THE GLOBAL SURVEY OF PUBLIC SERVANTS

Management Practices Module
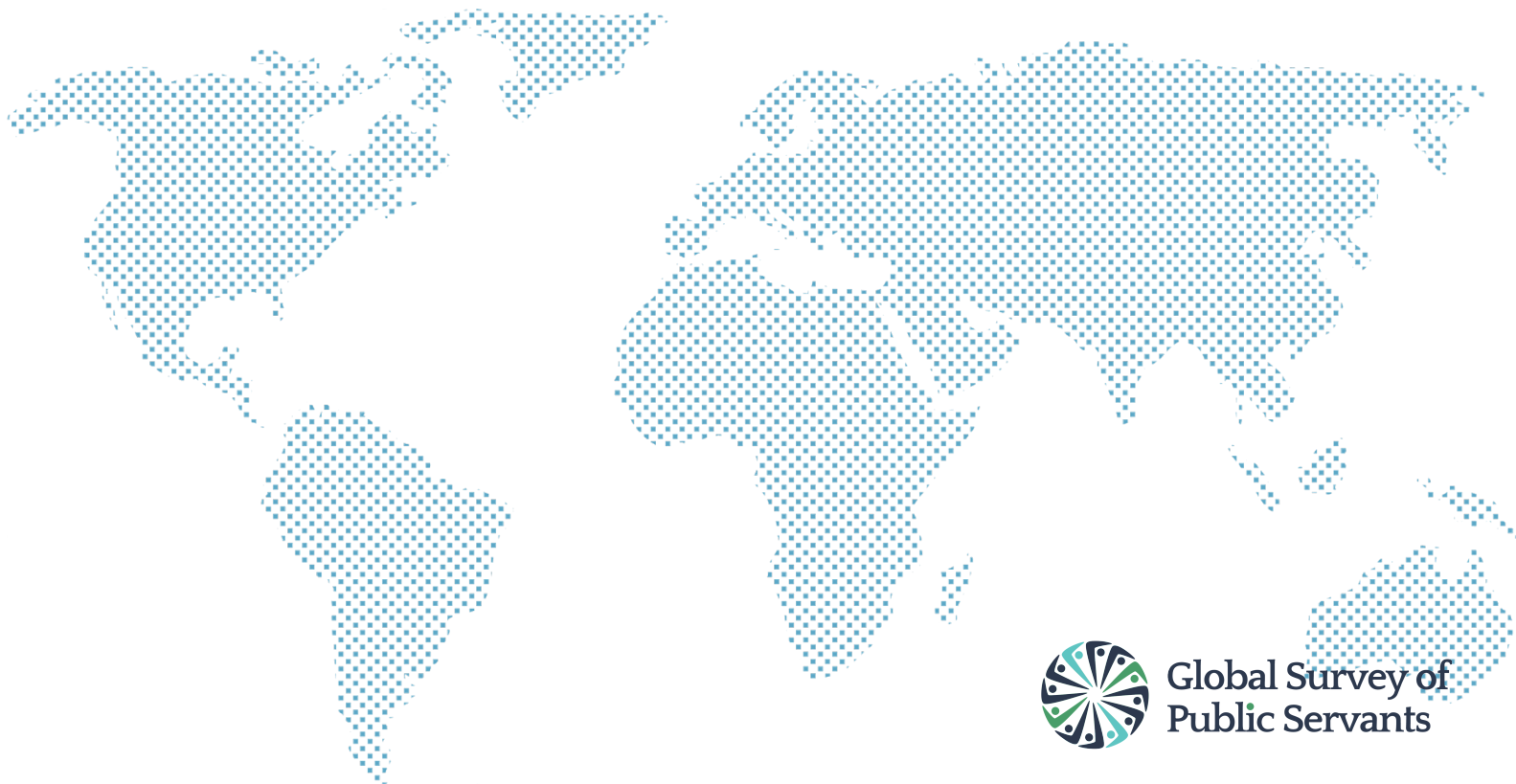
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Global Survey of Public Servants

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SUMMARY OF THE MANAGEMENT PRACTICES MODULE

The Global Survey of Public Servants (GSPS) is an initiative to generate survey data from public servants in government institutions around the world. **The aim of the initiative is to increase the volume, quality and coherence of survey data on public administration.**

Understanding the motivations, behaviors, organizational environments and management practices of public servants through surveys is central to (1) better understand how public services and states around the world work; and, (2) help governments manage public services better. Further details, such as our approach, conceptual framework and other resources are available at www.globalsurveyofpublicservants.org.

The purpose of this document is to provide government counterparts, researchers and other stakeholders with a Management Practices module that is not part of the GSPS common module to support and supplement their survey of public servants. By providing this additional module, GSPS hopes to provide both actionable evidence to governments for management improvements and scholarly evidence to further our understanding of how public services work.

The World Management Survey (WMS; www.worldmanagementsurvey.org) is now a global standard for measuring management in organizations. The first part of our module showcases questions about management that are not aligned with the WMS. The second part outlines questions that are implemented in line with the WMS. However, the enumeration of the WMS is distinct to the questions presented in the first part. It requires significant time and effort to the train, calibrate, and test enumerator teams. For more information on training for the implementation of the WMS, please contact the GSPS team.

The GSPS team are keen to promote the adoption of the other modules in surveys of government officials and stand ready to provide advice on implementation. We are also keen to receive anonymized versions of this module's data to share with the global community and are happy to facilitate the sharing of survey data and resources across teams. For further information, please contact the GSPS team at info@globalsurveyofpublicservants.org.

