas of the Benchmark and prepare a presentation of his/her municipality’s practice regarding one of the sections of the Benchmark that they wish to improve. This will have been derived from the Benchmarking and Visioning Exercise that the participants will have previously completed. All participants from the same municipality will be asked to prepare suggestions for improvement within that same area. Each of the participating organisations will be running a separate workshop and building the foundation for working together as an action learning set, but also learning from each other in the plenary section.

7. **Model Programme**

Ideally, the four sessions (1.5 hours each) throughout the day, interspersed with coffee and lunch breaks, should be organised according to the same structure:

   a. **Theoretical training (30 minutes)**
      - brief presentation of key elements & principles of action learning
      - questions and answers (around 10 minutes);

   b. **Practical exercise in workshops (1 hour)**
      - modelling an action learning set based on the presentation by one of the officials from each municipality – listening, questioning, brainstorming (40 minutes);
      - conclusions and recommendations with the help of the moderator (around 10 minutes);
      - reflections on key learning from the process (around 10 minutes).

   c. **Plenary session to review action plans, recommendations and learning**
      - Final session at the end of the day to compare results, what works best about the process, key learning, next steps, mutual support networks etc. (45 minutes)

   a. **Theoretical training**

In each session, it is suggested that presentations be made by an expert action learning facilitator. Below is a suggested list of topics for a four-session training course:

**Session 1:**
   - Action Learning Set elements and principles – taking ownership of one’s learning, creating a safe environment, balancing task and learning, establishing ground rules; team goal setting and accountability/learning contracts.
Session 2:
- Learning and personality styles – improving self-awareness, tolerance of diversity, challenging mental models

Session 3:
- Communication skills - listening and questioning; giving constructive feedback; influencing and negotiation

Session 4:
- Strategic vs. operational thinking, choosing relevant projects, just-in-time interventions and long-term planning
- From sets to conclusions: action planning, reviews, reflection and continuous improvement.

b. Practical exercise in workshops
Ideally, there should be three parallel workshops, a separate one for each municipality. The composition of the workshop should stay the same throughout the training. Ideally, workshops should be cross-functional and involve most of the departments of each organisation.

In any particular session, participants from the same municipality will focus on a single area of the HRM Benchmark that they wish to improve. They can choose to change the topic for each session or to focus on just one topic throughout the four sessions.

Flip-charts or blackboards will need to be used in order to list and discuss recommendations made by participants.

c. Plenary session
This is an occasion to discuss in a plenary meeting the recommendations reached by the three workshops and to examine the common ideas and the reasons for variations. Consequently, participants would be invited to reflect on their learning and to make conclusions and recommendations regarding the action learning process, as well as their action plans.

8. Practical example of action learning programme:

<table>
<thead>
<tr>
<th>Session 1: Introduction to Action Learning</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.00-9.30 Presentation by international expert, followed by Q&amp;A</td>
</tr>
<tr>
<td>9.30-10.30 – Workshops to formulate topic area</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Workshop 1</th>
<th>Workshop 2</th>
<th>Workshop 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presentation by representative of municipality 1 on theme 1</td>
<td>Presentation by representative of municipality 2 on theme 2</td>
<td>Presentation by representative of municipality 3 on theme 3</td>
</tr>
<tr>
<td>Establishing ground rules</td>
<td>Establishing ground rules</td>
<td>Establishing ground rules</td>
</tr>
</tbody>
</table>
5.5.2 Peer Review Strategy

1. Introduction

The peer review process is a powerful experience for reviewers and those under review alike, provided that it is conducted in an efficient and disciplined manner. This will most likely require additional training to maximise its benefits.

This model training concept offers an example of a practical one day Peer Reviewers Training Session. The one day format presupposes that some participants will be familiar with the action learning concepts such as listening, questioning and giving feedback, otherwise it can be run as a two-day training programme. It has been developed for a number of three participating municipalities, which fits in well with the Action Learning Training Concept (which would, ideally, precede the Peer Review Training).
2. **Participants**

Each of the (three) municipalities participating in the HRM Benchmarking and Improvement Programme will appoint 3-5 peer reviewers. Ideally, they should be the Mayor/Deputy Mayor, 1-2 local councillors and 1-3 senior local public servants with experience of and interest in Human Resources Management. It would be preferable to have at least 1-2 of the peer reviewers also involved in the action learning sets or working closely with the individuals assigned to that group.

3. **Objectives**

1. To develop participants’ understanding of the Human Resources Management Benchmarking and Improvement Programme;
2. To present to the participants the main elements of the peer review process: preparation for and organisation of visit, conducting of interviews, preparation of conclusions and recommendations;
3. To help participants deal with potential difficult situations of peer review visits;
4. To give participants practical training in the conducting of peer reviews;
5. Establish a network of relations of partners and critical friends across municipalities.

4. **Outcome**

Participants should be able to fully understand both the programme and the peer review process and to derive maximum benefit for their municipality from it, both when participating as reviewers and when being under review.

5. **Programme duration**

One day (this may be adapted where necessary). Some of the sessions on feedback, listening and questioning skills are common to the action learning and peer review groups. If the full roll-out programme is conducted, this will constitute Day 3 of the three-day training and facilitation programme.

6. **Preparatory work**

Each participant is asked to familiarise him/herself with the main ideas of the Benchmark and prepare a presentation of his/her municipality’s practice regarding one of the sections of the Benchmark. All participants from the same municipality will be asked to prepare the presentation on the same section. As far as possible, sections to be prepared will differ from one municipality to the other.
7. Model Programme

Ideally, the two half-day sessions (3.5 hours each) in the one day training course should be organised according to the same structure:

a. Theoretical training (one hour)
   - two-three presentations of maximum 10 minutes each;
   - questions and answers (20 minutes), followed by open discussion (20 minutes).

b. Practical exercise in workshops
   - presentation by officials of the municipality “under review” (around 15 minutes); in each session, a different municipality will be considered to be “under review”;
   - interview by the “peer reviewers” (around 30 minutes);
   - preparation of conclusions and recommendations with the help of the moderator (around 30 minutes).

c. Comparison of results and conclusions in plenary session
   - presentation of conclusions and recommendations by the various moderators (15 minutes);
   - discussion of common elements and variations (around 25 minutes);
   - conclusions concerning the session (around 20 minutes).

a. Theoretical training

In each session, it is suggested that presentations be made by 2-3 experts, preferably with some degree of practical experience. Below are some suggestions regarding the topics suitable for the two half-day sessions.

Session 1:
   - The content and role of the HRM Benchmark in the peer review process – use without abuse;
   - Preparation of the peer review visit – responsibility for the host, for the project co-ordinator and for the peer reviewers

Session 2:
   - Communications and Relationship Development Skills – how to build confidence and achieve success in a peer review; growing relationships;
   - From visit to conclusions: preparation of the report and recommendations.

b. Practical exercise in workshops

Ideally, there should be three parallel workshops. If there are three participants from each of the five municipalities, each workshop will receive one participant from each municipality. The composition of the workshop should stay the same throughout the training. Ideally, workshops should be as homogenous as possible (e.g. a workshop of mayors/deputies, a workshop of councillors and a workshop of civil servants).
Where there are more than three participants from each of the five municipalities, they will be
distributed among the workshops as evenly and homogenously as possible.

In any particular session, participants from the same municipality will make presentations, in
the various workshops, on the same topic (the topic on which they have been invited to
prepare).

Presentations will be followed by questions from the other participants, who will try to identify
strengths and weakness in order to prepare, with the help of the moderator, conclusions and
recommendations which could be addressed to the municipality making the presentation.

Flip-charts or blackboards will be used in order to list and discuss recommendations made by
participants.

c. **Comparison of results and conclusions**
This is an occasion to discuss in a plenary meeting the recommendations reached by the three
workshops and to examine the common ideas and the reasons for variations. Consequently,
participants would be invited to assess the usefulness and to make conclusions and
recommendations in respect of the full session.

8. **Example of a one day training programme:**

| Theoretical training 1: Preparation of the peer review visit – work in plenary meeting |
|-----------------------------------|----------------------------------|----------------------------------|
| 9.00-9.10 Presentation by international expert |
| 9.10-9.20 Presentation by local expert |
| 9.20-9.40 Questions and answers |
| 9.40-10.00 Open discussion |

<table>
<thead>
<tr>
<th>Practical exercise 1 – work in workshops</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Workshop 1</strong></td>
</tr>
<tr>
<td>----------------------------------------</td>
</tr>
<tr>
<td>10.00-10.15 Presentation by Mayor of municipality 1 on Theme 1</td>
</tr>
<tr>
<td><strong>10.15-10.30 Coffee break</strong></td>
</tr>
<tr>
<td>10.30-11.00 Questions from the peers</td>
</tr>
<tr>
<td>11.00-11.30 Preparation of conclusions and recommendations</td>
</tr>
</tbody>
</table>

| Conclusions of Session 1 – work in plenary meeting |
11.30-11.35 – Presentation of conclusions and recommendations by Moderator of Workshop 1

11.35-11.40 – Presentation of conclusions and recommendations by Moderator of Workshop 2

11.40-11.45 – Presentation of conclusions and recommendations by Moderator of Workshop 3

11.45-12.10 – Discussion of common elements and variations

12.10-12.30 – Conclusions concerning the session

12.30-14.00 – Lunch

Theoretical training 2: Building Relationships and Preparing Recommendations – work in plenary meeting

14.00-14.10 Presentation by international expert

14.10-14.20 Presentation by local expert

14.20-14.40 Questions and answers

14.40-15.00 Open discussion

Practical exercise 2 – work in workshops

<table>
<thead>
<tr>
<th>Workshop 1</th>
<th>Workshop 2</th>
<th>Workshop 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>15.00-15.15 Presentation by Mayor of municipality 2 on Theme 2</td>
<td>15.00-15.15 Presentation by councillor of municipality 3 on Theme 3</td>
<td>15.00-15.15 Presentation by public servant of municipality 1 on Theme 1</td>
</tr>
</tbody>
</table>

15.15-15.30 Coffee break

<table>
<thead>
<tr>
<th>15.30-16.00 Questions from the peers</th>
<th>15.30-16.00 Questions from the peers</th>
<th>15.30-16.00 Questions from the peers</th>
</tr>
</thead>
<tbody>
<tr>
<td>16.00-16.30 Preparation of conclusions and recommendations</td>
<td>16.00-16.30 Preparation of conclusions and recommendations</td>
<td>16.00-16.30 Preparation of conclusions and recommendations</td>
</tr>
</tbody>
</table>

Conclusions of Session 2 – work in plenary meeting

| 16.30-16.35 – Presentation of conclusions and recommendations by Moderator of Workshop 1 |
| 16.35-16.40 – Presentation of conclusions and recommendations by Moderator of Workshop 2 |
| 16.40-16.45 – Presentation of conclusions and recommendations by Moderator of Workshop 3 |

16.45-17.30 – Discussion of common elements and conclusions for the session
Appendices

Appendix 1 – Case Studies of Human Resources Management Tools and Good Practices

6.1 Albania

A Programme on “Reinforcing Local and Regional Government Structures in Albania” funded by Swiss Agency for Development and Cooperation (SDC) was implemented in 2010-2012 by the Council of Europe with the support of the Albanian Ministry of Interior (MoI) and Albanian Local Government Associations (LGAs).

The project aimed at developing modern effective human resources management practices and tools adapted to the Albanian reality on the basis of a baseline research implemented at the national level as well as through the work with seventeen pilot municipalities and communes (Elbasan, Lushnje, Koplik, Kamez, Himare, Librazhd, Kruje, Tirana Municipality Units 4, 5, 7 and 9, and Bulgarec, Bucimas, Qender Librazhd, Dajc-Shkoder, Golem and Farke communes).

At this scope, a detailed questionnaire covering key aspects of Human Resources Management at local level (HRM) was sent to all LGAs in Albania between March - May 2011 (cf. part 5.1.1). The questionnaire was aimed at identifying current difficulties faced by Albanian local governments in HRM, understanding and benchmarking the extent and quality of HRM practices in Albanian municipalities, communes and regions, and enabling baseline data to be gathered in the organisations surveyed.

At the time this Toolkit was finished, the Programme had already led to the development of standards tools for Albania in the fields of self-assessment, learning/training needs analysis, evaluation, performance management and actions plans. They are presented below.
6.1.1 Self-Assessment Tool

Human Resources Management in Local Government

Albania, 2011

Human resources audit

Questionnaire to be completed by the Head of the Local Government Unit or the local/regional official responsible for human resources management in the LGU

Human resource management is defined as: ‘the way that people within the LGU are deployed, managed and developed’

<table>
<thead>
<tr>
<th>SECTION A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Name of Local Government Unit (LGU) and if municipality or commune</td>
</tr>
<tr>
<td>Municipality/Commune (Please delete)</td>
</tr>
<tr>
<td>2. Number of employees: Local administration Subordinate institutions Local Council</td>
</tr>
<tr>
<td>3. Is the status of civil servants applied at your unit? Yes ☐ No ☐ Don't Know ☐</td>
</tr>
<tr>
<td>4. Questionnaire completed by: (Please insert name and first name):</td>
</tr>
</tbody>
</table>
6. Who is responsible in the organisation structure for Human Resource Management?

- Recruitment and selection
- Staff pay and performance management
- Employee training and development
- Health and safety
- Employee involvement and communication
- Career development
- Organisational development

7. Which are the main functions carried out by the responsible structure in charge of human resources department within the LGU?

- Only performs basic duties, such as pay and employment contracts
- Responsible for some or all human resources activities, such as recruitment, pay, careers and training and local people management policies
- Is responsible for organisational development and/or workforce planning in

8. Has the LGU structure changed during the period 2007 - 2011?

- Yes
- No
- Don’t know

9. How many posts have been added/reduced to the LGU structure for the period 2007 - 2011?

- Number of posts added
- Number of posts reduced

10. How many staff does your LGU employ to carry out people management?

- Number of staff (headcount)
- Total hours spent on people management by all employees within the scope of this question
- Full-time standard working week in hours

11. What is the role of the council in people management? Please explain.
### SECTION B

<table>
<thead>
<tr>
<th>Issue</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. How many temporary contracts does the LGU have in civil service positions</td>
<td></td>
</tr>
<tr>
<td>2. Number of employees who left the job voluntarily for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>3. Number of vacant posts published in the newspaper for open competition for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>4. Number of the selected candidates for competition for each vacant position for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>5. Number of employees that left the service because of disciplinary action/ &quot;expulsion from the civil service&quot; for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>6. Number of complaints by employees to the Civil Service Commission for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>7. Number of complaints related to the application of disciplinary actions for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>8. Number of complaints related to the categorization of salaries for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>9. Complaints related to the restructuring consequences for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>10. Complaints related to the competition procedures for the period January-December 2010</td>
<td></td>
</tr>
</tbody>
</table>

addition to other human resources activities mentioned above

☐ Others, please specify
<table>
<thead>
<tr>
<th>Issue</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>11. Cases appealed by the civil employees in the court for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>12. Cases that are won by civil employees in the court for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>13. Cases that are lost by civil employees in the court for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>14. Cases still in process for the period January-December 2010</td>
<td></td>
</tr>
<tr>
<td>15. Number of Training days per employee</td>
<td></td>
</tr>
<tr>
<td>16. Training expenditure per employee (Lek or Euros)</td>
<td></td>
</tr>
<tr>
<td>17. Average time taken to recruit (number of days)</td>
<td></td>
</tr>
<tr>
<td>18. Number of working days lost to sickness or absence per employee</td>
<td></td>
</tr>
<tr>
<td>Human resource management activity</td>
<td>Yes</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-----</td>
</tr>
<tr>
<td>Please tick as appropriate</td>
<td></td>
</tr>
<tr>
<td>Human resource management set up</td>
<td></td>
</tr>
<tr>
<td>1. There is internal regulation of the functioning of the LGU e.g. for reorganisations and/or health and safety and/or for training</td>
<td></td>
</tr>
<tr>
<td>2. There is an official organisation structure chart for the LGU which is accurate and updated regularly</td>
<td></td>
</tr>
<tr>
<td>3. There are clearly defined job descriptions as well as distribution of tasks and responsibilities within the institution</td>
<td></td>
</tr>
<tr>
<td>4. Human resources administration is the responsibility of a human resources department based on a computerised human resources management system</td>
<td></td>
</tr>
<tr>
<td>5. There are one or more staff representative bodies in the LGU that are systematically involved in consultations or decision making</td>
<td></td>
</tr>
<tr>
<td>6. With the active support of the LGU’s management, there is a regular and formal consultation process, which is considered to be essential to good human resources management</td>
<td></td>
</tr>
<tr>
<td>Please tick as appropriate</td>
<td>know</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td><strong>Recruitment and selection</strong></td>
<td></td>
</tr>
<tr>
<td>7. Job or post descriptions and skills profiles exist for all posts and are widely used</td>
<td></td>
</tr>
<tr>
<td>8. The LGU publicises vacancies widely with open competition</td>
<td></td>
</tr>
<tr>
<td>9. Applicants are required to undergo structured interviews (job related questions, same questions asked of all applicants, rating scales) before being appointed</td>
<td></td>
</tr>
<tr>
<td>10. The LGU usually attracts talented candidates</td>
<td></td>
</tr>
<tr>
<td><strong>Staff pay and performance management</strong></td>
<td></td>
</tr>
<tr>
<td>11. Salary scales exist and salary levels are reviewed regularly in line with national and local conditions and labour market</td>
<td></td>
</tr>
<tr>
<td>12. Pay raises for employees in this job are based on job performance</td>
<td></td>
</tr>
<tr>
<td>13. Employees regularly (at least once a year) receive a formal evaluation of their performance</td>
<td></td>
</tr>
<tr>
<td><strong>Employee training and development</strong></td>
<td></td>
</tr>
<tr>
<td>14. Employees have extensive opportunities for updating skills through training or development</td>
<td></td>
</tr>
<tr>
<td>Human resource management activity</td>
<td>Yes</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-----</td>
</tr>
<tr>
<td>15. There is a human resource management policy or strategy of developing local employees’ knowledge, skills and abilities linked with capacity building at the LGU</td>
<td></td>
</tr>
<tr>
<td>16. Competencies are identified and multi-skilling is encouraged and developed</td>
<td></td>
</tr>
</tbody>
</table>

**Health and Safety**

| 17. Assessment of and response to occupational risks for posts are clearly defined and regularly updated e.g. display screen workstations or accidents at work. | | | | |

**Employee involvement, communication and participation**

| 18. Employees have freedom in making decisions relating to their work (how their job should be done, the way their work is organised, suggestions about issues affecting their work) | | | | |
| 19. Employees have been involved and consulted in articulating the organisational values and principles (e.g. working with integrity or acting with respect and courtesy) and helped to see how they link to their own goals and job roles | | | | |
| 20. Internal communication forms part of a human resources strategy to increase employee motivation, commitment and engagement | | | | |
| 21. Employees are informed about issues affecting the LGU and about how well it | | | | |
is doing

<table>
<thead>
<tr>
<th>Human resource management activity</th>
<th>Yes</th>
<th>No</th>
<th>Don't know</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Please tick as appropriate</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22. Employees are involved in formal participation processes such as quality improvement groups, problem-solving groups, roundtable discussions, or suggestion systems</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Career progression opportunities**

<p>| 23. There are regular and sustained attempts to identify and develop high performers and potential future leaders |     |    |            |          |
| 24. Initiatives are implemented to retain talented people in the organisation |     |    |            |          |
| 25. The LGU tries to fill vacancies with people from inside the LGU rather than recruiting them from outside the LGU |     |    |            |          |
| 26. Internal career progression based on an objective staff assessment or appraisal system is a key means of retaining staff |     |    |            |          |</p>
<table>
<thead>
<tr>
<th>Human resource management activity</th>
<th>Yes</th>
<th>No</th>
<th>Don't know</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organisational Development</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>27. Initiatives are implemented to change the organisational culture, structure, systems and processes</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>28. The LGU finds out from leavers the reasons for leaving and captures exit data to take action to improve practices based on feedback</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>29. HR helps to shape the direction and design of the LGU linked to its strategic objectives</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30. The human resources strategy is based on the LGU’s stated objectives and plans for the future.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>31. Workforce planning is carried out systematically and action taken to ensure the right skills in the right place at the right time</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>32. The LGU has performance indicators to enable it to manage its human resources effectively and transparently</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**SECTION D**

1. Please give your assessment of:

1A General level of skills of employees [scale 0 (Low) to 10 (High)]:

1B General level of motivation of employees [scale 0 (Low) to 10 (High)]:

1C General level of importance given to human resources management in the LGU [Scale 0 (Low) to 10 (High)]

2. Top **three issues at national level** relating to human resource management in local and regional government in Albania over the next 2-3 years

   1

   2

   3

3. Top **three issues at local and regional level** relating to human resource management in local and regional government in Albania over the next 2-3 years

   1

   2

   3
4. **Top three barriers at national level** relating to human resource management in local and regional government in Albania over the next 2-3 years

1

2

3

5. **Top three barriers at local and regional level** relating to human resource management in local and regional government in Albania over the next 2-3 years

1

2

3

6. **Top three actions** to improve human resource management in **local and regional government** in Albania over the next 2-3 years

1

2

3

Any other comments
Thank you very much for completing this questionnaire. Once responses are analysed, we will send you a report on the main findings and way forward.

Please send your responses by [Date] to:
### 6.1.2 Learning and Development Needs Template

**LGU Learning and development plan**

#### SAMPLE TEMPLATE

**ANALYSIS OF LEARNING AND DEVELOPMENT NEEDS FOR XXX AUTHORITY**

**PERIOD:**

**COMPLETED BY:**

<table>
<thead>
<tr>
<th>Learning &amp; Development Area</th>
<th>Learning and development objectives</th>
<th>Group for whom the learning and development need has been identified</th>
<th>Number of employees for whom the need has been identified</th>
<th>Suggested learning and development methods</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corporate Induction</td>
<td>To understand the key service areas, priorities and ways of working of the LGU</td>
<td>New employees, staff returning from a long absence and existing staff who have not previously attended the course</td>
<td>25</td>
<td>In-house corporate induction programme</td>
</tr>
<tr>
<td>Legal and professional training</td>
<td>To gain knowledge of the latest legal and professional developments</td>
<td>Professional staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Management</td>
<td>To update all project officers in line with the LGU’s project / programme management methodology</td>
<td>Senior managers, Project officers</td>
<td>30 15</td>
<td>Off the job introduction to MS Project software</td>
</tr>
<tr>
<td>Managing change</td>
<td></td>
<td>Senior managers, Operational managers</td>
<td>30 20</td>
<td>Off the job - In-house managing organisational change</td>
</tr>
</tbody>
</table>
### Managing budgets

To provide budget holders with the key skills/knowledge of how to manage their budgets effectively.

To update managers on the LGU’s financial policies and strategies

<table>
<thead>
<tr>
<th>1st &amp; 2nd tier officers</th>
<th>Operational managers</th>
<th>Supervisory managers</th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>20</td>
<td>30</td>
</tr>
</tbody>
</table>

Off the job In-house budget management workshop
On the job training
Coaching by an experienced colleague

### ICT programmes

To provide an overview of the ECDL accredited programme

To update knowledge and skills on Microsoft Office applications

<table>
<thead>
<tr>
<th>All new employees, those returning from long term sickness/annual leave etc</th>
</tr>
</thead>
<tbody>
<tr>
<td>25</td>
</tr>
</tbody>
</table>

2 week course offered by X College
On-the- job projects to apply skills

### 6.1.3 Appraisal Forms

**Appraisal Preparation Form (Before Appraisal)**

<table>
<thead>
<tr>
<th>Name:</th>
</tr>
</thead>
</table>

Please agree with your manager how you will use this preparation form and whether you will be forwarding it to him/her before the date of your appraisal meeting.

Your meeting is appointed for [time] on [date] and will take place in [meeting room].

1. Are you clear about what is required of you in your job and how this contributes to the Authority’s
goals? Please use your job description and previously agreed objectives and competency requirements to help you consider this question.

2. Are there any particular areas of your job in which you feel that you have particular strengths?

3. Are there any areas of your job in which you feel that you would like additional support to be able to do the work more effectively?

4. What training and development would you like to access to help you to do your job well or to develop into another role within the Authority?

5. Are there any other areas of work within the Authority that interest you?
6. Are there any other points that you would like to raise?

<table>
<thead>
<tr>
<th>Employee's name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Job title:</td>
<td></td>
</tr>
<tr>
<td>Date of appointment:</td>
<td></td>
</tr>
<tr>
<td>Manager:</td>
<td></td>
</tr>
<tr>
<td>Date of meeting:</td>
<td></td>
</tr>
</tbody>
</table>

**Current performance**

This section should be used to record discussion on the key areas of the job, and include a summary of achievement in any objectives that have been previously agreed.

**Development summary**

This section should be used to record any areas of the employee's work where further training and support is required, and any areas where performance is particularly strong and should be developed further.

**Development and training**
This section should list specific requirements for any training or development. These activities are not restricted to training courses, and may include attachments, projects, coaching, planned experience or any other suitable activity that will enhance the skills, knowledge and behaviour required in the employee's work or to develop him/her further.

**Career planning**

This section should record any areas of the department or Authority in which the employee has expressed a specific interest.

**Other areas of discussion**

This section should record any other points raised at the appraisal meeting.
### 6.1.4 Performance Tables

<table>
<thead>
<tr>
<th>Performance Objectives</th>
<th>By When</th>
<th>Comments on Achievement</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>SMART Objectives (including development objectives)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Overall Rating

<table>
<thead>
<tr>
<th>Competency Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance focused:</strong></td>
</tr>
<tr>
<td>- Plans ahead, organises work in advance</td>
</tr>
<tr>
<td>- Involves line manager/colleagues in setting and meeting targets</td>
</tr>
<tr>
<td>- Reorganises work when necessary</td>
</tr>
<tr>
<td>- Sees tasks through to completion whenever possible</td>
</tr>
<tr>
<td>- Seeks help if workload becomes unmanageable</td>
</tr>
<tr>
<td>- Uses initiative to report issues that arise that impact on others</td>
</tr>
<tr>
<td>- Continually updates knowledge and skills through a life-long learning approach</td>
</tr>
</tbody>
</table>

<p>| <strong>Team Working:</strong> |
| - Works in partnership with the customers, other service areas and professionals both within the Authority as well as with other agencies |
| - Works co-operatively with other people and respects the skills, expertise and contribution of colleagues, treating others fairly and without discrimination. |
| - Shares knowledge, skills and expertise and discusses work ideas with other team members in order to improve customer care |
| - Reacts constructively to others’ suggestions and requests |
| - Asks for help when necessary |
| - Actively seeks to help others |</p>
<table>
<thead>
<tr>
<th><strong>Creative Thinking</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Open to work with new ideas/ways of working</td>
<td></td>
</tr>
<tr>
<td>• Builds on the ideas of others</td>
<td></td>
</tr>
<tr>
<td>• Views mistakes as learning opportunities on how to do things better next time round</td>
<td></td>
</tr>
<tr>
<td>• Focuses effort on suggesting solutions rather than just on barriers/obstacles</td>
<td></td>
</tr>
<tr>
<td>• Seeks to develop new solutions with available resources</td>
<td></td>
</tr>
<tr>
<td>• Reviews how things are done with a view to delivering services differently when necessary</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Customer relationships</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Respond promptly, politely and positively to different customer needs/requests for services, information and support</td>
<td></td>
</tr>
<tr>
<td>• Seek to resolve customers queries in the first instance and refer to others when necessary</td>
<td></td>
</tr>
<tr>
<td>• Use feedback to continuously improve own performance</td>
<td></td>
</tr>
<tr>
<td>• Is committed to providing an excellent service to all</td>
<td></td>
</tr>
<tr>
<td>• Understands the links between own professionalism and the possible impact on the Authority's image</td>
<td></td>
</tr>
<tr>
<td>• Has a professional attitude that sets an example to colleagues</td>
<td></td>
</tr>
<tr>
<td>• Takes pride in own work and that of colleagues</td>
<td></td>
</tr>
<tr>
<td>• Is respectful, courteous and helpful at all times</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Change focused:</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Demonstrates a positive attitude to change and contributes to new ideas and new ways of working.</td>
<td></td>
</tr>
<tr>
<td>• Looks to continually improve service Is prepared to try new things &amp; feedback results</td>
<td></td>
</tr>
<tr>
<td>• Understands that changes are needed if things are to be improved</td>
<td></td>
</tr>
</tbody>
</table>
- Finds new and creative ways of doing things better
- Actively seeks to develop own skills and knowledge
- Learns from mistakes & welcomes constructive feedback

**Communication:**

- Communicates appropriately, openly and effectively
- Makes sure that people are regularly informed
- Uses appropriate language and tone when talking with others
- Checks others have understood & seeks advice when necessary
- Actively seeks to improve all forms of communication with others
- Communicates professionally by using appropriate formal channels
- Is aware of the impact of own behaviour on others

**Overall Rating**
### Overall Performance Rating

Please refer to the performance rating ready-reckoner before completing this section

<table>
<thead>
<tr>
<th>Excellent</th>
<th>Good</th>
<th>Fair</th>
<th>Unsatisfactory</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Countersigning**

The process has been completed in line with the guidance. The job holder has been given the opportunity to take part in the process throughout the year.

**Signature:**

**(Manager)**

**Date:**

**Comments:**

**Signature:**

**(Employee)**

**Date:**

**Reviewing manager's signature:**

One copy of this completed form will be kept by the appraiser, one by the employee and one in the employee's personnel file.
<table>
<thead>
<tr>
<th>COMPETENCIES RATING</th>
<th>Excellent</th>
<th>Good</th>
<th>Fair</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent</td>
<td>Excellent</td>
<td>Good</td>
<td>Fair*</td>
<td>Unacceptable*</td>
</tr>
<tr>
<td>Excellent</td>
<td>Good</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Excellent</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Excellent</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Good</td>
<td>Good</td>
<td>Good</td>
<td>Fair</td>
<td>Unacceptable*</td>
</tr>
<tr>
<td>------</td>
<td>------</td>
<td>------</td>
<td>------</td>
<td>---------------</td>
</tr>
<tr>
<td>Fair</td>
<td>Fair</td>
<td>Fair</td>
<td>Fair</td>
<td>Unacceptable</td>
</tr>
<tr>
<td>Unacceptable</td>
<td>Unacceptable</td>
<td>Unacceptable</td>
<td>Unacceptable</td>
<td>Unacceptable</td>
</tr>
</tbody>
</table>
### Objectives

<table>
<thead>
<tr>
<th>Excellent</th>
<th>Good</th>
<th>Fair</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meets all performance indicators and exceeds many of them</td>
<td>Meets all the performance indicators</td>
<td>Meets many of the performance indicators</td>
<td>Meets few, if any of the performance indicators</td>
</tr>
</tbody>
</table>

### Competencies

<table>
<thead>
<tr>
<th>Excellent</th>
<th>Good</th>
<th>Fair</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demonstrates all of the indicators at the required level on a consistent basis and exceeds many</td>
<td>Demonstrates all of the indicators at the required level on a consistent basis</td>
<td>Demonstrates many of the indicators at the required level on a consistent basis</td>
<td>Rarely demonstrates any of the indicators at the required level on a consistent basis and often displays negative behaviour relating to this competency/value</td>
</tr>
</tbody>
</table>

### Overall Performance Rating

(taking into account the achievement of all objectives and demonstration of all competencies and values)

<table>
<thead>
<tr>
<th>Excellent</th>
<th>Good</th>
<th>Fair</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consistently meets all objectives and exceeds many of them and indicators for the required level are met for all competency areas and for many of them these are exceeded</td>
<td>Exceeded objectives and met competencies or Met objectives and exceeded competencies</td>
<td>Meets many of the objectives or many of the competency areas</td>
<td>Few, if any, objectives are met or Few, if any of the competency areas have their indicators demonstrated at the required level</td>
</tr>
</tbody>
</table>
### 6.1.5 Action Plans for Communes and Municipalities

#### Action Plan for 6 pilot communes of the Project

Golem, Farke, Qender-Librazhd, Dajc Shkoder, Bucimas, Bulgarec

<table>
<thead>
<tr>
<th>Components</th>
<th>Time Frame (2012)</th>
<th>Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Leadership involvement</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Training on HRM issues (administration)</td>
<td>February</td>
<td>Staff of the commune</td>
</tr>
<tr>
<td>1.2 Establishment of a Working Group</td>
<td>January</td>
<td>Mayor</td>
</tr>
<tr>
<td>1.3 Deep analysis of the current situation</td>
<td>February</td>
<td>Working Group</td>
</tr>
<tr>
<td>1.4 Review of the situation and changes to be done</td>
<td>March</td>
<td>Working Group</td>
</tr>
<tr>
<td><strong>2. HRM Strategy</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Setting the Vision, Main objectives of the Strategy</td>
<td>March</td>
<td>Working Group</td>
</tr>
<tr>
<td>2.2 Broad consultation on further development of the Strategy</td>
<td>April</td>
<td>Commune staff</td>
</tr>
<tr>
<td>2.3 Final approval of the Strategy</td>
<td>May</td>
<td>Mayor</td>
</tr>
<tr>
<td><strong>3. Recruitment and selection</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Review procedures in place</td>
<td>February</td>
<td>Working Group</td>
</tr>
<tr>
<td>3.2 Prepare amendments to these procedures reflecting the legislation provisions</td>
<td>March</td>
<td>Working Group</td>
</tr>
<tr>
<td>3.3 Prepare model templates to be used (opening position announcement, setting formal commission to review the application etc).</td>
<td>April</td>
<td>Working Group</td>
</tr>
<tr>
<td><strong>4. Performance Management</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Setting clear defined criteria on performance management</td>
<td>February</td>
<td>Working Group</td>
</tr>
<tr>
<td>4.2 Procedures and frequency of the performance evaluation for each employee</td>
<td>March</td>
<td>Mayor</td>
</tr>
<tr>
<td>4.3 Frequency of reporting for each employee</td>
<td>March</td>
<td>Mayor</td>
</tr>
<tr>
<td><strong>5. Communication</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Defining clear channels of communication with community</td>
<td>February</td>
<td>Working Group</td>
</tr>
<tr>
<td>5.2 Establishing internal communication procedures on decision-making</td>
<td>April</td>
<td>Mayor</td>
</tr>
<tr>
<td>5.3 Expending means of communication with community</td>
<td>Continuous</td>
<td>Commune</td>
</tr>
<tr>
<td><strong>6. Training</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1 Conduct a Training Needs Assessment</td>
<td>May</td>
<td>Vice/Mayor</td>
</tr>
<tr>
<td>6.2</td>
<td>Establish procedures to manage participation in trainings offered by other institution</td>
<td>February 2012</td>
</tr>
<tr>
<td>6.3</td>
<td>Procedures on Reporting and dissemination of the knowledge gained in the trainings</td>
<td>June 2012</td>
</tr>
<tr>
<td>6.4</td>
<td>Cooperating with AAC on meeting the training needs</td>
<td>Continuous</td>
</tr>
</tbody>
</table>

**7. Database**

| 7.1 | Establishing an electronic data base for all the employees | April 2012 | Working Group |
| 7.2 | Reviewing the Internal Regulation | June 2012 | Staff |

**8. Functions**

| 8.1 | Conducting a review of the internal structure and the service to be provided | September 2012 | Staff |
| 8.2 | Proposing changes to the internal structure | October 2012 | Staff |
| 8.3 | Proposals on amendments to the current legislation | November 2012 | Staff |

**ACTION PLAN OF MUNICIPALITIES INVOLVED IN THE PROJECT FOR 2012**

<table>
<thead>
<tr>
<th>Manager support</th>
<th>Deadlines</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training (adm+adv) on HRM (project materials)</td>
<td>February 2012</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td>Setting up a working group (Analysis +Strategic drafting)</td>
<td>January 2012</td>
<td>Mayor of the LGU</td>
</tr>
<tr>
<td>Drafting the Questionnaire and conducting interviews with staff</td>
<td>February 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Preparing the analysis of the situation and proposals for change</td>
<td>March 2012</td>
<td>Working Group</td>
</tr>
</tbody>
</table>

**HRM Strategy**

| Drafting the vision, Goals, Objectives, Programmes of the SDHRM through participation | March 2012 | Working Group +Authorities |
| Preparing the Action Plan for 2013-2014 | November 2010 | Working Group |

**Recruitment/ Selection**

<p>| Analysing the currents state with respect to the implementation of the Law on the Status of the Civil Servant | March 2012 | Resp. of the HR structure |</p>
<table>
<thead>
<tr>
<th>Task</th>
<th>Date</th>
<th>Responsible Body</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposing changes and improvements to procedures and policies</td>
<td>April 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Approving of changes by the Council of the Local Government Unit</td>
<td>May 2012</td>
<td>LGU Council</td>
</tr>
<tr>
<td><strong>Performance Management</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analysis and proposals for improvement of reporting system</td>
<td>June 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Setting-up the system of periodic evaluation and documentation of findings</td>
<td>July 2012</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td>Annual performance appraisal of for each staff member</td>
<td>December 2012</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td><strong>Communication</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analysis and proposals for changes in the internal communication system</td>
<td>April 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Analysis and proposals for changes in communication with inhabitants</td>
<td>April 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Organizing the preparation and publication of obligatory information</td>
<td>May 2012</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td>Organizing the generation of opinions and proposal from within and outside the Unit.</td>
<td>July 2012</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td><strong>Training</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analysing the training needs and preparing the Training Plan</td>
<td>May 2012</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td>Organizing training with internal resources</td>
<td>In the course of the year</td>
<td>Resp. of the HR structure</td>
</tr>
<tr>
<td>Communication with the AAM and other organizations for specific training opportunities</td>
<td>In the course of the year</td>
<td>Mayor + Resp. of the HR structure</td>
</tr>
<tr>
<td><strong>Database</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Creating a database contacting the legislative framework and by laws for each structure</td>
<td>March 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Creating an electronic database for each staff member.</td>
<td>March 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td>Creating a database with data gathered or produced by each structure</td>
<td>September 2012</td>
<td>Working Group</td>
</tr>
<tr>
<td><strong>Functions</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Setting up a work group for the analysis of functions and competences</td>
<td>February 2012</td>
<td>Mayor + Resp. of the HR structure</td>
</tr>
<tr>
<td>Adapting organizational structure to cover the range of functions</td>
<td>October 2012</td>
<td>Mayor + Resp. of the HR structure</td>
</tr>
<tr>
<td>Preparing proposal with regards to the decentralization of competences</td>
<td>May 2012</td>
<td>Mayor + Resp. of the HR structure</td>
</tr>
</tbody>
</table>
**BUILDING ORGANISATIONAL CAPACITY** – To ensure LGU has the right people with the right skills at the right time to deliver its services and objectives.

<table>
<thead>
<tr>
<th>Critical Tasks</th>
<th>Milestones</th>
<th>Target</th>
<th>Success Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Examples</td>
<td>• Ongoing monitoring, review and analysis of employment profiles including age analysis, skills audits and requirements, professional training audit, market trends, etc. to facilitate succession planning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. To have an effective Workforce Planning framework in place</td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>2. To attract talent to LGU</td>
<td>• Develop the LGU employer brand for all recruitment initiatives</td>
<td>✓</td>
<td>‾</td>
</tr>
<tr>
<td>3. To improve retention rates at LGU during first 2 years of service</td>
<td>• Improve awareness of reasons why people leave by increasing response rate to exit surveys and conducting programme of exit interviews to enable development of strategies to address issues raised</td>
<td>✓</td>
<td>‾</td>
</tr>
<tr>
<td>4. To strengthen leadership capacity within LGU</td>
<td>• To design and implement a development programme to improve leadership skills of managers</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>5. To improve management skills within LGU</td>
<td>• To implement induction programme for new LGU managers</td>
<td>✓</td>
<td>‾</td>
</tr>
<tr>
<td></td>
<td>• To implement 360 degree facilitated appraisals and coaching programme for senior managers.</td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>
EMPLOYER OF CHOICE - To have best practice HR policies and effective procedures including two-way communication processors, to enhance and maintain our employment position.