PART ONE: MEASURING MANAGEMENT

This part of the module outlines questions that provide an overview of the management of public sector organizations. This part is enumerated as usual and does not require strict guidance for enumerators.

IDN. Identification (employees and directors)

Within the demographics module of the survey using the Management Practices Module, it is advisable to include the following identification questions as the relevance of the module is dependent on these questions.

IDN.1	Do you **manage** other civil servants in **[name of organization]** as part of your daily tasks? **Select one response only.**	01 = Yes and a director (skip to SC) 02 = Yes and not a director 03 = No (skip to IDN.3)
IDN.2	Are you acting in a director position? **Select one response only.**	01 = Yes (skip to SC) 02 = No

TO BE ASKED TO EMPLOYEES AND DIRECTORS WHO DO NOT MANAGE OTHERS ONLY

IDN.3	How many people would you say regularly give you tasks as part of your formal work duties?	**Answer must be numeric.** 900=Don't know, 998=Refused to answer.
IDN.4	Can you describe who these people are? Are they… **Prompt respondent with codes. List all relevant responses.**	01= Head of the organization; 02= Deputy Head of the organization; 03= Heads or Deputy Heads from outside of the organization; 04= Directors from the organization; 05= Directors from outside of the organization; 06= Team leaders in the organization; 07= Team leaders outside of the organization; 08= Junior staff; 09=Clients; 10= Other (don't specify); 900=Don't know, 998=Refused to answer.

TO BE ASKED TO THOSE WHO ANSWERED 2 OR MORE TO QUESTION IDN.3

IDN.5	What percentage of your time is spent working on tasks given to you by your direct superior?	**Answer must lie between 0 and 100%** 900=Don't know, 998=Refused to answer.
IDN.6	We would like to understand how your manager(s) use your time? I will read out a number of statements. Please select the one that applies. Do they… **Prompt respondent with codes. Select one response only.**	01= Actively compete for my time; 02= Do not compete but typically do not coordinate on what they ask me to do leading me to being frequently overworked; 03= Do not compete but

		sometimes ask too much of me because they don't coordinate; 04= Coordinate well, ensuring my time is used effectively and reasonably; 900= Don't know, 998= Refused to answer.

SC. Span of Control (directors managing staff only)

SC.1	How many personnel do you manage?	**Answer must be numeric.** 900=Don't know, 998=Refused to answer.

REC. Records of Work Flows (directors managing staff only)

REC.1	Do you measure any data on workflows and case volumes?	01=Yes; 02=No; 900=Don't Know; 998=Refused to answer If Yes =>Q2 If No=>Section 3.11
REC.2	What data on workflows and case volumes do you routinely measure?	[Open ended]
REC.3	Do you record these?	01=Yes; 02=No; 900=Don't know; 998=Refused to answer. If Yes => Q3 If No => Q4
REC.4	Where is it recorded?	[Open ended]
REC.5	Do you use this information to assess the individual productivity of employees?	01=Yes; 02=No; 900=Don't know; 998=Refused to answer.

NET. PROFESSIONAL NETWORKS AND EVENTS (directors managing staff only)

NET.1	Which professional networks or events do you usually reference?	[Open ended]
NET.2	Which professional networks or events do you play an active role in?	[Open ended]
NET.3	What proportion of your staff is involved in professional networks or attend professional events?	**Answer must lie between 0 and 100%** 900=Don't know, 998=Refused to answer.

CM. CHANGE MANAGEMENT (directors managing staff only)

CM.1	Compared with three years ago, which of the following statements would you say applies to your Directorate's management practices? **Prompt respondent with codes. Select one response**	01 = Management practice has stayed substantively the same; 02 = Directorate management practice has changed slowly, with only ad hoc

	only.	changes or those isolated to some issues; 03 = The Directorate's management practices have been transformed; 900 = Don't know; 998 = Refused to answer.

PM. PERFORMANCE MANAGEMENT

PM.1	Does your unit have formal targets based on the organization's mandate?	01= Yes; 02= No; 900= Don't know; 998= Refused to answer.
PM.2	To what extent would you agree that your policy sector has well-defined performance goals?	01 = Strongly disagree; 02 = Slightly disagree; 03 = Neither agree or disagree; 04 = Slightly agree; 05 = Strongly agree; 900 = Don't know; 998 = Refused to answer.
PM.3	Are you involved in the performance review for your unit?	01= Yes; 02= No; 900= Don't know; 998= Refused to answer.
PM.4	Overall, how would you rate the performance of your unit?	01= Very good; 02= Good; 03= Bad; 04= Very bad; 900= Don't know; 998= Refused to answer.
PM.5	Do you fully understand your role in the context of your unit's objectives?	01= Yes; 02= No; 900= Don't know; 998= Refused to answer.
PM.6	Do you understand how your unit's objectives serve your organization's mission?	01= Yes; 02= No; 900= Don't know; 998= Refused to answer.
PM.7	On what percentage of tasks/projects does your organization fulfil its mission?	**Answer must lie between 0 and 100%** 900=Don't know, 998=Refused to answer.
PM.8	To what extent do you think the civil service is performing well in terms of the mission you see for it?	01= Very badly; 02= Badly; 03= Average; 04= Well; 05= Very well; 900= Don't know; 998= Refused to answer.
PM.9	To what extent do you agree with the following statements:	01 = Strongly disagree; 02 = Slightly disagree; 03 = Neither agree or disagree; 04 = Slightly agree; 05 = Strongly agree; 900 = Don't know; 998 = Refused to answer.
PM.9.a	I can describe the mission and vision of my organization.	