<table>
<thead>
<tr>
<th>Critical Tasks</th>
<th>Milestones</th>
<th>Target</th>
<th>Success Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2011/12</td>
<td>2012/13</td>
</tr>
<tr>
<td>1. To conduct bi-annual staff surveys to determine staff attitudes and areas for action in order to enhance LGU’s position as an employer.</td>
<td>• To plan and conduct survey for all employees</td>
<td>✓</td>
<td>✔</td>
</tr>
<tr>
<td></td>
<td>• Analysis and communication of results.</td>
<td>✓</td>
<td>✔</td>
</tr>
<tr>
<td></td>
<td>• Preparation, communication and implementation of action plans.</td>
<td>✓</td>
<td>✔</td>
</tr>
<tr>
<td>2. Review internal communications policies and practices.</td>
<td>• Review operation of formal and informal communications mechanisms and implement any improvements in practices which have been identified.</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>3. To review effectiveness of HR policy and guidance framework.</td>
<td>• To review sickness absence management arrangements and practices; to ensure accurate recording and consistent action is taken to manage absence.</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Critical Tasks</td>
<td>Milestones</td>
<td>Target</td>
<td>Success Measure</td>
</tr>
<tr>
<td>----------------</td>
<td>------------</td>
<td>--------</td>
<td>-----------------</td>
</tr>
</tbody>
</table>
| 4. To review practices, including health promotion activities which provide support to staff | • Review of staff counselling service.  
• Development of programme of health promotion activities | ✓  
✓  
✓ | Service reviewed and improvements implemented. Sickness absence levels. |
| 5. To support managers in maintaining a healthy and safe working environment | • Review of Health and Safety policies and practices.  
• Provide annual training for elected members. | ✓  
✓  
✓ | Reduced level of health and safety risks in organisation |
| 6. Review of HR intranet site to make it more accessible | • Undertake a review of site and implement additional areas to improve availability and accessibility of staff and management information | ✓ | Intranet site revised |
6.2 Serbia

Activities dealing with human resource management were implemented in 10 pilot towns and municipalities (Sombor, Užice, Zemun, Veliko Gradište, Novi Pazar, Kuršumlija, Paraćin, Pančevo, Ivanjica and Zvezdara) from 2010 to 2012 as part of a programme organised jointly by the European Commission and the Council of Europe on “Strengthening Local Self-Government in Serbia”, Phase 2 (2009-2012).

The three main components within the programme which made up the framework of the recommendation of the Council of Europe – harmonisation of the recommended models with the existing circumstances in Serbia – encompassed the following segments of human resources management:

a) Procedures of employment and selection
b) Job description
c) Evaluation procedures

The definition and harmonisation of the aforementioned models of work were conducted through several stages of the project, including the following:

- An analysis of the existing situation in the area of human resources management in local self-government units, in selected pilot municipalities
- A cross-sectional view of the situation in the aforementioned three components in the pilot municipalities, according to a questionnaire provided by the Council of Europe (see 5.2.1 Self-Assessment Tool)
- Based on the detailed assessment, adjustment of the three recommended models to the existing framework in the pilot municipalities

As a result, this Programme has led to the standard models which are presented below.
6.2.1 Self-Assessment Tool

Human resources management in local government in Serbia, 2010

Questionnaire
on human resources requirements
INTRODUCTION

Questionnaire to be completed by the elected representative and the local/regional official responsible for human resources management in the authority

Name, situation and number of inhabitants

Name and first name of the elected representative responsible for human resources management in the authority

Name and first name of the local/regional official responsible for human resources management in the authority

Assessment of the general level of skills of municipal employees (scale 0 to 10):

Assessment of the general level of motivation of municipal employees (scale 0 to 10):

Assessment of the general level of importance given to municipal councillors’ human resources management skills (scale 0 to 10):
<table>
<thead>
<tr>
<th>Internal bodies or arrangements to assist the human resources management and internal organisation of the authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 0</td>
</tr>
<tr>
<td>1. Is there a body that the authority consults before taking certain decisions on the organisation and activities of departments?</td>
</tr>
<tr>
<td>French example: CTP = Comité Technique Paritaire – joint committee that must be consulted in authorities with more than 50 staff</td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: concerning your reply:

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| 2. Is there a body that the authority consults on staff promotion and careers? | No official bodies or procedures relating to staff promotion and careers. The relevant decisions are taken without consultation (for example with staff representatives) | There is an internal body but it only meets occasionally, and/or has no formalised procedure and/or its recommendations and decisions are not normally taken into account. | There is an official body that meets at least once a year. Consultation and decision making procedures are shared and applied. Once taken, decisions are applied. |
3. Is there a body that the authority consults on occupational health and safety matters affecting staff?

<table>
<thead>
<tr>
<th>Response</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>No official bodies or procedures relating to occupational health and safety matters affecting staff. The relevant decisions are taken without consultation (for example with staff representatives), or no decisions are taken in this field.</td>
<td>There is an internal body but it only meets occasionally, and/or has no formalised procedure and/or its recommendations and decisions are not normally taken into account.</td>
</tr>
<tr>
<td>There is an official body that meets at least once a year. Consultation and decision making procedures are shared and applied. Once taken, decisions are applied.</td>
<td></td>
</tr>
<tr>
<td>4. Is there a body that the authority consults to lay down and approve guidelines on staff training?</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td></td>
</tr>
<tr>
<td>French example: Training committees, which are optional. Otherwise the responsibility of the relevant joint committee</td>
<td></td>
</tr>
<tr>
<td>No official bodies. The relevant decisions are taken without consultation (for example with staff representatives), or no decisions are taken in this field.</td>
<td></td>
</tr>
<tr>
<td>There is an internal body but it only meets occasionally, and/or has no formalised procedure and/or its recommendations and decisions are not normally taken into account.</td>
<td></td>
</tr>
<tr>
<td>There is an official body that meets at least once a year. Consultation and decision making procedures are shared and applied. Once taken, decisions are applied.</td>
<td></td>
</tr>
<tr>
<td>Reply/score (level):</td>
<td></td>
</tr>
<tr>
<td>Additional information concerning your reply: ....................</td>
<td></td>
</tr>
<tr>
<td>If answered level 0 or 1, please explain and describe any action taken to rectify the situation:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. Is there a personnel or human resources department within the authority?</th>
</tr>
</thead>
<tbody>
<tr>
<td>No personnel department. The basic duties are performed by the finance department, or another body (for example pay and employment contracts).</td>
</tr>
<tr>
<td>There is a personnel or human resources department, but it only performs basic duties, such as pay and employment contracts.</td>
</tr>
<tr>
<td>There is a personnel or human resources department responsible for some or all human resources activities, such as recruitment, pay, careers and training.</td>
</tr>
<tr>
<td>Reply/score (level):</td>
</tr>
<tr>
<td>Additional information concerning your reply: ....................</td>
</tr>
<tr>
<td>If answered level 0 or 1, please explain and describe any action taken to rectify the situation:</td>
</tr>
<tr>
<td>---</td>
</tr>
<tr>
<td>6. Are there any staff representative bodies within the authority?</td>
</tr>
<tr>
<td>French example: Trade unions or staff representatives</td>
</tr>
<tr>
<td>No staff representative body within the authority.</td>
</tr>
<tr>
<td>There are one or more staff representative bodies in the authority but they have little or no involvement in consultations or decision making.</td>
</tr>
<tr>
<td>There are one or more staff representative bodies in the authority that are systematically involved in consultations or decision making.</td>
</tr>
<tr>
<td>Reply/score (level):</td>
</tr>
<tr>
<td>Additional information concerning your reply: ....................</td>
</tr>
<tr>
<td>If answered level 0 or 1, please explain and describe any action taken to rectify the situation:</td>
</tr>
<tr>
<td>Affiliation to external bodies that can offer the authority assistance, advice and support in matters relating to human resources management and development?</td>
</tr>
<tr>
<td>The authority is not a member of any centre or association that can assist it with human resources management.</td>
</tr>
<tr>
<td>The authority is a member of a centre or association that assists it with human resources management. However, it only uses its services rarely or on an</td>
</tr>
<tr>
<td>The authority is a member of an outside centre or association that it regularly consults and whose opinions or recommendations it</td>
</tr>
<tr>
<td>management and development.</td>
</tr>
<tr>
<td>-----------------------------</td>
</tr>
<tr>
<td>French example: A management centre that offers affiliated authorities assistance and support in connection with career management, job seeking, organising competitive and professional examinations.</td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: ........................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:
<table>
<thead>
<tr>
<th>8. Affiliation of the authority to one or more external bodies open to all types of undertaking, including public authorities and private companies, that can offer it assistance, advice and support in human resources management.</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority is not a member of any body that can assist it with human resources management.</td>
</tr>
<tr>
<td>The authority is a member of a body that assists it with human resources management. However, it only uses its services rarely or on an irregular basis and/or takes little account of its opinions or recommendations.</td>
</tr>
<tr>
<td>The authority is a member of an outside body that it regularly consults and whose opinions or recommendations it applies.</td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

---

<table>
<thead>
<tr>
<th>9. Affiliation of the authority to an external training organisation confined to local and regional authority staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority is not affiliated to any external training organisation confined to local and regional authority staff.</td>
</tr>
<tr>
<td>The authority is a member of an external training organisation confined to local and regional authority staff. However, it only uses its services rarely or on an irregular basis because the training it offers has little or no relevance to the authority’s needs and/or because it is difficult to gain access to this organisation's training.</td>
</tr>
<tr>
<td>The authority is a member of an external training organisation confined to local and regional authority staff. It consults this organisation regularly. The training it provides is relevant to the authority’s needs, and is easily accessible.</td>
</tr>
</tbody>
</table>

French example: The CNFPT offers training in preparation for competitive examinations to enter the public service, followed by in-service professional training.
### Procedures and/or standards for optimising human resources management (procedures and tools)

| 10. Recruitment/objectiveness of the staff recruitment procedure | The authority has no recruitment procedure. It does not publish any vacancy notices. Information on vacancies and how to apply for them is based solely on the recommendation of someone working in the authority. | The authority publishes vacancy notices and/or has a recruitment procedure but this is rarely used. The final decision on which candidates to appoint is discretionary and/or made by one single individual. | The authority gives wide publicity to vacancy notices and allows anyone to apply. Competitive examinations are systematically organised or there is a recruitment procedure. The latter is formalised and systematised for all aspects of recruitment, including interviews, trial employment and assessment and taking up references. The final decision on whom to appoint is made by a recruitment panel and is based on consensus with the management. |

---

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:
| 11. Staff pay | There are no salary scales and/or salary levels and increases are discretionary. | There are salary scales but salary levels and increases are discretionary. | Salary scales exist for each type of post. Salary levels and increases are applied to everyone in accordance with these scales. |

Reply/score (level):

Additional information concerning your reply: .......................  

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| 12. Career progression/opportunities for professional advancement | There appear to be no opportunities for career progression. Potential career moves in the authority, whether managerial, specialist or multi-functional/job-rotation based, are not generally advertised or known. | Consideration is given to staff members' career progression. It is based on individuals' performance, skills and motivation. | Internal career progression is a key means of mobilising and retaining staff. It is based on an objective staff assessment or appraisal system and takes account of officials' professional autonomy in carrying out their new roles. Staff are prepared for career development through professional or occupational training. |

Reply/score (level):

Additional information concerning your reply: .......................
If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority has no job or post descriptions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Job or post descriptions exist but are little used and/or are never updated and may even be obsolete.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Job or post descriptions exist and are widely used, for example for recruitment or to assess training needs, and are regularly updated.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:
| 15. Assessing staff performance (setting collective and individual objectives, regular assessment meetings) | There are no forms of and/or tools for staff performance assessment | There are forms of and/or tools for staff performance assessment, but they are not applied regularly and in a structured fashion. Staff members' performance has no effect on their remuneration. | There are forms of and/or tools for staff performance assessment and they are an integral part of the authority's human resources management system. Staff members' performance, as measured, has an effect on their pay. |

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| 16. Vocational/professional training | There is no vocational/professional training, irrespective of staff members' hierarchical position within the authority. There is no formal procedure for access to such training. | Vocational/professional training does exist, but not for all levels of staff. There is a formal procedure for access to such training, such as an interview with the hierarchical superior and human resources, or a simple request of the staff member. | Vocational/professional training forms part of the authority's human resources strategy and is open to all levels of staff. There is a structured procedure for determining what form of training is appropriate and it is designed to increase staff members' professional autonomy. |

Reply/score (level):

Additional information concerning your reply: .....................
| If answered level 0 or 1, please explain and describe any action taken to rectify the situation: |
|---|---|---|---|
| **17. Medical suitability for work** | There is no provision for assessing medical suitability for work. | There is provision for assessing medical suitability for work but it is not compulsory or used regularly. | Medical suitability for work is assessed regularly and systematically. For new staff members it is included in the contract. |

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| **18. Assessment of and response to occupational risks, such as accidents at work.** | The occupational risks attached to a post are not defined or assessed, or taken into account in the treatment of the individual, for example relating the arduousness of the job to salary or protection arrangements. | The occupational risks attached to a post are defined on a case by case basis but have no impact on the treatment of the individual within the authority. | The occupational risks attached to a post are clearly defined and regularly updated. The level of risk influences the treatment of individuals within the authority, for example relating the arduousness of the job to salary or protection arrangements. |

Reply/score (level):

Additional information concerning your reply: ....................
| 19. Internal communication: | There is no internal communication. No information is provided about the life of the authority, its strengths and new proposals. There are no specific arrangements for structured internal communication. | Internal communication takes place at meetings. Only certain staff have access to the information. It is not structured or regular. | Internal communication forms part of an active and dynamic human resources policy, aimed at sharing information, establishing general staff commitment to the authority and its activities and creating a better understanding of the professional environment. |

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:
| 20. Human resources administration. | Human resources administration is rudimentary and/or decentralised to different departments. There is no computerised management system. | There is a single department responsible for human resources administration, but few or none of the computerised systems are used. | Human resources administration is the responsibility of a human resources department based on a computerised human resources management system and/or staff participation. |

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| 21. Staff consultation | There is no regular consultation to encourage mutual understanding between management and staff. | There is regular consultation to encourage mutual understanding between management and staff, but this is not formalised. | With the active support of the authority’s management, there is a regular and formal consultation process, which is considered to be essential to good human resources management. |
22. Is there a human resources strategy based on the authority's overall strategy and general objectives?

<table>
<thead>
<tr>
<th>Steps taken in the authority to optimise its activities through a human resources/organisational development strategy?</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority has no overall strategy for its development over the coming years. It therefore has no human resources strategy and/or has not announced such a strategy.</td>
</tr>
<tr>
<td>The authority's overall objectives are clear. Despite this, the human resources strategy is unclear or uncertain, or is difficult to predict.</td>
</tr>
<tr>
<td>The human resources strategy for the coming years is based on the authority's stated objectives and plans for the future. Skills and motivation are considered to be an important means of achieving the authority's objectives and facing up to challenges, now and in the future.</td>
</tr>
</tbody>
</table>

Reply/score (level):
Additional information concerning your reply: ...................
If answered level 0 or 1, please explain and describe any action taken to rectify the situation:
| 23. Organisation chart of the authority | The authority does not have an official organisation chart, setting out its functional, organisational and hierarchical structure and relationships. | There is some form of official organisation chart. | There is an organisation chart. It is available to anyone concerned by it and is adjusted to take account of changes in the authority. |

Reply/score (level):

Additional information concerning your reply: .....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| 24. Post/job descriptions | There are no job descriptions or skills profiles. | Job descriptions and skills profiles do exist but they are fairly rudimentary and only cover some of the posts. | Job descriptions and skills profiles exist for all posts. They are used systematically in internal recruitment and promotions procedures. |

Reply/score (level):

Additional information concerning your reply: .....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

| 25. Identifying competencies/developing multi-skilling | No steps are taken, such as diagnostic measures or skills | Competencies are identified and multi-skilling developed on | Competencies are identified and multi-skilling developed |
assessments, to identify individuals’ competences in order to develop their professional multi-skills.

individual basis, often as an emergency measure and on-the-job.

systematically and using professional tools.

<table>
<thead>
<tr>
<th>26. Human resources indicators and scoreboards/monitoring human resources management</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority has no indicators to measure aspects of human resources performance, such as costs or absenteeism</td>
</tr>
<tr>
<td>The authority has a few indicators but does not use them for day-to-day management. The results are not communicated.</td>
</tr>
<tr>
<td>The authority has indicators to enable it to manage its human resources effectively and transparently. The managers of the various departments use them for the individual and collective management of their staff.</td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: ....................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:
27. Is there a human resources culture among the authorities' managers and are steps taken to promote such a culture?

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>The authority's managers have no human resources culture and have no views on what good human resources management can contribute to the authority.</td>
</tr>
<tr>
<td>1</td>
<td>The authority's managers consider that they have a human resources culture and recognise the contribution of good human resources management to the authority.</td>
</tr>
<tr>
<td>2</td>
<td>The authority's managers see high quality human resources management as one measure of success and have a clear vision on this matter.</td>
</tr>
</tbody>
</table>

Reply/score (level):

Additional information concerning your reply: .................

If answered level 0 or 1, please explain and describe any action taken to rectify the situation:

The three main challenges/developments linked to human resources management that the municipality must deal with in the coming years are:

A. ............................................................................................................................................................................

B. ............................................................................................................................................................................

...
C. ………………………………………………………………………………………………………………………………………………………………

How does the municipality intend to deal with these challenges?
……………………………………………………………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………………………………………………………

Have steps already been taken? If so, what are they? If not, why?
……………………………………………………………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………………………………………………………

Who is responsible for such matters, for example elected representatives or officials or permanent local government officials?
……………………………………………………………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………………………………………………………

Is such action taken in conjunction with other bodies, such as central government, NGOs, other local and regional authorities or international organisations?
General comments on the relevance of the questionnaire to human resources management needs and possible changes to it.
6.2.2 Job Profile Model

JOB DESCRIPTION

JOB TITLE:

Department:

JOB HOLDER’S NAME: Category:

Employed here since: Activity:

The general mission of the job

Principal tasks:

Responsibilities

General context of the job

- Employees position in the organisational chart of service

- Functional relations/interactions

Key competences

- Knowledge

- Skills

- Conduct

Conditions of performance of the job

Performance indicators
Within the framework of the assigned responsibilities:

Date and employees signature: Date and um i potpis rukovodioca:

6.2.3 Job Interview Form

LIST OF QUESTIONS FOR CONDUCTING INTERVIEWS AND RATING CANDIDATES

Organisational unit: ..........................................................................................................................................................

Vacancy: ...........................................................................................................................................................................

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Candidate No. 1</th>
<th>Candidate No. 2</th>
<th>Candidate No. 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular education and professional qualifications</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional education/training</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The candidate’s specific professional qualifications (for work at the job)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional experience</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Knowledge of activities within the purview of local government authorities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional knowledge tied to the job</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>--</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Knowledge of foreign languages</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Logical and analytical reasoning  (how the candidate thinks and reasons)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communication skills  (fluency, comprehension, active listening, paraphrasing)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisation abilities  (prioritising, short-term problem solving, etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management skills  (defining aims, motivating, delegating, controlling work, resolving conflicts)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer skills</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mobility / possibility of moving home</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remuneration  (expectations)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notice period at previous job  (availability)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recommendations</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Other requirements

Comments

Name of the Commission member rating the candidate: Signature:

Position of the Commission member rating the candidate: Place/date:

6.2.4 Performance Evaluation Form

<table>
<thead>
<tr>
<th>Department:</th>
<th>Job Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td></td>
</tr>
<tr>
<td>Review period:</td>
<td>Months on present position:</td>
</tr>
<tr>
<td>Date:</td>
<td>Supervisor:</td>
</tr>
<tr>
<td></td>
<td>Supervisor’s Title:</td>
</tr>
</tbody>
</table>

I. Skills (Please resume employee’s skills in six relevant areas)

- **Job knowledge** (Does the employee demonstrate competency, responsibility, work understanding, technical expertise)

- **Communication** (Does the employee communicate concisely and clearly. Does he possess written and verbal skills, as well as active listening skills)

- **Teamwork** (Does the employee work well in a team, cooperates with other colleagues, shares informations and provides help, takes over the job in the absence of the colleagues)
• **Time Management** (Does the employee manages time effectively, organizes around the priorities, work obligations and plans accordingly)

• **Internal/External relations** (Does the employee represent himself and the employer adequately, in a polite and professional manner in the interactions with the citizens, partners and other colleagues)

• **Personal efficiency** (Does the employee efficiently and proactively analyzes problems, makes appropriate judgments, achieves good quality of work, foresees the obstacles and eliminates the consequences)

**II. Strengths and areas for development** (Strengths and possible areas for development that were not already mentioned in the first part of the evaluation form)

**Agreed Upon Actions**

<table>
<thead>
<tr>
<th>Action</th>
<th>By Whom</th>
<th>Due Date</th>
</tr>
</thead>
</table>

**Training and Development Achieved**

<table>
<thead>
<tr>
<th>Knowledge/Skill</th>
<th>Level of Proficiency</th>
<th>How Accomplished</th>
<th>Completed By</th>
</tr>
</thead>
</table>

**Future Training and Development Plan**

<table>
<thead>
<tr>
<th>Knowledge/Skill</th>
<th>Level of Proficiency</th>
<th>How Accomplished</th>
<th>Completed By</th>
</tr>
</thead>
</table>
6.3 France

6.3.1 Charter of Professional Ethics

a) City of Strasbourg (Managers’ Charter)

MANAGER’S CHARTER

City and Urban Community of Strasbourg

Preamble

Why a charter?

A formal outcome to the management-level discussions held in the AeCUS “values” workshops was a foregone conclusion and the idea of circulating the document as a “charter” was very easily accepted.

The word “charter” was not chosen at random: the intention was to lend the document the significance and force of a founding act.

Conceived, discussed and adopted by several hundred managers working for the Urban Community of Strasbourg (CUS), the content of the Charter is already well known. It needs to be even more widely known so that it can be used as a benchmark in our work and our day-to-day relations.

It was for these reasons that I felt it would be appropriate to issue the Charter in the form of a booklet bearing our colours. This simple and practical document:

- should be easy to consult, and should be consulted on a regular basis,
- should be issued to new recruits to the CUS,
- should be available in waiting rooms so that users can read it, discuss it with us or even take it away with them as an inspiration to adopt similar approaches outside the CUS.

As a compendium of values which define our collective identity, our Charter depends on the actions of individual managers and our collective commitment.

Preamble

Defining the scope of the Charter as it applies to each and every manager

The first point to make is that our Charter of Values is more in the nature of a code of conduct that a corpus of binding rules. We already have binding rules - all the regulations to which our management conforms and with which all staff are required to comply.
The Charter of Values is an ambitious set of sometimes unquantifiable attitudes which every individual undertakes to strive to achieve.

The Charter of Values is a set of principles based on joint discussion among all those who knew in advance that they would have to apply its outcome to themselves. Because they were self-authored, were adopted by voting and all bear the hallmark of common sense, these principles achieve greater consensus.

Consequently, they have no legal force, only the force that stems from sharing and espousing the same values.

The managers who participated in the drafting wanted, and claim responsibility for having achieved, a person-centred Charter, centred not only on people in themselves but also on the relationships they establish and maintain around themselves in pursuit of a collective goal.

As the outcome of a participatory drafting process, the Charter embodies a proactive and shared approach to progress. Although the Charter deals with issues which, in many cases, are already covered by administrative regulations, its originality is that it places all those involved in running the City and the CUS in what is their key dimension, their local area.

The Charter casts a different light on these issues, based on the individual's professional conscience and commitment and also on a sense of team solidarity in the service of the community as a whole, and addresses them from four angles: staff, elected officials, the population and the local area.

Public service

As managers working for the City and Urban Community of Strasbourg, we espouse the values of public service and serve the general interest. Our shared professional ethics are founded upon respect for equity and parity. In performing our duties we observe confidentiality and professional discretion.

- **The population**
  - We act in the general interest and within the rules.
  - We carry the values of the local authority, disseminate them and uphold them while taking due account of institutional, environmental and political changes.
  - We ensure equal treatment of all inhabitants of the local authority, a high standard of service to users and appropriate responses to their concerns.

- **Staff**
  - We are responsive to staff needs.
  - We strive to conduct ourselves in an exemplary and fair manner.
  - In hierarchical relations, we express our expectations clearly and courageously.

- **Elected officials**
  We support implementation of the executive’s projects while observing public service neutrality, and respect the decisions of elected officials.
➢ **The local area**
   Our role as managers is to help bring together all stakeholders in the local area, make innovative proposals and give fresh impetus. We are open, persevering and respectful towards partners, and we work across sectors.

**Commitment**

We are ready and willing to perform the duties assigned to us and we do so with a sense of motivation and commitment. We value teams and ensure that their work receives recognition.

➢ **Elected officials**
   - We support elected officials in their decision-making.
   - We are a source of proposals.
   - We ensure compliance with objectives, deadlines, funding decisions and quality expectations.

➢ **Staff**
   - We foster cohesion and team spirit by listening and communicating.
   - We value our staff and show recognition for their work, both collective and individual.
   - We motivate our staff by making their work meaningful.

➢ **The population**
   - We serve the general interest.
   - We guarantee the continuity over time of public action.
   - Through our dynamic approach, we provide an appropriate response to residents’ concerns.

➢ **The local area**
   - We give priority to long-term, sustainable relations with the local authority's partners
   - We actively disseminate the values of the local authority in the local area.

**Responsibility**

We perform our duties in a loyal and professional manner. Our expertise and competencies are aids to decision-making. Consistency and clarity are qualities which enable us to support our teams in the performance of their own duties, to which priority is given.

➢ **Elected officials**
   - In performing our duties we show integrity, responsibility and loyalty
   - We are a source of proposals and provide advice and assistance.
   - We contribute to the implementation of projects by setting priorities.

➢ **Staff**
   - We know our responsibilities and are accountable in respect of them.
   - We take responsibility for our actions and those of our staff.
- We give our staff a sense of responsibility by delegating tasks, taking due account of individual abilities.
- By communicating and sharing information we help to break down departmental barriers and foster a spirit of initiative.

- **The population**
  - It is our responsibility to serve the public interest.
  - We are responsive to the needs of all users within our respective field of action.

- **The local area**
  - We share local issues with our staff.
  - We ensure that our local authority’s projects are compatible with sustainable development concerns.

- **Professionalism**

  We honour our professional commitments in a competent, effective and reliable manner. We instill a sense of dynamism in our teams and ensure that our decisions are clear and intelligible to all our partners.

- **Staff**
  - We endeavour to create a work environment conducive to a positive state of mind and to the development of group dynamics.
  - We identify objectives, rank them in importance, formulate them clearly and evaluate them honestly.
  - In performing our duties we rely on our expertise and our technical skills, combined with our ability to convince and motivate.
  - We update our competencies through training and information.

- **Elected officials**
  - We perform our duties rigorously, based on our competencies.
  - We harness our expertise to contribute effectively to decision-making. We facilitate collective problem-solving.

- **The population**
  - We contribute to better public service by ensuring the efficiency of public action.
  - We place our know-how and expertise at the disposal of the population and participatory democratic bodies.
  - We take due account of user expertise.

- **The local area**
  - Our professional and personal competencies are enriched by those of our partners.
  - We demonstrate an open mind in expressing our professional expertise, showing empathy towards our discussion partners.
Solidarity

We are aware of the interdependence of people, both in society and in government. We defend the right of every woman and man to be accepted for what they are and to participate in the local authority’s projects.

- **Staff**
  - We guarantee a proper balance in working teams: group cohesion, personal fulfillment and acknowledgement of professional commitment.
  - We cultivate a taste for risk-taking and innovation while recognising the right to make mistakes, which calls for courageous, supportive and benevolent attitudes.

- **The population**
  - We promote a high standard of public service to help our fellow citizens to live together better.
  - We undertake to combat discrimination, protect the most vulnerable individuals, compensate for disabilities and help resolve the difficulties with which everyone is faced.
  - We further the general interest by promoting citizen participation.

- **The local area**
  - We ensure fair treatment by highlighting each area’s assets.
  - We contribute to the vitality of all local communities and districts while taking due account of their specific features and the specific difficulties facing them.

- **Elected officials**
  - We want to work with the executive in a climate of trust and mutual respect and we play our part in that.
  - In projects carried out by elected officials, we show solidarity with them in their relations with local residents and the local area.

Humanism

We cultivate the identity, diversity and culture of Strasbourg and its urban community

- **The population**
  - We further the general interest through dialogue, communication and open-minded attitudes.
  - We undertake to provide appropriate responses to residents’ concerns while respecting their diversity.

- **Staff**
  - We undertake to respect the diversity of staff and to promote, in the first instance, equality between women and men.
  - We undertake to give priority to the human factor in our professional relations.

- **Elected officials**
  - In the duties and projects assigned to us, we take due account of the human dimension.

- **The local area**
  - We undertake to highlight the contributions made by the different components of the urban community.
- We find a source of enrichment in the ideas and practices arising from our exchanges with the outside world.

Image

We promote the image of our local area, improve its inhabitants’ quality of life and enhance its appeal

- **The local area**
  - We support Strasbourg’s European role.
  - We harness energies to strengthen the city’s position.

- **The local population**
  - We are ambassadors of the CUS and build a positive and professional image of the local authority.

- **Staff**
  - We encourage dialogue and mutual trust.
  - We share local development issues with the staff.
  - To us, being managers means motivating our staff to work towards the local authority’s goals.

- **Elected officials**
  - We see to the proper circulation of information and the quality of the information circulated.
  - We monitor local developments and underlying trends in order to aid decision-making.
6.3.2 Job profiles

a) Municipality of Lescar (Administrative Assistant in HR Management)

<table>
<thead>
<tr>
<th>LESCAR</th>
<th>Job description</th>
</tr>
</thead>
<tbody>
<tr>
<td>TITLE OF POST</td>
<td>Human resources manager</td>
</tr>
<tr>
<td>POSTHOLDER</td>
<td>XXXXX             SINCE 1 JULY 2010</td>
</tr>
<tr>
<td>REFERENCE JOB</td>
<td>Staff administrative management officer</td>
</tr>
<tr>
<td>FIELD OF ACTIVITY</td>
<td>Human resources management</td>
</tr>
<tr>
<td>STATUTORY CLASSIFICATION</td>
<td>Category C</td>
</tr>
<tr>
<td></td>
<td>Administrative Branch</td>
</tr>
<tr>
<td></td>
<td>Administrative Assistant</td>
</tr>
</tbody>
</table>

**DUTIES**

- Applying and managing, in line with the relevant legislation and regulations, all career and pay-related processes
- Providing information and advice to local authority staff and departments
- Introducing monitoring and forward staff management tools (management charts, follow-up charts etc)

**MAIN ACTIVITIES**

- **Administrative management of social protection**
  - Ensuring social and legal protection of staff
  - Drawing up administrative documents: positions, reclassifications, termination of employment etc
  - Compiling and maintaining files on continued payment of salary to staff on sick leave
  - Managing affiliations to and withdrawals from mutual insurance schemes (MNT, Sud Ouest Mutualité)

- **Administrative management of working time**
  - Recording and monitoring sick leave and leave related to occupational accidents, maternity/paternity, family events etc
  - Managing long-term sick leave files, part-time working for medical reasons etc
  - Recording and monitoring annual leave, additional paid leave days due etc
• **Planning and monitoring medical check-ups** (for 2011)

• **Management of non-established staff**
  - Drawing up and monitoring contracts for community workers, seasonal workers, private-law contracts, apprenticeships, entertainment industry temporary workers, recruitment of auxiliary staff, declarations of employment, unemployment insurance certificates

• **Monitoring of regulations relating to careers and pay**

• **Management of staff pay**
  - Collecting, processing, inputting and checking data, authorising payment
  - Declaring staff charges to the various social welfare organisations
  - Producing (in future) the Unified Automated Declaration of Social Data (DADS-U)

**SECONDARY ACTIVITIES**

• Keeping and updating staff members’ personal files
• Providing information and advice to staff

**HIERARCHICAL POSITION**

Director General of Services

Director of Resources

XXXXXXX

**OPERATIONAL RELATIONS**

• **Internally**
  - Heads of local authority departments
  - Local authority staff
  - Elected officials

• **Externally**
  - Prefecture, management centre, public revenue office, social security, local medical board, reform commission, insurers, mutual insurance companies, social security contributions collection agency, civil service pension fund, unemployment insurance fund etc

**REQUIREMENTS**

Standard required

Training and qualifications

Competencies

  - Professional competencies
    - Drafting administrative documents and correspondence
    - Familiarity with the regulations governing local and regional government service
- Autonomy and sense of initiative
- Organisation and foresight
- Technical competencies
  - Familiarity with office applications and specialised software (CIVITAS pay and career applications)
- Relational qualities
  - Precision, discretion, open-minded and flexible attitude
  - Listening skills
- Managerial capability (where applicable)
  No managerial responsibility

RESOURCES (human, material, financial etc)
- Office applications and CIVITAS career and pay management software

WORKING CONDITIONS AND CONSTRAINTS
- Office work
- Regular hours with possibility of overtime depending on service requirements
- Meeting deadlines (in particular for staff pay)
- Observing discretion and confidentiality

Job description produced on 15 November 2010
Updated on
Signature of staff member  Signature of line-manager
CITY OF NEVERS
MUNICIPAL SOCIAL WELFARE CENTRE (CCAS)

**JOB DESCRIPTION**

Drawn up on: 9/1/06 by B. LEPInte
Updated on: by

TITLE OF POST: Director General of Services
TARGET GRADE: Local Government Administrator
DIRECTORATE: DIRECTORATE GENERAL
DEPARTMENT:
PLACE OF WORK: Town Hall

**JOB PROFILE**

**QUALIFICATIONS AND EXPERIENCE REQUIRED:** the appointee should have completed a minimum of 4 years’ higher education, have a command of the main issues involved in management of local authorities and be more generalist than specialist. He/she will be involved in explaining the local authority’s policies and in designing a shared project, ensuring its implementation by calling on appropriate resources and partnerships.

<table>
<thead>
<tr>
<th>COMPETENCIES/QUALITIES REQUIRED</th>
<th>Essential</th>
<th>Desirable</th>
<th>Non-essential</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge of techniques related to the job</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communication</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procedures/Regulations (calling on expert services)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commitment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ability to react promptly</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Initiative</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Team spirit/Co-operation</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
For managerial staff only:

<table>
<thead>
<tr>
<th>Sense of responsibility/Decisiveness</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Team leadership and motivation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Active mentoring role</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interpersonal relations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation skills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adaptability of management style</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SPECIFIC RESPONSIBILITIES

Budget monitoring: NO YES
Size of budget: 
Supervision/Management NO YES
Number of staff to supervise: 8

Others (specify): in the absence of a Deputy Director General for “Citizens”, the number of persons supervised is greater

DUTIES ATTACHED TO THE POST

<table>
<thead>
<tr>
<th>PERMANENT</th>
<th>OCCASIONAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Daily</td>
<td>Weekly</td>
</tr>
<tr>
<td></td>
<td>Monthly</td>
</tr>
<tr>
<td></td>
<td>Yearly</td>
</tr>
</tbody>
</table>

1/ Assisting in setting the local authority’s policy (strategic) directions

- Supporting and shaping decision-making processes
- Conducting, under the supervision of the political authorities, a strategy aimed at constantly improving the effectiveness of public action and the efficiency of services provided
- Analysing the policy goals pursued by elected officials in order to make recommendations for translating policy expectations and directions into projects
- Reconciling different interests: public policy, local areas, stakeholders and social demand
2/ Implementing the public policy goals set by the local authority at the overall level and by the elected officials responsible at sectoral level

- Carrying out or participating in diagnosis of public policies, while taking account of any changes in the environment, in order to devise action scenarios that are consistent with the local authority’s policy (strategic) directions
- Building, in that context, relations of trust with elected officials; advising them and alerting them to risks
- Defining, putting in place and enforcing the local authority’s organisational and operational choices
- Defining, putting in place and enforcing useful, straightforward and modern procedures to provide more secure conditions for local government operations
- Helping to translate public policies set by elected officials into joint projects involving elected officials, the DG and the Directorates
- Helping to determine the scope for ongoing adjustment of service provision and

3/ Providing impetus for and co-ordinating projects

- Assisting project leaders or referents in carrying out complex operations
- Ensuring compliance with the project methodology
- Contributing to the setting of objectives and performance indicators
- Organising and monitoring the review of projects
- Assessing the impact of projects from a technical standpoint, the efficiency of their conduct from the organisational angle and the efficiency of the result in terms of cost control, quality and meeting of deadlines

4/ Co-ordinating and leading the management team

- Sharing an overall project
- Developing a public service culture
- Co-ordinating and leading teams of managers
- Leading the co-ordinating bodies of the local authority and the heritage management unit
- Approving and/or establishing individual workload plans, setting operational priorities and determining how they are to be taken on board
- Evaluating individual and collective contributions
- Ensuring that the local authority’s policy directions are understood and applied
- Ensuring the availability of useful information for internal and external communication
- Contributing to analysis of departments’ needs and the associated competencies in relation to the local authority’s operational priorities and goals

5/ Helping to devise a financial strategy

- Co-producing a financial strategy
- Determining margins for manoeuvre and alert thresholds in conjunction with the Directorate-General team and expert departments
- Suggesting guidelines for drawing up and implementing the budget
- Seeking, in conjunction with the Directorate-General team and expert departments, the most appropriate financing arrangements
- Monitoring implementation of the budget

6/ Devising a monitoring, information and evaluation system
- Providing impetus for and managing monitoring and observation mechanisms
- Analysing the impact of changes (political, legal, technological etc) in the environment on the local authority’s sectors of activity
- Identifying and using useful information sources
- Helping to develop, put in place and run a coherent management information system that is of use to the local authority and its staff
- Assessing the effects and impacts of public policies by setting objectives and performance indicators
- Evaluating the quality of the services delivered to users
- Developing aids to decision-making

7/ Interacting with the institutional, economic and social environment
- Identifying and mobilising partners in an effort to co-produce public policy
- Negotiating with the local authority’s partners
- Developing, conducting or participating in joint projects between local authorities, particularly in conjunction with the conurbation community
- Contributing to the development of an area strategy
- Suggesting arrangements for consultation with users

WORKING CONDITIONS

Weekend duty: NO YES
Travel: NO YES
On-call times: NO YES
Certifications etc: n/a
Working hours: 8 am – 12.30 pm/2 pm – 7.30 pm
Noise: n/a
Temperature: n/a
Working position: Seated Standing (% of time):
Physical effort: non-standard working hours, flexibility essential, management position, supervision of the heritage management unit

Others (specify):
NAME OF POSTHOLDER: LEPINTE Bruno
GRADE: Local Government Administrator
HIERARCHICAL SUPERIOR: the Mayor

City of Nevers

MUNICIPAL SOCIAL WELFARE CENTRE (CCAS)

<table>
<thead>
<tr>
<th>JOB DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drawn up on: 17 October 2005 by Laurent PASCO and</td>
</tr>
<tr>
<td>Updated on: by and</td>
</tr>
<tr>
<td>TITLE OF POST: DIRECTOR OF BUDGET, FINANCE AND HUMAN RESOURCES</td>
</tr>
<tr>
<td>TARGET GRADE: LOCAL GOVERNMENT OFFICER</td>
</tr>
<tr>
<td>DIRECTORATE: DBF/DHR</td>
</tr>
<tr>
<td>DEPARTMENT:</td>
</tr>
<tr>
<td>PLACE OF WORK: Town Hall</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>JOB PROFILE</th>
</tr>
</thead>
<tbody>
<tr>
<td>QUALIFICATIONS AND EXPERIENCE REQUIRED:</td>
</tr>
<tr>
<td>Minimum of 3 years’ higher education in public management</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>COMPETENCIES/QUALITIES REQUIRED</th>
<th>Essential</th>
<th>Desirable</th>
<th>Non-essential</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge of techniques related to the job</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communication</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procedures/Regulations (calling on expert services)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commitment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ability to react promptly</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Initiative</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Team spirit/Co-operation</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**For managerial staff only:**

<table>
<thead>
<tr>
<th>Sense of responsibility/Decisiveness</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Team leadership and motivation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Active mentoring role</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interpersonal relations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation skills</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adaptability of management style</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SPECIFIC RESPONSIBILITIES**

**Budget monitoring:**
- NO
- YES

**Size of budget:**
- Supervision/Management
- NO
- YES

**Number of staff to supervise:** 14

**Others (specify):**

**DUTIES ATTACHED TO THE POST**

<table>
<thead>
<tr>
<th>DUTIES ATTACHED TO THE POST</th>
<th>TIMEFRAME</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PERMANENT</td>
</tr>
<tr>
<td></td>
<td>Daily</td>
</tr>
</tbody>
</table>

- Participating in financial and strategic policy planning and implementation
- Carrying out backward and forward-looking financial analyses
- Providing financial assistance and advice to elected officials and departments
- Drawing up budgets
- Following up and monitoring budget implementation
- Supervising branch offices
- Leading the DBF supervisory teams
- Helping to formulate, and implementing, the policies of the municipality and the CCAS for the human resources sector
- Carrying out forward-looking analyses in the field of human resources management (municipality and CCAS)
- Assisting and advising elected officials and departments on human resources questions (municipality and CCAS)
- Managing employment, staff numbers and competencies (municipality and CCAS)
- Following up and monitoring the policies of the municipality and the CCAS for the human resources sector
- Managing staff-management relations (joint bodies; relations with trade unions and staff representatives of the municipality and the CCAS)
- Leading the DHR supervisory teams
- Information and communication relating to human resources

**WORKING CONDITIONS**

<table>
<thead>
<tr>
<th>Weekend duty</th>
<th>NO</th>
<th>YES</th>
<th>Travel</th>
<th>NO</th>
<th>YES</th>
</tr>
</thead>
<tbody>
<tr>
<td>On-call times</td>
<td>NO</td>
<td>YES</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Certifications:**

**Working hours:**

**Noise:**

**Temperature:**

**Working position:** Seated  Standing (% of time):

**Physical effort:**

**Others (specify):**

**NAME OF POSTHOLDER:** Laurent PASCO

**POSITION** (functional or managerial): managerial  **GRADE:** Local Government Officer

**HIERARCHICAL SUPERIOR:** DIRECTORATE GENERAL
c) City of Strasbourg (Head of the HR Department, Explanatory Notice of Job Description)

<table>
<thead>
<tr>
<th>POSITION/TITLE:</th>
<th>Director of Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>JOB PROFILE</td>
<td>BRANCH/CATEGORY</td>
</tr>
<tr>
<td></td>
<td>Administrative/A</td>
</tr>
<tr>
<td>GRADE:</td>
<td>Administrator/Unclassified administrator</td>
</tr>
<tr>
<td>Updated on:</td>
<td>20/06/2008</td>
</tr>
</tbody>
</table>

**DIRECTORATE/DEPARTMENT/SECTOR**

<table>
<thead>
<tr>
<th>Post No: 3921</th>
<th>Directorate of Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>CUS reference job:</td>
<td>DUTY STATION</td>
</tr>
<tr>
<td>Title:</td>
<td>Administrative Centre</td>
</tr>
<tr>
<td>CNFPT reference job: 01/A/05</td>
<td>Working hours</td>
</tr>
<tr>
<td>Title: Director of human resources</td>
<td>Working time</td>
</tr>
<tr>
<td>CNFPT reference job: 01/A/05</td>
<td>Highly variable</td>
</tr>
<tr>
<td>Title: Director of human resources</td>
<td>Constraints</td>
</tr>
<tr>
<td>ROME reference job: 32121</td>
<td>Hierarchical level</td>
</tr>
<tr>
<td>Title: Director of human resources</td>
<td>Very great flexibility</td>
</tr>
</tbody>
</table>

**JOB DESCRIPTION**

**Duties and responsibilities**

In line with the directives of elected officials and the Directorate-General of Services, formulating and proposing a policy on management of human resources, working conditions and security while assuring service quality. Running the directorate and taking responsibility for its budget. As a member of the Management Board, sitting on the different co-ordinating and decision-making bodies and contributing to overall policy cohesion. Mobilising and optimising all the resources (human, financial and material) needed to perform his/her work. Reporting on his/her work, results obtained and use of his/her power of delegation. Performing representative functions vis-à-vis institutional partners.
Main activities

The Director of Human Resources participates in formulation of the local authority’s human resources strategy, in accordance with the relevant policy guidelines

- Participating in formulation of HR policy, aiding decision-making
  - Carrying out HR diagnostics, building future scenarios in line with policy directions set by elected officials and negotiating the means of implementation with the Directorate-General
  - Defining, on the basis of the guidelines given to him/her, the local authority’s policy on recruitment, training, mobility, apprenticeship and integration; organising and implementing forward management of employment, staff numbers and competencies
  - Making proposals and advising elected officials and the Directorate-General on HR organisation and management

- Organising and implementing HR policy within the local authority
  - Advising and guiding the local authority’s directors and heads of department on HR management
  - Alerting to HR-related legal risks and disputes
  - Monitoring payroll developments; preparing and conducting HR budget arbitration meetings, with each directorate
  - Providing impetus for and managing the local authority’s cross-sectoral HR projects with due regard for time and cost constraints; organising project evaluation
  - Managing the annual progress interviews system, ensuring that it is applied to all the local authority’s staff and analysing statistics relating to its implementation within the departments
  - Managing the human resources information system (SIRH)
  - Putting in place decentralised HR management, running the network of management-level HR officers and promoting shared HRM
  - Guaranteeing the application of new laws, regulations or case law
  - Monitoring general working and safety conditions within the local authority
  - Organising information and communication development within the local authority
  - Monitoring staff-management relations; managing dialogue and leading meetings of joint staff-management bodies

- Managing the Directorate
  - Formulating policy directions for the DHR, setting annual objectives and evaluating results
  - Leading and co-ordinating the Directorate’s management team; contributing to the development of the team’s human resources
  - Determining the Directorate’s staffing, material and technical needs; allocating the necessary resources
  - Deciding and allocating the Directorate’s budgets; monitoring their use
- Developing management and monitoring tools within the Directorate; monitoring and evaluating the results of the Directorate’s activities and the efficiency of the resources deployed
- Monitoring performance and the quality of the services provided by the DHR to the local authority’s directorates and departments

<table>
<thead>
<tr>
<th>COMPETENCES REQUIRED</th>
<th>Basic</th>
<th>Good</th>
<th>Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Description of competences)</td>
<td>(...</td>
<td>(...)</td>
<td>(...)</td>
</tr>
</tbody>
</table>

**Knowledge**
- Knowledge of local government and the public sector
- Knowledge of budgets and accounting
- Knowledge of human resources

**Skills**
- Managing the Directorate’s work
- Formulating a management project
- Optimising organisation in line with objectives and resources
- Making strategic choices
- Identifying dysfunctions and proposing corrective or preventive action in conjunction with the managers concerned
- Negotiating
- Running meetings
- Conducting interviews
- Using office automation tools
- Deciding between conflicting requests
- Communicating

**Interpersonal skills**
- Ability to analyse and summarise
- Listening skills
- Sense of diplomacy
- Leadership and ability to convey the values and dynamics of the organisation
- Ability to react promptly
- Ability to anticipate problems
- Source of proposals
RELATIONS:

- **Hierarchical:**
  - Direct superior: Director General of Services, Deputy Director General of Services responsible for resources
  - Staff supervised: Deputy Director, 5 heads of department, special assistant
- **Functional:**
  - Internal: elected representatives, Directorate-General, directors and heads of department, directorate and departmental HR officers, staff representatives
  - External: other local authorities, institutional partners, management centres, CNFPT, service providers etc.

DESIRED PROFILE:

- Qualifications: 5 years’ higher education
- Further training/Certifications/Permits etc:
- Experience: management-level position in a large local authority

WORKING AND SAFETY CONDITIONS:

Safety:

**Frequency:** Frequent Occasional n/a

- Risks related to the work environment (vibrations, noise level, lighting, thermal environment etc)
- Chemical hazards (use of toxic substances)
- Biological and infectious hazard
- Electrical hazards
- Risks related to work equipment (machines, driving vehicles etc)
- Risks related to handling work (repetitiveness, carrying heavy loads etc)
- Traffic hazards
- Risk of falling
- Others (specify)
- Wearing of protective gear (specify)
**Working conditions:**
- Autonomous job
- Teamwork
- Mobility and travel
- Outdoor work
- Prolonged work on screen
- Postural and physical constraints (specify)
- Psychological constraints (specify): crisis management; heavy workload
- Others (specify): stress

**ADDITIONAL OBSERVATIONS**

**RESOURCES AVAILABLE (TECHNICAL, HUMAN, MATERIAL)**

Official vehicle/Pocket assistant

**BONUSES AND ALLOWANCES RELATED TO THE POST**

Level 3 allowances

**FORESEEABLE CHANGES (IN LAWS OR REGULATIONS, TECHNICAL, ECONOMIC, ORGANISATIONAL, DEPARTMENTAL GOALS)**
CITY AND URBAN COMMUNITY OF STRASBOURG

Job descriptions

Logically, the first step is to pinpoint, among the 231 reference jobs listed by the CNFPT (National Centre for Local Public Service), those which the local authority will use as a basis for defining its posts while tailoring them to its environment. This task commenced a few years ago has not yet been fully completed within the Urban Community of Strasbourg, and the connection is not systematic.

Consequently, the process described below is not complete because posts are not always connected to a generic job description. But this does provide us with a real map of most of the authority’s 7000 posts.

DRAFTING PROCESS:

1. The department lists the activities and duties attached to the post.
2. The DHR proceeds by comparing them with the job descriptions contained in the regulations (branch, category, grade).
3. The DHR aligns the description with comparable jobs in other departments of the CUS.
4. The DHR and the department check that the post is properly positioned in the department's/directorate’s organisation chart.

CONTENT:

- Description of the post: title, branch and category, grade, directorate and department, location and posting, working hours, working time, constraints, hierarchical position
- Definition of the post: duties and responsibilities, main and secondary activities (verbs of action)
- Competencies required:
  - Knowledge, skills and interpersonal skills
  - Degree of proficiency required: basic, good, excellent
- Hierarchical and functional relations
- Desired profile: qualifications, special training, certifications, permits etc
- Working conditions: autonomous job, teamwork, mobility and travel, outdoor work, work on screen, physical and/or psychological constraints etc
- Safety conditions: frequency of exposure to risks: frequent, occasional, not applicable
- Resources (technical, human, material) available
- Bonuses and allowances attached to the post
- Foreseeable changes (in laws or regulations, technical, economic, organisational, departmental goals)
The job profile:

- Does not mention the identity of the postholder but refers to a post number.
- Is not in itself a tool for appraising the postholder but serves as an aid to subsequent appraisal of the staff member concerned by permitting an objective assessment of the competencies he/she has deployed in the performance of his/her duties.
- Is not signed by both parties: local authority and staff member, but is binding on the postholder because it is brought to his/her attention at the time of recruitment and approved by him/her upon taking up his/her duties.
- Can be updated in the event of a change of duties and/or in the conditions under which they are performed.

6.3.3 Recruitment procedures

a) Municipality of Lescar (the recruitment process)

b) City of Nevers (the recruitment process, example of an internal advertisement for a job)

The recruitment process

1. Updating of the job profile
   - proposed by the Director
   - approved by the DHR
2. Drafting of the call for candidates (internal and/or external)
   - draft prepared by the DHR
   - submitted to the Director for opinion and any additions
   - approval by the DHR
   - launch by the DHR
3. Shortlisting of candidates to be called for interview with the recruitment board
   - the DHR in consultation with the Director
4. Convening of candidates and board members
   - by the DHR

If it is decided to set ability or other tests, the DHR is responsible for preparing them in conjunction with the Director

5. The Director and the DHR prepare jointly for the interviews with candidates on the basis of the main points in the job profile
6. Composition of the board
   - The Mayor, ex officio member
   - The councillor responsible for staff matters
   - The councillor responsible for public policy
   - The DGA Resources Unit
   - The DHR
- The Director
- The N+1 of the future staff member
- The unit DG:
  - for a Director’s post
  - for a post for which the unit DG is N+1
  - for sensitive category A posts

7. The board makes a recruitment proposal to the Mayor for decision.
   Depending on the level of the post to be filled (e.g., Director or senior manager), the chair of the board may decide to hold an additional meeting to finalise the choice of candidate. The board’s deliberations are confidential. Each board member undertakes to respect the confidentiality of the discussions and the conclusions. No information must be given on what is said and proposed by the board.

8. Replies to the candidates (shortlisted or not), publication in the departments
   - The DHR, by pager and by memorandum

9. Letter of recruitment and formalities related to recruitment
   - The DHR, with copy to the Director

**Example of a call for internal candidates**

City of Nevers
Directorate of Human Resources

Date of publication: 1 September 2011

**MOBILITY OPPORTUNITY: CALL FOR INTERNAL CANDIDATES**

**TWO POSTS OF ACCOUNTING MANAGEMENT OFFICER (M/F)**
in the DBF/General Accounting and Stocktaking Department

are to be filled in the **Directorate of Budget and Finance (DBF)**

Target grade: **Administrative Assistant or Budget Assistant**

The finance units of local authorities are currently undergoing far-reaching changes to adapt to the new context of efforts to improve local government efficiency and performance.
Against this background, the Directorate of Budget and Finance set to work before the summer on its plans for change to adapt its competencies to the new demands of the profession (management control, financial engineering, financial risk mapping, cost analysis, dematerialisation etc).

For this purpose, the Directorate of Budget and Finance forms a team on a human scale (15 staff members) and has an efficient financial information and management system (CIRIL) at its disposal. The directorate’s plans for change also include improving team cohesion, internal communication and co-operation with the municipality’s other directorates.

This mobility opportunity should enable you to satisfy your wish for a change in your career goals towards more:

- Responsibility: you will be required to manage a portfolio of budgetary activities
- Interpersonal contact: you will have many contacts, both internally and externally, and you will support the managers and users of the information system
- Management: you will discover a new job for which you will be trained and in whose development you will participate

**Principal duties**

Under the authority of Chantal Baron, Head of the General Accounting and Stocktaking Department, your principal duties will be:

**Managing a portfolio of budgetary activities**

- Validating orders from departments
- Tracking suppliers’ invoices as they go through the departmental validation process
- Processing the municipality’s expenditure and revenue
- Optimising payment periods
- Providing advice and assistance to departments
- Organising the accounting relationship with suppliers and the public accounting service
- Financial execution of public contracts

**Participating in management monitoring**

- Analysing and monitoring the funding of the budgetary activities in the portfolio

**Contributing to the modernisation and development of the department and directorate**

- Participating in internal working groups
- Undertaking official journeys to exchange experience with local authorities in the same category
- Participating in training courses as part of in-service training
Monitoring the municipality’s assets

- Assigning an accounting code to the local authority’s purchases and property

**Secondary duties**

- Answering telephone enquiries
- Managing orders for supplies
- Sorting incoming and outgoing mail
- Implementing the archiving plan

**Abilities and competencies**

- Knowledge of techniques related to the job
- Command of IT and office automation tools
- Precision, ability to react promptly and sense of organisation
- Sense of teamwork and co-operation
- Sense of commitment
- Compliance with rules and procedures

**Qualifications and experience required**

- Basic training in public accounting
- Knowledge of public procurement

**Further information**

The Directorate of Human Resources invites you to make an appointment to come and consult the job description, which gives further details of the job profile, the competencies required and other aspects: please contact Brigitte Colin, tel. 03.86.68.47.98, or Carine Grybek, tel. 03.86.68.46.42

**Closing date for applications**

Candidates are invited to send their applications together with a covering letter to the Directorate of Human Resources by **16 September 2011 at the latest.**

The Mayor,

Florent SAINTE FARE GARNOT
c) City of Strasbourg (document explaining the recruitment process)

Strasbourg and Urban Community

Recruitment

Strictly speaking, there is no guide to the interview and selection process. However, we do have a procedure and a tool which can be used to tailor the recruitment arrangements to the recruiting department’s requirements.

Recruitment procedure

1. The need for recruitment and the duties involved are first agreed by the recruiting department with its hierarchical superiors (director or director general of services). Depending on the nature of the post, the relevant councillors may be informed.
2. The recruitment arrangements are determined by the recruiting directorate/department, the HR Officer of the directorate or department and the DRH and set out in a jointly agreed document (see recruitment benchmarks below).
   - Drafting and approval of the job description: duties, competencies required, duration of the post, grade, hierarchical level, constraints, possible pay level etc.
   - Arrangements for recruitment: internal and/or external candidates, sourcing, recruitment agencies, timeframe, choice of publications (cost, medium) etc.
   - Arrangements for selecting candidates: setting and ranking of selection criteria based on CVs, possible holding of pre-selection tests etc.
3. Recruitment is effected in the following agreed stages:
   - Search for candidates from internal and external sources, from among staff who have already expressed a wish for mobility or from among staff in the process of redeployment (depending on the nature of the post).
   - Selection of CVs on the basis of previously prioritised and approved criteria (following publication).
   - Submission of the CVs of the most suitable candidates to the department.
   - Organisation of the panel meeting and holding of interviews.
   - Drafting of interview reports.
4. The final choice of candidate and the conditions of appointment (grade and pay, transfer of time savings account/leave entitlements/individual training entitlements) are agreed jointly by the recruiting department and the DHR. Should they fail to agree, the points of disagreement are submitted to the Directorate General of Services for arbitration. Depending on the nature of the post, the best candidate or two best candidates may be brought before the councillors concerned before a final decision is taken.
5. The DHR initiates the administrative procedure for recruitment.
Recruitment benchmarks

This document is used to tailor the recruitment arrangements to the recruiting department’s requirements. It is attached to the job description (updated as necessary) and specifies inter alia:

- The particular context of the department/directorate, which may have an impact on the post in the months or years ahead.
- The criteria which will be used to select candidates, on the basis of their CVs, for shortlisting by the DHR: qualifications, experience, professional or relational qualities etc.
- The desired profile for candidates (based on the competencies listed in the job description) in relation to the specific features of the post: context, relationship with councillors, relations with outside partners etc.
- The possibility of admitting candidates with a specific profile: junior, senior, local authority staff member in the process of redeployment, person with disabilities etc.
- The arrangements for advertising the vacancy: advertisement (form and content), medium (internal, external, internal and external, internal then external), recourse to a recruitment agency etc.
- Composition of the selection panel.
- Desired date of appointment.
- Any tests to be held to verify the candidate’s competencies.

This document is signed by both parties and is therefore binding on them in the event of any difficulties in the recruitment procedure.
PROCEDURE FOR RECRUITING A NON-PERMANENT STAFF MEMBER

Requesting department
- Justifies the request by a decline in public service
- Specifies the reasons, duration and desired start and end dates for the contract
- The desired profile, details of the competencies required and a job description, if any, must be provided
- The relevant budget item must be specified
- Approval by the head of department/director

Recruitment department/officer
Studies the request and reaches a decision based on the evidence of a decline in public service and the budget allocated

YES

Recruitment by the recruitment department

Compilation of a recruitment file
- Information form duly completed with all the supporting documents
- Medical examination: occupational medicine: approved doctor, further tests (allow 1 – 3 weeks before certificate of fitness for work)

Recruitment file forwarded to the recruitment department/office
- Before the end of each month, for payment the following month
- For temporary employees: forwarding of contracts before the 5th of each month for payment

Validation by the recruitment department
- File
- Date of appointment

Taking up of duties
REQUEST FORM FOR RECRUITMENT OF A NON-PERMANENT STAFF MEMBER

NB: Your request will be considered by the DHR and a decision will be taken on it, within the limits of the budget allocated, on the basis of the evidence of a decline in the quality of public service.
Eg: replacement of a staff member on long-term sick leave is not systematic, but depends on evidence of a decline in public service

RECRUITING DEPARTMENT

1) Date of request:

2) Source of request:
   - Directorate:
   - Department:
   - Name of person responsible:
   - Name of staff member to be replaced:
   - Title of post:

3) Type of non-permanent recruitment:
   ➢ Replacement of a civil servant (trainee or established staff member)

   Name and surname of the staff member to be replaced: ..................... Grade: ..............
   Duration: Start date: .......................... End date: ............
   Reason for absence:
   Justification for replacement: see 4)

   ➢ Casual or seasonal work
     (excessive workload, special assignment etc)
     ▪ 1st contract renewal

     Desired duration (max. 3 months)
     Desired date of start of contract: Date of end of contract:

   ➢ Temporary staff
     Dates of employment:
     Number of hours:
     Desired remuneration:

   ➢ Other
4) **Reason for recruitment, evidence of a decline in public service (see charter): duties, quantitative and qualitative factors etc**
   - Decline in public service:
     Number of staff in the department, number of clients received each day, consequences of the staff member’s absence or non-employment of a non-permanent staff member in terms of legal risks, service quality, event feasibility etc.
   - Temporary requirement: linked to an excessive workload or a specific assignment: what, when, how much, why?

5) **Budget item to which the recruitment is to be charged:**
   - DRH
   - Department of posting

6) **Signed:**
   - Hierarchical superior
   - Head of Department
   - Director

7) **Job description**
   - Title of post:
   - Duties:
   - Resources available:
   - Desired profile (abilities and competencies)
   - Miscellaneous
   - Referee (where appropriate)

**EMPLOYMENT, TRAINING AND COMPETENCIES UNIT**

Observations:

- **Date:**
- **Signature of the Head of Employment, Training and Competencies**

**RETURNED TO THE DEPARTMENT ON:**
CITY OF BORDEAUX

**Requesting department**
- Specifies reason for recruitment and post to be filled
- Completes job description form
- Form sent by head of dept. to recruitment officer

**Requesting department**
- Specifies reason for recruitment and post to be filled
- Completes job description form
- Form sent by head of dept. to recruitment officer

**Advertising the post**
Post advertised by recruitment assistants internally or externally

**Selection and interviewing of candidates**
- Pre-selection and selection of candidates by recruitment officer and assistants
- Applications of selected candidates sent to requesting department
- Candidates called for interview
- Negative replies written by assistants

**Compiling and managing the recruitment file**
- Information form duly completed with supporting documents
- Police record requested
- Medical examination: occupational medicine: approved doctor, further tests (allow 1-3 weeks before certificate of fitness for work)
- Record of the procedure
- Appointment

**File approved by recruitment officer**

**File forwarded to staffing and career management departments**

**New staff member takes up duties**
Date confirmed by recruitment department
6.3.4 Staff appraisal

a) Municipality of Lescar (Appraisal Form)

<table>
<thead>
<tr>
<th>Name, first name XXXXX</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of Birth: 15 August 1975</td>
</tr>
<tr>
<td>Current position: Human Resources Manager / Training Officer</td>
</tr>
<tr>
<td>DIRECTORATE/DEPARTMENT DRM: Human Resources Department</td>
</tr>
<tr>
<td>Grade: Administrative Assistant 1st Class</td>
</tr>
<tr>
<td>Building: Town Hall</td>
</tr>
<tr>
<td>Length of service: 11 years</td>
</tr>
<tr>
<td>Date appointed to current grade: 1/7/2009</td>
</tr>
<tr>
<td>Interview conducted on: 8 December 2010</td>
</tr>
<tr>
<td>By: Elise RAMONTEU</td>
</tr>
</tbody>
</table>

**APPRAISAL FORM (CATEGORY C) YEAR: 2010**

**PART I: FOR USE BY THE STAFF MEMBER**

1 – Describe the most important aspects of your work in 2010 (duties and responsibilities)

- Drafting the framework agreement
- Drawing up the local authority’s training charter and training programme
- Civitas correspondent, in place of an HR manager no longer on the staff
- Pay correspondent

2 – List of training courses attended in the past year

- Social protection of local government staff
- How to meet the obligation to employ persons with disabilities
- Civitas training module

2 – In what fields would training be useful?

- In-service training (to improve your work). Please specify.
- Preparation for a competitive examination. Please specify.
- Personal improvement. Please specify.
4 – Would you like to change jobs?

*If YES* – to take on new responsibilities
- to change the type of work you do
- to broaden your experience
- other reasons

Which department or type of post?

5 – Would you like changes in your post?  YES  NO

What kind of changes?

- New duties
- Change in the way your work is organised
- Change of equipment, premises, working hours
- Other details or suggestions

ANY COMMENTS

PART II: APPRAISER’S COMMENTS ON THE APPRAISEE’S WISHES

OBJECTIVE SETTING FOR YEAR N+1

Results achieved in the post (ongoing activities, new duties etc)

Assessment of objectives and achievements in the past year

Jérôme started up the local authority’s training programme and keeps track of it in Civitas. He proposed a training charter which was adopted by the joint technical committee and has served as a medium for informing staff about obligatory training (integration and professionalisation) and continuing training. He also did more work on the framework agreement and produced part of the local authority’s social audit report. Two HR managers having left half-way through the year, he was unable to complete his two projects because he had to take sole responsibility for the monthly pay of the local authority’s staff.

Anxious to meet the deadlines set by the treasury, Jérôme worked unstintingly to ensure that salaries were paid on time. He has a capacity for concentration which enables him to shut himself off despite the noise in working conditions that are not always helpful.

After his two colleagues had left, he was called upon to take on new responsibilities as CIVITAS correspondent and pay correspondent. These new tasks were performed to the detriment of other tasks to which he was forced to give lower priority. The workload will therefore have to be rebalanced in 2011 given that the transfer of pay responsibilities will be official (particularly as regards authorisation of payment).
In a year of upheavals in the HR team, Jérôme was able to remain focused and manage priorities without any major difficulties. During that period he was able to reposition himself within the team by taking on new responsibilities and showed that he could perform his duties with considerable autonomy and react promptly to new situations.

**Objectives set for 2011**

2011, which will also see the transfer of the Town Hall to more suitable premises, will be a year of re-organisation and optimisation of working methods to achieve time savings and efficiency gains.

**The objectives set for 2011 are**

1 – Update the nomenclature of posts with the new employee codes before the January pay goes out

   *Deadline: end of December 2010*

2 – Receive the consultant from CTR and provide him with the information he needs for his study of the local authority’s pay structure.

   *Deadline: mid-January 2011*

3 – Draw up the 2011 budget jointly with the DHR

   *Deadline: mid-January 2011*

4 – Do further work on the framework agreement to update the part dealing with time savings accounts and reduced working time and clarify a few definitions in line with wishes expressed in the joint technical committee

   *Deadline: end of February 2011*

5 – Update the three-year training programme on the lines agreed with the DHR

   *Deadline: first quarter*

6 – Provide input for the follow-up chart of HR activities and the 2011 management chart

   *Deadline: every month*

7 – Work with Civitas to make the software more efficient and better suited to our needs

   *Deadline: second quarter*

8 – Contribute to updating of staff members’ personal files

   *Deadline: on a regular case-by-case basis*
Assessment of professionalism and competencies (see job description)

- **Professional knowledge, technical competencies**

Jérôme has gained further pay expertise as a result of the period in which he had to take sole responsibility for the work. He has a very good knowledge of the calculation of charges and analysis of hourly contracts. He knows where to find all the necessary information about the regulations and related case law as a useful aid to decision-making.

- **Initiative, execution, speed, thoroughness**

Jérôme is autonomous in his work and is capable of taking initiatives that are both useful and necessary for the department’s operations. With more time for research and less pressure, he should be able to suggest HR communication tools which would be helpful to the local authority’s managers.

- **Sense of teamwork and public relations**

Jérôme needs to develop a greater sense of teamwork. He tends to work alone and likes to take full responsibility for matters.

With the arrival of two new members in the team, he must endeavor to share his knowledge more spontaneously without waiting to be asked.

He must also be attentive to questions raised by his colleagues and open to suggestions for improvements to the department and its work in order to achieve greater efficiency.

- **Punctuality and attendance**

Two noteworthy qualities which are among Jérôme’s strengths.

- **Training**

Being interested in the subject of training, Jérôme knows the subject well and deserves to be offered additional training which will enable him to gain further expertise in his areas of competence (follow-up to payroll training).

- **Should the staff member satisfy the conditions for advancement or promotion (for example, in the case of taking on additional responsibilities), what would you recommend?**

In 2010 Jérôme demonstrated his ability to meet challenges and was able to cope with the tight deadlines and intense pressure related to pay processing, for which he took sole responsibility for a number of months.

Favourable consideration should be given to the possibilities for advancement if an opportunity arises and to uprating of his allowances as part of the overall review of the matter.

Staff member’s signature

Appraiser’s name and signature

Countersignature of the Head of Department
b) City of Nevers (guide to the annual appraisal interview, form for the annual appraisal)

Guide to the annual appraisal interview

Aims of the annual appraisal interview

The annual appraisal interview is a highlight of the year’s work. It is the opportunity for each staff member and his/her hierarchical superior to get together for a full review of:

- the staff member’s results in relation to the duties assigned,
- his/her current professional competencies
- the objectives set for the year ahead
- the staff member’s career goals
- his/her training needs and any supporting action he/she might require.

The annual appraisal interview is a key moment, a dialogue based on tangible facts and not on feelings.

Its success depends on active listening and respectful neutrality.

For the manager, the annual interview is an opportunity to perform a diagnosis of his/her unit, as well as to:

- increase the efficiency of the staff member’s work:
  - by identifying strengths and weaknesses,
  - by offering solutions either in terms of training for the staff member or in terms of the unit’s organisation,
- increase the staff member’s motivation:
  - by taking due account of his/her needs and expectations,
  - by giving formal recognition to his/her achievements.

For staff members, the annual interview should be an opportunity to improve their work, become more autonomous and develop the necessary competencies as a result of the joint review. It should also be an opportunity for them to air their views, get to know their manager better and find out more about the opportunities offered by the local authority. It is essential for the success of the system that staff members should be able to talk about their difficulties, sources of dissatisfaction, wishes for change, training wishes and career aspirations in a climate of complete trust.
Practical tips

- **Preparation**

The manager and staff member must prepare the interview.

**The manager must take care to:**

- Schedule interviews at times when they do not conflict with professional obligations (workload, working hours etc) and choose a quiet (no telephone) and neutral venue.

- Draw up a realistic timetable (in terms of the number of interviews on any one day) and allow time between interviews (allow at least one hour for each interview).

- Give each staff member at least a fortnight’s notice before the date of the interview and send him/her his/her job description together with a reminder of the purpose of the interview and how each staff member should prepare for it using the guide and form for annual appraisal interviews.

**Careful preparation for the interview involves:**

- Assembling all the background material needed for the discussion (job description, duties assigned in the previous year etc)

- Analysing the results achieved in relation to the objectives set (over the entire year and not just the last few weeks)

- Precisely identifying the competencies required for the post (update the job description if necessary) and the competencies actually deployed

- Pinpointing strengths and any weaknesses, providing specific examples and seeking the causes; identifying possible courses of action

- Planning the objectives for the year ahead

- **The conduct of the interview**

The interview is conducted on the basis of a dialogue following the order of items in the appraisal form.

The success of the interview depends on the parties' ability to establish a dialogue based on the principles of listening and mutual respect. Its effectiveness depends on a shared desire to achieve objectives and, hence, jointly identify and implement workable solutions to any difficulties.

Managers and staff members should focus on facts, not feelings; building the future rather than going back over the past
Follow up to the interview

A record of the interview is added to the staff member’s personal file. The manager writes the interview record, which must be received by the staff member within 10 days of the date of the interview.

The staff member:

- adds any comments he/she wishes to make regarding the conduct of the interview and the various subject discussed,
- signs it to certify that he/she has taken due note of it,
- sends it back to his/her manager no later than 10 days after receiving it.

Appeals

Staff members may apply to the Mayor for revision of the record of the appraisal interview. This must be done within 15 days of the date of receipt of the interview record.

The Mayor must communicate his reply within 15 days of the date of the request for revision.

At a staff member’s request, and subject to his/her having first submitted a request for revision, the joint administrative boards may ask the local authority to amend the record of the appraisal interview. In such cases, all relevant information must be communicated to the boards. The matter must be referred to the boards within 15 days of receipt of the local authority’s reply to the request for revision. The local authority must communicate the final record of the appraisal interview to the staff member, who must acknowledge receipt thereof.

Sections of the form for the annual interview

- Identity:

This section contains factual information relating to the staff member and his/her superior at the time of the interview.

- Developments in the post

Each staff member is provided with a job description stating the duties of the post and the manner in which they are to be performed.

If any particular developments in the course of the year have led to changes in the duties and the manner in which they are to be performed, it is important to point this out (technical competencies, unforeseen assignment, re-organisation of the unit, conditions under which duties are performed etc).
• Results of the year’s work

The assessment is based on duties assigned, objectives set, competencies deployed and professional conduct.

• Assessment of duties and objectives:

After reiterating each main duty, the manager states whether the results achieved are in line with expectations and whether the objectives were attained. If any shortcomings are found, the reasons should be given.

• Competencies:

Competencies comprise theoretical knowledge, practical knowledge and skills, and personal and professional conduct. Competencies are always defined in relation to the post held.

To define the competencies needed to do the job, it is essential to have a job description clearly identifying the duties of the post.

There may be a discrepancy between the competencies required and the competencies shown: an action plan will then be put in place to develop the necessary competencies and support the staff member in the performance of his/her duties.

• Professional conduct:

The appraisal will also focus on the staff member’s personal qualities in relation to his/her work, in particular his/her commitment, contribution to service quality, ability to meet deadlines, sense of initiative, self-improvement efforts etc.

• Objectives for the year:

The objectives set, activities to be carried out and results achieved must be clearly described in simple terms which are easy for the staff member to understand. As far as possible, the resources available to the staff member and the deadlines set should also be indicated.

• Managerial conduct:

This section on pages 4 and 5 of the appraisal interview form concerns only managers with at least one staff member working under them and supervisors of apprentices.

• Training:

This section covers both the results of training courses attended in the previous year and new training requests. It is important that the manager’s opinion on the staff member’s requests should appear on the form, together with the order of priority. The manager should ensure that the staff member has stated his/her choice on whether or not the training should form part of his/her individual training entitlement (DIF). Under the Training Charter, if no choice is stated, the first training course is included in the DIF, provided it appears in the training programme.
The training department will prepare a summary of training needs which will be used for drawing up the training programme.

**IMPORTANT:** As in 2010, one of the municipality’s priorities for training in 2011 is to continue to provide appropriate training for persons with reading and writing difficulties.

| **Appraisers should be particularly attentive to the needs of staff members wishing to obtain further information on this subject and should join with them in defining their expectations in this regard.** |

*• Opportunity for staff members to express their wishes for change:*

This section provides an opportunity for staff members not only to make any comments and observations falling within the scope of the annual appraisal interview, but also to inform the DHR of any wishes to change duties or give a new direction to their career.

Staff members desiring a career interview will be received by an HR manager in the course of the year.

*• Summary of the annual interview:*

The summary recapitulates the main points of the interview: it serves to highlight the staff member’s strengths and to identify areas of improvement in order to help determine what action should be taken to provide the staff member with effective support.

*• Extra duties:*

This section can be used to mention and comment on any extra duties performed by the staff member in the reference period (eg census-taking, seasonal activities, training).
The purpose of this interview is to make a shared diagnosis of the staff member’s duties, results and expectations. It serves to identify areas for improvement and ways of ensuring proper performance of the duties assigned.

**CHANGES IN THE JOB DESCRIPTION**

State whether the job description requires updating (technical competencies, working hours, conditions under which duties are performed etc) and specify the changes to be made.

**ASSESSMENT OF THE PREVIOUS YEAR’S WORK**

- **Duties assigned and objectives set**

  Were the objectives achieved? If not, what shortcomings were found and what were the causes?

<table>
<thead>
<tr>
<th>Staff member’s comments</th>
<th>Manager’s comments</th>
</tr>
</thead>
</table>

- **Competencies applied**

  The level of mastery of competencies may be assessed on the basis of:

  - the techniques involved in the job (professional knowledge, quality of work, care taken etc)
  - sense of organisation and method
  - relational qualities, oral and written expression skills
  - compliance with instructions and regulations

<table>
<thead>
<tr>
<th>Staff member’s comments</th>
<th>Manager’s comments</th>
</tr>
</thead>
</table>
➢ Professional competencies

The staff member’s personal qualities may be assessed on the basis of:

- his/her commitment and contribution to service quality
- his/her ability to meet deadlines, ability to react promptly and ability to look ahead and anticipate
- his/her sense of initiative, desire for self-improvement and ability to adapt to situations
- his/her sense of teamwork and co-operation

Staff member’s comments:  
Manager’s comments:

OBJECTIVES FOR THE YEAR

Describe the objectives, the work to be done and the results expected. If necessary, specify the resources available and the deadlines to be met.

MANAGERIAL CONDUCT (for managers)

➢ Sense of responsibility and decision-making

These may be assessed on the basis of:

- ability to evaluate a situation, analyse the risks and set priorities
- ability to submit appropriate reports
- ability to take decisions in the course of his/her duties and give clear instructions

Staff member’s comments  
Manager’s comments

➢ Relational abilities

These may be assessed on the basis of:

- ability to listen, encourage others to express opinions, avoid or solve problems
- self-control and respect for colleagues
- ability to integrate with cross-departmental projects

Staff member’s comments  
Manager’s comments

➢ Team leadership and motivation

These may be assessed on the basis of:

- ability to foster team spirit, distribute roles and organise work
- the relevance of individual or collective management decisions
- ability to share objectives and relay information

Staff member’s comments  Manager’s comments

➢ Support and development role

This may be assessed on the basis of:

- ability to pass on knowledge and skills and share good practices
- ability to evaluate and capitalise on competencies and foster talent
- ability to instill a sense of responsibility in his/her team

Staff member’s comments  Manager’s comments

MANAGERIAL CONDUCT (for managers)

➢ Results of previous year’s training

TRAINING COURSES

Staff member’s comments

COMPETITIONS OF PROFESSIONAL EXAMS

Staff member’s comments
Manager’s comments

➢ Training requests

Refer to the training charter to find out about the types of training available and how the DIF scheme operates. All columns must be completed for each request.

<table>
<thead>
<tr>
<th>Training wishes</th>
<th>Reasons</th>
<th>Manager’s opinion</th>
<th>Priority</th>
<th>Inclusion in training entitlement</th>
</tr>
</thead>
</table>

STAFF MEMBER’S WISHES FOR CHANGE

➢ Staff member’s comments

Do you want a career interview: yes/no

SUMMARY OF THE APPRAISAL INTERVIEW
SIGNATURE OF THE STAFF MEMBER  

SIGNATURE OF THE MANAGER  

certifying that he/she has taken note of the contents of this record  

SIGNATURE OF THE MAYOR  

Further observations (if any)  

SIGNATURE OF THE MAYOR  

EXTRA DUTIES  

*Specify any regular or occasional duties unrelated to the staff member’s department of posting*  

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>STAFF MEMBER’S COMMENTS</th>
<th>MANAGER’S COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Some pointers

*The annual interview is an interactive process to reach a shared assessment of the staff member’s work and the manner in which it was accomplished.*

**1. What is the annual interview about?**

- Assessment of the previous year’s work
- Achievement of objectives, work done and joint analysis of any shortcomings
- Desired, and possible, changes
- Professional development and training needs
- New policy directions and contractualisation of objectives
2. What is appraised?

- Results achieved (*achievement of collective and individual objectives*)
- Professional competencies mastered and areas for improvement pinpointed the previous year
- Any significant and/or exceptional projects carried out
- Potential

Under each of these headings, the idea is to identify successes and problems and find solutions.

3. What kinds of objectives are set?

An objective refers to a result to be achieved by a person or team within a set time.

Objectives must be:

**S**pecific

**M**easurable

**A**ttainable

**R**elevant

**T**ime-bound

Objectives may be of different kinds:

- Objectives related to the organisation’s goals
- Objectives related to the job
- Objectives related to a project
- Objectives related to the development of professional competencies (*all the knowledge, know-how and conduct deployed to achieve results in a work situation*)

During the interview, a distinction is drawn between what is negotiable and what is not. In the case of non-negotiable objectives, only the means of achieving them are open to discussion.