PM.9.b	I can identify the strategic organizational goals my sector contributes towards.	
PM.9.c	I can identify the strategic organizational goals my activities contribute towards.	
PM.9.d	Managers communicate the goals and priorities of the organization.	
PM.9.e	Managers review and evaluate the organization's progress toward meeting its goals and objectives	
PM.9	My organization develops specific development plans for officials in managerial roles (performance management, training, etc.) in alignment with organizational strategic planning.	
PM.10	What changes would you make to your organization to increase its ability to have a positive impact?	[OPEN ENDED] OR [LIST OF OPTIONS]
PM.11	Does the management of the organization conduct performance evaluations of all staff?	01= Yes; 02= No; 900= Don't know; 998= Refused to answer.
PM.12	How often is your performance evaluated? Do not prompt respondent with codes.	01= Weekly; 02= Monthly; 03=Quarterly; 04= Bi-annually; 05=Annually; 06= On an ad-hoc basis; 07= Never; 900 = Don't know; 998 = Refused to answer.
PM.13	Who carries out your performance evaluation?	01= Immediate supervisor; 02= Supervisor with an observer; 03= Department Head; 04= Personnel/ Human Resource Officer; 05= General Manager/ Commissioner/ Director; 06= Consultant; 07= Colleagues; 08= Management team; 09= Other; 900 = Don't know; 998 = Refused to answer
PM.14	To what extent would you agree that performance evaluation in your organization has improved employees' performance by identifying their strengths and weaknesses?	01 = Strongly disagree; 02 = Slightly disagree; 03 = Neither agree or disagree; 04 = Slightly agree; 05 = Strongly agree; 900 = Don't know; 998 = Refused to answer.
PM.15	To what extent do you agree with the following statements:	01 = Strongly disagree; 02 = Slightly disagree; 03 = Neither agree or disagree; 04 = Slightly agree; 05 =

		Strongly agree; 900 = Don't know; 998 = Refused to answer.
PM.15.a	My supervisor and I meet regularly to discuss my performance.	
PM.15.b	Discussions with my supervisor about my performance are worthwhile.	
PM.15.c	My supervisor communicates expectations about my performance clearly.	
PM.15.d	When conducting my performance appraisal, my supervisor personally discusses my good and bad performance and how each aspect of it has contributed to the results of the appraisal.	
PM.15.e	The criteria used in my annual performance evaluation form part of the regular performance discussions with my supervisor.	
PM.15.f	People in the Department are held accountable for achieving goals and meeting expectations	
PM.16	To what extent do you agree that your performance evaluation has helped to improve your performance?	01 = Strongly disagree; 02 = Slightly disagree; 03 = Neither agree or disagree; 04 = Slightly agree; 05 = Strongly agree; 900 = Don't know; 998 = Refused to answer.
PM.17	To what extent are you satisfied with the performance evaluation system in your organization?	01= Very dissatisfied; 02= Dissatisfied; 03= Neither satisfied nor dissatisfied; 04= Satisfied; 05= Very dissatisfied; 900= Don't know; 998= Refused to answer.
PM.18	To what extent do you agree that your organization applies sanctions to employees who do not perform well in their evaluations?	
PM.19	In your opinion, what is the main weakness of the performance evaluation system in your organization?	[OPEN ENDED]
PM.20	To what extent do you agree with each of the following statements:	01 = Strongly disagree; 02 = Slightly disagree; 03 = Neither agree or

		disagree; 04 = Slightly agree; 05 = Strongly agree; 900 = Don't know; 998 = Refused to answer.
PM.20.a	Managers are assessed based on whether or not their unit targets are met.	
PM.20.b	The selection process for officials has resulted in the selection of individuals who meet the job requirements for each position.	

PART TWO: MEASURING MANAGEMENT USING THE WORLD MANAGEMENT SURVEY APPROACH

This part of the module outlines questions that have been adapted from the World Management Survey (WMS) to measure the quality of management practices within and across civil service organizations. The WMS uses a double-blind interview technique whereby interviews are conducted without informing respondents that their answers will be evaluated against a scoring grid and thus, gathering information about actual management practices (as opposed to respondent's aspirations, perceptions and interviewer's impressions), 2) asking open-ended questions until an accurate assessment of the actual management practices can be made, 3) assuring that each interviewer conducts a minimum amount of interviews in order to correct any inconsistent interpretation of responses.

The World Management Survey (WMS) has traditionally been enumerated by a highly-trained cadre of enumerators who discuss the nature of management with respondents and score management practices as an interpretation of the discussion. Each question measures a specific process, and all processes have several aspects to them, and several pieces of information are required for assigning each question a score. The questions in the questionnaire do not elicit all the information required in the scoring, enumerators are required to ask the relevant follow up questions and clarifications, based on respondents' answers, in order to acquire a clear understanding of the nature and quality of the management practice being assessed. The WMS questionnaire should not be treated like a household survey, it requires critical thinking, and an in-depth knowledge of the concepts underlying each question.

Significant time and effort are dedicated to the training, calibration, and testing of enumerator teams. Training should be carried out by a qualified trainer, using a set of adapted training materials designed by our team for this purpose. While this document provides guidance for scoring, for detailed training materials, please reach out to the GSPS team.

GENERAL SCORING GRID

Management practices are evaluated and scored by defining the concept of "good" and "bad" management practices and codifying them from 1 (worst practice) to 5 (best practice) across key management practices used by organizations across different sectors. These practices are grouped into six areas: 1) Performance monitoring, 2) Target Setting, 3) Incentives, 4) Autonomy (roles), 5) Autonomy (flexibility), and 6) Staff contribution.