4. How to make the interview a success?

- By assembling the various documents on which the interview will be based
- By meeting in a suitable quiet location; by notifying the staff member of the interview date well in advance
- By being properly prepared (factual information, points for discussion, salient features of the year, wishes and motivation, particular difficulties etc)
By engaging in dialogue and questioning in order to encourage exchange

**Assessment of work done in 2009**

<table>
<thead>
<tr>
<th>Objectives and deadlines set</th>
<th>Results achieved</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contribution to cross-sectoral projects</th>
<th>Deadlines set and results achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ within the department</td>
<td></td>
</tr>
<tr>
<td>☐ within the directorate</td>
<td></td>
</tr>
<tr>
<td>☐ within the local authority</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>New developments in the course of the year</th>
<th>Comments</th>
</tr>
</thead>
</table>

**Staff member's individual appraisal**

*Appraisal based on criteria*

**Team management**

<table>
<thead>
<tr>
<th>/</th>
<th>This is a strength</th>
<th>Satisfactory</th>
<th>Room for improvement</th>
<th>This is a weakness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leads his/her team</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sets collective and individual objectives</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitors his/her staff’s interim results</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contributes to the development of his/her staff’s competencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Manages any conflicts which may arise</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Mastery of the job

<table>
<thead>
<tr>
<th></th>
<th>This is a strength</th>
<th>Satisfactory</th>
<th>Room for improvement</th>
<th>This is a weakness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knows his/her working environment and masters the tools of the trade</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Keeps track of developments in his/her job</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performs to a high standard while keeping to deadlines</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is open to developments in his/her post</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deals with exceptional/urgent problems by taking appropriate initiatives; is a source of proposals</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Involvement in the department

<table>
<thead>
<tr>
<th>Comment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ at meetings</td>
<td></td>
</tr>
<tr>
<td>□ in internal projects and working groups</td>
<td></td>
</tr>
</tbody>
</table>

### Other contributions

<table>
<thead>
<tr>
<th>Comment</th>
<th>Topics covered:</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ in-house training</td>
<td></td>
</tr>
<tr>
<td>□ tutoring</td>
<td></td>
</tr>
<tr>
<td>□ supervision of apprentices</td>
<td></td>
</tr>
</tbody>
</table>

### Areas for improvement identified for 2009

<table>
<thead>
<tr>
<th>Comment</th>
<th>Means employed</th>
<th>Results achieved</th>
</tr>
</thead>
</table>

### Comments of the supervisor and staff member on the 2009 appraisal

238
Setting of directions and objectives for 2010

Objectives for the year

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Deadlines set</th>
<th>Result indicators/Means</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Lines of professional and personal progress

Progress objectives

Proposed by the staff member and/or manager and validated by both.

*Example: making the results achieved on project X more visible*

Means to be employed

*Example: regular reports at departmental meetings; quarterly progress report*
Career guidance and professional development
1. Training relevant to the staff member's current duties and objectives

Training courses attended last year

**Obligatory training** (not including integration training)

<table>
<thead>
<tr>
<th>Professionalisation training</th>
<th>Training wishes and reasons (improving knowledge or skills, difficulties encountered etc)</th>
<th>Supervisor's opinion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tick the corresponding box:</td>
<td></td>
<td>Approved: Priority: Comments:</td>
</tr>
<tr>
<td>□ First-job training</td>
<td>Training 1:</td>
<td></td>
</tr>
<tr>
<td>□ Taking up a responsible position</td>
<td>Training 2:</td>
<td>Approved: Priority: Comments:</td>
</tr>
<tr>
<td>□ Career-long training</td>
<td>Training 3:</td>
<td>Approved: Priority: Comments:</td>
</tr>
<tr>
<td></td>
<td>Training 4:</td>
<td>Approved: Priority: Comments:</td>
</tr>
</tbody>
</table>

**Non-obligatory training**

<table>
<thead>
<tr>
<th>Further training (relevant to the post)</th>
<th>Training wishes and reasons (improving knowledge or skills, difficulties encountered etc)</th>
<th>Supervisor's opinion</th>
</tr>
</thead>
<tbody>
<tr>
<td>State whether the training is to be counted as part of the training entitlement (DIF), and, if so, how many hours</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
DIF:  □ No  □ Yes  
Number of hours:  

<table>
<thead>
<tr>
<th>Training 1:</th>
<th>Approved:</th>
<th>Priority:</th>
<th>Comments:</th>
</tr>
</thead>
</table>

DIF:  □ No  □ Yes  
Number of hours:  

<table>
<thead>
<tr>
<th>Training 2:</th>
<th>Approved:</th>
<th>Priority:</th>
<th>Comments:</th>
</tr>
</thead>
</table>

DIF:  □ No  □ Yes  
Number of hours:  

<table>
<thead>
<tr>
<th>Training 3:</th>
<th>Approved:</th>
<th>Priority:</th>
<th>Comments:</th>
</tr>
</thead>
</table>

Other training: given in the form of TUTORING within the department

Supervisor's opinion:

Approved:  
Priority:  
Comments:  

2. Training wishes in the context of career development

Preparation of a competition or professional exam

<table>
<thead>
<tr>
<th>State whether the training is to be counted as part of the training entitlement, and if so, how many hours</th>
<th>Training wishes and reasons (improving knowledge or skills, difficulties encountered etc)</th>
<th>Supervisor's opinion</th>
</tr>
</thead>
</table>
| □ No  □ Yes  
Number of hours: | Training 1: | Approved: | Priority: | Comments: |
| □ No  □ Yes  
Number of hours: | Training 2: | Approved: | Priority: | Comments: |
### Personal training

<table>
<thead>
<tr>
<th>Option</th>
<th>Supervisor’s opinion</th>
</tr>
</thead>
<tbody>
<tr>
<td>◯ Vocational training leave</td>
<td></td>
</tr>
<tr>
<td>◯ Validation of prior learning</td>
<td></td>
</tr>
<tr>
<td>◯ Skills audit</td>
<td></td>
</tr>
<tr>
<td>◯ Other training wishes:</td>
<td></td>
</tr>
</tbody>
</table>

3. Mobility wishes

- No particular wish
- Wish for change (please specify):
  - If so:
    - Mobility within the local authority
    - Mobility outside the local authority

### Timeframe

- One year
- Three years

☐ To take on new responsibilities – What kind?

☐ To take on new duties – What kind?

☐ Other Please specify:
Summary of the interview

Overall assessment, giving reasons (to be completed by the supervisor)
Assessment of the staff member’s success in achieving his/her objectives, his/her managerial and professional competencies and his/her everyday involvement

Overall achievement of objectives:
In %, on a scale of 0 to 100%:

Managerial competencies:
- Room for improvement
- Updating in progress
- Good
- Excellent

Professional competencies:
- Room for improvement
- Updating in progress
- Good
- Excellent

Supervisor’s comments

Staff member’s comments

Date:

Supervisor’s signature
Staff member’s signature
QUALIFICATION REPORT

Department: 
Name of staff member: 
Grade of staff member: 
Date (1 month): 
Date (3 months): 
Date (6 months):

QUALITY OF WORK

Assessment

OBSERVATIONS

QUALITY OF WORK

QUALITY OF WORK

1 month
6 months
10 months

Speed of execution

- Works at an excessively slow pace incompatible with his/her position
- Is slower than the majority of his/her colleagues
- Completes his/her work in the time allocated
- Works faster than the departmental average
- Works at a particularly fast pace

Quality of execution

- Consistently careless in his/her work
- Occasionally careless in his/her work
- Does precise and careful work in line with expectations
- Takes particular care with the quality of his/her work
- Always does work of excellent quality
Organisation
- Shows a lack of method, logic and common sense in his/her work
- Works with due regard to the proper sequence of actions, unmethodically but according to a logical approach
- Uses a rational approach and organisational tools in his/her work but has difficulty in planning ahead
- Uses organisational methods, techniques and tools in his/her work while respecting priorities
- Anticipates, plans ahead and meets deadlines and priorities

Oral expression
- Has difficulty in expressing him/herself and communicating
- Uses language that is inappropriate to the situation. Has a limited repertoire and speaks in simple sentences.
- Passes on oral information in a clear and straightforward manner. Communicates easily.
- Reports situations in a clear, comprehensive, nuanced and detailed manner.
- Reports complex situations in an accurate, fluent and comprehensive manner.

Written expression
- Cannot write. Has difficulty copying.
- Writes with difficulty, unsyntactically, ungrammatically and with spelling mistakes. Writes French as it is spoken.
- Writes clear, simple reports based on factual information.
- Writes in good French with a style appropriate to the different types of document.
- Appreciates the need for written documents. Writes in a pleasant and appropriate manner in all circumstances.

Independent working
- Is incapable of performing an elementary task, even under supervision.
- Needs repeated explanations and constant checks in order to perform a simple task.
- Performs elementary or more elaborate tasks without assistance if they are clearly specified.
- Performs complex tasks without assistance.
- Performs multiple, complex and varied tasks without assistance, demonstrating a sense of initiative.

Initiative
- Takes no initiatives.
- Takes initiatives only when compelled to do so.
- Takes initiatives related to his/her job.
- Takes initiatives beneficial to his/her team.
- Takes initiatives beneficial to his/her department.

Punctuality and attendance
- Is often late and/or absent without reason. Does not do his/her working hours. Leaves his/her post during working hours.
- Is occasionally late and/or absent from work.
- Is rarely late and/or absent from work.
- Is consistently punctual and present.

Compliance with instructions and procedures
- Never complies with instruction, directives and procedures.
- Occasionally fails to comply with instructions, directives and procedures, whether intentionally or not.
- Complies with instructions, directives and procedures.
- Understands and complies with instructions, directives and procedures. Asks questions if necessary.
- Is capable of adapting instructions and making them meaningful while applying them him/herself.

Respect for the working environment
- Shows little or no respect for his/her working environment: equipment, colleagues, premises, workplace etc.
- Shows respect for his/her working environment provided he/she is regularly reminded of the rules.
- Shows spontaneous respect for his/her working environment.
- Shows scrupulous respect for his/her working environment and acts in a way that shows respect for the rules of collective living.

**Relations with hierarchical superiors**

- Rejects all hierarchical authority, is insolent and offhand.
- Fails to understand the hierarchical structure of which he/she is part and cannot, therefore, respect it.
- Respects hierarchical authority.
- Works together efficiently with his/her hierarchical superiors.
- Is an asset to his/her hierarchical superiors and interacts with them.

**Relations with third parties**

- Avoids relations with third parties or is curt and unpleasant.
- Is sometimes clumsy in relations with third parties.
- Receives, listens to and answers third parties in a friendly and receptive manner.
- Is always tactful and courteous, even in difficult situations.

**Team spirit**

- Harms team spirit.
- Prefers to be alone and avoids colleagues; has difficulty contributing to the team effort.
- Is integrated with the team.
- Plays an active part in maintaining and developing team spirit.
- Is a team leader.

**Integrity**

- Commits reprehensible acts which may be subject to civil or criminal penalties.
- Fails to report reprehensible actions.
- Derives no personal advantage or benefit from his/her professional situation and is able to explain his/her refusal to do so.
- Adopts a firm and responsible stance when faced with misconduct.
- Passes on the values of integrity.
Concern for public service
- Fails to respect the basic principles of public service (neutrality, continuity, equal treatment etc).
- Understands the principles and the professional attitudes required and espouses them without always putting them into practice.
- Upholds and applies the principles of public service in his/her work.
- Proposes solutions taking due account of the interests of users and the local authorities.

Discretion and confidentiality
- Intentionally breaches the confidentiality associated with his/her position.
- Inadvertently discloses confidential information.
- Observes the confidentiality associated with his/her position.
- Observes the confidentiality associated with his/her position and, if necessary, refers questions to the person authorised to answer them.
- Is aware of the limits to discretion and confidentiality and acts accordingly.

Decision-making
- Never takes decisions.
- Hesitates to take decisions and/or takes inappropriate decisions.
- Generally takes appropriate decisions in accordance with directives given.
- Takes sound decisions related to his/her post and takes urgent decisions if necessary.
- Takes rapid and appropriate decisions in all circumstances.

Negotiation
- Has preconceptions, is inflexible and incapable of reaching a compromise, loses his/her temper.
- Is prepared to negotiate, but lacks method; is incapable of identifying the issues at stake, setting objectives and using arguments.
- Negotiates in straightforward situations, employing an appropriate method.
- Negotiates effectively in situations related to his/her post. Maintains negotiated relations with all his/her partners.
- Negotiates confidently whatever the issues at stake and whoever the partners, even in situations of conflict.

**Collective organisation**

- Does not organise or monitor the work of the staff under his/her supervision.

- Organises and monitors the work of the staff under his/her supervision only if compelled to do so. Does not assess the efficiency of the set-up.

- Organises and monitors the work of the staff under his/her supervision and assesses the efficiency of the set-up, even if the methods employed are not always appropriate.

- Efficiently implements measures for organising and monitoring the work of the staff under his/her supervision and assessing the efficiency of the set-up.

- Organises and monitors the work of the staff under his/her supervision, and assesses the efficiency of the set-up, from an overall perspective.

**Team leadership and motivation**

- Never gives a collective dimension to his/her actions.

- Does not spontaneously appreciate his/her team; circulates little information, does not hold meetings etc.

- Is concerned to implement collective working goals and methods. Shares information.

- Masters team leadership methods and implements them by providing information, raising awareness, delegating tasks etc.

- Uses his/her leadership skills for the benefit of the team and makes actions meaningful.

**Project design and implementation**

- Is unable to identify the aims of a project and the issues at stake. Has difficulty in taking the necessary steps to implement it.

- Has difficulty in carrying through a simple project. Is unable to break it down into stages and establish priorities.

- Generally makes a correct analysis of the different stages and priorities of a project. Deploys the necessary resources.

- Efficiently manages any simple or complex project related to his/her posts. Is a source of proposals in that context.

- Masters the method for carrying out cross-sectoral projects. Is capable of running cross-sectoral projects.
d) City of Bordeaux (Guide for Appraisers, appraisal form)

Guide for Appraisers

- Conducting the annual appraisal interview

Editorial

The overall assessment of the 2009 trial appraisal was very positive and encouraging. The annual appraisal interview will now be a key part of the functioning and development of our administration. The annual appraisal interview is a highlight of your and your team members’ year, and also a key moment in the management activity which must go on throughout the year.

This guide is intended to help you optimise the interview opportunity. However, as preparation is vital for constructive dialogue, be sure to devote the requisite time to it.

Hoping that these exchanges will help develop our authority through the progression and professional development of its staff, the Directorate of Human Resources is naturally at your disposal for any support you may require.

Alain de Bouteiller  Laurence Rosazza

*Secretary General of the City  Director of Human Resources*

I. WHY AN APPRAISAL INTERVIEW?

For the authority:

- creating a common tool for all in terms of management, communication and coherent HR management;
- making known the major objectives and policies of the territorial authority, thus pinpointing more individualised departmental aims;
- dynamising the professional development of each individual staff member in terms of competences and motivations;
- homing in on each employee’s potential and capacities in order to take better account of them in decision-making in the fields of training, promotion and any other pay-related matters (managing staff careers).
For appraisers:

- reinforcing their role as local managers;
- establishing a prime moment for exchange, dialogue and mutual listening;
- prompting, guiding and piloting the action;
- setting collective departmental, and later individual, goals, and establishing reliable indicators;
- motivating the team by ensuring that each team member’s work is meaningful;
- assessing the results achieved and the quality of colleagues’ work;
- identifying each staff member’s training needs and listening to their wishes;
- managing their departments and gradually improving them, with due regard to the individuals involved and their results.

For appraisees:

- taking their proper place within the department and the authority;
- ensuring detailed knowledge of the authority’s and their superiors’ expectations and the expected contribution to achieving departmental objectives;
- talking about and objectively assessing their day-to-day work;
- receiving feedback and recognition vis-à-vis their superiors’ perception of their work;
- suggesting possible improvements in departmental functioning;
- discussing their careers (requests for training, mobility).

II. **BEFORE THE INTERVIEW**

- **Communicating:** calling a team meeting to reiterate the aims of the annual interview and to present and comment on the appraisal system;

- **Programming** all the requisite interviews;

- **Making appointments** with your colleagues:
  - the appointment is set at least 10 days in advance by the appraiser, during the last quarter of the year
  - proposing a date and specifying the estimated duration of the interview
  - recalling the subjects to be addressed and the purposes of the interview
  - inviting colleagues to prepare their interviews on the basis of a copy of the appraisal form and the appraisee’s guide and providing them with all the necessary explanations.

- **Preparing for the interview:**
  - collating all the information on each colleague: job description, report from the previous year, training courses taken, your entity’s aims, etc
  - considering the following questions:
A FEW KEY QUESTIONS FOR PREPARING THE INTERVIEW

Re. the overall assessment of the past year

- Did this colleague clearly understand his/her assignment and what is expected of him/her?
- What did the colleague achieve?
- What were his/her specific objectives?
- What results were expected? What indicators were established?
- To what extent did his/her results depend on his/her work?
- What did (s)he find easy to do? What caused difficulties? For what reasons?
- What factors facilitated or hampered the results?
- What initiatives were taken?
- Was the attitude to other departments co-operative?

Re. the coming year

- What are the departmental objectives for the year?
- What are the key fields for achieving satisfactory results?
- What are the staff member’s objectives for the year (maximum of three)?
- What result do you expect of his/her work?
- What resources does (s)he need to achieve this result?
- How is the result to be assessed: on the basis of statistics and/or other factual elements?

On his/her career development

- How would training help him/her?
- What new attributions could you entrust to him/her in the department?
- What prospective developments are awaiting him/her?
- What are his/her prospects for promotion?

III. DURING THE INTERVIEW

The 6 main stages in the appraisal interview:

- Opening of the interview
- Updating and/or validation of the activities carried out by the staff member
- Factual assessment of the past year
- Preparation of the year ahead: setting objectives and indicators
- Exchange on the staff member’s professional development in terms of training and prospective career development
- Conclusion: summary of the interview and signing by both parties.
The major principles

The interview is a key opportunity for taking stock of the colleague’s situation and sharing his successes and difficulties, with the constant goal of improving his current performance.

Sufficient time must be scheduled to implement both parts of the interview, viz past and future activities and the “training” aspect.

REMINDER OF THE RULES OF THE GAME:

- transparency
- constructive approach
- dialogue
- respect for the person
- concentrating on professional activities

Some advice for successful interviews:

- personally welcome the staff member at the scheduled time in a place where confidentiality is guaranteed
- ensure that there are no interruptions during the interview
- ensure that the staff member can "self-assess"
- appraise not the individual but the work which he has performed over the year
- maintain a convivial climate based on confidence
- avoid any “settling of scores”
- go beyond mere diagnosis and make actual practical proposals
- ensure that you can review your viewpoint on the basis of facts provided by the staff member
- build up a relationship based on co-operation and teamwork, remembering that this is not the sole opportunity for communication during the year.

Interview content:

The interview begins with an introductory welcoming phase in order to install a climate of trust and dialogue.

The interview must be based on the headings on the appraisal form.

Below we set out some pointers to explaining specific themes, sections or concepts set out in the appraisal form.

Section I – the staff member’s administrative situation

This section is filled out in advance by the DHR.
Section II – job description and main activities exercised

Specify the job title and the three or four main activities assigned to the agent, in consultation with the latter.

This is an opportunity for taking stock of the post together:

- main activities
- requisite competences, knowledge and experience
- resources available to the staff member (human resources, budget etc)
- the appraiser may, if necessary, introduce changes into the appraisee’s duties
- you may take the opportunity of writing up or adapting the job description in consultation with the staff member
- you may complement this section with reference to the CNFPT (national centre for the local and regional civil service) job descriptions, bearing in mind that the information which you include must correspond to the duties effectively discharged by the staff member (www.cnfpt.fr > repertoire des metiers territoriaux > choisir la famille > fiche detallée du metier > Activités (bottom of page)).

Section III – Assessment of the past year

Invite your colleague to assess his or her own year first.

3.1 Main events of the past year

You should note the contextual elements relativizing the results, eg recent recruitment, departmental reorganisation, natural disaster, etc).

It is vital that you let your colleague talk primarily about the main events in his activities over the year, the positive aspects of his work, any difficulties he encountered and his proposals concerning his role and function.

3.2 Assessment of missions and/or objectives in the past year

The exchange concerns the conditions and reasons for obtaining or failing to obtain results.

You must then evaluate the professional results in the light of the objectives set, the resources assigned and organisational and operational conditions in the department.

You must define the level of achievement of each objective using the appraisal scale (see appended definition of appraisal levels).
3.3 **Appraisal of the staff member’s professionalism**

The main aim here is to objectively and honestly appraise, in the light of the observations in section II (job description and main activities), the manner in which the staff member performs his work.

For each criterion, illustrate the results as far as possible with practical achievements and salient facts.

<table>
<thead>
<tr>
<th>THE FACTS</th>
<th>OPINIONS OR FEELINGS</th>
</tr>
</thead>
<tbody>
<tr>
<td>. observable</td>
<td>. debatable</td>
</tr>
<tr>
<td>. quantifiable AND NOT</td>
<td>. disputable</td>
</tr>
<tr>
<td>. verifiable</td>
<td>. systematically conflicted</td>
</tr>
</tbody>
</table>

**Section IV - Establishing projects and objectives for the coming year**

With a view to ensuring realism and efficiency, a maximum of three objectives and projects must be set. The objectives point to action priorities linked to the specific post. They express the staff member’s expected contribution at a given time, in the context of his attributions and his unit’s collective orientations.

Formulate the progress objectives to be achieved and identify monitoring indicators for appraising the level of achievement of the objective. Otherwise, try to specify qualitative appraisal or monitoring methods.

*Re. defining objectives and indicators, see Appendix 3.*

Do not forget that the objective must be discussed in order to be accepted and validated by both parties.

**Section V – Training and professional development**

At this stage exchange and negotiation are required on:

- training
- desired improvements
- prospects for career development.
5.1 The interview on training may be based on the following points:

A separate training sheet is drawn up:

- overall assessment of past training courses (reminder of courses taken and inventory of competences acquired or developed)
- definition of training actions required for the appraisee’s assigned tasks, likely developments in his activities and professional and personal prospects.

The appraisee might usefully be invited to prioritise his wishes, possibly with your help. You are invited to give your opinion on these wishes.

These wishes give rise to an analysis by the training department, which will arbitrate in accordance with the authority’s strategic orientations, departmental projects and budgetary restraints.

5.2 Wishes vis-à-vis professional development

The aim here is to note the staff member’s wishes, advise him and provide your own opinion, which can help him construct his professional project.

**Section VI – Appraisal report**

This provides an opportunity for developing an overview of the staff member’s contribution and therefore for selecting the competences which you wish to highlight (positively or negatively) in the overall appraisal of his work. This is also a chance to mention the extent of his involvement and general efforts.

Next, define the overall performance appraisal.

The interview should not systematically aspire to achieving consensus.

In this context the different viewpoints are mentioned in the report.

You can draw up the interview report either at the end of the interview or at a later stage, but in the latter case you must forward it to the appraisee within 10 days of the interview.

The appraisee then has a further 10 days after receiving the report to return the appraisal form to you, accompanied by possible comments.

**Section VII – Opinion on desired developments**

You are invited to take account of the appraisal in order to decide on the appraisee’s career development.
Section VIII – Any comments from the staff member

The appraisee has a special space to give his views on the assessment of the current year, the prospects for the coming year and the summary.

Section IX – Signatures

The form must be signed by the appraisee and yourself, and you must each keep a copy.

The signature certifies that the interview has taken place and that the appraisee has read his appraisal report.

The director may also sign the form and make a specific recommendation concerning the staff member’s professional activity, without casting doubt on the appraiser’s appraisal.

The assessment form must also be filled in.

IV. AFTER THE INTERVIEW

The overall appraisal form and the assessment form must be forwarded to the appraisee’s superiors and then to the DHR by 31 December.

APPENDIX I – ASSESSMENT

Assessment is mandatory under the relevant legislative and statutory provisions.

You must therefore continue to fill in the grading sheet, comprising two compulsory items: a numerical mark and a written appraisal.

A mark between 0 and 20 must be entered on the assessment form, to be signed by the staff member after validation and visa from the territorial authority.

This assessment still has an impact on the system of allowances for the different grades. Promotions are decided on the basis of the assessment in conjunction with the appraisal.

You must assess staff members who have been working during the past year, with over 6 months’ actual presence in your department.
## APPENDIX 2 – DEFINING APPRAISAL LEVELS

<table>
<thead>
<tr>
<th>Levels</th>
<th>Results obtained for tasks and/or objectives fixed</th>
<th>Overall performance evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INSUFFICIENT</strong></td>
<td>No objective has been attained</td>
<td>Performance considerably below expectations</td>
</tr>
<tr>
<td><strong>REQUIRES FURTHER DEVELOPMENT</strong></td>
<td>Under half of the objectives have been achieved</td>
<td>Performance up to expectations in some areas, while improvements are needed in others</td>
</tr>
<tr>
<td><strong>SATISFACTORY</strong></td>
<td>Most of the objectives have been achieved</td>
<td>Performance up to expectations</td>
</tr>
</tbody>
</table>

- **Professionalism**
  - **INSUFFICIENT**: Insufficient competences and qualities or insufficient motivation to discharge the duties or post.
  - **REQUIRES FURTHER DEVELOPMENT**: Difficulties with discharging the duties and/or performing the work. May result from redeployment to the post or learning of new competences. Usually requires supervision and sustained support.
  - **SATISFACTORY**: The contribution is that to be expected of a person with the requisite skills and experience for this post. Requires normal supervision and monitoring.
<table>
<thead>
<tr>
<th>GOOD</th>
<th>All objectives have been obtained</th>
<th>Proper mastery of competences, with the requisite qualities to discharge duties and/or the post. Contribution sometimes exceeds the requirements of the post. Requires very little support or supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>EXCELLENT</td>
<td>All objectives have been met despite any difficult situations and/or have been generally exceeded</td>
<td>Recognised as an expert in his field. Initiative in identifying ambitious professional objects and devising optimum solutions</td>
</tr>
</tbody>
</table>

### APPENDIX 3 – BENCHMARKS FOR SETTING OBJECTIVES AND INDICATORS

**What is an objective?**

- An expected result expressed in a short sentence, with an active verb
- By a specific date
- Measured by indicators
- Accompanied by resources, to be defined
- And an action plan to achieve it.

**An objective is:**

- Realistic, practical and clear
- Measurable, systematically specifying the indicators.

Examples of objectives, indicators and corresponding facts:
Objective: ability to respect deadlines

Chosen indicators: no. of days’ delay or advance on schedule, on request

Tools to be introduced: work schedule, programme

The fact: no delay, or even advance, or other specific situation vis-à-vis the staff member

Proof of this fact: timetable validated by both parties

The means of defining an objective with an appraisee depends on the latter’s degree of autonomy.

**What is an indicator?**

An indicator is a measurement for verifying whether the objective has been fully or partly achieved. Indicators vary according to the nature of the objectives.

| 1. Setting indicators for achievement: figures, ratio, quantitative and qualitative indicators | • How will I know when the objectives have been achieved?  
• What figures should be used to measure a result?  
• What kind of follow-up is needed to measure this indicator? What tools are needed? What kind of monitoring mechanism? |
|---|---|
| 2. Defining methods | • What resources are needed to achieve the objective?  
• What resources are lacking (staffing, budget, time)?  
• Can I secure these resources?  
• How, and at what cost? |
| 3. Programming the monitoring activity | • What are the foreseeable difficulties in the various objective-achievement phases?  
• What intermediate assessments are required?  
• What is the staff member’s opinion?  
• What monitoring procedure should be used? |

**Name: Forename: Reference number**

**File no.:**

**Department code:**
I. ADMINISTRATIVE SITUATION OF THE APPRAISEE

Name: Forename:
Date of birth: Reference number:
Directorate: Department:
Status: Category:
Grade: Step:

II. CURRENT JOB DESCRIPTION:

Reminder of job description of past year:

MAIN ACTIVITIES EXERCISED: see corresponding job in CNFPT directory of jobs
www.cnfpt.fr

Job description appended: yes / no

III. ASSESSMENT OF THE PAST YEAR

3.1 Salient events during the past year:

3.2 Assessment of tasks and/or objectives from the past year
Specifying significant facts and/or figures showing the extent to which objectives were achieved

APPRAISAL LEVELS - tick one appraisal level

U - unsatisfactory
NI– Needs improvement
S - satisfactory
G - good
E - excellent
Objective 1

Objective 2

Objective 3

Summary of results achieved:

(Appraisal levels: insufficient – requires further development – satisfactory – good – excellent)

3.3 Appraisal of the staff member’s professionalism

- Illustrate with significant facts showing the person’s contribution vis-à-vis activities or the specific features of his post
- Mastery of techniques and know-how inherent in the post or job
- Compliance with instructions, carrying them out precisely and thoroughly
- Ability to report and alert
- Autonomy
- Capacity for adaptation
- Initiative
- Relations with others (users, colleagues, etc)

FOR MANAGERS

(for all posts with a management dimension, whether in A, B or C categories)
- Defining team objectives (re. Annual Performance Programme) and monitoring and evaluating them
- Communicating: transmitting the strategy and information, explaining, providing meaning
- Organising and distributing work (delegation, supervising files)
- Analysing situations, deciding and arbitrating
- Enhancing team and individual prestige

SUMMARY OF STAFF MEMBER’S PROFESSIONALISM (one tick only)

(Appraisal levels: insufficient – requires further development – satisfactory – good – excellent)

IV. FIXING PROJECTS AND SETTING OBJECTIVES FOR THE COMING YEAR

OBJECTIVES SET (3 maximum)

Define the expected contribution to collective and individual objectives, whether quantitative or qualitative, specifying the requisite resources, the success indicators and the timetable for objectives
Objective 1:
Objective 2:
Objective 3:

V. TRAINING AND PROFESSIONAL DEVELOPMENT

5.1 Training, cf. appended sheet

5.2 Desired professional development

APPRASSEE’S PROFESSIONAL PROJECT:
The aim is to reflect the wishes expressed by the staff member, which must be expanded upon and logically defended.
Do not fill in if the project has already been submitted to the DHR.

PROMOTION WISHES
(after passing competitions or moving up in grade, internal promotion)

REASONED OPINION BY THE APPRAISER ON THE STAFF MEMBER’S WISHES IN TERMS OF PROFESSIONAL DEVELOPMENT (mobility, promotion, etc)

VI. APPRAISAL REPORT FROM THE PREVIOUS YEAR

Drawn up by the appraiser

*Significant facts used to illustrate the choice of overall performance*

Strong points:
Requisite improvements:
OVERALL PERFORMANCE APPRAISAL

(Results and professionalism)

(Appraisal levels: insufficient – requires further development – satisfactory – good – excellent)

APPRAISAL LEVELS
(tick one appraisal level)
U, NI, S, G, E

VII. OPINION ON DESIRED DEVELOPMENT

For civil servants: opinion on advancement to the next step:
Appraiser’s proposal: minimum maximum

For contract staff: opinion on next pay rise
Appraiser’s proposal: yes no

VIII. ANY COMMENTS BY THE STAFF MEMBER ON THE INTERVIEW AS A WHOLE

IX. SIGNATURES

Date of interview: Duration:

APPRAISER (N + 1) STAFF MEMBER
NAME, Forename: Date: 
Function: Signature

Signature:

THE DIRECTOR OBSERVATIONS:
NAME, Forename:
Function:
Signature:

 Signing the form confirms that the interview has taken place. It shows that the staff member has read his appraisal report, but not that he has approved it.
6.3.5 Training programmes

a) City of Bordeaux (Training Plan)

**PROVISIONAL TRAINING PROGRAMME**

**(JUNE 2010 – 2012)**

Provisional Training Programme 2010-2012

**OBJECTIVE 1: Compulsory statutory training courses**

Integration courses

These courses must be taken during the year following the appointment or change of post and last for 5 days. They are organised and programmed by the CNFPT for each of the categories A, B and C.

<table>
<thead>
<tr>
<th>DRH Theme</th>
<th>Course title</th>
<th>Need</th>
<th>Days of course</th>
<th>Directorate General</th>
<th>Organisation</th>
<th>Staff Nos.</th>
</tr>
</thead>
<tbody>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core A</td>
<td></td>
<td>5</td>
<td>DG Cult Aff</td>
<td>Enact Montpellier</td>
<td>3</td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core A</td>
<td></td>
<td>5</td>
<td>DG Planning</td>
<td>Enact Montpellier</td>
<td>1</td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core A</td>
<td></td>
<td>5</td>
<td>DG Finance</td>
<td>Enact Montpellier</td>
<td>1</td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core A</td>
<td>5</td>
<td>DG Soc Aff</td>
<td>Enact Montpellier</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core C</td>
<td>5</td>
<td>DG</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core C</td>
<td>5</td>
<td>DG Planning</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core C</td>
<td>5</td>
<td>DG Finance</td>
<td>CNFPT Aquitaine</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core C</td>
<td>5</td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core C</td>
<td>5</td>
<td>DG Urb</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>T1 F1 Common core</td>
<td>F1 Common core C</td>
<td>5</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>9</td>
<td></td>
</tr>
<tr>
<td>Police</td>
<td>F1 Policing theory</td>
<td>76</td>
<td>DG Urb</td>
<td>CNFPT Aquitaine</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This table only covers staff who are already registered for integration training following their internships and who have not yet begun their integration training. It is difficult to estimate the number of integration courses over the three coming years because they will depend on the number and mode of recruitment (internal or external).

**Professionalisation courses**

There are three types of courses available:

**First-post:** three days for C category, 5 days for A and B categories, 10 days maximum in all cases, to be followed within 2 years of appointment to a new post. For the same reasons as in the case of integration training, it is difficult to estimate the number of staff concerned.
**Career-long**: between 2 and 10 days every five years. This applies to all civil servants apart from those concerned by integration and first-post training. The new version of the NEEVA training software (which should be delivered in September 2010) should provide us with an accurate overview of all staff records.

**On taking up a position of responsibility**: between 3 and 10 days after taking up the new duties (functional post or post eligible for managerial NBI (index bonus notification)). The training department transmits lists of the staff members concerned to the CNFPT with a view to implementing the training courses.

**OBJECTIVE 2: Health and safety training**

**Area 1. Professionalising healthcare and safety operators**

<table>
<thead>
<tr>
<th>Theme</th>
<th>Course title</th>
<th>Need</th>
<th>Days of course</th>
<th>Directorate General</th>
<th>Organisati on</th>
<th>Staff Nos</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSO and prevention operatives</td>
<td>Expression of need</td>
<td>HSO training</td>
<td>-</td>
<td>Mayor’s Office and DG Urb</td>
<td>To be defined</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Prevention operative</td>
<td>-</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>HSO documents</td>
<td></td>
<td>3</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Criminal liability of HSO in the exercise of duties</td>
<td></td>
<td>1</td>
<td>DG Cult Aff</td>
<td>APAVE</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Integrating psycho-social risks in risk assessment and the single document</td>
<td></td>
<td>1</td>
<td>DG</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td>Members</td>
<td>Expression of need</td>
<td>CHS (rooms / stadium)</td>
<td>-</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>First aid monitoring</td>
<td>-</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>3</td>
</tr>
<tr>
<td>Expression of need</td>
<td>First aid monitoring</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------------------</td>
<td>----------------------</td>
<td>------------</td>
<td>---------------</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of Need</td>
<td>First aid certificate</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>2</td>
<td>DG Planning</td>
<td>DHR Training</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>3</td>
<td>DG Cult Aff</td>
<td>DHR Training</td>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>3</td>
<td>DG Finance</td>
<td>DHR Training</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>3</td>
<td>DG Sci Tech</td>
<td>DHR Training</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>3</td>
<td>DG Urb</td>
<td>DHR Training</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First aid monitoring</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>DHR Training</td>
<td>29</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and Safety further training</td>
<td>1</td>
<td>DG Cult Aff</td>
<td>DHR Training</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and Safety further training</td>
<td>1</td>
<td>DG Finance</td>
<td>DHR Training</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and Safety further training</td>
<td>1</td>
<td>DG Sci Tech</td>
<td>DHR Training</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and Safety further training</td>
<td>1</td>
<td>DG Urb</td>
<td>DHR Training</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and Safety further training</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>DHR Training</td>
<td>28</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health and Safety further training</td>
<td>2</td>
<td>Health and Safety further training</td>
<td>DHR Training</td>
<td>108</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SS1AP</td>
<td>SS1AP = fire safety and personal assistance officer</td>
<td>10</td>
<td>DG Cult Aff</td>
<td>CNFPT Aquitaine</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>-------</td>
<td>-----------------------------------------------</td>
<td>----</td>
<td>-------------</td>
<td>----------------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Fire safety</td>
<td></td>
<td>1</td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>16</td>
<td></td>
</tr>
<tr>
<td>Fire safety</td>
<td></td>
<td>1</td>
<td>DG Urb</td>
<td>CNFPT Aquitaine</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Fire safety</td>
<td></td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>SS1AP2</td>
<td></td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>SS1AP2</td>
<td></td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Updating ERP1 to SS1AP1</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>HEALTH Expression of need Technical developments, products, pests and biocide regulations</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

**Area 2. Ensuring health and safety among the general public**

<table>
<thead>
<tr>
<th>Theme</th>
<th>Course title</th>
<th>Need</th>
<th>Days of course</th>
<th>Directorate General</th>
<th>Organisation</th>
<th>Staff Nos.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fire extinguisher handling</td>
<td>Expression of need</td>
<td>Extinguisher handling</td>
<td>-</td>
<td>Nursery and primary schools</td>
<td>To be defined</td>
<td>800</td>
</tr>
<tr>
<td>Emergency first aid</td>
<td>Emergency first aid</td>
<td>1</td>
<td>DG Cult</td>
<td>CNFPT Aquitaine</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>---------------------</td>
<td>---------------------</td>
<td>---</td>
<td>---------</td>
<td>-----------------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Emergency aid</td>
<td></td>
<td>1</td>
<td>DG Planning</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Emergency aid</td>
<td></td>
<td>1</td>
<td>DG Sci Tech</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Emergency aid</td>
<td></td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>PSC1-PSE2</td>
<td>Expression of need</td>
<td></td>
<td>Conservatoire</td>
<td>CNFPT Aquitaine</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Expressions of need</td>
<td>First aid, safety</td>
<td></td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>13</td>
<td></td>
</tr>
<tr>
<td>Expressions of need</td>
<td>First aid</td>
<td></td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Expressions of need</td>
<td>First aid</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>14</td>
<td></td>
</tr>
<tr>
<td>Expressions of need</td>
<td>First aid</td>
<td></td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>36</td>
<td></td>
</tr>
<tr>
<td>Expressions of need</td>
<td>Refresher course in first aid for children</td>
<td></td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Further training</td>
<td></td>
<td>3</td>
<td>Swimming pools</td>
<td>Unass formation Gironde</td>
<td>180</td>
<td></td>
</tr>
<tr>
<td>Combatting animal nuisances</td>
<td>Expression of need</td>
<td>New kinds of pets</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td>Collective catering</td>
<td>Day nursery meals</td>
<td>2</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Area 3 – Acquiring the requisite knowledge and certification to discharge duties</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Theme</th>
<th>Course title</th>
<th>Need</th>
<th>Days of course</th>
<th>Directorate General</th>
<th>Organisation</th>
<th>Staff Nos.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electrical hazards</td>
<td>Expression of need</td>
<td>Electrical certificate</td>
<td>-</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Electrical certificate</td>
<td>-</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>2</td>
</tr>
<tr>
<td>Expression of need</td>
<td>Electrical certificate</td>
<td>-</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>--------------------</td>
<td>------------------------</td>
<td>---</td>
<td>-------------</td>
<td>---------------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Electricity</td>
<td>-</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Motor car electrics (basics)</td>
<td>-</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Electricity – direct current</td>
<td>-</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Repairs to electrical installations</td>
<td>-</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Minor electrical repairs</td>
<td>-</td>
<td>DG Sci Tech</td>
<td>I Mexico</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Special training for non-electricians</td>
<td></td>
<td></td>
<td>DG Sci Tech</td>
<td>AFT-IFTiM</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