The management module contains questions that require you to 'score' the answers given on an ordinal scale from 1 to 5, where 1 is 'worst practice' and 5 is 'best practice':
- Score 1: Does not show any evidence for organized management activities
- Score 3: Some evidence of management strategy but somewhat incoherent or inconsistent
- Score 5: Strategic and considered management practices implemented coherently

Score	1	2	3	4	5
General Grid	Nothing	Reactive	Process with Weakness	Proactive	Best Practice
Notes	When scoring, keep in mind the following guidelines: • Is there a process? • Why is there a process? (What is the rationale behind the process?) • How well is the process integrated? Who/What levels of the firm/plant are involved? Asking for examples helps illustrate the manager's answers.				

Enumerator states: Thank you. I'd now like to understand a little bit about how you manage your staff. Let me stress, we are interested in **how things work in practice** in the past year or so, rather than what the formal rules state. There are often differences between the formal rules and what happens on the ground, and it's the latter that we are interested in. Remember that all answers you provide will be treated completely confidentially. I'd now like to ask about how your Directorate assigns tasks, responsibilities, and targets.

TAR. Targeting (directors managing staff only)

TAR.1	Does your Directorate have a clear set of targets derived from the organization's goals and objectives? Are they used to determine your work schedule? *Suggested prompts:* • *Does anyone complain the targets are vague or unclear?* • *If I asked a mid-level employee in your Directorate about these targets, what would he or she tell me?*	1	2	3	4	5
		The directorate does not have defined targets.	The directorate has loosely defined targets, but there is no real connection between them and the tasks assigned to the staff. Mid-level staff have no real understanding of the targets.	Targets are assigned to the directorate, as well as to the manager and employee levels, and these are generally well understood by mid-level staff. However the tasks assigned to staff are not always related to those targets.	Targets are clearly defined for the directorate, and manager-level staff, and are well understood by the mid-level staff. Tasks are typically closely related to the targets, although the connection is not always immediately obvious.	Targets are clearly defined for the directorate, manager, and employee levels, and are well understood by all staff. All tasks are directly derived from the targets, which are regularly reviewed to ensure they remain on track.
TAR.2	When you arrive at work each day, do you and your colleagues know what their individual roles and responsibilities are in achieving the organization's goals? ***Suggested prompts:*** • ***Could everyone in the Directorate say what they are responsible for?*** • ***Do employees***	1	2	3	4	5
		Staff do not know what their roles and responsibilities are.	Some staff have some idea of their roles and responsibilities are, it depends on what's going on in their organization at that time.	Staff have a good idea of their roles and responsibilities but it is not always clear how they contribute to their organization's goals.	Generally, staff have a good understanding of their roles and responsibilities and how these contribute to the goals of their	Staff have a very good understanding of their roles and responsibilities. Their own roles and goals are clearly interconnected to those of their

		1	2	3	4	5
	ever wait around with no work to do?				organization.	organization.
TAR.3	How are targets and performance measures communicated to staff in your directorate? *Suggested prompts* • *If I asked any staff member about these, would they be able to talk about them?*	Neither targets nor performance measures are communicated to staff.	Targets and performance measures are informally communicated to managers and team leaders.	Targets and performance measures are formally communicated to managers and team leaders.	Targets and performance measures are formally communicated to all managers and supervisors, and informally to all other staff.	Targets and performance measures are formally communicated and understood by all staff.

Enumerator states: Thank you. We would like to discuss how your Directorate monitors progress on its objectives? Again we are interested in what really happens, rather than what the formal rules stipulate.

IM. Incentives/Monitoring: Monitoring (directors managing staff only)

IM.1	In what kind of ways does your Directorate track how well it is delivering services? Can you give me an example? **Suggested prompts:** • Do you use any indicators to track performance? • Who participates in reviewing performance?	1	2	3	4	5
		Directorate does not track performance.	Limited measures are tracked formally, and are seen (not necessarily reviewed) by senior management only.	Directorate tracks a number of performance indicators. These are seen and reviewed by senior management only.	Directorate tracks several indicators formally. These are reviewed by the management team. The results of these reviews will be communicated (formally or informally) to some of the directorate staff.	Full set of indicators are tracked formally and continuously. Reviews are conducted regularly and involve representative of all directorate staff groups. The results of the review are formally communicate to all directorate staff.
IM.2	Are you involved in performance review for your Directorate? If so, how often does this occur? **Select one response only.**	01 = Not involved in performance review; 02 = Annually; 03 = Bi-annually; 04 = Quarterly; 05 = Monthly; 06 = Weekly; 07 = Other (don't specify); 900 = Don't know; 998 = Refused to answer.				

Enumerator states: I would like to ask about the level of discretion you give your staff in undertaking tasks.

AUR. Autonomy: Roles (directors managing staff only)

AUR. 1	When staff in your Directorate are given tasks in their daily work, how much discretion do they have to carry out their assignments? Can you give me an example? *Suggested prompts:* • *If you minuted a task to an employee, how detailed would the instructions be?* • *How much do you let employees decide the best way to perform a task?*	1	2	3	4	5
		How officers carry out their assignments is decided by senior managers. Officers have no say.	How officers carry out their assignments is decided by senior managers. Officers can make suggestions, although this is not typical.	How officers carry out their assignments is jointly decided by the officer and senior managers. Senior managers tend to drive the decisions.	Officers have autonomy in deciding how to carry out their tasks, but have to make sure senior managers agree.	Officers have complete autonomy in deciding how to carry out their tasks.
AUR. 2	Can most staff in your Directorate make substantive contributions to the policy **formulation and implementation** process? *Suggested prompts:* • *How are employees encouraged to come up with new ideas?* • *Is there a system for employees to identify better ways of doing things?*	1	2	3	4	5
		Staff do not contribute to policy formulation, nor to decisions about implementation.	Staff contribute to policy formulation, and decisions about implementation in an ad-hoc manner.	Staff can contribute to policy formulation and decisions about implementation, but there is no formal forum through which to do this. Contributions typically only occur when problems arise.	Management encourages staff to contribute to policy formulation and decisions about implementation (formally or informally).	Management expects all staff to contribute to policy formulation and decisions about implementation (formally or informally), and considers this part of their duties.
AUR. 3	Is the workload of achieving your Directorate's targets evenly distributed across its different employees, or do some groups	1	2	3	4	5
		A small minority of staff	Some staff groups are more burdened than	The burden of the directorate's	The burden of the directorate's	The burden of the directorate's

		undertake the vast majority of work within the directorate.	others depending on the type of work they are responsible for.	work is more or less distributed equally among staff. A small minority get away with working significantly less than others.	work is generally distributed equally among staff.	work is distributed equally among staff. Tasks are assigned in such a way that the amount of time required and the level of difficulty are balanced out so no member of staff finds him/herself overburdened.
	consistently shoulder a greater burden than others? *Suggested prompts:* • *Can some employees not be trusted with important work?*					
AUR. 4	Thinking about all the projects that your Directorate has been involved in since your appointment here, would you say that managers and supervisors try to use the right staff for the right job? *Suggested prompts:* • *How do you know which staff are suited for which tasks?* • *If an employee goes for training on a topic, does he or she usually work on that topic when they return?*	1 Staff are allocated to tasks randomly.	2 Managers will assign staff to specific tasks only if they have personal knowledge of staff's skills and competencies, and the staff is not otherwise engaged.	3 Managers try to use the right staff for the right job but do not go to great lengths to ensure this, or are met with institutional constraints which may prevent them from doing so.	4 Mostly, managers will use the right staff for the right job. Allocation of tasks is based on staffs' skills and competencies, although these are not always recorded.	5 The right staff are always used for a task. Allocation of tasks is based on staffs' documented skills and competencies.

Enumerator states: Thank you. Now I'd like to understand how your Directorate responds when you are confronted by new demands or ways of working. Whilst we understand there may be formal rules governing serving different constituencies, we are interested in what really happens on the ground.

AUF. Autonomy: Flexibility (directors managing staff only)

AUF.1	Does your Directorate make efforts to **adjust** to the specific needs and specific requirements of communities, clients, or other stakeholders? *Suggested prompts:* • *Does this include actual changes to procedures, or just stakeholder consultation?* • *How successful is this?*	1	2	3	4	5
		The directorate uses the same procedures no matter what.	The directorate will adapt the standard procedure in rare instances.	The directorate tailors procedures to the specific needs of its stakeholders, but struggles when those needs are complex.	The directorate tailors procedures to the specific needs of its stakeholders.	The directorate tailors all procedures to the specific needs of its stakeholders. The evolution of those needs results in adaptation to plans, project and policies.
AUF.2	How flexible would you say your Directorate is in terms of responding to new and improved work practices or reforms? *Suggested prompts:* • *How quickly do they influence the way you work across the Directorate?* • *How does the Directorate encourage the adoption of new work practices?*	1	2	3	4	5
		New practices are not adopted/ integrated in the directorate.	New ideas or practices are sometimes adopted in an ad hoc manner.	New ideas or practices are adopted, but in an informal and/ or isolated manner. The directorate encourages the adoption of new practices, however it is slow to integrate them into its operations (more than a year).	New ideas or practices are adopted formally and within 6 months, but may be limited to some staff groups. The directorate actively encourages their adoption, ORNew ideas or practices are adopted formally and implemented across all staff groups. Although the directorate actively encourages their adoption, the integration of these practices into the operations of the directorate may take between 6 months to a year.	The adoption of new ideas and practices is an integral part of the directorate's work. New practices are regularly reviewed and considered, and once adopted and integrated across the directorate within 6 months.

Enumerator states: Thank you. Now I'd like to talk a little bit about how staff become involved in the day-to-day activities of the directorate.

SIC. Staff Involvement/Contribution (directors managing staff only)

SIC.1	How do problems in your directorate get exposed and fixed? *Suggested prompts:* • *How can staff suggest improvements?*	1	2	3	4	5
		Ad-hoc, no set process for improvement Deal with problems as they arise without following an established procedure Once fixed, no further action taken No suggestions from staff	Some process when something goes wrong No formal system, may have some guidelines depending on the problem Focus on fixing, rather than improving Suggestions from staff on an ad-hoc basis	Existing process to deal with problems Improvements made through meetings Focus on finding solutions, not prevention of future problems Suggestions from staff involved through meetings (formal or informal)	Continuous process focusing on prevention, not just dealing with problems Continuous improvement Organization encourages staff to make suggestions (may or may not be rewarded/ recognized)	Exposing problems and suggesting solutions and improvements is part of all staffs' daily duty. Continuous improvement is part of the culture of the organization.
SIC.2	What kind of feedback do you get in staff meetings? *Suggested prompts:* • *What kind of action results from this feedback?* • *How are outcomes of the meeting communicated to staff?*	1	2	3	4	5
		No feedback from staff.	Ad-hoc feedback from staff. No real action taken.	Staff provide feedback in meetings but in an unstructured manner. Focus on bad performance.	Staff provide feedback in meetings (formal or informal), and this is used to inform action. Details of the meetings are recorded and communicated to all staff.	Staff provide the feedback on which action plans will be based. Focus on both good and bad performance. Details of the meetings are recorded and communicated to all staff.
SIC.3	Let's say you've agreed	1	2	3	4	5