**Machinery**

<table>
<thead>
<tr>
<th>Expression of need</th>
<th>CACES R 372 Category 1 mechanical sweeper</th>
<th></th>
<th>CACES – contract in hand</th>
<th>AFT-IFTiM</th>
<th>20</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expression of need</td>
<td>CACES R 372 all categories of worksite machinery</td>
<td></td>
<td>CACES</td>
<td>AFT-IFTiM</td>
<td>51</td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACE R 372 all categories – refresher course</td>
<td></td>
<td>CACES</td>
<td>AFT-IFTiM</td>
<td>19</td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES R 386 Basket</td>
<td>CACES</td>
<td>AFT-iFTiM</td>
<td>25</td>
<td></td>
</tr>
<tr>
<td>--------------------</td>
<td>--------------------</td>
<td>-------</td>
<td>-----------</td>
<td>----</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES R 386 Basket – refresher course</td>
<td>CACES</td>
<td>AFT-iFTiM</td>
<td>32</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES R 389 Forklift truck</td>
<td>CACES</td>
<td>AFT-iFTiM</td>
<td>37</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES R 389 Forklift truck – refresher course</td>
<td>CACES</td>
<td>AFT-iFTiM</td>
<td>31</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES R 390 auxiliary crane refresher course</td>
<td>CACES</td>
<td>AFT-iFTiM</td>
<td>24</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES</td>
<td>DG</td>
<td>AFT-iFTiM</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES loader, forklift, compacter, cranes, lifting appliances, worksite machinery, basket, etc</td>
<td>DG Sci Tech</td>
<td>AFT-iFTiM</td>
<td>55</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>CACES road sweeper R372 cat. 1 basket,</td>
<td>DG Urb</td>
<td>AFT-IFTiM</td>
<td>18</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>DG</td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>----</td>
<td>---------------</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>misc. machinery, etc</td>
<td>DG Soc Aff</td>
<td>AFT-iFTiM</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Forklift truck licence</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Driving licence</td>
<td>Mayor's office</td>
<td>To be defined</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Licences C, E, EB and EC</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Licences C, E, EB and EC</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>17</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Licences C, E, EB and EC</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working at heights</td>
<td>New arrivals, mobility and registration by HSOs</td>
<td>To be defined</td>
<td>To be defined</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working at heights</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working at heights</td>
<td>DG Scie Tech</td>
<td>To be defined</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working at heights</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Scaffolding</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>------------</td>
<td>-------------</td>
<td>---------------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Scaffolding</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td><strong>Phytosanitary and chemical hazards</strong></td>
<td>Hazardous products</td>
<td>1</td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
</tr>
<tr>
<td><strong>Upkeep of premises</strong></td>
<td>Expression of need</td>
<td>Cleaning products</td>
<td>Mayor’s office</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Cleaning products</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Cleaning products</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Hygiene and upkeep of premises</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Health and safety</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Machine and product</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Cleaning</td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Use of microfibres</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Microfibres</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>50</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Upkeep of premises – further training</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>2</td>
</tr>
<tr>
<td>Expression of need</td>
<td>Upkeep and maintenance</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>--------------------</td>
<td>-------------------------</td>
<td>------------</td>
<td>---------------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Hygiene of premises and material in infant care centre</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Toy disinfection</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Health and environment</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Hygiene and cleaning in ERPs</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Cleaning plan</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Upgrading cleaning techniques</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Using cleaning products and material</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Hygiene and upkeep of premises and public areas</td>
<td>2</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>Cleaning and protecting (tiled) floors</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>Protecting PVC floors</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reminder of cleaning principles</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>HACCP</td>
<td>HACCP Standards</td>
<td>All directorates with catering areas</td>
<td>To be defined</td>
<td>Currently being registered</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Food hygiene</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>HACCP</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HACCP Network trainer training</td>
<td>2</td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>HACCP Network trainer training</td>
<td>2</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Food hygiene – compliance with HACCP Standards</td>
<td>3</td>
<td>Mayor’s office</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Food hygiene – compliance with HACCP standards</td>
<td>3</td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Topic</td>
<td>Code</td>
<td>Responsible Authority</td>
<td>Location</td>
<td>Number</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>------</td>
<td>-----------------------</td>
<td>--------------------</td>
<td>--------</td>
<td></td>
</tr>
<tr>
<td>Food hygiene – compliance with HACCP standards</td>
<td>3</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>22</td>
<td></td>
</tr>
<tr>
<td>HACCP standard implementation</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>HACCP Standard reminder of good practice</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Protective gear</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wearing protective gear</td>
<td></td>
<td>Technical assistants</td>
<td>To be defined</td>
<td>1000</td>
<td></td>
</tr>
<tr>
<td>Tonfa Self-defence</td>
<td>6</td>
<td>DG Urb</td>
<td>DHR Training</td>
<td>79</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Tonfa training</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>First aid Course</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>First Aid Instructors</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>First aid monitors</td>
<td></td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>
Area 4 – Awareness of professional risks and integration regulations on health and safety in teams’ everyday work

<table>
<thead>
<tr>
<th>Theme</th>
<th>Course title</th>
<th>Need</th>
<th>Days of Course</th>
<th>Directorate General</th>
<th>Organisation</th>
<th>Staff Nos.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specific basic training on regulations</td>
<td>Expression of need</td>
<td>Safety regulations</td>
<td></td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Security of property and personal safety</td>
<td></td>
<td>DG Cult Aff</td>
<td>To be defined</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Health and safety</td>
<td></td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>ERP regulations (electricity)</td>
<td></td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Fire safety regulations</td>
<td>1</td>
<td>DG Cult Aff</td>
<td>CNFPT Aquitaine</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Fire safety regulations</td>
<td>1</td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Fire safety regulations</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>ERP security</td>
<td></td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>ERP security</td>
<td></td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Expression of need</td>
<td>Security (work and procedures)</td>
<td></td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
</tr>
<tr>
<td>Expression of need</td>
<td>Departmental health regulations and public health code</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>------------------------------------------------------</td>
<td>--------</td>
<td>---------------</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Regulations on safety of premises taking in children</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression on need</td>
<td>Regulations on safety of premises taking in children</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regulations on electrical certificates, CACES and working at heights</td>
<td>1</td>
<td>DG</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff awareness</td>
<td>SST – Rescuing injured person from tree</td>
<td>3</td>
<td>DG Sci Tech</td>
<td>Châteauneuf-du-Rhône CFPF</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Staff awareness</td>
<td>SST – Rescuing injured person from tree</td>
<td>3</td>
<td>DG Urb</td>
<td>Châteauneuf-du-Rhône CFPF</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Quantified management of tree-related risks</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Trees and wind</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>----------------</td>
<td>-------------</td>
<td>---------------</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Road safety</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Road safety</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Safety on the public highway</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Signposting on the public highway</td>
<td>DG Sci Tech</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Signposting and traffic regulations</td>
<td>DG Urb</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expression of need</td>
<td>Safety in sports amenities</td>
<td>DG Soc Aff</td>
<td>To be defined</td>
<td>1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Area 5 – Preventing staff burnout**

<table>
<thead>
<tr>
<th>Theme</th>
<th>Course title</th>
<th>Need</th>
<th>Days of course</th>
<th>Directorate General</th>
<th>Organisation</th>
<th>Staff Nos</th>
</tr>
</thead>
<tbody>
<tr>
<td>Physical wear</td>
<td>Movements and postures</td>
<td>DGVSC (day-nurseries)</td>
<td>To be defined</td>
<td>300</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Course</td>
<td>No.</td>
<td>Department</td>
<td>Location</td>
<td>Code</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------</td>
<td>-----</td>
<td>------------------</td>
<td>-------------------</td>
<td>------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRAP leader training</td>
<td>9</td>
<td>DG</td>
<td>CNFPT Poitou-Charentes</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRAP movements and postures</td>
<td></td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRAP movements and postures</td>
<td>1</td>
<td>DG Urb</td>
<td>CNFPT Aquitaine</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRAP movements and postures</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Psychological wear</td>
<td></td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stress and aggression management</td>
<td>1</td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Psychological wear</td>
<td></td>
<td>DG</td>
<td>CNFPT Aquitaine</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stress and aggression management</td>
<td></td>
<td>DG Planning</td>
<td>CNFPT Aquitaine</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stress and aggression management</td>
<td></td>
<td>DG Sci Tech</td>
<td>CNFPT Aquitaine</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stress and aggression management</td>
<td></td>
<td>DG Urb</td>
<td>CNFPT Aquitaine</td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stress and aggression management</td>
<td></td>
<td>DG Soc Aff</td>
<td>CNFPT Aquitaine</td>
<td>21</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Childcare professional stress: day-to-day</td>
<td>4</td>
<td>DG Soc Aff</td>
<td>DG Soc Aff</td>
<td>19</td>
<td></td>
<td></td>
</tr>
<tr>
<td>management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
b) City of Lille (Training Programme)

Sample
Training Plan

Henri Hammiche – CoE expert
March 2011

APPENDIX 1: Budget estimate for 2010 training plan (€ 340 800)

1. Support for units

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Directorate</th>
<th>Target group</th>
<th>No. Pers.</th>
<th>Expected duration</th>
<th>CNFPT</th>
<th>Intern</th>
<th>Mark-</th>
<th>Estima-</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer production quality approach</td>
<td>Computer Systems Dept</td>
<td>Project leaders</td>
<td>18</td>
<td>4500€</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>-----------------------</td>
<td>-----------------</td>
<td>----</td>
<td>-------</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Private account analysis and reinforced advice on finance plans</td>
<td>Finance and Management Dept</td>
<td>Management Controllers</td>
<td>10</td>
<td>21</td>
<td>3100€</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certification and legal protection of procedures</td>
<td>Finance and Management Department</td>
<td>?</td>
<td></td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Securing debts</td>
<td>Finance and Management Dept</td>
<td>?</td>
<td></td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Auditing</td>
<td>Auditing Dept</td>
<td>Auditors</td>
<td>4</td>
<td>10000€</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total 28600€

**APPENDIX 1: Budget estimate for 2010 training plan (€ 340 800)**

1. Support for units

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Directorate</th>
<th>Target group</th>
<th>No. Pers.</th>
<th>Expected duration</th>
<th>CNFPT</th>
<th>Internal</th>
<th>Market</th>
<th>Estimate</th>
<th>Comment</th>
</tr>
</thead>
</table>

284
## Area1: Communication

<table>
<thead>
<tr>
<th>Description</th>
<th>Responsible</th>
<th>Unit</th>
<th>Quantity</th>
<th>Duration</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>DHR Reception</td>
<td>Dept of Human Resources</td>
<td></td>
<td></td>
<td></td>
<td>€10,500</td>
</tr>
<tr>
<td>Training for communication operatives and communication training</td>
<td>All units</td>
<td>Communication operatives</td>
<td>40</td>
<td>2 days</td>
<td>€20,000</td>
</tr>
<tr>
<td>Reception of persons with disabilities in crematorium</td>
<td>General Resources Dept</td>
<td>Crematorium operatives</td>
<td>10</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Reception and communication (security services)</td>
<td>General Resources Dept</td>
<td>Security staff</td>
<td>24</td>
<td>2 days</td>
<td>€12,000</td>
</tr>
<tr>
<td>Public relations</td>
<td>Depts: Mobility and Transport; Public Spaces; Ecology and Urban Spaces</td>
<td>All staff in contact with the general public</td>
<td>24</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communication through sport</td>
<td>Sports Dept</td>
<td>Management</td>
<td>15</td>
<td>2 days</td>
<td>€5,000</td>
</tr>
</tbody>
</table>
## APPENDIX 1: Budget estimate for 2010 training plan (€ 340 800)

### 1. Support for units

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Directorate</th>
<th>Target group</th>
<th>No. Pers.</th>
<th>Expected duration</th>
<th>CNFPT</th>
<th>Intern.</th>
<th>Market</th>
<th>Estimate</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Area 3: Increasing staff skills</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Introduction to local finances</td>
<td>All units</td>
<td>All staff</td>
<td>60</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Description</td>
<td>Unit</td>
<td>Role</td>
<td>Duration</td>
<td>Cost</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------</td>
<td>-----------------------</td>
<td>---------------</td>
<td>----------</td>
<td>----------</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support for general and unit staff in connection with finance, public contracts and human resources</td>
<td>All units</td>
<td>?</td>
<td>?</td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounting aspects</td>
<td>Finance and Management</td>
<td>Financiers</td>
<td>8</td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Execution of expenditure and receipts</td>
<td>Finance and Management</td>
<td>Financiers</td>
<td>18</td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Differentiated Management of green and natural areas</td>
<td>General resources dept</td>
<td>Gardeners</td>
<td>8</td>
<td>1 day</td>
<td>1500€</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Promoting awareness of heritage management</td>
<td>General resources dept</td>
<td>Technicians</td>
<td>20</td>
<td>2 days</td>
<td>2800€</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Creating sports amenities</td>
<td>Sports Dept</td>
<td>Managerial Staff</td>
<td>5</td>
<td>2 days</td>
<td>3000€</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td><strong>7300€</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX 1: Budget estimate for 2010 training plan (€ 340 800)

1. Support for units

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Directorate</th>
<th>Target group</th>
<th>No. Pers.</th>
<th>Expected duration</th>
<th>CNFPT</th>
<th>Intern</th>
<th>Market</th>
<th>Estimate</th>
<th>Comment</th>
</tr>
</thead>
</table>

**Area 1: Piloting and Management**

<table>
<thead>
<tr>
<th>Support on taking up managerial duties</th>
<th>All units</th>
<th>Managerial Staff</th>
<th>140</th>
<th>X</th>
<th>X</th>
<th>75000€</th>
<th>Modules purchased from an outside contractor. Strategic mgt modules and tools available from CNFPT. 1 HR module conducted in-house</th>
</tr>
</thead>
</table>

| Business object | Computer Systems Dept | Computer users and project leaders | 60 | | | 15000€ | |
|-----------------|-----------------------|-----------------------------------|-----| | | | |

| Establishing and monitoring performance and other indicators | All units | To be defined | To be defined | | | To be defined | |
|----------------------------------------------------------------|-----------|--------------|--------------|---|---|----------|

288
### Professional position of manager

<table>
<thead>
<tr>
<th></th>
<th>All units</th>
<th>Managerial staff</th>
<th>140</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th>To be defined</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>90000€</td>
</tr>
</tbody>
</table>

### Subjects

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Directorate</th>
<th>Target group</th>
<th>No. Pers.</th>
<th>Expected duration</th>
<th>CNFPT</th>
<th>Internal</th>
<th>Market</th>
<th>Estimate</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Area 2: Evolving jobs and competences</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Secretary to management assistant</td>
<td>All units</td>
<td>Assistant s to be defined</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General secretariat posts: evolution of competence in finance, public contracts and HR</td>
<td>All General secretariats</td>
<td>To be defined</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>To be defined</td>
<td></td>
</tr>
<tr>
<td>Impact of new technology on skills (office technology)</td>
<td>All units</td>
<td>All staff</td>
<td>240</td>
<td>X</td>
<td></td>
<td></td>
<td>8500€</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8500€</td>
</tr>
</tbody>
</table>
APPENDIX 1: Budget estimate for 2010 training plan (€ 340 800)

1. Support for units

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Directorate</th>
<th>Target group</th>
<th>No. Pers.</th>
<th>Expected duration</th>
<th>CNFPT</th>
<th>Intern</th>
<th>Market</th>
<th>Estimate</th>
<th>Comment</th>
</tr>
</thead>
</table>

Area 3: promoting equal access to employment and career advancement

<table>
<thead>
<tr>
<th>Access to employment by alerting managers and teams to the need to promote diversity, integration of workers with disabilities, apprentices and support for older workers</th>
<th>All units</th>
<th>All staff</th>
<th>To be defined</th>
<th>x</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional development of staff discharging sensitive duties (new professional project)</td>
<td>General resources</td>
<td>Maintenance staff</td>
<td>To be defined</td>
<td>x</td>
</tr>
</tbody>
</table>
### Career development via competitive competitions

<table>
<thead>
<tr>
<th>Area 4: Safety at work</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mandatory statutory training courses</strong> (electrical certification, CACES, HGV licence)</td>
</tr>
<tr>
<td>Subjects</td>
</tr>
<tr>
<td>All units</td>
</tr>
<tr>
<td><strong>Awareness and prevention</strong> (movements and postures first aid)</td>
</tr>
<tr>
<td>All units</td>
</tr>
</tbody>
</table>

Total 56000€
## APPENDIX 2: REQUESTS FOR PERSONAL TRAINING

<table>
<thead>
<tr>
<th>No.</th>
<th>Cat.</th>
<th>Age</th>
<th>Need</th>
<th>Subject</th>
<th>Training Dept proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>C</td>
<td>25-35</td>
<td>licence B</td>
<td>Security</td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>C</td>
<td>25-35</td>
<td>Russian</td>
<td>Languages</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>3</td>
<td>B</td>
<td>35-45 years</td>
<td>Creating webpages</td>
<td>Computer and computer systems</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>4</td>
<td>C</td>
<td>45-55</td>
<td>CACES</td>
<td>Security</td>
<td>No</td>
</tr>
<tr>
<td>5</td>
<td>A</td>
<td>25-35</td>
<td>Further training in Spanish</td>
<td>Languages</td>
<td>No</td>
</tr>
<tr>
<td>6</td>
<td>A</td>
<td>45-55</td>
<td>Italian level A2</td>
<td>Languages</td>
<td>No</td>
</tr>
<tr>
<td>7</td>
<td>A</td>
<td>45-55</td>
<td>Receiving and providing information for persons with mental disabilities</td>
<td>Social welfare and health</td>
<td>No</td>
</tr>
<tr>
<td>8</td>
<td>B</td>
<td>45-55</td>
<td>Italian</td>
<td>Languages</td>
<td>No</td>
</tr>
<tr>
<td>9</td>
<td>C</td>
<td>35-45</td>
<td>Coach building</td>
<td>Technical engineering</td>
<td>No</td>
</tr>
<tr>
<td>10</td>
<td>C</td>
<td>25-35</td>
<td>DEUST Environment and waste</td>
<td>Professional position and preparation for examinations</td>
<td>Guidance</td>
</tr>
<tr>
<td>11</td>
<td>A</td>
<td>45-55</td>
<td>Italian</td>
<td>Languages</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>B</td>
<td>25-35</td>
<td>Spanish</td>
<td>Languages</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>13</td>
<td>A</td>
<td>25-35</td>
<td>Spanish</td>
<td>Languages</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>14</td>
<td>A</td>
<td>Under 25</td>
<td>(Further) training in use of video editing software</td>
<td>Computing and computer system</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>15</td>
<td>A</td>
<td>35-45</td>
<td>Italian (beginners) – HTT</td>
<td>Languages</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>16</td>
<td>A</td>
<td>25-35</td>
<td>Polish</td>
<td>Languages</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>C</td>
<td>25-35</td>
<td>Moderating Power Point meetings</td>
<td>Computing and computer systems</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>18</td>
<td>C</td>
<td>35-45</td>
<td>CAP Hairdressing</td>
<td>To be defined</td>
<td>No</td>
</tr>
<tr>
<td>19</td>
<td>B</td>
<td>45-55</td>
<td>Floral art Ikebana perf</td>
<td>Environment</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>20</td>
<td>B</td>
<td>35-45</td>
<td>Photo portraits</td>
<td>Culture, archives and documentation</td>
<td>No</td>
</tr>
<tr>
<td>21</td>
<td>A</td>
<td>25-35</td>
<td>Cycle repairs</td>
<td>Sport</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>22</td>
<td>B</td>
<td>25-35</td>
<td>Hairdressing</td>
<td>To be defined</td>
<td>Guidance</td>
</tr>
<tr>
<td>23</td>
<td>C</td>
<td>Over 55</td>
<td>Floral art</td>
<td>Environment</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>24</td>
<td>C</td>
<td>35-45</td>
<td>Licence D</td>
<td>Security (public transport)</td>
<td>No</td>
</tr>
<tr>
<td>25</td>
<td>B</td>
<td>Under 25</td>
<td>3rd year law degree by correspondence</td>
<td>Legal Affairs</td>
<td>Yes, outside working hours</td>
</tr>
<tr>
<td>26</td>
<td>A</td>
<td>Over 55</td>
<td>Shiatsu (introduction)</td>
<td>Sport</td>
<td>No</td>
</tr>
<tr>
<td>27</td>
<td>B</td>
<td>35-45</td>
<td>Illustrations – children</td>
<td>Education, children, youth</td>
<td>No</td>
</tr>
<tr>
<td>28</td>
<td>A</td>
<td>25-35</td>
<td>Spanish</td>
<td>Languages</td>
<td>No</td>
</tr>
<tr>
<td>29</td>
<td>A</td>
<td>35-45</td>
<td>Photoshop</td>
<td>Computing</td>
<td>Yes, outside working hours</td>
</tr>
</tbody>
</table>

### 6.4 Germany

This part consists of examples of good practices from two German cities (Freiburg and Offenburg) which have developed tools and guides in the fields of job profiling, recruitment procedures, staff appraisal, staff motivation and training programmes.
6.4.1 Job profiles

a) Freiburg (General Manager, Head of HR Department)

Post description

<table>
<thead>
<tr>
<th>Surname, first name</th>
<th>Date of birth</th>
<th>Job title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>General manager</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(Head of administration)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department</th>
<th>Division</th>
<th>Sector</th>
<th>Post Nr</th>
<th>Pay group</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central administration</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Description of duties

<table>
<thead>
<tr>
<th>Description of main duties</th>
<th>Percentage of time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Assisting the mayor in the strategic and political management of the administration as a whole, including in particular:</td>
<td>60</td>
</tr>
<tr>
<td>a) - Development of municipal policy guidelines</td>
<td></td>
</tr>
<tr>
<td>- Participation in project groups spanning various policy areas</td>
<td></td>
</tr>
<tr>
<td>- Preparation of meetings (in-house and public)</td>
<td></td>
</tr>
<tr>
<td>- Participation in the administrative reform process</td>
<td></td>
</tr>
<tr>
<td>- General co-ordination and policy support for the eight neighbourhoods</td>
<td></td>
</tr>
<tr>
<td>b) Chairing weekly meetings of the councillors responsible for policy areas and meetings of the municipal council's Council of Elders (convocation, determining the order of business and agenda items, preparation of own presentations, keeping of minutes and supervision of the execution of decisions)</td>
<td></td>
</tr>
<tr>
<td>c) Individual co-ordination of projects of importance for the city and formulation of conceptual proposals for the development of the municipal administration (including at municipal council level)</td>
<td></td>
</tr>
<tr>
<td>d) Overall management (technical, statutory, legal and political) of convocations and documentation for municipal council meetings at all levels</td>
<td>40</td>
</tr>
<tr>
<td>e) General management and management of policy area 1 activities (regarding matters of overall importance, financial issues, organisation and staff matters)</td>
<td></td>
</tr>
</tbody>
</table>
2. Managing the central administration in financial, organisational and human resources matters, in particular as regards agreement of objectives with the heads of division, departmental leadership and internal control

2. Hierarchical/administrative relationships

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Brief presentation of key hierarchical/administrative relationships, indicating objectives and issues requiring clarification or controversial topics</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Adviser to the mayor in the context of regular co-ordination meetings (mostly held on a daily basis) with regard to fundamental questions of municipal policy and the overall management of the in-house administration. Representative of the central administration, policy area 1 and the municipality at meetings with other authorities, policy areas, associations, companies and other external partners (civic associations, chairmen of political groups, councillors, the press, miscellaneous interest groups, neighbourhood mayors and councillors, heads of administrative bodies, ministries, and so on). Daily co-ordination of documentation, information, etc. with councillors responsible for policy areas and policy area bureaus, as well as with authorities/agencies concerned by decisions of the Conference of Policy Area Councillors and the Council of Elders. This includes expressing the views of policy area 1 and managing content. Content often concerns conflict-prone issues, making it necessary to reach an agreement reconciling understandably different interests. This frequently requires the preparation and analysis of many different information items of a technical or policy nature, the identification of alternative lines of action and their consideration in the decision-making process. On account of the type of administrative relationship there is a particular need to win over external partners, the councillors responsible for policy areas and the neighbourhood administrations with a view to securing their acceptance of the solutions being proposed, while at the same time seeking to achieve results that correspond to the wishes of the municipality and the mayor. The themes addressed frequently differ as to their form, substance and the partners involved.</td>
</tr>
<tr>
<td>2.</td>
<td>Regular meetings with heads of division and managers within the central administration (weekly) and ad hoc meetings with specific divisions, sectors and colleagues within the department.</td>
</tr>
</tbody>
</table>

3. Freedom of action

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Which of your activities allow you the greatest freedom of action?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The central management (partly in an auxiliary capacity and partly under my own authority) and co-ordination of policy area 1 represents a broad activity area devoid</td>
</tr>
</tbody>
</table>
of narrow constraints. Guidelines need to be reviewed in part and to be translated into practical proposals for action. In this field there are often no stringent internal restrictions on the postholder’s competence. The inception of new projects, and the updating of old ones, is largely a matter for the postholder’s own initiative, often involving determination of the degree of discretion he/she enjoys in the sector concerned.

From experience there is considerable freedom of action in managing the department, which is a direct, permanent responsibility of the postholder. It is also important in this context that new developments should be envisaged and proposed well in advance.

4. **Managerial and supervisory responsibilities**

<table>
<thead>
<tr>
<th>Number and duties of the staff reporting to the postholder</th>
</tr>
</thead>
<tbody>
<tr>
<td>A total of 70 staff members come under the postholder’s authority, plus one staff member working in the secretariat of the St Georgen borough council.</td>
</tr>
<tr>
<td>At present these staff include:</td>
</tr>
<tr>
<td>- 2 senior managers</td>
</tr>
<tr>
<td>- 16 middle managers</td>
</tr>
<tr>
<td>- 40 clerical staff</td>
</tr>
<tr>
<td>- 7 manual workers</td>
</tr>
<tr>
<td>- 1 apprentice</td>
</tr>
<tr>
<td>- 4 staff employed under the job opportunities scheme (“one euro jobs”)</td>
</tr>
</tbody>
</table>

5. **Reach and ramifications of the function**

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Number of areas or groups of people outside the postholder’s managerial and supervisory responsibility who are generally affected by the function performed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 and 2</td>
<td>On account of the comprehensive range of duties performed the function regularly has implications for the entire urban area, different parts thereof and individual citizens, interest groups, associations, initiatives, companies and also parties. Internally, this function has an impact on the entire administration, the councillors responsible for the policy areas and also the municipal council and its committees. The function is often in the political and public eye.</td>
</tr>
</tbody>
</table>

I certify that this information is correct | Staff Council visa | Done on: |
Post description

<table>
<thead>
<tr>
<th>Surname, first name</th>
<th>Date of birth</th>
<th>Job title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Human Resources Manager</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department</th>
<th>Division</th>
<th>Sector</th>
<th>Post Nr</th>
<th>Pay group</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources and Organisation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Description of duties

<table>
<thead>
<tr>
<th>Description of main duties</th>
<th>Percentage of time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Management of the Human Resources and Organisation Department, including the following divisions: - HR management and development - HR administration (civil service law, labour law and collective bargaining law) - Payroll, human resources budget, cost and activity accounting, recruitments - Organisation - IT - Project management administrative reform/new public management model</td>
<td>85</td>
</tr>
</tbody>
</table>

Management of the entire activity area, ensuring the performance of duties, preparation and implementation of plans for the further development of the human resources activity (HR development, HR administration), organisational development and use of IT in the municipal administration as a whole.

Identification of general problems and development of strategies to overcome them.

Introduction of new management methods

Performance of autonomous responsibilities assigned by the mayor (dismissals/appointments, authorisations, classification of staff, retirements)

2. Preparation of meetings of the Staff Committee and its sub-committees. Addressing committee meetings | 5 |
3. Advising the mayor and councillors responsible for policy areas on all technical matters relating to the activity area. Special duties entrusted by the mayor.

Chairing committees (e.g. job evaluation), project groups (e.g. HR development) and working groups (e.g. IT forum).
Chairman of the Health and Safety Committee. Co-operation with the Staff Council, preparation of the quarterly addresses given by the mayor and the councillors in charge of policy areas and implementation of outcomes.

2. Hierarchical/administrative relationships

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Brief presentation of key hierarchical/administrative relationships, indicating objectives and issues requiring clarification or controversial topics</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-3</td>
<td>Providing leadership for colleagues, setting work objectives with division heads, chairing meetings of division heads and divisions, working together with staff representatives, discussions/interviews with colleagues. Accountable representative of the department in external relations. Discussion and negotiation on HR decisions, questions of principle and key individual projects with authorities, staff representatives, the municipal council, the mayor and the councillors responsible for policy areas. Negotiations with trade unions and associations (Municipal Employers Association (KAV), Municipal Employment Association of Baden-Württemburg (KVBW))</td>
</tr>
<tr>
<td>1+3</td>
<td>Contacts with the regional IT centre, the joint local government agency, the Association of German Cities and Towns and with other municipalities</td>
</tr>
<tr>
<td></td>
<td>Dealing with problems, conflict resolution Decisions on controversial issues Inter-municipal exchange of information Presentation of papers, contributions to workshops in the context of in-house and external expert colloquies, representing the municipality at events organised by third parties.</td>
</tr>
</tbody>
</table>
3. Freedom of action

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Which of your activities allow you the greatest freedom of action?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1+3</td>
<td>Further development of all activity areas of the Human Resources and Organisation Department</td>
</tr>
<tr>
<td></td>
<td>- Formulation of proposals for human resources and organisational developments</td>
</tr>
<tr>
<td></td>
<td>- Design and development of a human resources information system</td>
</tr>
<tr>
<td></td>
<td>- Devising strategies and solutions for the implementation of new laws, regulations and collective agreements</td>
</tr>
<tr>
<td></td>
<td>- Taking decisions in human resources matters in the context of autonomous fulfilment of assigned responsibilities</td>
</tr>
<tr>
<td></td>
<td>- Preparation and review of agreements on working conditions in co-operation with the Staff Council</td>
</tr>
<tr>
<td></td>
<td>- Formulation of proposals for budgeting staff expenses, introduction of cost and activity accounting</td>
</tr>
<tr>
<td></td>
<td>- Deployment and further development of IT solutions</td>
</tr>
<tr>
<td></td>
<td>- Development of organisational solutions</td>
</tr>
<tr>
<td></td>
<td>- Development of web-based services for citizens</td>
</tr>
</tbody>
</table>

4. Managerial and supervisory responsibilities

<table>
<thead>
<tr>
<th>Number and duties of the staff reporting to the postholder</th>
</tr>
</thead>
<tbody>
<tr>
<td>- 5 heads of division (senior managers)</td>
</tr>
<tr>
<td>- 1 administrative reform project manager (senior manager on a fixed-term contract)</td>
</tr>
<tr>
<td>- 41 deputy division heads, section heads and other middle managers</td>
</tr>
<tr>
<td>- 32 officials and assistants performing clerical duties</td>
</tr>
</tbody>
</table>

5. Reach and ramifications of the function

<table>
<thead>
<tr>
<th>Who is most impacted by the function performed?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tasks</td>
</tr>
<tr>
<td>-------</td>
</tr>
<tr>
<td>1-3</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
b) Offenburg (Head of HR Department)

Field of activity: Central Services

Human Resources and Organisation Department
- Field 2 / Dept. 2.1 - Offenburg, 12.03.2001

NOTE FOR THE FILE
Post description as at 12.03.2001

Draft

I. **Job title**

Head of the Human Resources and Organisation Department, in the Central Services field

1.1. **Manager**

Direct report to the Head of Central Services

1.2 **Posts of equal rank**

Head of Media and Marketing Department
1.3 **Supervisory responsibilities**

Supervision of:
- Staff employed in human resources and organisational development
- Teams 1 (HR support) und 2 (technical support)
- Secretarial assistants

1.4 **Deputising duties**

Active: Head of Central Services

Passive: Mr Horcher, Human Resources and Organisational Development Officer

II. **Objectives**

- Transforming the department into an in-house "consultancy", as a central services entity
- Improving and further developing communication and co-operation within the department
- Ensuring the effective performance of tasks and transparency of communication within the department
- Promoting teamwork development processes within the department
- Ensuring the staffing of the Offenburg municipal authority in line with strategic administrative objectives
- Ensuring effective development of human resources at all levels of the administration and in all specialist fields
- Guarantying timely decision-making and the high quality of services (human resources and organisational) provided by the department to the various fields of activity
- Developing effective human resources accounting
- Promoting and further developing the decentralisation of human resources and organisational tasks within the different fields of activity

IV. **Duties**

- Managing the department/deputising for the head of the field of activity
- Design and development of human resources accounting
- Human resources development and supporting colleagues within the department in preparing for and implementing their new service role, together with the Human Resources and Organisational Development Officer
- Recruiting, retaining and stimulating qualified, motivated, high-performing staff (personnel management for the department)

- Formulation and implementation of an overall concept of human resources work and management for the Offenburg municipal administration (for example, further development of staff cost budgeting, advising on workforce analysis, advising on staff replacements and succession planning)

- Policy decisions in human resources and organisational management matters, preparing the ground for management of the administration by its heads

- Guiding and supporting the HR correspondents in the performance of their advisory role vis-à-vis the fields of activity

- Organisation and implementation of job evaluations for the fields of activity and holdings

- Chairing the Job Evaluation Committee

- Organising the departmental budget preparation and implementation process

- Organising the establishment table and human resources budget

- Special duties for the upper tiers of the administration

- Conducting objective-setting and other interviews with colleagues within the department

- Developing the control and reporting functions within the department and further developing the tools and ratios utilised, organisation of customer surveys

- Participating in working groups on the development and introduction of new human resources management tools

- Preparing and participating in labour court proceedings

- Participating in the introduction of cost and activity accounting

**IV. Powers and responsibilities**

- Administrative and technical supervision of staff within the department

- Managerial authority within the framework of the relevant job instructions

- Signature authority for the department in agreement with the heads of Team 2 and the fields of activity

- Representing the municipality of Offenburg in judicial proceedings
V. Internal and external communication links

Internal: Mayor, councillors responsible for policy areas, heads of fields of activity, Staff Council and peers

External: None

VI. Internal and external co-operation links

Staff Council, holdings, Municipal Employers Association (KAV)

VII. Participation in committees and similar bodies

- Conference of heads of fields of activity (consultative capacity)
- Symposium of heads of human resources (supraregional – consultative capacity)
- Appraisal Committee (decision-making capacity)

VIII. Job requirements

Technical skills

- Complete course of graduate studies in administration or management, or other similar fields, and lengthy relevant experience
- Thorough knowledge of human resources management
- Experienced and trusted administrator
- Familiarity with the aims of the administrative reform
- Hands-on managerial experience

People skills

- Good communicator
- Capacity for co-operation and teamwork
- Ability to motivate others
- Ability to deal with conflict and criticism
- Negotiating skills
**Personal skills**
- Capacity for innovation
- Flexibility, stability and ability to work under pressure
- Cost awareness
- Identification with the municipal administration as a service provider

**Methodological skills**
- Speaking skills
- Moderation and presentation skills
- Use of management tools, in particular management by objectives

**Distribution list:**
All staff of department 2.1 for examination and discussion at the next departmental meeting

6.4.2 Recruitment Procedures

6.4.2.1 Job Advertisement

a) Offenburg (Head of HR Department)

Field of activity: Central Services
HR Department

Offenburg, 9 June 2009
Th/Fr

- Field 2 / Dept. 2.1 -

To the press and publications function

**External vacancy notice**

Please arrange for the following job vacancy to be advertised on Saturday 13 June 2009 in the OT, the Badische Zeitung and the Staatsanzeiger and in next week's issue of the Offenblatt.

With nearly 60,000 inhabitants, Offenburg is an attractive regional metropolis in the Euro-region of the Upper Rhine valley. The town, which is an economic, media and education
centre, offers a high quality of life, also offering a broad range of cultural and leisure activities. As an employer, the municipality of Offenburg offers considerable opportunity for personal initiative. We wish to find a replacement for the current postholder by 1 November 2009.

**Head of Human Resources Department**

The postholder will further develop the human resources function in line with modern HR management.

Principal duties:

- Preparation of fundamental decisions in human resources management matters
- Further development of the overall human resources service concept
- Design and development of human resources accounting

**Your Profile:**

- You have completed a course of graduate studies in human resources management or in public management or another similar technical field.
- You have longstanding experience of operational and conceptual human resources work.
- You have sound knowledge of employment and collective bargaining law.
- You are capable of independent, creative problem-solving, proposing solutions that satisfy legal, practical and economic requirements in equal measure.
- You have already demonstrated your managerial capabilities.
- You are a good communicator and have considerable negotiating skills.

Offenburg is an equal opportunities employer and welcomes applications by suitably qualified women.

For this interesting and challenging job within our administration we offer an appropriate remuneration in accordance with the civil service wage agreement in pay group 13, and for candidates with the relevant career background a civil service grade of A13 (senior manager).

Interested candidates should submit their applications including all relevant information by no later than 3 July 2009 to: Municipality of Offenburg, Human Resources Department, Postbox 24 50, 77614 Offenburg.
For further information please contact Mr Bauer, Head of Central Services, Telephone 0781 82-2240.

Albin Bauer

6.4.2.2 Job Interviews

a) Freiburg (Interview Guide for Head of Budget and Finance Service)

Welcome and presentation of the appointments board

- Thanks for coming
- Information that notes are being taken
- Information on the duration of the interview

Presentation of the duties and organisational structure relevant to the post

Motivation

- Please describe your career background and the key tasks you are performing at present
- Why did you apply for this post?
- Why do you think you are the right applicant for this post?
- Why do you want to change jobs

Specialist technical skills

Concrete questions relevant to the job area. The job requirements profile serves as a guide for this part of the interview.

The post-holder is responsible, inter alia, for co-ordinating budget preparation and execution, for ensuring the smooth functioning of the necessary accounting operations and for the analysis and further development of cost and activities accounting.

- What tangible experience can you contribute in the field of budgeting and finance?
- What experience do you have of co-ordination and management tasks?
- With which SAP modules have you worked so far? (examples)
- With which other SAP modules are you familiar?

- What knowledge do you have of the field of public procurement?

- In which areas have you so far been required to write reports or submit written proposals or contributions to committees and so on? Please give concrete examples

In 2015 the new Municipal Budget Law will become applicable.

- What possibilities and orientations do you envisage in this connection and have you already dealt in detail with the issues raised by the introduction of this new law?

- What are the new legislation's principal objectives?

In representing the department's management you will be responsible for matters ranging beyond the remit of your service, not least for human resources matters concerning the administration as a whole.

- What knowledge and experience do you have in this area? (working knowledge of collective bargaining law, occupational health and safety, employee representation law and so on)

- Can you give us tangible examples?

Personal skills

The department is a service provider for the entire administration. This entails both respecting the relevant legal requirements and taking into consideration the limited knowledge that technical staff may have of formal, administrative constraints.

- How do you see mutual co-operation in this area in the interests of getting the job done?

- How do you ensure that, for example, employee absences in your sector do not affect the ongoing performance of the service function and in particular of accounting operations (for example, setting your own hand to book-keeping tasks along with the staff concerned)?

Methodological skills

The financially relevant results of the department's work must be presented in a clear way for both statistical and management purposes

- What analysis and presentation tools would you use to do this?

- Please give concrete examples of analyses and presentations that you have produced in your career so far.

People skills

- What are your key personality traits?
- Describe a situation in which you had to demonstrate one of the characteristics mentioned (tangible needs in the case being described, handling of the situation, consequences)

- What do you understand by teamwork?

**Management skills**

- What management tools have you come across so far in your own work and what other instruments are you familiar with?

- How do you perceive your managerial responsibility vis-à-vis your co-workers in your own field?

- How do you engender good team co-operation and motivate individual colleagues?

**Final questions**

- How soon could you begin to work for the municipality of Freiburg? Have you spoken to your current employer about a possible departure date?

- Do you have any more questions?

- Information on the further procedure (date when the applicant can expect some feedback)

**b) Offenburg (General Structure for a Job Interview, Evaluation Form for Job Interviews for the Head of the Legal Service)**

Municipality of Offenburg

Field of activity "Central services" HR Department

Job interview

Date: _______________ Surname: _______________ First name: _______________

Field: _______________ Department/Post: _______________

Participants: _____________________________________________________________

Greetings/Introduction

Start (greetings, introduction of participants), warming-up (journey, applicant's home, weather, etc.), brief overview of procedure (briefly explain what the interview is about)

Education and professional experience (the aim here is to find out whether the post corresponds to the applicant's interests and capabilities; enquire about the applicant's interests and hobbies)
Education (applicants are required to have completed a course of graduate study; What practical professional experience did you acquire during this time? Why did you opt for this course of study? What parts of the course did you enjoy the most and the least?)

Professional development/managerial experience (duties and tasks and related experience. What did you enjoy in particular about your activities so far?)

Reasons for seeking a change of job (What are your reasons for applying for this post? Is there a particular reason why you are willing to accept the risk of a time-limited contract?)

How do you imagine the position you have applied for?

What are the key points of your career so far? What did you enjoy the most? Were there any particularly frustrating aspects? How do you assess your performance? What promotion possibilities does your current/most recent job offer? In your opinion what makes a job most worthwhile?