to a follow up plan at one of your meetings, what would happen if the plan wasn't enacted? *Suggested prompts:* • *What types of actions would you take to rectify the situation?*	No action taken. No changes made in the operations process.	Failure to achieve objective would only be found at the deadline, but some effort is made to make up for it as much as possible.	Failure can be found in regular meetings (weekly, even monthly for long-term plans) or at standard points before the deadline. Plans can be altered in order to achieve expected results on time.	Managers will check plans according to agreed timeline (at standard points before the deadline). Moving resources around according to progress of the plan.	In addition to 4, tools can be checked up and reported to the manager in charge. Meetings (formal/ informal) are held to look into the root causes of problems and preventive actions are taken for future similar task.

Enumerator states: Thank you. It's sometimes necessary to reward or discipline employees that you manage. I'd like to ask you about how you have faced those issues. Please remember that we are interested in practices within your Directorate rather than the organization as a whole.

PI. Incentives/Monitoring: Performance Incentives (directors managing staff only)

PI.1	How would under-performance be tolerated in your Directorate? Can you give me an example of how such a case would be dealt with? *Suggested prompts:* • *Can you give me an example of how such a case was dealt with?* • *What about informal means of dealing with poor performance?*	1	2	3	4	5
		Poor performers stay in their positions (no consequences).	Poor performance is addressed inconsistently and on an ad-hoc basis.	Poor performance is identified through evaluation and is addressed through concrete action. Although this applies to most staff, some individuals/ staff groups get away with it.	Poor performance is identified through regular reviews and is addressed through concrete action. This applies to all staff.	Poor performers are identified through regular reviews and are put on a formal performance improvement plan immediately. This applies to all staff.
PI.2	Given past experience, have members of *[respondent's organization]* been disciplined for breaking the rules of the civil service? *Suggested prompts:* • *Are sanctions consistently applied?* • *How are the underlying drivers of the problem addressed?*	1	2	3	4	5
		There are no consequences for bad behavior/ breaking the rules.	Bad behavior/ breaking the rules is addressed inconsistently and on an ad-hoc basis.	Bad behavior is addressed through concrete action, but the underlying issues are not addressed.	Bad behavior/ breaking the rules is addressed through concrete action. Effort is made to identify the underlying issues causing recurrent bad behavior.	Bad behavior/ breaking the rules is addressed through concrete action. If any employee breaks the rules, the underlying issues will be identified and rectified. This applies to all employees.
PI.3	Does your Directorate use	1	2	3	4	5

performance, targets, or indicators for tracking and rewarding (financially or non-financially) the performance of its employees? *Suggested prompts:* • *Are the criteria for rewards clear?* *How the rewards linked to performance?*	Staff are rewarded equally (or not rewarded) irrespective of performance. Individual performance is not tracked formally.	Performance may be evaluated informally, but only some staff groups are rewarded. There is no system.	There is a formal staff evaluation system in place and performance is rewarded (financially or non-financially). However, there are no clear system or criteria for rewarding staff.	There is a formal staff evaluation system and performance is rewarded (financially or non-financially). Rewards are given as a consequence of well-defined and monitored individual achievements, but does not apply to all staff groups.	There is a formal staff evaluation system and performance is rewarded (financially or non-financially). Rewards are given as a consequence of well-defined and monitored individual achievements. This applied to all staff.

Enumerator states: Thank you. Now let's discuss staffing **of your Directorate**. Remember, we are interested in how things work in practice rather than the formal rules that govern staffing.

STF. Staffing (directors managing staff only)

		1	2	3	4	5
STF.1	Do you think the management of your Directorate think about attracting talented people to your Directorate and then doing their best to keep them? For example, by ensuring they are happy and engaged with their work. *Suggested prompts:* • *What would happen if a top employee wanted to leave?* • *Does this Directorate consciously try to develop younger employees' capacity?*	Directorate does not put emphasis on talent	Senior management understands that it is important, but there is no process or formal communication about it.	Senior management believes that attracting and developing talent is important, but there is no clear system for identifying, attracting or retaining such talent.	Senior management believes that attracting and developing talent is important. There is a clear system for identifying and attracting talent.	Senior management believes that attracting and developing talent is important. There is a clear system for identifying and attracting talent, developing and retaining talent.
		1	2	3	4	5
STF.2	If two senior level staff joined your Directorate five years ago and one was much better at their work than the other, would he/she be promoted through the service faster? *Suggested prompts:* • *Do poor performers get promoted slower?* • *Do high performers get put in positions with more responsibility?*	No promotion system (no one in the organization has been promoted for years) The promotion system is based on tenure	The promotion system is based on performance AND tenure The promotion system is based on performance but no-one has been promoted in years (3 years and above)	The promotion system is based on performance. Organization may have internal limitations (e.g. few position openings), but do everything to get around them (e.g. extra training).	Promotion system is based on performance identified through a system of appraisal. Extra training is provided to improve the potential of key workers. Real promotion opportunities. This applies to all employee.	Promotion system is based on performance. Organization actively identifies, develops and promotes top performers. Regular assessments, clear set of indicators and personalized career plans for individuals (regularly

					revised).

SCORING GRID WITH GREATER DIRECTION FOR ENUMERATORS

This section provides more detailed guidance on how to score each of the questions outlined above. In addition to the question itself, it describes the information necessary for the enumerator to possess to accurately score each question with further guidance in the form of follow-up questions.

TAR. Targeting

TAR.1: Whether the organization has a clear set of targets and how these cascade down to individual staff members.
Key information required for scoring accurately:
- Does the organization have clear targets?
- Are these targets cascaded (or broken down) into smaller targets?
  - If yes: to what level? (e.g. group level or individual level)
- Are the tasks and responsibilities assigned to staff directly connected to those targets?
- Are targets communicated to staff?
  - If yes: to some staff/ all staff?
- For a score 5: are targets reviewed?

Does your Directorate have a clear set of targets derived from the organization's goals and objectives? Are they used to determine your work schedule?
Sub-Questions
Does anyone complain the targets are vague or unclear?
If I asked a mid-level officer in your directorate about these targets, what would he or she tell me?

TAR.2: How individual tasks and responsibilities are distributed and how these contribute to the overall organization's goals.
Key information required for scoring accurately:
- Do staff have assigned tasks and responsibilities at all times?
- Do staff know what their roles and responsibilities are?
- Do these tasks and responsibilities contribute to the directorate/ organization goals?
- For a score 5: are the tasks and responsibilities interconnected to the scores of the organization?

When you arrive at work each day, do you and your colleagues know what your individual roles and responsibilities are in achieving the organization's goals?
Sub-Questions
Could everyone in the directorate say what they are responsible for?
Do officers ever wait around with no work to do?

TAR.3: Tests how easily understandable performance measures are and whether performance is openly communicated to staff.

Key information required for scoring accurately:
- Does the organization have clear targets? (YOU KNOW THIS FROM Q1 + 2!)
- Does the organization have related performance measures? (i.e. indicators to track performance on those targets)
- Are the targets and performance measures communicated to staff?
  - o If yes: to some staff or all staff?
  - o If yes: formally or informally?

How are targets and performance measures communicated to staff in your directorate?
Sub-Questions
If I asked any staff member about these, would they be able to talk about them?

IM. Incentives/ Monitoring: Monitoring

IM.1: Whether the directorate measures and reviews its performance in service delivery using a set of meaningful metrics and with appropriate frequency.

Key information required for accurate scoring:
- Does the directorate/ organization track its performance (ORGANISATION-LEVEL PERFORMANCE!)
  - o If yes: how? (examples of indicators used)
  - o If yes: how often?
- If performance reviewed? (i.e. critically evaluated)
  - o If yes: who is involved?
  - o If yes: how often?
  - o If yes: are the results of the reviews communicated to staff?
    - ▪ If yes: to some staff or all staff?

In what kind of ways does your Directorate track how well it is delivering services? Can you give me an example?
Sub-Questions
Do you use any indicators to track performance?
Who participates in reviewing performance?

AUR. Autonomy: Roles

AUR.2: The degree of autonomy afforded to senior staff in the execution of their day-to-day activities.

Key information required for accurate scoring:
- Who decides how employees should carry out their assignments?
- Do employees have any freedom to decide HOW to carry out their tasks?

o   If yes: how much freedom? (examples)

When staff in your Directorate are given tasks in their daily work, how much discretion do they have to carry out their assignments? Can you give me an example?
Sub-Questions
If you minuted a task to an officer, how detailed would the instructions be?
How much do you let officers decide the best way to perform a task?

AUR.3: The degree to which staff contribute to the formulation and implementation of policy.
Key information required for accurate scoring:
- Do staff contribute to policy formulation and implementation? (ANY LEVEL OF POLICY)
  o   If yes: how?
  o   If yes: formally or informally?
  o   If yes: how often/ under what circumstances? (e.g. only when there is a big problem or as part of their daily duties?)

Can most staff in your Directorate make substantive contributions to the policy formulation and implementation process?
Sub-Questions
How are officers encouraged to come up with new ideas?
Is there a system for officers to identify better ways of doing things?

AUR.4: **Whether targets (and their associated burden of work) are equally distributed across the directorate.**
Key information required for accurate scoring:
- Is the workload the same for all staff groups?
  o   If no: how is the workload distributed?
- For a score 5: Are tasks assigned in such a way that there is a balance between workload/difficulty/time-load (i.e. overall burden of the work)?

Is the burden of achieving your Directorate's targets evenly distributed across its different officers, or do some groups consistently shoulder a greater burden than others?
Sub-Questions
Can some officers not be trusted with important work?

AUR.5: The degree to which senior staff make good use of human resources.
Key information required for accurate scoring:
- What criteria are used to assign tasks to staff? (randomly/ purposefully)
  o   If purposefully: how do managers know which tasks are best suited to which staff?
    ▪   Is this documented?
  o   If purposefully: how often are the right staff used for the right task?

Thinking about all the projects that your Directorate has been involved in since your appointment here, would you say that senior staff try to use the right staff for the right job?
Sub-Questions

How do you know which staff are suited for which tasks?
If an officer goes for training on a topic, does he or she usually work on that topic when they return?

AUF. Autonomy: Flexibility

AUF.1: The degree of flexibility in adjusting to the specific needs of stakeholders.
Key information required for accurate scoring:
- Are context and characteristics of taken into consideration in the development of plans/projects/policies?
  - If yes: How often?
- For a score 5: Are those plans/projects/policies reviewed regularly? (i.e. are they adapted to *evolving* needs?)

Does your Directorate make efforts to adjust to the specific needs and peculiarities of communities, clients, or other stakeholders?
Sub-Questions
Does this include actual changes to procedures, or just stakeholder consultation?
How successful is this?