What specific knowledge have you acquired so far that would be particularly useful for this job?

Practical experience in the following fields: ...................... etc.
**Personal and people skills**

Capacity for and experience of teamwork. What role have you played so far in teams? How were team problems tackled? If the applicant lacks experience of teamwork, ask about their expectations of teamwork.

Flexibility/resilience (to assess the applicant's job commitment, ability to work under time pressure, ability to focus on essentials in different kinds of tasks, flexible attitude) (Questions about situations where important or difficult matters had to be dealt with to a tight deadline. How did you go about it?)

Ability to deal with conflict, communication skills (good at dealing with people, identifies conflicts in good time and attempts to find solutions with those concerned (Have you ever been involved in an open conflict between different parties? How did you behave? What happened? What do you do if your superior constantly rejects your proposals?)

Advisory and negotiating skills (experience with clients, methodical approach to discussions)

Further training (What further training have you recently undertaken? How did it affect your day-to-day work? Do you have other further training plans?)

What IT knowledge do you have? What information did you find on the Offenburg municipality's homepage? Do you have experience of using Excel, Word, PowerPoint?
Which of your potential future duties do you think will entail the greatest learning or adaptation effort?

________________________________
________________________________

Do you have hobbies, interests, family responsibilities, etc. that could compete with the demands of this job (for example claims on your time)?

________________________________
________________________________

Self-image (Does the self-image conveyed correspond to the observations made so far in the course of the interview? (What are your professional strengths and weaknesses? Causes of dissatisfaction so far, if any? What do other people say are your best character traits? What would you still like to work on? What do you think sets you apart from other applicants?)

________________________________
________________________________

Are there any questions you wish to ask (to see whether the applicant has gone for just any job or has already got to grips with the post and the future employer). Note the applicant's questions.

________________________________
________________________________

Conclusion of the interview (How soon could you take up the post? Planned leave? Any more questions?) Clarify the further procedure. Say goodbye

________________________________
________________________________

________________________________
________________________________

Overall impression

☐ Ability to express oneself clearly in terms of substance and intelligibility
☐ Gives a well-groomed, cultivated impression
☐ Seems flexible and able to work under pressure
☐ Gives the impression that he/she would make a good representative
☐ Concision
☐ A lively, fluent speaker
☐ Adequate proficiency in spoken French
☐ Attentive listener
☐ Asks relevant, clarifying questions
☐ Fully meets the job requirements
<table>
<thead>
<tr>
<th>Name of applicant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disability? Degree of disability</td>
</tr>
<tr>
<td>Education</td>
</tr>
<tr>
<td>Job experience</td>
</tr>
<tr>
<td>Complete documentation</td>
</tr>
<tr>
<td>Compelling application letter</td>
</tr>
<tr>
<td>Coherent personal résumé, without any gaps</td>
</tr>
<tr>
<td>Complete references</td>
</tr>
<tr>
<td>Technical/professional skills:</td>
</tr>
<tr>
<td>People skills:</td>
</tr>
<tr>
<td>Other personal skills:</td>
</tr>
</tbody>
</table>
Job interviews by the municipality of Offenburg,  
Head of Legal Services  

15.1.2009  
Applicant: ................................

<table>
<thead>
<tr>
<th>Convincing communication and reasoning</th>
<th>Observations</th>
</tr>
</thead>
</table>
| • Supports verbal communication with facial expressions and gestures, speaks clearly and articulately  
• Listens actively, asks questions, holds eye contact, responds to discussion partners  
• Seeks confirmations, ensures understanding  
• Gives an impression of authenticity and competence, convincing, charismatic  
• Reasons clearly, understandably and convincingly  
• Reasons adeptly and brings different interests to the fore, broad range of reasoning  
• Wins correspondents over to his/her viewpoint | |

Assessment

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not observed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Very clearly observed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Specialist knowledge/experience</th>
<th>Observations</th>
</tr>
</thead>
</table>
| • Demonstrates specialist competence and mental agility  
• Recognises opportunities and risks and weighs alternatives  
• Has extensive, sound legal knowledge  
• Has a clear idea of the work of an average municipal legal service  
• Possesses practical experience at municipal level  
• Comprehends the case studies, proposes legally sound solutions with relevant reasons | |

314
### Capacity for teamwork and openness to criticism

<table>
<thead>
<tr>
<th>Observations</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Has a moderating influence, seeks solutions, involves others</td>
</tr>
<tr>
<td>• Informs others and seeks others’ agreement for own courses of action</td>
</tr>
<tr>
<td>• Shows appreciation for others</td>
</tr>
<tr>
<td>• Faces up to conflicts, responds to conflicts as such, does not evade giving and accepting criticism</td>
</tr>
<tr>
<td>• Formulates criticism in a constructive way and ensures it is accepted</td>
</tr>
<tr>
<td>• Shows an ability to compromise, without seeming too docile</td>
</tr>
</tbody>
</table>

### Leadership and goal orientation

<table>
<thead>
<tr>
<th>Observations</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Possesses and demonstrates supervisory experience</td>
</tr>
<tr>
<td>• Shows a willingness to lead</td>
</tr>
<tr>
<td>• Proceeds in a target-oriented way and sets priorities</td>
</tr>
<tr>
<td>• Takes responsibility for content, results and actions</td>
</tr>
<tr>
<td>• Visibly proceeds with method and order</td>
</tr>
<tr>
<td>• Is ready to take decisions</td>
</tr>
<tr>
<td>• Secures results</td>
</tr>
<tr>
<td>• Leads discussions, gives a clear direction to discussions</td>
</tr>
<tr>
<td>• Asserts own views including in the face of resistance and takes responsibility for them</td>
</tr>
</tbody>
</table>
### Learning capacity and motivation

<table>
<thead>
<tr>
<th>Observations</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Gives plausible reasons for wishing to change jobs, has already got to grips with the substance of the post on offer</td>
</tr>
<tr>
<td>- Demonstrates proficiency and mental agility</td>
</tr>
<tr>
<td>- Seems open-minded and ready to learn</td>
</tr>
<tr>
<td>- Questions own positions and conducts</td>
</tr>
<tr>
<td>- Takes a suitably critical view of own conduct and changes it if necessary</td>
</tr>
<tr>
<td>- Reviews structures, processes and situations</td>
</tr>
<tr>
<td>- Takes responsibility for own professional and personal development</td>
</tr>
<tr>
<td>- Willingness to change processes and structures that are proving inadequate</td>
</tr>
</tbody>
</table>

### Assessment

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not observed</td>
<td>Very clearly observed</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6.4.3 Staff Appraisal


Staff Appraisal Established: March 2009 Page 3

1. **Introduction**

This component of the human resources development guide deals with appraisal of the staff of the Freiburg municipal administration.

The key points to be borne in mind with a view to its integration in the municipality's human resources development concept are:

- The mandatory link between appraisal and the "Management by objectives" component of the human resources development concept, in accordance with the objectives set in the context of the municipal administration's policy statement "We provide information and a clear orientation through agreed objectives".
- Judicious appraisal of the individual staff member by basing the appraisal process on the tangible requirements for the job in question.
- Making available a management tool to support front line managerial staff and foster communication between them and their colleagues concerning the objectives of the organisation as a whole and of their entity with a view to greater transparency and efficiency, and
- personal performance objectives and the relevant skills, with a view to clarifying feedback, promoting equity (of the appraisal process) and enhancing transparency as far as possible
- Appraisal can be used by managers to identify strengths and weaknesses and put in place individual, needs-based personal development plans, so as to underpin their staff's further professional and personal development, foster new ideas or take necessary individual measures
- The appraisal criteria are confined to essential key competencies, so as to make implementation of the appraisal process easier and more practical for its users
- Reinforcing performance awareness through a close link with the performance pay system introduced by the municipality of Freiburg in accordance with § 18 of the collective agreement on the civil service
2. **Objectives**

The individual objectives to be attained through the appraisal system are:

<table>
<thead>
<tr>
<th>Entity</th>
<th>First appraiser</th>
<th>Phone number</th>
<th>Appraisal training course followed on:</th>
</tr>
</thead>
</table>

**Staff Appraisal**

<table>
<thead>
<tr>
<th>Surname, first name</th>
<th>Date of birth:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Job:</th>
<th>Date of taking up job:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Appraisal period</th>
<th>Working hours</th>
<th>Post number</th>
</tr>
</thead>
</table>

- Full time
- Part time

<table>
<thead>
<tr>
<th>Duties (brief description)</th>
</tr>
</thead>
</table>

**Job requirement**

<table>
<thead>
<tr>
<th>Brief description</th>
<th>Performance rating*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1 TECHNICAL SKILLS</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1.1 Quality of work</strong></td>
<td></td>
</tr>
<tr>
<td>- Has the theoretical knowledge and practical skills needed to perform the assigned duties and utilises them in a results and objectives oriented manner</td>
<td>☐ Exceeded ☐ Fulfilled ☐ Mostly fulfilled ☐ Only partly fulfilled</td>
</tr>
<tr>
<td>- Produces results consistent with the duties assigned</td>
<td></td>
</tr>
<tr>
<td><strong>1.2 Quantity of work</strong></td>
<td></td>
</tr>
<tr>
<td>- Completes the assigned duties in a timely manner</td>
<td>☐ Exceeded ☐ Fulfilled ☐ Mostly fulfilled ☐ Only partly fulfilled</td>
</tr>
<tr>
<td>- The quantity of work done and hours worked are reasonably consistent</td>
<td></td>
</tr>
</tbody>
</table>
1.3 **Husbanding of resources**

- Uses resources (e.g. staff, equipment, time, money) in a responsible and efficient way

<table>
<thead>
<tr>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
</tr>
<tr>
<td>Fulfilled</td>
</tr>
<tr>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td>Only partly fulfilled</td>
</tr>
</tbody>
</table>

*Reasons for an "Exceeded" or "Only partly fulfilled" rating should be given on a separate page.

---

### Staff Appraisal – Appendix 2  Established: March 2009  Page 2/5

<table>
<thead>
<tr>
<th>Job requirement</th>
<th>Brief description</th>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>METHODOLOGICAL SKILLS (knowledge of specific working techniques and the ability to work in a goal-oriented way)</td>
<td></td>
</tr>
</tbody>
</table>

#### 2.1 Work organisation

- Is capable of planning and co-ordinating his/her work in an efficient and goal-oriented way and of carrying it out in a logical manner
- Takes account of consequences, interactions and connections

<table>
<thead>
<tr>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
</tr>
<tr>
<td>Fulfilled</td>
</tr>
<tr>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td>Only partly fulfilled</td>
</tr>
</tbody>
</table>

#### 2.2 Problem solving ability

- Can solve problems in a constructive, efficient and effective way under his/her own responsibility

<table>
<thead>
<tr>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
</tr>
<tr>
<td>Fulfilled</td>
</tr>
<tr>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td>Only partly fulfilled</td>
</tr>
</tbody>
</table>

#### 2.3 Promoting and applying equality of opportunity

- Takes account of the way his/her plans and actions will affect the interests and circumstances of different groups, such as women, men, people with disabilities, immigrants

<table>
<thead>
<tr>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
</tr>
<tr>
<td>Fulfilled</td>
</tr>
<tr>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td>Only partly fulfilled</td>
</tr>
</tbody>
</table>

---

### 3 PERSONAL SKILLS (that is skills inherent to the individual)

#### 3.1 Resilience

- Fulfils performance requirements even when working under strong pressure and in difficult conditions

<table>
<thead>
<tr>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
</tr>
<tr>
<td>Fulfilled</td>
</tr>
<tr>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td>Only partly fulfilled</td>
</tr>
</tbody>
</table>

#### 3.2 Motivation to achieve

- Shows an ability to take on a task in a focused, motivated way and to see it through to fruition

<table>
<thead>
<tr>
<th>Performance rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
</tr>
<tr>
<td>Fulfilled</td>
</tr>
<tr>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td>Only partly fulfilled</td>
</tr>
</tbody>
</table>
| 3.3 | Flexibility/willingness to learn | • Is capable of quick adaptation and adjustment to changes  
  • Is open to innovation and takes new ideas on board actively and in a forward-looking way | ☐ Exceeded  
 ☐ Fulfilled  
 ☐ Mostly fulfilled  
 ☐ Only partly fulfilled |
| 3.4 | Sure, convincing demeanour | • Is self-aware and competent  
  • Is able to assert him/herself  
  • Can reason in a way that convinces others | ☐ Exceeded  
 ☐ Fulfilled  
 ☐ Mostly fulfilled  
 ☐ Only partly fulfilled |

### 4. PEOPLE SKILLS (ability to work with others and to contribute to a good work atmosphere/empathy/conduct appropriate to circumstances)

| 4.1 | Client and citizen orientation | • Is aware of and shows regard for the interests of clients and citizens, including from an equal opportunities standpoint  
  • Handles complaints constructively  
  • Has a friendly demeanour | ☐ Exceeded  
 ☐ Fulfilled  
 ☐ Mostly fulfilled  
 ☐ Only partly fulfilled |
| 4.2 | Capacity for teamwork and co-operation | • Is capable of integrating in the work environment in a task-related manner  
  • Can deal with a diversity of views and personalities and work with others in a manner based on compromise and consensus | ☐ Exceeded  
 ☐ Fulfilled  
 ☐ Mostly fulfilled  
 ☐ Only partly fulfilled |
| 4.3 | Ability to communicate/ empathy | • Deals in an appropriate way with different contexts and discussion partners and communicates in a manner that is appropriate to the target audience  
  • Engages with others through active listening and attentive, open questioning | ☐ Exceeded  
 ☐ Fulfilled  
 ☐ Mostly fulfilled  
 ☐ Only partly fulfilled |
| 4.4 | Ability to handle conflicts | • Deals with conflicts in person and in a relevant way  
  • Is capable of voicing and accepting criticism and of dealing with it constructively | ☐ Exceeded  
 ☐ Fulfilled  
 ☐ Mostly fulfilled  
 ☐ Only partly fulfilled |
5 MANAGERIAL SKILLS (complete only if appraisee has managerial responsibilities)

5.1 Management of activity area
- Thinks in networking terms, recognises the big picture and adapts his/her conduct accordingly
- Sets priorities and objectives
- Takes a global view of the impact of his/her actions

5.2 Goal-oriented conduct
- Agrees on realistic, measurable and challenging objectives
- Ensures objectives and strategies are implemented

5.3 Ability to integrate
- Can reconcile different/contrasting personalities and interests in order to get the job done

5.4 Ability to motivate and orientate others
- Supports and challenges co-workers, distributes information and delegates
- Recognises/fosters others’ potential

Complete only for job requirements that gave rise to an "exceeded" or "only partly fulfilled" rating

<table>
<thead>
<tr>
<th>Job requirement</th>
<th>Rating</th>
<th>Reasons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>❑ exceeded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ only partly fulfilled</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ exceeded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ only partly fulfilled</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ exceeded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ only partly fulfilled</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ exceeded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ only partly fulfilled</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ exceeded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ only partly fulfilled</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ exceeded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>❑ only partly fulfilled</td>
<td></td>
</tr>
</tbody>
</table>
6.0 OVERALL APPRAISAL

6.1 ASSESSED POTENTIAL

6.2 POSSIBLE PERSONAL DEVELOPMENT MEASURES

The appraisal was notified to the appraisee on

...........................................................................................................................................
Date/Signature of first appraiser

...........................................................................................................................................
Date/Signature of second appraiser

The first appraiser discussed the appraisal with me on …… and gave me a copy of it.

...........................................................................................................................................
Signature of appraisee

Appendix:
⇒ Current job requirements profile
(please append systematically)
<table>
<thead>
<tr>
<th>Dept./ Divn./ Sector</th>
<th>Function / Post No:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job evaluation:</td>
<td>Duty:</td>
</tr>
<tr>
<td>Education:</td>
<td></td>
</tr>
<tr>
<td>Experience:</td>
<td></td>
</tr>
<tr>
<td>Technical skills:</td>
<td></td>
</tr>
<tr>
<td>Methodological skills:</td>
<td></td>
</tr>
<tr>
<td>Personal skills:</td>
<td></td>
</tr>
<tr>
<td>People skills:</td>
<td></td>
</tr>
<tr>
<td>Managerial skills:</td>
<td></td>
</tr>
</tbody>
</table>

(Signature) ___________________  (Date) _____________________

Central administration, Human Resources  Freiburg
I. What benefits can I derive from this guidance?

This guidance is intended to support you in the appraisal implementation process. It draws attention to a number of potential stumbling blocks and shows how to avoid them. It offers explanations, aids to understanding and guidance for completing the appraisal form.

Before you begin the appraisal, you should familiarise yourself with the component "Appraisal of staff in the Freiburg municipal administration" and attend a relevant information and training activity on introducing appraisals.

Recommendations for practical implementation:
- The appraiser should first re-acquaint him/herself with the current job requirements on the basis of the job description or job requirements profile.
- These should then be compared with the actual conduct observed and the degree of progress in attaining objectives.
- The staff member's performance in the individual skills areas should then be assessed with the aid of the detailed descriptions of the individual performance criteria.

Careful preparation for the appraisal and consistent adherence to the implementation guidelines will enable you to arrive at a realistic appraisal of the staff member's performance in the light of the requirements of the job in question.

II. What may influence my perception?

Appraisal stumbling blocks – errors of perception and judgment

An objective perception does not exist. All observations and judgments are subjective. Errors of perception and bias influence and distort the picture formed by the appraiser. They should never be fully ruled out.

However, it is quite possible to lessen the degree of error if you are conscious of a number of typical errors of perception and judgment that occur. The following table describes a number of such errors:
Errors of perception and judgment

<table>
<thead>
<tr>
<th>Error</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Distorted observation</td>
<td>Overall, the situations examined and assessed are too few or are always similar.</td>
</tr>
<tr>
<td>Misconception about age</td>
<td>Younger staff members are not judged according to their actual performance due to the misconception that there must still be room for improvement and they cannot be as good as older, experienced colleagues.</td>
</tr>
<tr>
<td>Generalisation</td>
<td>Overall behaviour is inferred on the basis of a limited number of particularly striking attributes.</td>
</tr>
<tr>
<td>Hierarchy effect</td>
<td>The tendency to judge staff according to their position in the hierarchy, in other words the higher up the hierarchy they are the better their appraisal. Conversely, the lower someone comes in the hierarchy, the poorer their appraisal.</td>
</tr>
<tr>
<td>Faulty correlation</td>
<td>A logical link (correlation) is wrongly assumed to exist between two appraisal criteria, with the result that they are no longer assessed independently. For example, someone who seems self-assured is assumed to have a lot of resilience.</td>
</tr>
<tr>
<td>Clemency effect</td>
<td>The tendency constantly to temper justice with mercy and to use only the upper end of the appraisal scale.</td>
</tr>
<tr>
<td>Nearness effect</td>
<td>Where appraiser and appraisee work closely together and are frequently in contact, the former's judgment can be distorted by the state of their interpersonal relations. In other words they have become closer and the appraiser is accordingly more lenient.</td>
</tr>
<tr>
<td>Recency effect</td>
<td>Only the most recent events are taken into consideration, since one's latest impressions are retained better than earlier ones. Results relating to earlier parts of the reference period are, for instance, overlooked for lack of systematic recording.</td>
</tr>
<tr>
<td>Excess severity and comparison errors</td>
<td>Appraisals are determined by contrasting the appraisee's performance with the appraiser's own.</td>
</tr>
</tbody>
</table>
behaviour. For example, a manager with exceptionally high expectations regarding his/her own performance usually judges his/her colleagues too severely.

<table>
<thead>
<tr>
<th>Behaviour</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bell curve tendency</td>
<td>All appraisals are concentrated in the middle, average slots.</td>
</tr>
<tr>
<td>Dazzle effect</td>
<td>One particularly striking attribute outshines all the others; this can have a positive or negative knock-on effect on other appraisal criteria.</td>
</tr>
<tr>
<td>Preconception (first impression)</td>
<td>New information is interpreted in the light of existing opinions.</td>
</tr>
</tbody>
</table>

Central administration, Human Resources  
Freiburg

Staff appraisal – Appendix 3: Guidance  
page 5

Some gender-based errors of perception and judgment

<table>
<thead>
<tr>
<th>Error</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Same behaviour – different appraisal</td>
<td>• Men talk loudly – a woman who does so is hysterical</td>
</tr>
<tr>
<td></td>
<td>• Men keep their feelings under control – a woman who does so is &quot;cold&quot;.</td>
</tr>
<tr>
<td></td>
<td>• Men assert themselves – a woman who does so is ruthless</td>
</tr>
<tr>
<td></td>
<td>• Women react emotively – a man who does so loses his self-composure</td>
</tr>
<tr>
<td>&quot;Typical man – typical woman&quot;</td>
<td>• Women are depicted as emotional, sentimental, weak, soft and intuitive</td>
</tr>
<tr>
<td></td>
<td>• Men are depicted as cerebral, reasonable, strong, brave and logical</td>
</tr>
<tr>
<td>Same workplace – different expectations and assessments</td>
<td>Example: Citizen-friendliness</td>
</tr>
<tr>
<td></td>
<td>• Fairly normal in men and assessed accordingly</td>
</tr>
<tr>
<td></td>
<td>• Unfriendly or non-client-orientated in women and assessed on that basis</td>
</tr>
</tbody>
</table>
III. As an appraiser, what points do I need to be careful about so as to avoid making errors of perception?

- You should be particularly careful about the errors of perception listed on the previous pages – keep this guidance to hand at all times.
- Separate observation and description of behaviour from the appraisal itself. The checklist on the following pages can be of assistance here.
- Take regular notes on your colleagues' work habits and behaviour. See the following pages (checklist). This will enable you to avoid memory gaps or focusing mainly on your most recent impressions and to have sufficient examples on which to base your judgment and your appraisal of your colleagues.
- Bear in mind your colleagues' differing propensities for self-expression. Ask yourself, in particular regarding those who are "louder" or "quieter", on what concrete situations, observations, examples, work samples and so on you are basing your judgment.
- As a check, mentally switch the appraisee's gender role and ask yourself how you would then judge the same behaviour.
- Ensure your expectations of part-time workers are realistic, that is that your (performance) expectations are proportionate to the hours worked.

### Checklist concerning appraisee behaviour

<table>
<thead>
<tr>
<th>Appraisee's name:</th>
<th>Period:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Question</td>
<td>Observations</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>• How often was I in contact with this colleague?</td>
<td></td>
</tr>
<tr>
<td>• What has recently drawn my attention?</td>
<td></td>
</tr>
<tr>
<td>• What particular contributions has he/she made?</td>
<td></td>
</tr>
</tbody>
</table>
- When and why have I been particularly pleased with his/her performance?
- How did he/she cope with a difficulty?
- What improvements has he/she shown in recent times?
- In which areas does he/she need my support?
- Why is this person important to me?
- Would I assess the performance differently, if he/she were a man/woman?

**For part-time workers**
- Is the job or the work environment suited to part-time work?
- What is my assessment of his/her performance taking into account the reduced working time?

Central administration, Human Resources

Staff appraisal

Appendix 4

Diagram of the appraisal process

(M = manager; A = appraisee)
Example of how to complete the questionnaire

<table>
<thead>
<tr>
<th>Basic data</th>
<th>Appraisee</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity No.</td>
<td>Year</td>
<td>Appraiser (W/M)</td>
</tr>
<tr>
<td>110</td>
<td>2009</td>
<td>M</td>
</tr>
<tr>
<td>110</td>
<td>2009</td>
<td>M</td>
</tr>
</tbody>
</table>

a = exceeded
b = fulfilled
c = mostly fulfilled
d = only partly fulfilled

Central administration, Human Resources

Staff appraisal – Appendix 6

Questionnaire: Gender mainstreaming

The questionnaire (see also page 5 of the "Staff appraisal" component) was developed so as to permit an appraisal reporting system that takes gender mainstreaming into consideration. The fact that all the information is stored in an Excel spreadsheet makes it possible to compare data from different departments across the entire municipal administration. The aim is to ask whether individuals are assessed according to their gender, the hours they work, their status group or career path, and also their pay group. It is also possible to check whether the appraiser's gender has an impact on the appraisal.

It can thus be established, through the appraisal process, whether for example:
- women are on average judged differently from men;
- or colleagues performing clerical duties are judged differently from those with managerial duties.

If appraisal results are to be meaningful, a precondition is that a sufficient number of appraisals should be conducted. We therefore request you to insert the data in the Excel table and transmit it to the central Human Resources department on an annual basis. This department collates all the data and examines them to identify trends, disparities or freak statistical occurrences. In this way the central administration and human resources can be informed of any disparity in a given department, for example.

**Data protection**

For data protection reasons, information relating to an appraisal must be registered by the appraiser in person. This means that each appraiser must enter in the Excel table the data relating to all the appraisals he/she has carried out.

The pooling and consolidation of all the data relating to a given entity must be performed by a single person. One individual receives the completed Excel tables from all the appraisers within the entity and uses the data to produce an overview for the entity as a whole. All data must naturally be treated as strictly confidential. Tables can be submitted by email, but the email must be stored on a personal drive.

**Instructions for completing the questionnaire**

The questionnaire, in the form of an Excel spreadsheet, can be found on the employees' portal by following this path: Knowledge box-HR-HR management-Appraisal/agreement on objectives-Model/Appraisal questionnaire gender mainstreaming: blank form for completion (xls).

In this table you can show all the information concerning an appraisal on a single row. An explanation of all the abbreviations used in the questionnaire is given below. It is very important to complete the questionnaire with the correct data. Each error can falsify the analysis and the overall result. For the correct further processing and use of the data it is important that you use only the abbreviations we have indicated on the first row of the form.

The following abbreviations must be used:

- M: man
- W: woman
- V: full-time work
- T: part-time work (< 100%)
- Besch: contractual employee
- Bea: civil servant

- eD: manual worker /pay groups 1-4
- mD: clerical staff / pay groups 5-8
- gD: middle manager / pay groups 9-12
- hD: senior manager / pay groups 13 – 15

Explanation of figures:
The figures 1.1 to 5.4 correspond to the numbers assigned to the criteria in the appraisal form. For example, 1.1 corresponds to the quality of the appraisee's work, and 2.2 to problem-solving ability.

Explanation of letters:
The letters you should use to indicate the appraisal rating stand for:

- a = exceeded
- b = fulfilled
- c = mostly fulfilled
- d = only partly fulfilled

### 6.4.4 Motivation tools

a) Freiburg (Evaluation form for performance-oriented pay for senior staff members)

Performance appraisal form for staff with managerial responsibilities

<table>
<thead>
<tr>
<th>Surname</th>
<th>First name</th>
<th>Department /Place of work</th>
<th>Division</th>
<th>Working time (in %)</th>
<th>0.00%</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Did you conduct an objective-setting interview?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of interview</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff member's signature</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Appraiser's signature</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Skills</th>
<th>Weighting</th>
<th>Rating</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Only partly fulfilled</td>
<td>Mostly fulfilled</td>
</tr>
<tr>
<td></td>
<td></td>
<td>0</td>
<td>2.5</td>
</tr>
<tr>
<td>Managerial</td>
<td>40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technical</td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Methodological</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal</td>
<td>17.5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>People</td>
<td>17.5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Result</td>
<td>100</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Mr/Ms receives:

- Basic bonus: NO
- Additional bonus: NO
### Performance appraisal form for staff without managerial responsibilities

<table>
<thead>
<tr>
<th>Surname</th>
<th>First name</th>
<th>Department / Place of work</th>
<th>Division</th>
<th>Working time (in %)</th>
<th>0.00%</th>
</tr>
</thead>
</table>

**Did you conduct an objective-setting interview?**

<table>
<thead>
<tr>
<th></th>
<th>☐ Yes</th>
<th>☐ No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of interview</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff member's signature</td>
<td>Appraiser's signature</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Skills</th>
<th>Weighting</th>
<th><strong>Rating</strong></th>
<th><strong>Point</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Only partly fulfilled</td>
<td>Mostly fulfilled</td>
<td>Fully fulfilled</td>
</tr>
<tr>
<td>Technical</td>
<td>55</td>
<td>0</td>
<td>2.5</td>
</tr>
<tr>
<td>Methodological</td>
<td>10</td>
<td>0.00</td>
<td></td>
</tr>
<tr>
<td>Personal</td>
<td>17.5</td>
<td>0.00</td>
<td></td>
</tr>
<tr>
<td>People</td>
<td>17.5</td>
<td>0.00</td>
<td></td>
</tr>
<tr>
<td>Result</td>
<td>100</td>
<td>0.00</td>
<td></td>
</tr>
</tbody>
</table>

Mr/Ms receives:

- Basic bonus: NO
- Additional bonus: NO

Appraiser's name

Date

Signature
6.4.5 Training Programmes

a) Freiburg (Training Programmes, Toolkit on Developing Leading Competencies for Young Staff Members)

Contents

1 Introduction to the 2012 training programme
1.1 Your contact persons .................................................................
1.2 Organisation ............................................................................

2012 programme

2.1 Leadership skills ........................................................................
△ Do you want to be a leader? ........................................................
△ Leadership without hierarchical responsibilities ......................
△ Leadership and deputising ........................................................
  "Successful leadership and motivation" .....................................
△ Module 1: Basic principles .........................................................
△ Module 2: Change management; team motivation ....................
△ Module 3: Managing conflict ......................................................
  Workshop on objective-setting, appraisal and performance pay ...
△ Mediational leadership ..............................................................
△ Change management .................................................................
△ Fresh impetus for experienced managers .................................
△ "Focused" – reinforcing your managerial strengths .................
△ Overcoming difficult situations as a manager advising colleagues
△ Process optimisation .................................................................
△ Media training ...........................................................................
△ Information session on mobbing ..............................................
△ Information session on addiction in the workplace ...................
Seminars on the management implications of health issues can be found under
"Occupational health management" ............................................
2.2 Methodological, people and speaking skills
Systematic staff selection.................................................................
Systematic staff selection for Staff Council members........................
Introduction to project management..............................................
△ Communication as a daily requirement ........................................
Client oriented and competent telephone use ................................
△ "I'm all ears" – listening as an unfamiliar and unrecognised communication skill
△ "Questioning instead of speaking", adept use of questioning techniques in day-to-day business...................................................
△ Speechmaking training ..................................................................
Handling difficult interviews with citizens ....................................
Negotiation skills ............................................................................
△ Negotiation skills – exchange of experience...................................

△ New training offers
Convincing presentations ............................................................... 
Successful moderation of meetings ..............................................
△ Creative moderation of meetings ................................................
△ Speed-reading – memorising more ..............................................
Modern correspondence .................................................................
△ Trouble-free co-operation in the shared workplace ..................
△ Understanding intercultural diversity ...........................................
△ Joint language course Freiburg/Mulhouse – German/French ...
△ Training for trainers within the administration ........................
△ Preparation for the trainer aptitude test (IHK) ............................

2.3 Knowledge box
△ German spelling ..........................................................................
△ Writing and presentation rules; DIN 5008 ..................................
△ Adjudication technique ............................................................... 
Administrative information system – production of printed materials
New Municipal Budgeting and Accounting (NKHR)
△ General administrative law ..........................................................
Staff representation law in practice – trust-based co-operation between the executive and the Staff Council ................................
Tax obligations – for newcomers ..................................................
Tax obligations – Current developments in tax law ..................
Data protection – old and new aspects ...........................................
△ Recognising and preventing corruption ......................................
Basic training for administrative officials in local government
(Administrative academy of the Baden-Württemberg Karlsruhe council of municipalities)
Refresher course on administration (Kehler Akademie) ...................

2.4 Gender skills
△ Working in a target group appropriate manner – taking diversity into account ........ 
△ Gender mainstreaming in practice: working with the four steps method based on examples of implementation ................................
△ Supporting gender mainstreaming projects ..................................
| △ Gender in practice: Gendertalks – tips for improved cohabitation in the professional context and in normal life |
| △ Gender correct terminology and community work within the administration |
| △ Complaints management and gender issues |
| △ Developing target group appropriate participation procedures |

### 2.5 IT skills

| Typing with all ten fingers |
| IT basics seminar |
| Tips and tricks |

### New training offers

| Word processing basics |
| Advanced word processing – mail merge functions |
| Advanced word processing – big documents |
| Workshop on data processing in secretariats and front offices |
| Spread sheet basics I |
| Advanced spread sheet use II |
| Workshop on using spread sheets III |
| GroupWise |
| Computer aided presentations |

| dvv. Personal (HR system) for departments and agencies |
| Briefing session: social networks, Internet and email in the workplace and other IT innovations |

**SAP-Seminars**

| SAP R/3 – Introductory seminar |
| SAP – Special seminar |
| SAP – Short course/ SAP for newcomers |

### 2.6 Seminars for trainees

| Azubi Volunteer Abroad – international voluntary service |

### 2.7 Occupational health management

**Health and management**

| "Managing one's own and others' health" – health issues for managers |
| Workshop for managers "Preventing burnout" |
| Dealing with mentally ill colleagues |
| Stress control for managers |
| LIFE KINETIK® Improved performance through play |

**Exercise**

| Active lunch hours in the "technical town hall" |
| Taking care of your back when moving and at rest |
| Even young people can have back problems |
| Workout for a strong back |
| Aqua-Cycling |
| Morning swimming training – getting the day off to a good start |
| Nordic walking |
Pilates .............................................................................................................................
Non-verbal communication – "Danse Vita – the dance of life" .........................................
GYROKINESIS® during lunch hour – full of energy for the afternoon ..............................
GYROKINESIS® after work – Rhythmic/free-flowing exercise for everyone ......................

Δ New training offers
Δ Zumba® ..................................................................................................................
Co-operation with fitness centres ..................................................................................
UNIFIT – training offer of the physiotherapy department of Freiburg university hospital.

Nutrition
Trim your weight without feeling hunger ...........................................................................
After-work cooking – quick and easy meals for a balanced diet after work ....................
Seasonal vegetables on the stove – "MundART" quick and easy cooking .......................  

Relaxation
Stress reduction through awareness – taster morning course .......................................... 
Stress reduction through awareness – two taster evenings ..............................................
Tai Chi introductory course ..............................................................................................
Autogenic training ...........................................................................................................
Δ Power Yoga during lunch hour ....................................................................................... 
Δ Effective burnout prophylaxis through yoga ................................................................
Yoga & meditation ...........................................................................................................
Yoga during lunch hour ...................................................................................................

Healthy lifestyle
Good breathing at last! Course for giving up smoking ......................................................
Δ LIFE KINETIK® Improved performance through play ................................................
Better reading for a healthier life – tour of the municipal library ....................................
Δ Sedentary but fit – making the most of a few seconds ...................................................
Δ Workshop "Making things a little better" Burnout prevention strategies ........................
Δ Preserving one’s sight – preventive techniques that boost vitality ..............................
Δ Bodypercussion – good for team spirit ....................................................................... 

Target group 45 +
The back at rest and in movement for the 45+ age group ..............................................
Fit and flexible backs for the 45+ age group ...................................................................

Lectures
Time-table of lectures for 2012 ....................................................................................... 
"Healthy sleeping" ........................................................................................................
"Tired, exhausted, empty – sick" how to deal with depressed colleagues ......................
Δ Effective burnout prevention – Optimum stress balance ............................................
Δ No reason to fear a colonoscopy – it can save lives ....................................................
Δ Through thick and thin – breaking out of a vicious circle .......................................... 
Δ Keeping mobile in later life ........................................................................................
New training offers

LIFE KINETIK® Improved performance through play
Supple shoulders and relaxed necks – on-the-spot relief
Men's health 2012 – men taking responsibility for their health
"Christmas biscuits and mulled wine by candle-light" – healthy eating in winter

2.8 Events organised by the welfare office
Fairness at work – interpersonal conflicts and mobbing
Addiction in the workplace – new aspects of an old problem
"My colleague has changed so much" – dealing with mentally ill co-workers
Recognising and setting boundaries – avoiding sexual harassment in the workplace

2.9 Occupational health and safety events
Basic training for safety officers
Working with power saws and brush cutters
Fire safety and how to use an extinguisher
Lifting and carrying without risk
Screen work is a matter of adjusting the settings
First aid and reanimation
First aid – refresher course

2.10 Work-Life balance
The art of self-management – Work-Life balance
Reconciling family life and work for staff on sabbatical leave
Teleworking (information session)
Parental leave and allowance (information session)
"Children need limits" (information session)
Mundenhof adventure for fathers and children
Elderly living – staying in one's home or moving (information session)
Preparation for retirement

New training offers

Offer

Modular further training programme: "Enhancing managerial skills"

Freiburg Municipal Administration
Central services, Human Resources
Staff development and health management division
Rathausplatz 2-4
79098 Freiburg

15 September 2011
Transfer and support

A. Before Module 1

△ "Check-in" interview - preliminary interview before the training session
- Stage 1: Preparation of managers and participants for the interview by means of a questionnaire
- Stage 2: Conduct of interview and recording of proceedings in the form of a skills enhancement agreement: discussion of results of preparation and joint completion of a skills enhancement agreement by the manager and the participant
- Stage 3: The skills enhancement agreement may possibly be transmitted to the staff development division; all the agreements are gathered together by an in-house entity and forwarded to the trainer for integration in the modules
△ (Individual) learning project as a preliminary requirement for the module (reading of articles and/or books, plus preparation of questions for consideration)

B. During the modules

△ Establishment of individual measures/action plans at the end of each training session
△ Setting of personal objectives during the training session through interactive methods and/or the sending of "transfer postcards" to oneself

C. After completing the modules

△ Identification of a transfer partner – learning project as a preliminary requirement for the following module
△ Work with the transfer partner selected during the training session on mutual exchange of ideas during the modules, discussion of the training objectives set and joint completion of the preliminary exercises
△ Trainers give participants individual coaching by phone concerning their achievements and areas of tension (approximately three times 1 hour over the training programme’s duration)
△ Guiding/leading questions on issues to be addressed in greater depth so as to improve independent thinking capacity, or formulation of brainteasers, metaphors or other reminders of course content (three times over the training programme’s duration if no telephone coaching takes place)
## Modules at a glance

<table>
<thead>
<tr>
<th>Module 1: &quot;Myself as a successful manager&quot;</th>
<th>Module 2: &quot;Successfully handling meetings with staff&quot;</th>
<th>Module 3: &quot;Efficiency through personal organisation and time management&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Role, self-image and managerial success factors</td>
<td>• Experience, reflection and impressions following module 1</td>
<td>• Experience, reflection and impressions following modules 1 and 2</td>
</tr>
<tr>
<td>• Successful management in a &quot;sandwich&quot;</td>
<td>• Success factors for managing meetings</td>
<td>• Activity and ABC analyses</td>
</tr>
<tr>
<td>• The new role: from colleague to manager</td>
<td>• Elements of the staff relations cycle</td>
<td>• To-do lists according to the ALPEN method</td>
</tr>
<tr>
<td>• The situational management model</td>
<td>• Constructive criticism in difficult situations</td>
<td>• Setting priorities via the Eisenhower method and the Pareto principle</td>
</tr>
<tr>
<td>• Correct interpretation of managerial duties</td>
<td>• Individual feedback on examples of meetings with colleagues</td>
<td>• Saying &quot;no&quot; in a co-operative and authoritative way</td>
</tr>
<tr>
<td>• Identification of personal strengths and establishment of a development profile</td>
<td><strong>Duration:</strong> 2 days</td>
<td>• SMART objective setting</td>
</tr>
<tr>
<td><strong>Duration:</strong> 2 days</td>
<td></td>
<td>• The drivers model according to T. Kahler</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 4: &quot;We're all in the same – successful boat&quot;</th>
<th>Module 5: &quot;Effective presentation and moderation&quot;</th>
<th>Module 6: &quot;Constructive conflict solving&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Experience, reflection and impressions following modules 1 to 3</td>
<td>• Experience, reflection and impressions following modules 1 to 4</td>
<td>• Experience, reflection and impressions following modules 1 to 5</td>
</tr>
<tr>
<td>• Team development phases</td>
<td>• Blockages and stage fright</td>
<td>• Features of a conflict and personal involvement</td>
</tr>
<tr>
<td>• The PERFORM team success factors</td>
<td>• Rhetoric and body language</td>
<td>• Preferred personal style of conflict management</td>
</tr>
<tr>
<td>• Typical personalities in teams, strengths and learning areas</td>
<td>• The media</td>
<td>• Glasl's conflict stages</td>
</tr>
<tr>
<td>• Belbin team roles</td>
<td>• Preparation for an effective presentation/moderation</td>
<td>• Transactional analysis as a model for clarifying situations</td>
</tr>
<tr>
<td>• Basic principles for effective team meetings</td>
<td>• Possible difficulties and counter-measures</td>
<td>• Constructive handling of conflict – the Min-Max strategy</td>
</tr>
<tr>
<td><strong>Duration:</strong> 2 days</td>
<td>• Presentations with video feedback</td>
<td>• De-escalation strategies and intervention methods</td>
</tr>
<tr>
<td></td>
<td><strong>Duration:</strong> 2 days</td>
<td>• Tips and tricks concerning one's own limits</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Analysis of conflict-prone discussions</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Duration:</strong> 2 days</td>
</tr>
</tbody>
</table>
Transfer and support

D. After Module 6

△ Check-Out interview after completing the training programme
- Stage 1: Preparation of managers and participants for the interview by means of a questionnaire
- Stage 2: Conduct of interview and recording of proceedings in the form of a skills enhancement agreement: discussion of results of preparation and joint completion of a skills enhancement agreement by the manager and the participant
- Stage 3: Possible agreement on further measures

△ Introduction of the "Reflecting team" approach as a joint mentoring method and exchange of "best practices", half-yearly follow-up through internal or external support and guidance

△ Review-Workshop with all participants one year later, so as to look back and forward
- What have I gained from the development programme so far?
- What am I (already) experiencing?
- What do I need to work on further?
- To what extent am I (clearly) different from before?