AUF.2: Attitudes to and processes for the introduction of new practices.
Key information required for accurate scoring:
- Are new practices adopted by the directorate/ organization?
  - If yes: formally or informally?
  - If yes: fully integrated or isolated? (i.e. across the entire directorate/ organization or only in some areas?)
  - If yes: how long does it take for their adoption/ implementation?
- For a score 5: are new practices regularly considered and reviewed?

How flexible would you say your Directorate is in terms of responding to new and improved work practices?
Sub-Questions
How quickly do they influence the way you work across the Directorate?
How does the Directorate encourage the adoption of new work practices?

SIC. Staff Involvement/ Contribution

SIC.1: Tests processes for and attitudes to continuous improvement and whether learnings are captured/ documented.
Key information required for accurate scoring:
- Is there a process/ system for exposing and solving problems:
  - If yes: what is it?
  - If yes: formal or informal?
  - If yes: how do staff contribute to exposing and solving problems?
- For a score above a 3: does the directorate/ organization focus on preventing future problems or just solving existing ones?

- For a score 5: Is exposing and solving problems part of all employees' daily duties?

How do problems in your directorate get exposed and fixed?
Sub-Questions
How can staff suggest improvements?

SIC.2: Tests the degree to which the organization encourages and acts upon staff feedback.

Key information required for accurate scoring:
- Does the staff give feedback?
  - If yes: how?
    - In what way?
    - Formal or informal?
  - If yes: how often?
- Does staff feedback result in feedback-specific action? (examples)
- Is the feedback positive AND negative, or only negative? (i.e. focus on problems/ failures)
- Are the results of feedback meetings communicated to staff?
  - If yes: to some staff or all staff?

What kind of feedback do you get in staff meetings?
Sub-Questions
What kind of action results from this feedback?
How are outcomes of the meeting communicated to staff?

SIC.3: Tests whether differing levels of performance (not personal but plan/ process based) lead to different consequences.

Key information required for accurate scoring:
- Are plans/ projects monitored? (i.e. is their progress tracked?)
  - If yes: how?
  - If yes: how often?
- If there is a problem with the plan, what action is taken to rectify that plan and put it back on track?
- To score above a 2: is failure fund before or after the deadline?
- To score a 5: is action taken to find the root cause of the problem or prevent future problems from happening?

Let's say you've agreed to a follow up plan at one of your meetings, what would happen if the plan wasn't enacted?
Sub-Questions
What types of actions would you take to rectify the situation?

PI. Incentive/ Monitoring: Performance Incentives

PI.1: How well the organization is able to deal with underperformers.

Key information required for accurate scoring:
- Is there a system in place to identify good and poor performing individuals?

- o If yes: is it done regularly?
- o If yes: what action is taken to deal with poor performers?
- o If yes: is there a system for dealing with poor performers or is it done on a case-by-case basis? (i.e. is it applied to all staff or is it applied inconsistently?)
- For a score 5: are underperformers put on a formal performance improvement plan?

Given past experience, how would under-performance be tolerated in your Directorate? Can you give me an example of how such a case was dealt with?
Sub-Questions
Can you give me an example of how such a case was dealt with?
What about informal means of dealing with poor performance?

PI.2: How well the organization is able to deal with bad behavior.

Key information required for accurate scoring:
- Is there a system in place to identify bad behavior/disciplinary issues?
  - o If yes: is it done regularly?
  - o If yes: what action is taken to deal with bad behavior?
  - o If yes: is there a system for dealing with bad behavior or is it done on a case-by-case basis? (i.e. is it applied to all staff or is it applied inconsistently?)
- For a score above a 3: are the underlying causes for bad behavior addressed?

Given past experience, have members of [respondent's organization] been disciplined for breaking the rules of the civil service?
Sub-Questions
Are sanctions consistently applied?
How are the underlying drivers of the problem addressed?

PI.3: Tests whether there is a systematic approach to identifying good and bad performers and rewarding them proportionately.

Key information required for accurate scoring:
- Is there a system in place to identify good and poor performing individuals?
  - o If yes: is it done regularly?
  - o If yes: are good performers rewarded?
    - ▪ If yes: how?
    - ▪ If yes: is there a clear system/ set of criteria (RELATED TO PERFORMANCE) for rewarding good performers or is it done on a case-by-case basis? (i.e. is it applied to all staff or is it applied inconsistently?)
      - If there is a system: does it apply to all staff?

Does your Directorate use performance, targets, or indicators for tracking and rewarding (financially or non-financially) the performance of its officers?
Sub-Questions
Are the criteria for rewards clear?
How the rewards linked to performance?

STF. Staffing

STF.1: Tests what emphasis is put on attracting and retaining talent in the organization.
Key information required for accurate scoring:
- Is attracting, developing and retaining staff a priority in the directorate/ organization?
    - If yes: what action is taken to attract/develop/retain TALENTED staff?
        - Is there a system for attracting/developing/retaining TALENTED staff?
- For a score 5: is there a system for attracting AND developing AND retaining staff?

Do you think the management of your Directorate think about attracting talented people to your Directorate and then doing their best to keep them? For example, by ensuring they are happy and engaged with their work.
Sub-Questions
What would happen if a top officer wanted to leave?
Does this Directorate consciously try to develop younger officers' capacity?

STF.2: Tests whether promotion is performance based.
Key information required for accurate scoring:
- Does the directorate/organization have a promotion system?
    - If yes: what are the criteria for promotion?
- For a score above a 3: are staff developed in preparation for promotions?
- For a score 5: are staff provided with clear and regularly revised career plans?

If two senior level staff joined your Directorate five years ago and one was much better at their work than the other, would he/she be promoted through the service faster?
Sub-Questions
Do poor performers get promoted slower?
Do high performers get put in positions with more responsibility?