Modules at a glance

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Module 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seminar objectives</td>
<td></td>
</tr>
<tr>
<td>- Participants develop a clear perception of their role and duties and a self-image as managers</td>
<td></td>
</tr>
<tr>
<td>- They learn about success factors for good management</td>
<td></td>
</tr>
<tr>
<td>- They position themselves as managers</td>
<td></td>
</tr>
<tr>
<td>- They think about their personality, their individual strengths and their areas for improvement as managers</td>
<td></td>
</tr>
<tr>
<td>- They are familiarised with the situational management model. Specific ways of behaving are identified and their efficiency analysed.</td>
<td></td>
</tr>
<tr>
<td>Seminar objectives</td>
<td></td>
</tr>
<tr>
<td>- Participants are acquainted with the principles and factors of successful meeting management and apply them in staff meeting roll plays. They receive feedback from the group and the trainer.</td>
<td></td>
</tr>
<tr>
<td>- The coaching cycle is introduced as a useful aid for making effective use of situational management in the everyday context</td>
<td></td>
</tr>
<tr>
<td>- They draw up clear strategies for dealing with their colleagues as a whole or individually.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 3</th>
<th>Module 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seminar objectives</td>
<td></td>
</tr>
<tr>
<td>- Participants review their daily activities and conduct, partly via an activity analysis and also by learning about ABC priorities and personal &quot;time stealers&quot;</td>
<td></td>
</tr>
<tr>
<td>- They develop responses suited to their own individual cases and identify ways of dealing effectively with &quot;time stealers&quot;</td>
<td></td>
</tr>
<tr>
<td>Seminar objectives</td>
<td></td>
</tr>
<tr>
<td>- Participants learn about team development phases and consider effective means whereby managers can promote team development</td>
<td></td>
</tr>
</tbody>
</table>
| - They identify high team performance factors and think about the extent to which they already interact with their team. Weaknesses are identified, along
- Through individual reflection and group discussion, the participants investigate their own relationship with time.
- Tangible means of coping with pressure on a daily basis are developed, with a view to achieving a good work-life balance.

<table>
<thead>
<tr>
<th>Module 5</th>
<th>Module 6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seminar objectives</td>
<td></td>
</tr>
</tbody>
</table>
- Participants consider the specificities of their role as presenter and moderator in a managerial context.
- They learn the basics concerning methods, the media and visibility. Practical exercises concerning principles of good presentation and moderation, body language.
- So as to be prepared to deal with possible difficulties and respond appropriately to disruptive members of the audience, typical situations are analysed in the light of the group's and the trainer's experience.
- Presentation of means of mastering stage fright, etc.

| Seminar objectives |
- Participants consider their team's meeting culture, identify weaknesses and determine possibilities for improvement.

- Participants learn to recognise conflicts at an early stage, so the energy they consume can again be freed up for co-operative work.
- They learn professional tips for dealing constructively with conflicts.
- They acquire conflict mediation skills.
- They become more confident about handling differences and conflict-prone situations.
### 6.5 The United Kingdom

#### 6.5.1 Performance Tables for Human Resources Management

The below examples demonstrate how performance management can be applied to a key HRM functions. They have been collected from several local authorities in the UK.

1. Reducing sickness absence in a UK local authority.

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activity / milestones</th>
<th>Performance indicator (PI)</th>
<th>Monitoring</th>
<th>Budget</th>
<th>Outcome</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| • Reduce the number of employees absent through sickness | • Put in place a sickness absence policy by April 2012.  
• Training programme rolled out to managers in managing staff absence and understanding reasons (e.g. back to work interviews)  
• Reduce average sickness absence per employee as recorded in the new management system.  
• Survey staff satisfaction of staff with new arrangements annually. | • Policy in agreed and in place by April 2012  
• Reduction in staff absence from an average of 11 days per employee per year to 7 days per employee per year.  
• 85% of staff satisfied with approach to management of sickness (to increase to 95% in 2013/14) | • Monthly monitoring of delivery of policy and processes to support the management of staff absence.  
• Monthly report of sickness absence  
• Surveying the staff annually - satisfaction with management of absence. | In budget (no extra cost) | Reduced sickness absence enabling organisation to more efficiently and effectively deliver corporate priorities | Head of Human Resources. |
2. The following example is from a large local authority in the UK which sought to develop and implement the necessary policies/processes to support the development of the workforce. Developing the workforce is important to meet the future service delivery needs of the council. With the challenges being faced over the short, medium and long-term the skills and attributes of the workforce are critical.

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activity / milestones</th>
<th>Performance indicator (PI)</th>
<th>Monitoring</th>
<th>Budget</th>
<th>Outcome</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| To introduce a succession planning process which will include defined career paths where appropriate. | • Research into public and private sector use of succession planning.  
• Establish the needs of managers regarding the use of defined career paths for succession planning purposes in some/all areas.  
• Communication to staff and managers provide a clear pathway for people to progress and help with succession planning. | • Complete research by September 2012 and have report with options prepared.  
• Survey of managers on the career paths for all areas of the workforce in service area by September 2012  
• An agreed succession planning process by December 2012. | • Monthly monitoring of delivery – reports to senior management team. | £5000 | Having a sustainable workforce in place and succession planning in the event of staff turnover. | Head of HRM |
3. The following example is from a smaller local authority in the UK which needed to build the capacity of the skills of managers. This was an identified weakness and needed to be corrected if the organisation was to deliver against its corporate objectives. Strong and effective leadership is critical for managing staff to deliver objectives.

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activity / milestones</th>
<th>Performance indicator (PI)</th>
<th>Monitoring</th>
<th>Budget</th>
<th>Outcome</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| To develop and deliver a leadership and management development programme for existing and new managers to enable managers to effectively manage staff. | • Identifying the solutions to leadership development. Survey of options including whether the skills are available in-house to deliver training or whether this needs to be secured from external organisation.  
• Identify the skills gaps through the existing appraisal process  
• Establish a mentoring programme for peer challenge for managers (possibly with senior managers from another local authority) | • New leadership and management programme in place by April 2012.  
• Demand based on individual need in place by October 2012 (Appraisal deadline)  
• Mentoring programme based on experienced managers, introduced by March 2013. | • Monthly monitoring of progress from January 2012 to March 2013.  
• Review and assessment of outcomes from mentoring programme subsequently implemented on a quarterly basis. | £10,000 | Mentoring and peer support (including from external to the local authority) will increase leadership capacity and increase the productivity of staff. | Chief Executive and Head of Human Resources. |
4. The following example, although using a different format, demonstrates the types of activity that can be used to support a range of HRM functions; Resourcing, Performance and Development. Although this example does not contain SMART indicators it is useful to see the range of activities that the local authority is tackling in its HRM function.

<table>
<thead>
<tr>
<th>Strategic Outcome / Measure</th>
<th>Key activities to deliver strategic outcomes</th>
<th>Priority</th>
<th>Year action will be completed</th>
<th>Lead Officer</th>
</tr>
</thead>
</table>
| RESOURCING  
Employees Joining | Devise approaches and guidance on how to attract and retain “quality” staff particularly those areas experiencing recruitment difficulties  
Review and monitor quarterly levels of recruitment and retention  
Train managers on recruitment and selection and interviewing skills  
Develop a comprehensive, competitive, advertising, recruitment and selection service. Including consideration of partnership arrangements.  
HR Officer to attend all interviews above Senior Officer 1 appointments, and all others if the appointing manager hasn’t attended relevant training course  
Issue feedback sheets to all applicants for vacancies to assess their experience, every 6th vacancy  
Review the Local Government Graduate recruitment scheme, and research and prepare report on the Modern Apprenticeship and New Deal Schemes  
Attend career fairs and support joint recruitment initiatives with other public organisations  
Scrutinise current performance in relation to equality issues for recruitment.  
Set up effective systems for the systematic monitoring of equality data. | 2  
2  
2  
2  
1  
1  
3  
2  
2  | 2012  
2012  
2012  
2012  
September 2012  
September 2012  
2012  
2012  
2012 |
<table>
<thead>
<tr>
<th>Strategic Outcome / Measure</th>
<th>Key activities to deliver strategic outcomes</th>
<th>Priority</th>
<th>Year action will be completed</th>
<th>Lead Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employees Leaving</strong></td>
<td>Consider reasonable adjustments for disabled applicants in line with Disability Discrimination Act</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Update the current Induction scheme and introduce Corporate Induction Programme, investigate electronic induction</td>
<td>1</td>
<td>2012</td>
<td></td>
</tr>
<tr>
<td>Improved exit policy &amp; process based on past experience</td>
<td>Review redundancy/redeployment/retirement policies and procedures undertaken, in light of recent restructure of the Authority</td>
<td>3</td>
<td>2013</td>
<td></td>
</tr>
<tr>
<td>Successful transfer of resources through TUPE process</td>
<td>Devise Management guidance on the utilisation of TUPE transfers</td>
<td>2</td>
<td>2012</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improve systems to monitor leavers</td>
<td>1</td>
<td>2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Devise an approach to exit interviews that allows for organisational learning</td>
<td>1</td>
<td>2012</td>
<td></td>
</tr>
<tr>
<td><strong>Existing Employees</strong></td>
<td>To develop a pay and rewards package that allows flexibility to respond to market realities yet ensures fairness and consistency of approach</td>
<td>3</td>
<td>2013</td>
<td></td>
</tr>
<tr>
<td>A modern set of employee terms and conditions to support service delivery</td>
<td>To pilot an appropriate Job Evaluation Scheme for the Authority</td>
<td>3</td>
<td>2013</td>
<td></td>
</tr>
<tr>
<td>Improved employee relations across the authority</td>
<td>Negotiate options available within the single status agreement</td>
<td>3</td>
<td>2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Devise new approaches and solutions to terms and conditions to address work life balance and flexible working issues, with maximum flexibility around role, location and working patterns</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Engage with Trade Unions in consultation gaining commitment to joint objectives</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td><strong>Up to date HR policies and procedures in place</strong></td>
<td>Develop new policies as necessary</td>
<td>1</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ensure all policies have a review date and update as necessary</td>
<td>1</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td>Strategic Outcome / Measure</td>
<td>Key activities to deliver strategic outcomes</td>
<td>Priority</td>
<td>Year action will be completed</td>
<td>Lead Officer</td>
</tr>
<tr>
<td>----------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------</td>
<td>----------</td>
<td>-------------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td>Accurate and accessible management information to plan and deliver future developments</td>
<td>Place policies on the Intranet to ensure access for all</td>
<td>1</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td>A safe and healthy work environment</td>
<td>Implement and develop the Blackpool HR System, incorporating payroll</td>
<td>1</td>
<td>October 2013</td>
<td></td>
</tr>
<tr>
<td>Upper quartile performance against Key Performance Indicators for Corporate Health</td>
<td>Enhance the skills of HR staff to utilise the HR IT systems available to them</td>
<td>1</td>
<td>December 2013</td>
<td></td>
</tr>
<tr>
<td>Training programmes for members and employees in place</td>
<td>Review and revise current sickness absence policy and train managers on policy</td>
<td>1</td>
<td>November 2013</td>
<td></td>
</tr>
<tr>
<td>Core management competencies developed and in place</td>
<td>Review and revise current monitoring, reporting and management of absence</td>
<td>1</td>
<td>October 2013</td>
<td></td>
</tr>
<tr>
<td>Investors in People Award Achieved</td>
<td>Scrutinise current advice and guidance in this area to identify Best Practice</td>
<td>1</td>
<td>December 2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review the Occupational Health Service requirements to support the corporate objectives around attendance</td>
<td>1</td>
<td>December 2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review current doctor referral scheme and current counselling arrangements and devise appropriate support policies and guidance for staff and managers</td>
<td>1</td>
<td>December 2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review approaches to management of stress</td>
<td>1</td>
<td>December 2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Devise strategies and policies to address requirements of these performance indicators</td>
<td>1</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Introduce a training programme of diversity issues</td>
<td>1</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Design and implement a comprehensive training and development programme for elected members and employees</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Develop secondment and joint working initiatives with partners</td>
<td>2</td>
<td>2014/15</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Commit to the North West Charter for Member Development</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review and revise the Appraisal scheme and train managers on the scheme</td>
<td>1</td>
<td>April 2013</td>
<td></td>
</tr>
<tr>
<td>Strategic Outcome / Measure</td>
<td>Key activities to deliver strategic outcomes</td>
<td>Priority</td>
<td>Year action will be completed</td>
<td>Lead Officer</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>---------------------------------------------</td>
<td>----------</td>
<td>-----------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td></td>
<td>Ensure all employees have an annual appraisal and agree individual objectives, with an awareness of where they contribute to the corporate objectives</td>
<td>1</td>
<td>April 2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ensure relevant core competencies are built into recruitment, job descriptions, person specification and personal development plans</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Work with Learning Skills Council, to achieve ITP status</td>
<td>3</td>
<td>2015</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review and revise capability procedure and provide training to managers</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improve employee performance throughout the authority through continuous development, and target training and development activities to help deliver council priorities</td>
<td>1</td>
<td>2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review and revise the programme after one year Encourage Managers to develop beyond the programme</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Employees with appropriate skills in the appropriate posts</th>
<th>Carry out a skills analysis to collate current skills and assess gaps for future requirements</th>
<th>2</th>
<th>2014</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A positive culture of continuous change and improvement</td>
<td>Assess skills, consider retraining requirements to meet future service delivery needs</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td>E-government targets achieved</td>
<td>Carry out an employee survey to set targets and monitor progress</td>
<td>1</td>
<td>October 2013</td>
<td></td>
</tr>
<tr>
<td>Organisational development strategy in place</td>
<td>Ensure more of our employees participate in learning events each year</td>
<td>1</td>
<td>December 2013</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Work with Executive Board on an Organisational Development Strategy for the Authority</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Work with Business Managers to support organisational change resulting from Best Value Reviews and CPA</td>
<td>2</td>
<td>2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Examine the opportunities for training provision in partnership with others and the issue of partnership training as well</td>
<td>3</td>
<td>2014/15</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Deliver learning programmes to support organisational change</td>
<td>2</td>
<td>Ongoing</td>
<td></td>
</tr>
</tbody>
</table>
5. The following table has been used by a large UK local authority to set targets to measure progress against the medium term objectives (MTOPI), in the field of HRM. It can be seen again that clear performance measures are set, for example to reduce the number of working days lost to sickness. Performance indicators are set over 5 years using the first elapsed year as the benchmark for improvement.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>MTOPI 2v</td>
<td>Number of working days lost to sickness absence</td>
<td>9.63 days</td>
<td>7.7 days</td>
<td>11 days</td>
<td>7.7 days</td>
<td>7.7 days</td>
<td>We are disappointed that the number of working days is moving further away from the target. We have improved the management reporting to better understand the underlying issues and are taking appropriate targeted action.</td>
</tr>
<tr>
<td>MTOPI 2aa</td>
<td>Percentage of the Council’s employees from ethnic minority communities</td>
<td>7.3%</td>
<td>7.5%</td>
<td>7.3%</td>
<td>7.5%</td>
<td>8.5%</td>
<td>This target is becoming achievable as a result of sustained actions through recruitment, it is proposed to raise the target to 8.5% to provide ongoing challenge.</td>
</tr>
</tbody>
</table>
Examples of Performance Indicators used in managing staff UK.

<table>
<thead>
<tr>
<th>Area</th>
<th>Performance Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workforce Diversity</td>
<td>✓ Age</td>
</tr>
<tr>
<td></td>
<td>✓ Disability</td>
</tr>
<tr>
<td></td>
<td>✓ Ethnicity</td>
</tr>
<tr>
<td></td>
<td>✓ Full-time/Part-Time</td>
</tr>
<tr>
<td></td>
<td>✓ Gender</td>
</tr>
<tr>
<td></td>
<td>✓ Permanent / Fixed Term</td>
</tr>
<tr>
<td>Sickness Absence</td>
<td>✓ Average working days lost</td>
</tr>
<tr>
<td></td>
<td>✓ Average length of absence period</td>
</tr>
<tr>
<td></td>
<td>✓ Long term sickness absence</td>
</tr>
<tr>
<td></td>
<td>✓ Reasons for sickness absence</td>
</tr>
<tr>
<td>Voluntary Staff Turnover and Retention</td>
<td>✓ % Staff Turnover</td>
</tr>
<tr>
<td></td>
<td>✓ % Stability Index</td>
</tr>
<tr>
<td></td>
<td>✓ % Staff turnover by age group</td>
</tr>
<tr>
<td></td>
<td>✓ Most common reasons for leaving</td>
</tr>
<tr>
<td>Organisational Performance and Measurement</td>
<td>✓ Measures of employee performance</td>
</tr>
<tr>
<td>Workforce Satisfaction</td>
<td>✓ Current level of workforce satisfaction</td>
</tr>
<tr>
<td>Managing Performance</td>
<td>✓ % of employees set individual performance targets</td>
</tr>
</tbody>
</table>

Examples of Performance Indicators used in the HRM function.

<table>
<thead>
<tr>
<th>Area</th>
<th>Performance Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>HRM Numbers and costs</td>
<td>✓ Average ratio of HR staff to no. of employees</td>
</tr>
<tr>
<td></td>
<td>✓ Average HR cost</td>
</tr>
<tr>
<td>Recruitment and Selection</td>
<td>✓ Average cost to recruit</td>
</tr>
<tr>
<td></td>
<td>✓ Average number of days to fill a vacancy</td>
</tr>
<tr>
<td></td>
<td>✓ % of vacancies filled first time.</td>
</tr>
<tr>
<td>Training and Development</td>
<td>✓ Average number of days training per employee per year</td>
</tr>
<tr>
<td></td>
<td>✓ Average cost of training per employee per year</td>
</tr>
<tr>
<td></td>
<td>✓ % of workforce complete training</td>
</tr>
<tr>
<td></td>
<td>✓ Measures of impact of training</td>
</tr>
</tbody>
</table>
6.5.2 Staff Appraisal

The below two examples of staff review forms have been collected from local authorities in the United Kingdom.

<table>
<thead>
<tr>
<th>Team member’s name/job title</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Period covered</td>
<td>From April 2011 To March 2012</td>
</tr>
<tr>
<td>Reviewer’s name/job title</td>
<td></td>
</tr>
<tr>
<td>Reviewer’s Manager’s name/job title</td>
<td></td>
</tr>
</tbody>
</table>

**Performance/Work objectives — Specific, Measureable, Agreed, Realistic & Time-bound**

<table>
<thead>
<tr>
<th>SMART Objectives</th>
<th>Review &amp; learning points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Personal Development Objectives — Aspiration, In our interests & Measureable**

<table>
<thead>
<tr>
<th>AIM Development Needs / Requests</th>
<th>Review &amp; learning points (Action / Progress)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meets almost none of the competency definition</td>
<td>Meets less than half of the competency definition</td>
<td>Meets approximately half of the competency definition</td>
<td>Meets most of the competency definition</td>
<td>Meets all of the competency definition</td>
</tr>
<tr>
<td>Competency</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>Leading and Deciding</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Deciding &amp; Initiating Action</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Leading &amp; Supervising</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Supporting and Co-operating</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Working with People</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 Adhering to Principles and Values¹</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Interacting and Presenting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Relating and Networking</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2 Persuading &amp; Influencing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3 Presenting and Communicating Information²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Analysing and Interpreting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Writing &amp; Reporting²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2 Applying Expertise &amp; Technology²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3 Analysing²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Creating and Conceptualising</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Learning &amp; Researching²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2 Creating and Innovating²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3 Formulating Strategies and Concepts²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Organising and Executing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1 Planning &amp; Organising</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.2 Delivering Results &amp; Meeting Customer Expectations²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.3 Following Instructions &amp; Procedures²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Adapting and Coping</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.1 Adapting and Responding to change</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.2 Coping with Pressures &amp; Setbacks</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Enterprising and Performing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.1 Achieving Personal Work Goals &amp; Objectives</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.2 Entrepreneurial &amp; Commercial Thinking²</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1. Leading and Deciding

1.1 Deciding and Initiating Action

- Is keen to take charge of situations.
- Places a high emphasis on achieving difficult targets.
- Generally makes decisions without too much delay.
- Has a slight tendency to go along with the group consensus.

1.2 Leading and Supervising

- Is highly likely to use persuasion when motivating others.
- Is keen and comfortable to lead a group.
- As likely as most to understand what motivates others.
- Is moderately likely to trust, and thus to empower, others.

2. Supporting and Co-operating

2.1 Working with People

- Is as prepared and as comfortable as most others to seek contributions from others in order to make a decision.
- Occasionally seeks to understand the reasons for others' behaviour.
- Is likely to be a little selective with support and sympathy.
- Competitive drive may prevent co-operation with colleagues.
- Some desire to spend time away from people may affect team working.

2.2 Adhering to Principles and Values

- Is as likely as others to seek a diverse range of views.
- Is as likely to adhere to rules and regulations as most.

<table>
<thead>
<tr>
<th>Symbol</th>
<th>Short Description</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓✓</td>
<td>Key Strength</td>
<td>Strongly likely to have a positive impact</td>
</tr>
<tr>
<td>✓</td>
<td>Likely Strength</td>
<td>Likely to have a positive impact</td>
</tr>
<tr>
<td>●</td>
<td>Moderate</td>
<td>Likely to have neither a positive nor a negative impact</td>
</tr>
<tr>
<td>×</td>
<td>Likely Limitation</td>
<td>Likely to have a negative impact</td>
</tr>
<tr>
<td>××</td>
<td>Key Limitation</td>
<td>Strongly likely to have a negative impact</td>
</tr>
</tbody>
</table>

The overall likelihood of Mr Candidate displaying strength in each competency is shown in the bar graphs on the right hand side of the report.

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlikely to be a strength</td>
<td>Less likely to be a strength</td>
<td>Moderately likely to be a strength</td>
<td>Quite likely to be a strength</td>
<td>Very likely to be a strength</td>
</tr>
</tbody>
</table>
**Staff Review Form**

<table>
<thead>
<tr>
<th>NAME</th>
<th>POST</th>
<th>DATE STARTED IN POST</th>
<th>LINE MANAGER</th>
<th>REVIEW PERIOD</th>
<th>From: January 2012 To: January 2013</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>PLANNED / ACTUAL REVIEW DATES</th>
<th>Objectives Agreed</th>
<th>Progress Review 1</th>
<th>Progress Review 2 (optional)</th>
<th>Progress Review 3 (optional)</th>
<th>Annual Review (See note below)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planned</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Actual</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### PART A: PERSONAL PERFORMANCE PLAN

**AGREED PERFORMANCE STANDARDS and PERSONAL OBJECTIVES**

*(Please refer to the first section of your MDPP Guidance Manual)*

1: PERFORMANCE STANDARD / PERSONAL OBJECTIVE

What will confirm the standard / objective is being achieved?

Monthly 1-2-1s

**PROGRESS REVIEWS –**

2: PERSONAL OBJECTIVE

What will confirm the standard / objective is being achieved?

Monthly 1-2-1s

**PROGRESS REVIEWS -**
**PART B: PERSONAL DEVELOPMENT PLAN**

**COMPLETING THE PERSONAL DEVELOPMENT PLAN**

For each Key Skill, please identify
(1) the Levels which are applicable for competence in this job (A, B, C or D)
(2) current personal performance against each (NR, DN, GR or E as defined below)

<table>
<thead>
<tr>
<th>KEY FOR ASSESSMENT OF PERSONAL PERFORMANCE AGAINST EACH KEY SKILL</th>
</tr>
</thead>
<tbody>
<tr>
<td>NR = Not relevant</td>
</tr>
<tr>
<td>DN = Development needed</td>
</tr>
<tr>
<td>GR = Good and reliable</td>
</tr>
<tr>
<td>E = Exceeds level required by the post</td>
</tr>
</tbody>
</table>

**NON-MANAGERIAL STAFF**

<table>
<thead>
<tr>
<th>KEY SKILLS FOR NON-MANAGERIAL STAFF</th>
<th>LEVEL REQUIRED BY POST</th>
<th>CURRENT PERFORMANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>COMMUNICATION SKILLS</td>
<td>D</td>
<td></td>
</tr>
</tbody>
</table>

Review(s) of progress (please summarise and date)

<table>
<thead>
<tr>
<th>WORKING WITH OTHERS</th>
<th>C</th>
</tr>
</thead>
</table>

Review(s) of progress (please summarise and date)

<table>
<thead>
<tr>
<th>DELIVERING CUSTOMER FOCUSED RESULTS</th>
<th>B</th>
</tr>
</thead>
</table>

If 'DN', the agreed action and priority

Review(s) of progress (please summarise and date)

<table>
<thead>
<tr>
<th>TECHNICAL KNOWLEDGE &amp; DECISION MAKING</th>
<th>C</th>
</tr>
</thead>
</table>

If 'DN', the agreed action and priority

Review(s) of progress (please summarise and date)

<table>
<thead>
<tr>
<th>TEAM LEADING</th>
<th>A</th>
</tr>
</thead>
</table>

If 'DN', the agreed action and priority

Review(s) of progress (please summarise and date)
6.6. Belgium

The cities of Beauraing and Andenne in Belgium have developed performance plans with the help of Council of Europe’s experts. They are presented below.

6.6.1 Performance Management Tools

a) City of Beauraing (Performance Plan)

**Performance plan**

<table>
<thead>
<tr>
<th><strong>Objective</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Relaunching the process of appraising municipal staff</td>
</tr>
</tbody>
</table>

Appraisal entails assessing, SYSTEMATICALLY, CONSTRUCTIVELY and OBJECTIVELY, the present achievements and prospects for development of each staff member.

It is based on a limited number of predetermined criteria and the assumption of:

1. preparation of the staff member and the appraisers,
2. a personalised interview.

While appraisal is obviously an ongoing and everyday process, it will result, periodically, in formalised dialogue involving interaction between the staff member and the two appraisers (termed "N+1" and "N+2", and in turn a hierarchical superior designated by the
Municipal College and the Municipal Secretary).

In addition to the objective of enabling staff to meet the conditions for career development, the appraisal procedure is a TOOL made available to staff and their line managers in order to:

1. develop the abilities and potential of staff members while maintaining optimum functioning of the department or institution;
2. provide the municipal administration with the staff it needs to best fulfil its tasks for the benefit of the local community.

The appraisal scheme was designed with a global, participatory and constructive approach in mind geared to devising uniform criteria for assessing the quality of work carried out.

In this respect, appraisal has by no means been introduced for repressive purposes. It is in no way sanction-oriented appraisal but rather a formative appraisal intended to contribute to the staff member’s personal development. However, it must also provide an opportunity to take stock of any problems encountered by the staff member since their last appraisal.

For appraisal to effectively fulfil its role, the process deployed places emphasis on the quality of dialogue between the appraisee and their hierarchy, objectivity, fairness and involvement of the staff member in their own appraisal. In this way the appraisal is intended to motivate the staff member through the opportunities provided to remedy any shortcomings, assert their achievements and develop their potential.
### Activity/ milestones

**PHASE 1: Process update**

- Holding of working meetings
- Drawing up and updating of definitions of duties
- Drawing up and updating of descriptions of objectives

Timetable: this work must be completed by December 2012, when the new Municipal Council takes up office following the elections of October 2012.

**PHASE 2: Process implementation**

- Holding of appraisal interviews
- Adoption of the appraisal
- Keeping and updating of an appraisal schedule

Timetable: this work may begin only after the new Municipal Council has taken up office. Furthermore, the new office-holders should be granted a period of two or three months before having to implement the process so that they can find their bearings and, where applicable, get to know municipal staff.

<table>
<thead>
<tr>
<th>Initial contact - the interview fixing the definition of duties</th>
<th>Interim interview</th>
<th>Appraisal interview</th>
<th>Adoption of the appraisal</th>
</tr>
</thead>
</table>

358
**Day 1 (February/March 2013)**

**Day 1 + 3 months (May/June 2013)**

**Day 1 + 6 months (August-September 2013)**

**During the month scheduled for the appraisal interview**

**PHASE 3: Evaluation of the process**

At the end of phase 2.

### Timetable

- In the first half of 2012: work to devise definitions of duties should be 75% complete.
- In the second half of 2012: the remaining 25% of definition work should be completed.
- February/March 2013: initial contact with the staff member and interview fixing the definition of duties.
- May/June 2013: interim interview with the staff member.
- August-September 2013: appraisal interview with the staff member.
- During the month scheduled for the appraisal interview: Adoption of the appraisal by the Municipal College.
- End 2013: Evaluation of the process.
### Measuring success (performance indicator)

**PHASE 1: Process update**

- Holding of working meetings: number of departments met (all of them already met in the first half of 2012).
- Drawing up and updating of definitions of duties: number of departments with their definition of duties fixed (75% in the first half of 2012, remaining 25% by December 2012).
- Drawing up and updating of descriptions of objectives: number of departments with their description of objectives (75% in the first half of 2012, remaining 25% by December 2012).

**PHASE 2: Process implementation**

- Holding of appraisal interviews: number of staff members interviewed by appraisers (8 in the first half of 2012).
- Adoption of the appraisal: number of staff members appraised (4 in the first half of 2012).
- Keeping and updating of an appraisal schedule: production of a table (achieved, ongoing updating work).

**PHASE 3: Evaluation of the process**

- Measurement and comparison of rate of absenteeism: distinction between long- and short-term absenteeism on the one hand, and justified and unjustified absenteeism on the other hand (to be carried out by the personnel department, ongoing updating work).
- Measurement of staff turnover and assessment, where applicable, of reasons for leaving.
**Supervision measures**

A supervision report will be prepared by the Municipal Secretary and is transmitted to the Municipal College on a twice-yearly basis.

It will give details on the extent to which the objectives set out in the performance plan have been achieved.

A direct link with progress in different spheres may then be ascertained by the Municipal College.

---

**Budget**

The time spent by appraisers on this process should be clearly specified:
- Preparing descriptions of the duties and objectives of the staff member: at least 2 hours per department.
- Interviews with the staff member: between 20 and 30 min per interview (initial contact, interim interview and appraisal).
- Preparation of the performance plan with the UVCW (Union of Towns and Municipalities of Wallonia) and the Council of Europe: at least 8 hours.

In addition, a training plan may be proposed to the staff member assessed.

Two types of training are generally proposed to local authorities:

1. ad hoc training lasting one day or a half-day on a specific theme. The Union of Towns and Municipalities of Wallonia has confirmed expertise in this field. Its training courses are usually free of charge or cost very little (+/- 30,00 € per staff member).

2. recurrent training cycles with a view to career development. This is mainly for staff from Namur communes and provided by the Provincial Training Institute of the Province of NAMUR. For information, BEAURAING town council paid 900,00 € in 2011 for the training of 3 staff members.

The annual budget earmarked by BEAURAING town council is as follows:
For administrative staff: 1,500,00 €.
For road workers: 500,00 €.
## Outcomes

**OBJECTIVE RESULTS** (reflecting the action of the administration):

- ensuring good governance and transparency of public action: setting deadlines for the carrying out of projects, satisfaction ratings through surveys, municipal newsletter ensuring visibility of the activities of departments, keeping a register of complaints, principle of participatory democracy.
- improving in-house communication across the board: improving the quality and completeness of projects, making teamwork a permanent feature.
- ensuring staff mobility and their replacement in the event of temporary absence: encouraging staff to continually train, mobility ensured by the drawing up of descriptions of duties enabling staff to familiarise themselves with the realities on the ground when taking up a new post, making it possible to draw up specific calls for candidates for long-term replacements.
- providing information to those who are new in office: on the realities faced by staff on the ground, their tasks and qualities.

**SUBJECTIVE RESULTS** (reflecting the staff member's personal view):

- congratulating staff on success during the appraisal process: thanks, congratulations, tolerance for special requests, provision of additional resources.
- improving what can be improved, (re)motivating, striving for personal fulfilment: recognising the value of the work carried out, prompting staff members to become aware of their qualities.
<table>
<thead>
<tr>
<th><strong>Responsibility</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>The Code of Local democracy and Decentralisation, in article L1124-4 § 1, provides for municipal staff management on a binome basis:</td>
</tr>
<tr>
<td>- the Municipal Secretary, head of personnel…</td>
</tr>
<tr>
<td>- … “under the authority” of the Municipal College (made up of the Mayor, deputy mayors and the President of the Social Welfare Council).</td>
</tr>
<tr>
<td>Furthermore, the Municipal Secretary is tasked with preparing the files submitted to the Municipal College (article L1124-4, § 2), which therefore include the appraisal files of municipal staff.</td>
</tr>
</tbody>
</table>
**b) City of Andenne (Performance Plan)**

<table>
<thead>
<tr>
<th>STRATEGIC OBJECTIVE</th>
<th>GENERAL OPERATIONAL OBJECTIVES</th>
<th>SPECIFIC OBJECTIVES</th>
<th>ACTIVITY TO MEET THE OBJECTIVE SET</th>
<th>SCHEDULE</th>
<th>'PERFORMANCE' PROCESS</th>
<th>OUTCOME</th>
<th>BUDGET IMPACT</th>
<th>PERSON RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Andenne City Council is committed to developing the competencies of its staff in order to improve performance.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phase 1: Periodically appraise municipal staff (with a view to... - &gt; cfr 'Phase 2')</td>
<td></td>
<td></td>
<td>from July to August 2012</td>
<td>100% of description of duties (theoretical) proposed in the administration</td>
<td>31 July 2012 (road workers) and 31 August 2012 (office staff) on the basis of the enclosed file</td>
<td>All municipal staff are appraise d periodical ly (every 2 years, every year)</td>
<td>Staff expenditure equivalent to 2/5 of an attaché (university academic), and also 2/5 of a graduate. +/- 30,000€ per annum</td>
</tr>
<tr>
<td></td>
<td>1. Draw up a theoretical reference grid of the different duties of the administration, together with descriptions of the tasks</td>
<td>Seek documentation on the descriptions of duties and structure it</td>
<td></td>
<td></td>
<td>cfr checklist by profession</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Check the match between the theoretical framework and practice</td>
<td>Check with line managers that this corresponds to the reality on the ground</td>
<td>from September 2012 to August 2014</td>
<td>Matching of duties and description during the appraisal &amp; objective-setting. (Average 15</td>
<td>Produce a quarterly file, listing the relevant appraisal data (by staff member, department and</td>
<td>Every month on the basis of the file listing all staff with their appraisal</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

Andenne City Council is committed to developing the competencies of its staff in order to improve performance. Andenne City Council is committed to developing the competencies of its staff in order to improve performance.
| Phase 2: (...) improving services provided by municipal staff | 1. Relate competencies to the descriptions of duties | Translate the descriptions of duties into competencies –> take evaluation criteria from the new grid as a starting point | from September 2012 to August 2014, with one month's leeway in relation to the phase 1 appraisal | Average 15 staff per month over the whole period, 100% of staff covered by the end of the period | // Phase 1 – Checklist by profession/depart | Every month on the basis of the file listing all staff with their appraisal date which will list the relevant data for that appraisal, with a leeway of one month | All municipal staff are appraise | Staff expenditure equivalent to 2/5 of an attaché (university academic), and also 2/5 of a graduate. +/- 30,000€ per annum | Line manager s & HRM |
| Employee expenditure | 2. Standardise competencies for the entire administration | Creation - Formal adoption of the competencies reference grid | from May 2014 to August 2014 | Prepare the reference grid = structural base. Around 2 months per profile (office staff and road worker) | when Phase 2 - obj1. is completed, prepare the reference grid = structural base | 31 May 2014 (progress of road workers), 30 June 2014 (progress of office staff), 31 July 2014 (finalisation for road | Staff expenditure equivalent to 2/5 of an attaché (university academic), and also 2/5 of a graduate. +/- 30,000€ per annum | HRM |

3. Validate the description of duties | Put the description of duties on a formal footing during the staff appraisal. (Check whether any gaps between what is done and what is expected) | Staff per month over the whole period, 100% of staff covered by the end of the period | overall) -> draw conclusions (ok, to be improved etc) | date which will list the relevant data for that appraisal. | HRM |
| 3. Operation of appraisal with competencies | Integrate the competencies in the evaluation grid & Appraise staff using the finalised grid | When a 2nd appraisal is carried out for staff (from September 2014 to August 2016) | Tool useable in the 'new' appraisal (Average 15 staff per month over the whole period, 100% of staff covered by the end of the period) | Produce a quarterly file, listing the relevant appraisal data, together with an analysis of the objectives in relation to the competencies reference grid | Every month on the basis of the file listing all staff with their appraisal date which will list the relevant data for that appraisal (notably development objective) | Staff member, line managers and HRM |
Appendix 2 – Training notes on the added value of modern and effective human resources management for local government employees and councillors

7.1 The main benefits of modern and effective human resources management for local government employees

Effective public administration is inseparable from its staff. The latter implement the municipal policy decided by the political team elected by the population. Staff therefore have a vital role to play in improving local living conditions via the public services provided for the population. Modern, effective administration serving the population thus involves proper human resources management.

For a civil servant, proper human resources management is vital to:

- make his work meaningful (providing a raison d’être)\(^{59}\)
- ensure that his work is valued and improves (developing his competences)
- work under good conditions on a daily basis.

a) Making work meaningful

It is important for effective human resources management to make each staff member’s work meaningful and ensure that all staff feel responsible for the institution’s collective project, to which they are contributing; this project derives from the choice made by citizens during the local elections. In short, all staff members must feel that they are co-actors in the project pursued, in the knowledge that the councillors are the decision-makers (which means that it is a case of co-production rather than co-decision).

To that end, it is essential to draw up job profiles. This helps pinpoint the tasks to be assigned to staff and their place within the institution, depending on the needs identified vis-à-vis the project to be implemented. In reply to the questions “who does what?”, “under what conditions”, “with which resources?” and “who is responsible?”, “under whose authority?”, etc, job profiles facilitate the proper functioning of the institution and enable all staff to work under clear and transparent conditions. It allows each staff member to pinpoint his role in the institution where he works.

Furthermore, by defining the competences, expertise and capacities required for each post (including knowledge, know-how, life skills and the ability to motivate colleagues to perform duties and learn new life skills), this can ensure that new recruits are completely suited to their jobs, thus providing them with work suited to their resources and abilities and opportunities for developing their competences by means of further training and securing career perspectives.

\(^{59}\) In this connection, it is important to stress that although the decision-makers are the councillors, staff also have a share of the responsibility for implementing policies.
b) **Being valued and improving (developing competences)**

The meaningfulness of each staff member’s work is vital in terms of motivation. Motivation can also be maintained by **regular valuation** of the staff member’s work. The appraisal process plays a major role in this context.

Appraisal is prepared upstream (a job description and a set of objectives ensure greater transparency in the process). Subsequently, the appraisal must also **produce consequences** for the appraisee. Ideally, this appraisal should have an effect on the staff member’s remuneration, including fringe benefits. There could be nothing worse than administrative appraisal which is seen as a mere formality, because this would erode staff motivation and responsibility.

Appraisal thus provides an opportunity for acknowledging the work conducted and the qualities displayed and for envisaging improvements, notably by **identifying** potentially useful **training programmes**. It also provides a chance to check on **staff well-being** within the institution. Lastly, it is a time for discussing possible staff **career prospects**.

c) **Good everyday working conditions**

Beyond the specific aspects of the post profile and the appraisal, human resource management is primarily an **everyday task**. It affects day-to-day interpersonal relations. For instance, a good public manager must remain constantly abreast of events in order to understand others; this calls for listening skills. Similarly, by encouraging the participation of all colleagues, a good manager can be sure of having a genuinely united team to fall back.

All managers would therefore be well-advised to prepare and draft their own **Charter of good managerial practices**, to which they can initially refer in discharging their duties as director or departmental head. This Charter should set out all the principles and guidelines which they consider important in discharging their duties.

For instance, the Charter might comprise a special section on leading meetings, specifying, for each type of meeting (information, departmental, decision-making, negotiation, working meetings), the points which are important (objective-setting, specific agenda, establishing the meeting framework, circulating the appropriate documents for the meeting, prohibiting the distribution of documents of over two pages during the meeting, etc).
The main points to remember:

Modern, effective human resources management must allow staff to:

- ensure that their work is meaningful and consider themselves as co-actors in municipal action;
- be assigned specific tasks linked to the mission pursued by the authority and enjoy clear, transparent working conditions;
- have access to training suited to their needs and interests;
- progress in the administration and therefore enjoy career prospects;
- see the true value of their work recognised.

7.2 The main benefits of modern and effective human resources management for councillors

Although the councillors themselves, as elected representatives, form the mainstay of democracy, proper public administration would obviously be nothing without its staff. While the councillors are clearly the decision-makers, it is the staff who implement the policy decided by the political team elected by the population.

This task is part of the municipal strategic planning process, which is largely a matter for the councillors, notably in terms of devising a municipal vision (political blueprint) mapping out where the authority would like to be in 5, 10 or 20 years’ time. However, since the implementation of this vision involves the local government staff, disregarding them would be to jeopardise the attainment of the objectives and therefore let the citizens down.

Staff therefore play a major role in enabling councillors to deliver on their commitments to their fellow citizens, which involve improving the latter's living conditions by providing quality public services. Modern and effective human resources management is therefore vital for achieving the objectives set by the elected politicians.

A few major principles should be borne in mind vis-à-vis public authority governance:

- it is for the councillors to define the objectives of their term of office and for staff to advise these elected representatives on the optimum means of doing so or on the difficulties of achieving them;
- authority governance is above all team governance. It is in the councillor’s interests to form a genuine team with his colleagues allowing everyone freedom of expression, in the knowledge that the politicians have the final say;
- choices must be made by the councillors, and staff must implement these choices.

Proper human resources management is therefore in the interests of the politicians leading the authority, particularly where the following three specific questions are concerned:
- why value human resources?
- why is proper recruitment vital?
- why appraise staff?

a) Why value human resources?

Just as a government department requires financial and material resources, it also needs staff, which constitute its human resources. In many ways, they represent one of the authority’s most valuable resources because it is directly responsible for managing the other resources with a view to implementing the councillors’ policies. Consequently, the quality of the public services provided and the honouring of the politicians’ commitments largely depend on the staff’s involvement.

Furthermore, the expression “human capital” as defined by Gary Becker (the 2000 winner of the Nobel Prize for Economics) is used here. This expression means taking account of staff competences, experience and knowledge. It is in the elected politicians’ interests to value “human capital” in order to guarantee a competent and experienced team, preserving the talents and increasing the competences of staff. This helps improve the public services provided, enabling the political team heading the authority to achieve its set objectives.

Staff motivation is also vital in fulfilling the objectives set by the councillors. A competent, flexible staff member who is also motivated will be all the more effective and capable of serving the authority and the elected team.

b) Why is proper recruitment vital?

Proper recruitment is vital because it ensures that the authority has the right people in the right jobs, so that it can ensure optimum fulfilment of functions and deliver on their pledges. It is therefore vital that it recruits candidates who correspond as closely as possible to the technical profile of the post to be filled.

Proper recruitment is especially important in that it will have a financial impact on the authority in the medium-to-long-term, depending on the nature of the contract. Councillors must therefore be accountable to the general public for their recruitment.

Lastly, recruiting someone means investing in human capital, and so there must be no mistakes concerning the requisite skills and qualifications. If a candidate is overspecialised, he can meet a short-term need but may later raise problems should the long-term needs change. Rational considerations will always look to the long term. By the same token, we might note that it is not necessarily good for the structure to recruit an overqualified staff member. Such recruits will be remunerated in accordance with their post rather than with their real value, which will inevitably decrease motivation in the medium to long term.
Qualification levels are therefore an aspect which councillors must take into account when recruiting new staff, because it will impact on the pursuit of their objectives.

The recruitment process must therefore start with closely defining the needs of the authority (in defining the competences, knowledge and abilities required for each post), with an eye to optimum recruitment, ensuring that the councillors will have the best possible staff.

c) Why appraise staff?

Appraisal is first and foremost an opportunity for ensuring that the staff member has properly achieved his objectives and that the mission established by the elected politicians has been properly implemented.

Staff appraisal also facilitates stocktaking on their work and competences, highlighting the actions (including training courses) which might be needed in order to improve the quality of public services and achieve the political objectives. It is also a tool for motivation, ensuring career prospects. Appraisal is thus an opportunity for ascertaining whether the staff member can improve his performance, depending on his competences and motivation, and therefore to go further in implementing the councillors' project.

A properly managed authority is one capable of meeting the expectations of its citizens and therefore one in which life is pleasant and where citizens trust their councillors and their administration. Proper human resource management, comprising regular staff appraisals, powerfully promotes the achievement of this goal by ensuring that skilled, motivated staff are there to help the councillors implement their political project, the vision which they have devised for their local authority.

The main points to remember:

- the policy adopted by the elected political team is implemented by staff;
- it is for the councillors to make the choices and for the staff to implement these choices;
- it is in the councillors' interests to value human capital;
- proper recruitment is vital because it ensures that the authority has the right people in the right jobs;
- appraisal helps pinpoint staff training needs in order to develop their competences and thus improve the quality of the public services provided.
Appendix 3  Gender mainstreaming in practice

8.1 Community Law

The European Union recognized the importance of addressing gender mainstreaming in human resources by the adoption of the Directive 2002/73/EC on the implementation of the principle of equal treatment for men and women as regards access to employment, vocational training and promotion, and working conditions which is compulsory to every single member state. The European Union states that “Member States may maintain or adopt measures within the meaning of Article 141(4) of the Treaty with a view to ensuring full equality in practice between men and women. (p.8) Application of the principle of equal treatment means that there shall be no direct or indirect discrimination on the grounds of sex in the public or private sectors, including public bodies, in relation to: a) conditions for access to employment, to self-employment or to occupation, including selection criteria and recruitment conditions, whatever the branch of activity and at all levels of the professional hierarchy, including promotion; (b) access to all types and to all levels of vocational guidance, vocational training, advanced vocational training and retraining, including practical work experience; (c) employment and working conditions, including dismissals (…)”.

The European Directive also adopted several measures regarding adoption and paternity leave. “It is also without prejudice to the right of Member States to recognise distinct rights to paternity and/or adoption leave. Those Member States which recognize such rights shall take the necessary measures to protect working men and women against dismissal due to exercising those rights and ensure that, at the end of such leave, they shall be entitled to return to their jobs or to equivalent posts on terms and conditions which are no less favourable to them, and to benefit from any improvement in working conditions to which they would have been entitled during their absence.”

8.2 Case Study - Austria

Indeed an effective way of recognizing the importance of gender mainstreaming is enforcing it. As a first step towards a gender orientated government, Austria enacted several Constitutional amendments, which came into force in 2009. According to the Austrian Federal Constitution “The Federation, the Länder and the Municipalities must aim at de facto equality of women and men in budget management” (art. 13º) and “In the Budget Management of the Federation the fundamental principles of impact orientation, especially considering the objectives of the effective equality of men and women, transparency, efficiency and the most faithfully possible representation of the financial situation of the Federation are to be observed” (art. 51º) As a second stage to improve a comprehensive gender reform, Austria has imposed some internal and external outcome objectives to be achieved in 2013. Following the Government actions several municipalities have adopted different projects towards increasing equal gender opportunities.
8.3 Case Study - France

Gender inequality measures
Gender inequality in the French public administration is significantly high. According to the DGAFP, in 2004, in 1479 posts of director of public administration, only 14% were taken by women. Disaggregating further the data, this means 64 women as general directors of local authorities, in a total of 356 and 76 women among 546 general directors of regional and general council. In addition, in 2007, the French gender pay gap also highlighted the gender inequality. In France, the average monthly net salary of women was 20% less than men. As a result of these disparities, the French authorities presented in the beginning of 2012 a comprehensive set of measures for improving gender equality.

These measures\(^{60}\), aiming at improving job security and combatting discrimination, enabled strong measures to be adopted:

- The introduction in 2018 of a 40% quota for appointments of women to senior management and leadership positions in the civil service. This will be phased in gradually: 20% on 1 January 2013 and 30% on 1 January 2015. There are penalties for failure to meet appointment targets using a mechanism which itself is progressive.
- Quotas like those provided by the Cope-Zimmermann law will be established in all boards of public institutions.
- The same quotas will be imposed on all recruitment panels, selection committees and social dialogue bodies.
- Obstacles to career advancement arising from the taking of parental leave have been removed, so as not to slow staff’s career paths.
- Each year, the policies carried out to advance equal opportunities in the public service will be subject to a report to be discussed at the Conseil commun de la fonction publique (Joint Council of the Public Service) before being forwarded to Parliament 

Private/professional life balance
The French Government further encouraged the adoption of several policies to promote better working facility conditions and balance between professional and familiar lives, which would:

- encourage full take-up of paternity leave
- relax the conditions of use of parental leave by both parents
- reduce the impact of leave related to parenthood on careers by improving recognition of periods spent on maternity leave and parental leave
- make work arrangements more compatible with the objective of better coordination of personal and professional life, in particular by adopting time charts
- better inform staff on the regulations in place for organising one’s personal and professional life and their consequences in career terms
- introduce interviews before and/or after long career breaks for personal or family reasons

---

8.4 Case Study - Spain: Expertise in gender

In order to have qualified staff addressing gender mainstreaming on local municipalities, the Spanish Federation of Municipalities and Provinces (FEMP), together with the Spanish Minister for Equality, suggested that each local authority hire an expert on gender. This person would have to demonstrate high-level normative and communication skills as well as a firm foundation on gender mainstreaming. The person would be responsible for promoting gender mainstreaming, adopting and adjusting local policies to gender equality, implementing national or international gender legislation in the municipality and coordinating several training programmes.

8.5 Case Study - Switzerland: Framework for an organisational gender analysis from Swiss Agency for Development and Cooperation SDC

The Swiss agency proposed a set of policies and questions to assess gender perspective.

<table>
<thead>
<tr>
<th>Issues to consider</th>
<th>Key questions to assess</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Human resource management and Equal Opportunities (EO)</strong></td>
<td></td>
</tr>
</tbody>
</table>
| The creation of a safe and practical environment for women and men to work in (e.g. transport issues, working hours, travel conditions and commitments for fieldwork, toilets, childcare responsibilities) is critical to gender mainstreaming. It is hypocritical and not efficient to promote gender in programmes and projects and to ignore it inside organizations. Practical and strategic needs of women and men must be identified as part of a gender organizational assessment. | - What is the current gender balance of staff in different posts?
- Is there an EO policy? What gender issues/gaps does it address and how is it implemented?
- Is gender a criterion in the selection of partners, consultants, staff—women/men (how)?
- What working conditions/requirements may discriminate against the employment of women/men in certain jobs/posts?
- Is being a woman, or a man, considered an advantage or an inconvenience for certain jobs/tasks?
- To what extent are E.O discussed in relation to programme efficiency and sustainability? |

| Responsibility | |
| Issues to consider | Key questions to assess |
| All staff is responsible for integrating gender whatever level they work at. It is important to ensure that gender responsibility is not a) given to junior staff with no real power b) given only to women c) located only in social sectors d) concentrated in the hands of a few people. | - Who (women/men) is responsible for gender? What decision-making status do these people have? How are they perceived by the rest of the staff? What are they responsible for?
- Does staff responsible for gender have terms of reference, skills, resources, incentives and management support?
- How are they involved in policy and/or programme planning?
- What mechanisms ensure the sharing of |
gender lessons within/between SDC and its partners (e.g. networks)?

- What mechanisms ensure the performance of gender responsible staff and gender advocacy competence?

The following are a group of successful examples of how local authorities approach gender mainstreaming in HRM, which not only offer guidance on how to put it into practice but may also encourage other local governments to adopt similar methods.

**8.6 Case Study - Australia: Consider Gender Mainstreaming in all HRM processes**

Australia launched the Gender Equality Blueprint 2010 and focused on five main areas considered key to assess gender mainstreaming and promoting better quality of life both for men and women in their public/private and work/family lives.

**Five Priorities**

1. Balancing paid work and family and caring responsibilities
   a. superannuation on paid leave
   b. a minimum of two weeks paid leave for fathers and other supporting parents
   c. over time, a full year of paid parental leave that can be shared between parents, to ensure that children receive the care they need at this important early stage
   d. within the full year of paid parental leave, a minimum of four weeks paid leave for fathers and supporting parents, available on a ‘use it or lose it’ basis, to enable them to be involved in caring during the first year of their child’s life
   e. leave paid at the rate of at least two thirds of income, so that more families can afford to take the leave.

2. Ensuring women’s lifetime economic security

3. Promoting women in leadership
   a. a minimum target of 40% representation of each gender on all Australian Government Boards within three years should be set, publicly announced and progress should be reported annually
   b. a minimum gender equality target in the Senior Executive Service in the Australian Public Service should be set, publicly announced and progress should be reported annually
   c. all publicly listed companies providing goods or services to the Australian Government should be certified by the Equal Opportunity in the Workplace Agency
   d. a target of 40% representation of each gender on all publically listed Boards in Australia, to be achieved over five years should be promoted. If progress is not made, the Australian Government should consider legislating to require publicly listed companies and other large employers to achieve a mandatory gender diversity quota of a minimum of 40% of both genders within a specified timeframe, failing which penalties will be imposed."

4. Preventing violence against women and sexual harassment

5. Strengthening national gender equality laws, agencies and monitoring"
“Performing paid work on a keeping in touch day

In Australia, employees receiving Parental Leave Pay have the option, with their agreement, to keep in touch with the workplace. Known as a keeping-in-touch day, a person performs paid work for an entity on a day that would otherwise be a day of leave in a period of leave granted by that entity if:

(a) the purpose of performing the work is to enable the person to keep in touch with his or her employment or engagement in order to facilitate a return to that employment or engagement after the end of the period of leave;

(b) both the person and the entity consent to the person performing work for the entity on that day;

(c) the day is not within 14 days after the day the child was born.”


The ILO produces several research and analytical documents concerning gender mainstreaming. Specifically, the ILO Action Plan for Gender Equality 2010–15 proposes a set of recommendations and approaches to be internally adopted. The organization outlined their priorities in a benchmarking structure that may be easily adjusted to local authorities.

Indicator:

1. % of Professional and higher category positions held by women. Baseline: 42.5% (33.6% management positions held by women)
2. % of sections of management and leadership development workshop materials that incorporate gender. Baseline: Zero
3. % of women participants in management and leadership development workshops. Baseline: 34%
4. Number of opportunities for training offered to General Service staff Baseline: Nine
5. Number of gender sensitive and/or family-friendly measures that exist. Baseline: Seven measures
6. % of job description vacancies that refer to gender related skills and/or gender sensitivity. Baseline: 30.3%
7. % of responsible chiefs perceived by reporting staff as creating an environment that values diversity including sensitivity to gender. Baseline: To be established based on 2012–13 performance
8. Number of initiatives or measures taken to strengthen and/or enforce the Conflict Prevention and Resolution Collective Agreement including on sexual harassment Baseline: One
9. % of P&B outcome strategies that include action oriented gender-mainstreaming components. Baseline: 94.7%
10. % of P&B outcomes that are reported with one or more actionable lessons learned on mainstreaming gender. Baseline: 21%
11. % of recommendations of participatory gender audit reports for audited ILO headquarters units and field offices that are implemented Baseline: 20% (based on 2010–11 status)
12. % of DWCPs that contain indicators of which at least 35% are gender-inclusive Baseline: 17% (based on 2010–11 status)
13. % of research texts that are submitted to the Research and Publications Committee and fulfil all the requirements of a “comprehensive checklist for mainstreaming gender issues into research and publications” Baseline: 33% (based on 2010–11 status)

14. % of ILO/donor partnership agreements that mainstream gender in both policy orientation and operational aspects Baseline: 46%

15. % of ILO technical cooperation projects/programmes that are classified in IRIS with Gender Marker One or Two Baseline: 72%

22. Number of headquarters units and field offices without gender focal points. Baseline: One headquarters unit and two field offices

23. % of male focal points among headquarters units and field offices Baseline: 31%

24. % of approved terms of reference for evaluations of independent strategies, DWCPs and projects that include an assessment of gender dimensions Baseline: 30%

Please consult the following link:

8.8 "Gender - a Missing Dimension in Human Resource Policy and Planning for Health Reforms."61

Standing (2000) suggests some questions as an approach to measure the gender perspective in HRM. We select some of examples to illustrate how the local authorities can put in practice the gender mainstreaming.

<table>
<thead>
<tr>
<th>Contribute Factors</th>
<th>Approach</th>
<th>Data collection needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accurate information on the staffing situation</td>
<td>To feed into service planning and equal opportunities, what is the gender breakdown of staff in different occupations and at different grades?</td>
<td>Routine data to be collected on gender composition</td>
</tr>
</tbody>
</table>

Training

Is training on gender and gender mainstreaming part of the actions taken to reinforce administrative efficiency?

Survey of barriers to female participation in training/health sector employment

Do terms and conditions of training impose any barriers to women?

Monitoring of exit from training and from public sector by gender

---

61 Hilary Standing, Fellow, Institute of Development Studies, University of Sussex, Brighton BN1 9RE, UK and Consultant, Health Sector Reform Programme, Liverpool School of Tropical Medicine
<table>
<thead>
<tr>
<th>Topic</th>
<th>Question</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>More flexible employment arrangements, new types of terms and conditions</td>
<td>Do proposed changes in contractual arrangements affect women employees differently from men (e.g. part time working)? Does HRM need to take account of this in offering a wider menu of options?</td>
<td>Information from employees and professional associations/trade unions</td>
</tr>
<tr>
<td>Reducing staff numbers</td>
<td>Will this disproportionately affect categories of staff where women dominate?</td>
<td>Gender breakdown of different staff categories.</td>
</tr>
<tr>
<td>Providing suitable incentives for staff</td>
<td>What will be the effect on the quality and type of service delivered?</td>
<td>Information on access and utilisation of services, user views and health seeking behavior.</td>
</tr>
<tr>
<td>Providing suitable incentives for staff</td>
<td>Do male and female employees respond differently to different types of incentives? Should a wider menu be provided which would cater to any differences?</td>
<td></td>
</tr>
<tr>
<td>Changes in skills/skill mix and working practices</td>
<td>Are the categories of workers who are likely to be affected female or male dominated?</td>
<td>Gender disaggregated data on occupations and grades</td>
</tr>
<tr>
<td>Changes in skills/skill mix and working practices</td>
<td>Will the changes proposed result in widening or narrowing of the skill base for female dominated occupations?</td>
<td></td>
</tr>
<tr>
<td>Impact of reforms on career paths and new forms of career development</td>
<td>Do new career structures impose conditions which can discriminate against female employees (e.g. training requirements which are difficult for women with family responsibilities to meet)?</td>
<td>Information from employees and professional associations/trade unions</td>
</tr>
<tr>
<td>Effective mechanisms for staffing facilities in rural/remote areas</td>
<td>Do female employees face different constraints from male employees in working in these areas? Are there ways of using these differences more effectively (e.g. by greater flexibility in timing of rural postings)?</td>
<td>Information from employees and professional associations/trade unions.</td>
</tr>
<tr>
<td>Decentralizing services closer to the point of delivery</td>
<td>Who takes responsibility for monitoring of “equal opportunities”? How is data collected, managed</td>
<td></td>
</tr>
</tbody>
</table>
and used in decentralized systems?

<table>
<thead>
<tr>
<th>Contracting out of services to private sector/NGOs</th>
<th>Ensuring “quality control” for gender sensitive services</th>
<th>User satisfaction surveys</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Effective and efficient use of qualified staff</strong></td>
<td>Shortage of women in senior management positions</td>
<td>Case studies of barriers faced by women</td>
</tr>
<tr>
<td><strong>Planning methodologies</strong></td>
<td>Greater consultation with stakeholders, particularly female users</td>
<td></td>
</tr>
</tbody>
</table>

379
Similarly, the CoE proposed several actions to address the gender equality as well as the expected results and timetable to its adoption. In the following table there are some of the actions internally implemented by the Coe.

### THEME 1: GENDER EQUALITY (part 1)

EO Board Rapporteurs: Tanja Kleinsorge, Mechthilde Fuhrer, Ivana Nikolic

<table>
<thead>
<tr>
<th>PROJECTS</th>
<th>OUTPUT/RESULTS TO BE ACHIEVED</th>
<th>TIMETABLE</th>
<th>RESPONSIBILITIES</th>
<th>RESULTS ACHIEVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation actions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Create leadership and commitment of senior managers</td>
<td>The statement is presented to and discussed by the Senior Management Group (SMG)</td>
<td>March 2011 + 2012</td>
<td>DSG</td>
<td>DSG presented the statement to the SMG on 23 March 2011</td>
</tr>
<tr>
<td></td>
<td>The SMG communicates on progress made</td>
<td></td>
<td></td>
<td>DSG set a specific 2012 objective on gender equality to head of Major Administrative Entities (MAE)</td>
</tr>
<tr>
<td>1.3 Carry out a gender mainstreamed analysis of the recruitment and selection processes</td>
<td>The results of the study are implemented in HR practices</td>
<td>September 2012</td>
<td>Recruitment and Employment Division EOO</td>
<td></td>
</tr>
<tr>
<td>Implementation actions</td>
<td>OUTPUT/RESULTS TO BE ACHIEVED</td>
<td>TIMETABLE</td>
<td>RESPONSIBILITIES</td>
<td>RESULTS ACHIEVED</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
<td>-----------------</td>
<td>---------------------------</td>
<td>-------------------------------------------</td>
</tr>
<tr>
<td>1.6 Encourage managers and members of the Appointments Board’s commitment to gender balance and diversity issues when taking part in selection processes</td>
<td>The Equal Opportunities Officer participates in promotion and mobility Appointments Board and advices members on equal opportunities of candidates and gender balance in grades. (x meetings of the Appointments Board) Progress is made and measured (see statistical monitoring 1.12)</td>
<td>2011 - 2012</td>
<td>EOO</td>
<td></td>
</tr>
<tr>
<td>1.7 Launch a pilot project for selected Major Administrative Entities on gender equality</td>
<td>Explore ways to improve representation of women in management and men in start-of-career B grades Progress is made and measured (see statistical monitoring 1.12)</td>
<td>2012</td>
<td>EOO</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>HR correspondent of the selected MAEs</td>
<td></td>
</tr>
<tr>
<td>1.8 Organise workshops for women managers</td>
<td>Consult middle and senior managers on 3 questions:</td>
<td>2011-2012</td>
<td>Deputy Secretary General</td>
<td>Two workshops in November 2011 + January 2012. 50 women managers participated. Follow-up meeting on 5 April 2012.</td>
</tr>
<tr>
<td></td>
<td>1. What should be done to involve both women and men in the gender agenda?</td>
<td></td>
<td>EOO</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. What can the Organisation do to increase the share of women in management?</td>
<td></td>
<td>Consultant (Anette Steen Pedersen)</td>
<td></td>
</tr>
</tbody>
</table>
3. What can women do to advance their career?

Collect their recommendations to influence improvement of HR policies and gender issues

Deputy Secretary General presented their recommendations to the Senior Management Group on 22 June 2012.

**THEME 1: GENDER EQUALITY (part 3)**

EO Board Rapporteurs: Tanja Kleinsorge, Mechthilde Fuhrer, Ivana Nikolic

<table>
<thead>
<tr>
<th>PROJECTS</th>
<th>OUTPUT/RESULTS TO BE ACHIEVED</th>
<th>TIMETABLE</th>
<th>RESPONSIBILITIES</th>
<th>RESULTS ACHIEVED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Implementation actions</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.9 Celebration of International Women's Day</td>
<td>Staff awareness-raising action</td>
<td>8 March of each year</td>
<td>EOO - Patronage of the Deputy Secretary General</td>
<td>2011: A question was published on the intranet: Do you think women and men have equal opportunities in this Organisation? The gender equality policy statement was part of the awareness-raising. 2012: Conference: Women, key players of the Arab Spring</td>
</tr>
</tbody>
</table>
1.10 Inform staff members of the follow-up to the gender equality policy statement

Statistics will be published regularly on the intranet

| 2011 - 2012 | EOO | Statistics were published for 8 March. New statistics will be published in the Autumn 2012. |

1.11 Encourage team based training on gender competence

Managers and their team are aware of the importance of gender balance and equality.

| 2012 | Training Unit EOO | 6 sessions on gender-mainstreaming took place from April to June 2012 and were co-organised by DGI and DHR |

THEME 1: GENDER EQUALITY (part 4)

EO Board Rapporteurs: Tanja Kleinsorge, Mechthilde Fuhrer, Ivana Nikolic

<table>
<thead>
<tr>
<th>PROJECTS</th>
<th>OUTPUT/RESULTS TO BE ACHIEVED</th>
<th>TIMETABLE</th>
<th>RESPONSIBILITIES</th>
<th>RESULTS ACHIEVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1.12 Statistical monitoring of gender balance in the Organisation across all categories and grades, including sex-disaggregated data on average time spent in a grade before a promotion and on the repartition

Have reliable data in order to better monitor gender equality

Annual statistics are published in the EB annual report and in the BSC

<p>| Each year | EOO | | | |</p>
<table>
<thead>
<tr>
<th>CDI/CDD contracts</th>
<th>1.13 Statistical monitoring of gender balance in selected administrative entities</th>
<th>Encourage and improve representation of women in middle and senior management in these entities (see 1.7)</th>
<th>2012</th>
<th>EOO</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.14 Statistical comparison with other European organisations</td>
<td>Situate the progress made and the efforts still needed within our Organisation as compared to other European organisations. Communicate the results to staff</td>
<td>2012</td>
<td>EOO</td>
</tr>
</tbody>
</table>
8.10 Further reading on gender equality and mainstreaming


EBRD, 2008, “EBRD Good Practices Notes – Family Friendly working and work-life balance”


Finnish Ministries, “Gender Glasses in Use – A Handbook to support gender equality work at Finnish Ministries”


Swiss Agency for Development and Cooperation, Gender in Organizations,

Internet data
http://www.inegalites.fr/spip.php?article728&var_mode=calcul
http://www.wien.gv.at/english/administration/gendermainstreaming/day-care.html
Appendix 4 – Recommendation no. R (2000) 10 of the Council of Europe Committee of Ministers to Member States, on Codes of Conduct for Public Officials

of the Committee of Ministers to Member states
on codes of conduct for public officials

(Adopted by the Committee of Ministers
at its 106th Session on 11 May 2000)

The Committee of Ministers, under the terms of Article 15.b of the Statute of the Council of Europe,

Considering that the aim of the Council of Europe is to achieve a greater unity between its members;

Considering that public administrations play an essential role in democratic societies and that they must have at their disposal suitable personnel to carry out properly the tasks which are assigned to them;

Considering that public officials are the key element of a public administration, that they have specific duties and obligations, and that they should have the necessary qualifications and an appropriate legal and material environment in order to carry out their tasks effectively;

Convinced that corruption represents a serious threat to the rule of law, democracy, human rights, equity and social justice, that it hinders economic development and endangers the stability of democratic institutions and the moral foundations of society;

Having regard to the recommendations adopted at the 19th and 21st Conferences of European Ministers of Justice (Valletta, 1994 and Prague, 1997 respectively);

Having regard to the Programme of Action against Corruption adopted by the Committee of Ministers in 1996;

Having regard to Recommendation No. R (81) 19 of the Committee of Ministers of the Council of Europe on the access to information held by public authorities;
Having regard to Recommendation No. R (2000) 6 of the Committee of Ministers of the Council of Europe on the status of public officials in Europe;

In accordance with the Final Declaration and the Plan of Action adopted by the heads of state and government of the Council of Europe at their Second Summit, held in Strasbourg, on 10 and 11 October 1997;

Recalling in this respect the importance of the participation of non-member states in the Council of Europe’s activities against corruption and welcoming their valuable contribution to the implementation of the Programme of Action against Corruption;

Having regard to Resolution (97) 24 on the twenty guiding principles for the fight against corruption;

Having regard to Resolutions (98) 7 and (99) 5 authorising and respectively adopting the Enlarged Partial Agreement establishing the Group of States against Corruption (GRECO), which aims at improving the capacity of its members to fight corruption by following up compliance with their undertakings in this field;

Convinced that raising public awareness and promoting ethical values are valuable as means to prevent corruption,

Recommends that the governments of member states promote, subject to national law and the principles of public administration, the adoption of national codes of conduct for public officials based on the model code of conduct for public officials annexed to this Recommendation; and

Instructs the Group of States against Corruption (GRECO) to monitor the implementation of this Recommendation.

Model code of conduct for public officials

Interpretation and application

Article 1

1. This Code applies to all public officials.

2. For the purpose of this Code "public official" means a person employed by a public authority.

3. The provisions of this Code may also be applied to persons employed by private organisations performing public services.

4. The provisions of this Code do not apply to publicly elected representatives, members of the government and holders of judicial office.

Article 2

1. On the coming into effect of this Code, the public administration has a duty to inform public officials about its provisions.

2. This Code shall form part of the provisions governing the employment of public officials from the moment they certify that they have been informed about it.

3. Every public official has the duty to take all necessary action to comply with the provisions of this Code.

Article 3 – Object of the Code

The purpose of this Code is to specify the standards of integrity and conduct to be observed by public officials, to help them meet those standards and to inform the public of the conduct it is entitled to expect of public officials.

General principles

Article 4
1. The public official should carry out his or her duties in accordance with the law, and with those lawful instructions and ethical standards which relate to his or her functions.

2. The public official should act in a politically neutral manner and should not attempt to frustrate the lawful policies, decisions or actions of the public authorities.

Article 5

1. The public official has the duty to serve loyally the lawfully constituted national, local or regional authority.

2. The public official is expected to be honest, impartial and efficient and to perform his or her duties to the best of his or her ability with skill, fairness and understanding, having regard only for the public interest and the relevant circumstances of the case.

3. The public official should be courteous both in his or her relations with the citizens he or she serves, as well as in his or her relations with his or her superiors, colleagues and subordinate staff.

Article 6

In the performance of his or her duties, the public official should not act arbitrarily to the detriment of any person, group or body and should have due regard for the rights, duties and proper interests of all others.

Article 7

In decision making the public official should act lawfully and exercise his or her discretionary powers impartially, taking into account only relevant matters.

Article 8

1. The public official should not allow his or her private interest to conflict with his or her public position. It is his or her responsibility to avoid such conflicts of interest, whether real, potential or apparent.

2. The public official should never take undue advantage of his or her position for his or her private interest.
Article 9
The public official has a duty always to conduct himself or herself in a way that the public's confidence and trust in the integrity, impartiality and effectiveness of the public service are preserved and enhanced.

Article 10
The public official is accountable to his or her immediate hierarchical superior unless otherwise prescribed by law.

Article 11
Having due regard for the right of access to official information, the public official has a duty to treat appropriately, with all necessary confidentiality, all information and documents acquired by him or her in the course of, or as a result of, his or her employment.

Article 12 – Reporting
1. The public official who believes he or she is being required to act in a way which is unlawful, improper or unethical, which involves maladministration, or which is otherwise inconsistent with this Code, should report the matter in accordance with the law.

2. The public official should, in accordance with the law, report to the competent authorities if he or she becomes aware of breaches of this Code by other public officials.

3. The public official who has reported any of the above in accordance with the law and believes that the response does not meet his or her concern may report the matter in writing to the relevant head of the public service.

4. Where a matter cannot be resolved by the procedures and appeals set out in the legislation on the public service on a basis acceptable to the public official concerned, the public official should carry out the lawful instructions he or she has been given.

5. The public official should report to the competent authorities any evidence, allegation or suspicion of unlawful or criminal activity relating to the public service coming to his or her knowledge in the course of, or arising from, his or her employment. The investigation of the reported facts shall be carried out by the competent authorities.
6. The public administration should ensure that no prejudice is caused to a public official who reports any of the above on reasonable grounds and in good faith.

Article 13 – Conflict of interest

1. Conflict of interest arises from a situation in which the public official has a private interest which is such as to influence, or appear to influence, the impartial and objective performance of his or her official duties.

2. The public official's private interest includes any advantage to himself or herself, to his or her family, close relatives, friends and persons or organisations with whom he or she has or has had business or political relations. It includes also any liability, whether financial or civil, relating thereto.

3. Since the public official is usually the only person who knows whether he or she is in that situation, the public official has a personal responsibility to:
   - be alert to any actual or potential conflict of interest;
   - take steps to avoid such conflict;
   - disclose to his or her supervisor any such conflict as soon as he or she becomes aware of it;
   - comply with any final decision to withdraw from the situation or to divest himself or herself of the advantage causing the conflict.

4. Whenever required to do so, the public official should declare whether or not he or she has a conflict of interest.

5. Any conflict of interest declared by a candidate to the public service or to a new post in the public service should be resolved before appointment.

Article 14 – Declaration of interests

The public official who occupies a position in which his or her personal or private interests are likely to be affected by his or her official duties should, as lawfully required, declare upon appointment, at regular intervals thereafter and whenever any changes occur the nature and extent of those interests.
Article 15 – Incompatible outside interests

1. The public official should not engage in any activity or transaction or acquire any position or function, whether paid or unpaid, that is incompatible with or detracts from the proper performance of his or her duties as a public official. Where it is not clear whether an activity is compatible, he or she should seek advice from his or her superior.

2. Subject to the provisions of the law, the public official should be required to notify and seek the approval of his or her public service employer to carry out certain activities, whether paid or unpaid, or to accept certain positions or functions outside his or her public service employment.

3. The public official should comply with any lawful requirement to declare membership of, or association with, organisations that could detract from his or her position or proper performance of his or her duties as a public official.

Article 16 – Political or public activity

1. Subject to respect for fundamental and constitutional rights, the public official should take care that none of his or her political activities or involvement on political or public debates impairs the confidence of the public and his or her employers in his or her ability to perform his or her duties impartially and loyally.

2. In the exercise of his or her duties, the public official should not allow himself or herself to be used for partisan political purposes.

3. The public official should comply with any restrictions on political activity lawfully imposed on certain categories of public officials by reason of their position or the nature of their duties.

Article 17 – Protection of the public official’s privacy

All necessary steps should be taken to ensure that the public official's privacy is appropriately respected; accordingly, declarations provided for in this Code are to be kept confidential unless otherwise provided for by law.

Article 18 – Gifts

1. The public official should not demand or accept gifts, favours, hospitality or any other benefit for himself or his or her family, close relatives and friends, or persons or organisations with whom he or she has or has had business or political relations which may influence or appear to
influence the impartiality with which he or she carries out his or her duties or may be or appear to be a reward relating to his or her duties. This does not include conventional hospitality or minor gifts.

2. Where the public official is in doubt whether he or she can accept a gift or hospitality, he or she should seek the advice of his or her superior.

Article 19 – Reaction to improper offers

If the public official is offered an undue advantage he or she should take the following steps to protect himself or herself:

- refuse the undue advantage; there is no need to accept it for use as evidence;
- try to identify the person who made the offer;
- avoid lengthy contacts, but knowing the reason for the offer could be useful in evidence;
- if the gift cannot be refused or returned to the sender, it should be preserved, but handled as little as possible;
- obtain witnesses if possible, such as colleagues working nearby;
- prepare as soon as possible a written record of the attempt, preferably in an official notebook;
- report the attempt as soon as possible to his or her supervisor or directly to the appropriate law enforcement authority;
- continue to work normally, particularly on the matter in relation to which the undue advantage was offered.

Article 20 – Susceptibility to influence by others

The public official should not allow himself or herself to be put, or appear to be put, in a position of obligation to return a favour to any person or body. Nor should his or her conduct in his or her official capacity or in his or her private life make him or her susceptible to the improper influence of others.

Article 21 – Misuse of official position
1. The public official should not offer or give any advantage in any way connected with his or her position as a public official, unless lawfully authorised to do so.

2. The public official should not seek to influence for private purposes any person or body, including other public officials, by using his or her official position or by offering them personal advantages.

Article 22 – Information held by public authorities

1. Having regard to the framework provided by domestic law for access to information held by public authorities, a public official should only disclose information in accordance with the rules and requirements applying to the authority by which he or she is employed.

2. The public official should take appropriate steps to protect the security and confidentiality of information for which he or she is responsible or of which he or she becomes aware.

3. The public official should not seek access to information which it is inappropriate for him or her to have. The public official should not make improper use of information which he or she may acquire in the course of, or arising from, his or her employment.

4. Equally the public official has a duty not to withhold official information that should properly be released and a duty not to provide information which he or she knows or has reasonable ground to believe is false or misleading.

Article 23 – Public and official resources

In the exercise of his or her discretionary powers, the public official should ensure that on the one hand the staff, and on the other hand the public property, facilities, services and financial resources with which he or she is entrusted are managed and used effectively, efficiently and economically. They should not be used for private purposes except when permission is lawfully given.

Article 24 – Integrity checking

1. The public official who has responsibilities for recruitment, promotion or posting should ensure that appropriate checks on the integrity of the candidate are carried out as lawfully required.

2. If the result of any such check makes him or her uncertain as to how to proceed, he or she should seek appropriate advice.
Article 25 – Supervisory accountability

1. The public official who supervises or manages other public officials should do so in accordance with the policies and purposes of the public authority for which he or she works. He or she should be answerable for acts or omissions by his or her staff which are not consistent with those policies and purposes if he or she has not taken those reasonable steps required from a person in his or her position to prevent such acts or omissions.

2. The public official who supervises or manages other public officials should take reasonable steps to prevent corruption by his or her staff in relation to his or her office. These steps may include emphasising and enforcing rules and regulations, providing appropriate education or training, being alert to signs of financial or other difficulties of his or her staff, and providing by his or her personal conduct an example of propriety and integrity.

Article 26 – Leaving the public service

1. The public official should not take improper advantage of his or her public office to obtain the opportunity of employment outside the public service.

2. The public official should not allow the prospect of other employment to create for him or her an actual, potential or apparent conflict of interest. He or she should immediately disclose to his or her supervisor any concrete offer of employment that could create a conflict of interest. He or she should also disclose to his or her superior his or her acceptance of any offer of employment.

3. In accordance with the law, for an appropriate period of time, the former public official should not act for any person or body in respect of any matter on which he or she acted for, or advised, the public service and which would result in a particular benefit to that person or body.

4. The former public official should not use or disclose confidential information acquired by him or her as a public official unless lawfully authorised to do so.

5. The public official should comply with any lawful rules that apply to him or her regarding the acceptance of appointments on leaving the public service.

Article 27 – Dealing with former public officials

The public official should not give preferential treatment or privileged access to the public service to former public officials.
Article 28 – Observance of this Code and sanctions

1. This Code is issued under the authority of the minister or of the head of the public service. The public official has a duty to conduct himself or herself in accordance with this Code and therefore to keep himself or herself informed of its provisions and any amendments. He or she should seek advice from an appropriate source when he or she is unsure of how to proceed.

2. Subject to Article 2, paragraph 2, the provisions of this Code form part of the terms of employment of the public official. Breach of them may result in disciplinary action.

3. The public official who negotiates terms of employment should include in them a provision to the effect that this Code is to be observed and forms part of such terms.

4. The public official who supervises or manages other public officials has the responsibility to see that they observe this Code and to take or propose appropriate disciplinary action for breaches of it.

5. The public administration will regularly review the provisions of this Code.